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CEMAS - Centro di Ricerca Cooperazione con l'Eurasia, il Mediterraneo e l'Africa Sub-sahariana,  
interdepartmental research centre based at Sapienza University of Rome

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## Friend or Foe? Representations of WWI in Italian Fascist Cinema

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### Abstract

The present essay investigates the representation of the First World War in Italian fascist cinema by analyzing some of the major films about the war made during the Fascist regime and, notably, Marco Elter's *Le scarpe al sole* (1935), Giovacchino Forzano's *13 uomini e un cannone* (1936) and Oreste Biancoli's *Piccolo alpino* (1940). The films will be examined from an original and specific angle, devoting special attention to their portrayal of the Austrian enemy. Little consideration has been paid so far in scholarly research to this aspect. The essay will specifically address the question, investigating the changing representation of WWI and, particularly, the metamorphosis of Austria from foe to friend in Italian cinema in the course of the twenty years of Fascist regime. In doing so, the essay will place the above films against the background of the Fascist regime's foreign policy, with special regard to the Italian-Austrian politics of friendship during the 1930s, followed at the end of the decade by Italy's alliance with Nazi-Germany and the birth of the Rome-Berlin axis.

**Keywords:** Italian Cinema, First World War, Italian Fascist Regime, Austro-Italian Relations

### 1. Introductory Remarks

The 100th anniversary of WWI has in recent years led to a significant revival of scholarly studies on the representation of the war in Italian cinema. In particular, attention has been directed to areas of research that had not been much investigated previously, such as the war's depiction in contemporary non-fiction films or their (re-)use in later times as footage material for documentaries and television productions about WWI. (On these topics, see in particular Basano & Pesenti Campagnoni, 2015; Faccioli & Scandola, 2014; as well as the special issue No. 13, 2016, of the journal *Immagine. Note di storia del cinema*, which includes, among others, Berruti & Mazzei, 2016; Faccioli, 2016; Pimpinelli, 2016.)

However, a comprehensive study of the representation of WWI in Italian cinema is still lacking. Scholars have mostly investigated some periods and films, devoting attention in particular to war-time production and later films such as Mario Monicelli's *La grande guerra* (1959) and Francesco Rosi's *Uomini contro* (1970), which significantly contributed to critically revise the image of WWI on the Italian screens. (On the representation of the war in Italian films in the years 1915-1918, see in English, Bertellini, 2016; Lottini, 2018; Nobili Vitelleschi, 2000; and in Italian, Antonelli, 2018; Faccioli, 2008; 2014; Mondini, 2014; as well as the publications mentioned above. A selective list of works on the depiction of WWI in Italian cinema from 1919 up to today is provided in Bono 2018. See, in addition, Alonge, 2016; Cinquegrani, 2014).

This essay intends to specifically investigate the representation of WWI in Italian fascist cinema. (Studies on this period include Courriol 2014; Miro Gori 1988; Sorlin, 1986.) Linking to previous works by the author on the depiction of WWI in Italian film (Bono, 2018), the essay's focus will be on some of the major films about the war made during the Fascist regime and, notably, Marco Elter's *Le scarpe al sole* (1935), Giovacchino Forzano's *13 uomini e un cannone* (1936) and Oreste Biancoli's *Piccolo alpino* (1940). While Elter's film has been often discussed in the context of studies on the representation of WWI in Italian cinema, Forzano's and Biancoli's films have generally received less attention. (Beside the works mentioned above, see on Elter's film Brunetta, 1973; Isnenghi, 1978).

The films will be examined in the present essay from a new and specific perspective. Particular attention will be devoted to their depiction of the Austro-German enemy. But little consideration has been given so far in the scientific literature, regardless of the periods or films examined, to the image of the enemy in Italian films on WWI. This essay will specifically address the question, investigating the enemy's depiction in Italian fascist cinema. In doing so, the essay will deal with placing Elter's, Forzano's and Biancoli's films against the background of the Fascist regime's foreign policy, with special regard to the Italian-Austrian politics of friendship during the early 1930s, followed in the second half of the decade by Italy's rapprochement to Nazi-Germany and the birth of the Rome-Berlin axis. (For an overview on Italy's foreign policy in the

interwar period, see in English, Burgwyn, 1997; Lowe and Marzari, 1975. On the political relations between Italy and Nazi Germany see, among others, Knox, 2000; Quartaro, 1980; and, for what specifically regards the Italian-Austrian relations during the 1930s, see Ara, 1990; Di Nolfo, 1974).

## 2. Nameless Enemy

Elter's *Le scarpe al sole* has been generally regarded as one of the most important Italian films on WWI. Historian Mario Isnenghi (1978), author of a seminal book in the 1970s on the myth and literary representation of WWI in interwar Italy (Isnenghi, 1970), considers it as one of the most significant contributions to the depiction of WWI in Italian cinema, putting Elter's film alongside Monicelli's and Rosi's (p. 345). The film was produced on the occasion of the 20th anniversary of Italy's entering the war, in May 1915, and is freely based on the homonymous novel by Paolo Monelli from the 1920s, in which the Italian journalist recalled his memories of the war, during which he served in the Alpini, an elite mountain corps of the Italian army which gained great popularity during WWI.

The scarce attention in Italian cinema in the 1930s for WWI, in contrast to the number of films about WWI in the previous decade, has been generally explained by scholars as regarding the overall evolution of the Fascist regime, that in the beginning of the 1930s increasingly assumed bourgeois-conservative features, striving to remove the memory of the revolutionary and violent character of its earlier days. WWI was too problematically and tightly connected to the origins of the Fascist movement to fit into the new image that the regime wished to project of itself. As Italian film historian Gian Piero Brunetta (2009) remarks, „in the early 1930s, the Fascist regime changed its tactics;“ „policymakers attempted to create the image of a pacified, harmonious Italy that was dominated by a petit-bourgeois ideology“ (p. 91). In *A Concise History of Italy* Christopher Duggan (2014) effectively summarizes the point: “By the 1930s ‘fascist man’ was no longer a young barbarian. He was a patriotic, hard-working, church-going father” (p. 224).

*Le scarpe al sole* stands exemplarily for the changing depiction of WWI in Italian cinema of the 1930s. War is celebrated and at the same time its memory distorted, and mystified, and somehow repressed. It is of note that hardly any chronological or geographical information is provided in Elter's film. Almost no specific dates or places are mentioned. Where the fighting takes place or the year in which war breaks out and when it ends, remain unmentioned. As Gianfranco Miro Gori (1988) aptly remarks, the war depicted in *Le scarpe al sole* is barely characterized as WWI (p. 64). What is shown on the screen evokes WWI, yet is not intended to depict it explicitly.

The process of historical abstraction that WWI undergoes in Elter's film, the vagueness with which the conflict is depicted on the screen, also profoundly affect the enemy's representation, with the first images of the Austrians in *Le scarpe al sole* being representative of their portrayal throughout the film. During one of the actions of the Alpini the camera shows them skiing agilely across a white plateau. They attack an enemy trench. The enemy shoots at them from off-screen and sometimes one sees an Alpino falling. They fall lightly in the soft snow. There are no screams. No blood stains their white uniforms. The Alpini are marked by their courage as well as their agility, which the camera further emphasizes, also becoming mobile so as to follow them. In long shots, it glides alongside the Italians across the snow as they swiftly approach the enemy's positions.

The portrayal of the enemy in Elter's film is in clear opposition to that of the Italians. When the camera first shows the Austrians, one glimpses a number of soldiers in grey uniforms in a trench in the snow. The difference is striking. The Alpini master the space. They ski at night under the moonlight or swiftly scale a mountain's wall. By contrast, the Austrians seem anchored to the spot. The camera highlights this further. The shots showing the enemy are static, the immobility contrasting overtly with the dynamicity of the Italian attack. A later scene is also representative: the Alpini confidently climb a precipitous slope, reaching the peak undetected, where they storm the enemy's position. The camera dwells on their ascent and athletic performance, with more attention dedicated to this than to the actual fight, which ends in no time in favour of the Alpini.

Significant too is the different connotation of the Italians and the enemy by means of their uniforms. The flawless white of the Alpini is opposed by the anonymous grey of the Austrians. Their thick, heavy coats contrast with the pleasing cut of the Italian uniforms. Also, the camera rarely gets close to the enemy. The Austrians mostly appear as little dots in the distance, which we look at from the Italians' perspective. They are indistinct, grey figures. The enemy in Elter's film is faceless, an anonymous entity, and almost never are the Austrians called by name. Most of the time, they simply are referred to as 'the enemy', without clarifying their nationality. The enemy appears nameless, his identity undetermined.

### 3. From Foe to Friend

This image of the enemy stands in marked contrast to the way in which the Austrians are represented in Italian films on WWI in the 1920s. As an example may serve Mario Volpe's *Il grido dell'aquila*. The film was produced in 1923, to celebrate the first anniversary of Fascism's seizure of power on October 28, 1922. In the film, Austrians rampage and destroy, knowing no mercy. Women and children fall victim to their violence. Of note is the visual link in *Il grido dell'aquila* between the Austrians and some snakes. The montage shifts between images of the enemy storming a little town in Northern Italy and a pair of snakes hideously slithering in the dust. *The spectator* is invited to see the snakes through the lens of Christian symbolism as a picture of the devil.

Noteworthy also is *La leggenda del Piave* (1924), which offers a further example of the negative image of the Austrians in Italian cinema in the 1920s. The film revolves around an Austrian spy, who sneaks himself into an Italian family, where the man tries to seduce the young Elena. When war breaks out, the villa where Elena's family lives is occupied by the enemy, and the spy appears again and rapes her. As *Il grido dell'aquila*, the film ascribes a barbaric strain to the enemy. When the Austrian mistreats Elena, it recurs to the metaphor of a white lily, squashed ruthlessly by a man's hand and trampled by a pair of black boots.

This portrayal of the enemy stand overtly in continuity with that in Italian war-time productions, the propagandistic and anti-Austrian tone being explicit. The enemy is portrayed as a bandit and behaves devilishly. Similar figures and situations to the ones in *La canzone del Piave* and *Il grido dell'aquila* are found in Oreste Gherardini's *Eroina serba* (1915), Riccardo Tolentino's *Il mio diario di guerra* (1915) and Edoardo Bencivenga's *Mariute* (1918), to name just some films from the war period. In *Il mio diario di guerra*, Austrian soldiers capture Ernesto's parents and little brother, when he joins the Italians. They beat them and when the boy throws a stone at an Austrian he is coldly shot. In *Eroina serba*, a girl falls victim to the enemy but would rather die than betray her country. In *Mariute*, Italian diva Francesca Bertini plays a peasant whose daughters are raped by Austrian soldiers.

The difference with the depiction of the enemy in Elter's film is apparent. One scene in *Le scarpe al sole* stands, in particular, in marked contrast to the devilish image of the enemy in Italian films of the 1920s. Austrian soldiers occupy a little village, advancing on the gravel road that runs through it. Some women observe them from the threshold of a house. An old woman quickly shuts the window, a man retreats inside. On the empty street, a young woman hurries home. She is frightened as she suddenly glimpses some Austrians behind a corner. She hurries onward, yet the camera rests for a moment on the Austrian soldiers. They sit on a bench, tired, their uniforms muddy. One of them greets her: "Good evening, Miss." It is an older man with a stringy beard and gaunt cheeks, missing a tooth. He seems harmless. What the camera shows is not a bloody warrior.

When the woman reaches home, an Austrian officer is sitting with her mother in the kitchen. He is telling the old woman about his son, who is fighting on the Eastern front. He has had no news for months. The humanity with which the enemy is depicted in this scene is remarkable. Elter's film confers the Austrian soldier on the street, the officer in the kitchen of the simple house, with a human touch. This scene stands as unique in interwar Italian films about WWI. It would take over two decades before meeting an enemy with human traits again on the Italian screens, in Monicelli's *La grande guerra*.

The shift in the representation of WWI in Italian cinema in the 1930s mirrors the contemporary evolution of the Fascist regime and the new character it assumes, as has been previously remarked. Yet a further element apparently plays a major role and attention must be given in order to better understand the mutation in the representation of WWI in Italian cinema in the 1930s to the development of Italy's foreign policy in the interwar period. In particular, the different depictions of the enemy in the 1920s and in the later films of the 1930s must be placed in relation to the contemporary evolution of the Austrian-Italian relations. From the late 1920s the Fascist regime showed an increasing interest in making Austria a closer partner. The strengthening of Italian-Austrian relations became a primary goal of Italy's foreign policy. Italy engaged itself in favor of Austria's independence, with Vienna finding in its southern neighbor a support against Nazi Germany. When in July 1934 a coup attempt supported by Berlin shook Austria, Italian troops were ordered to the Italian-Austrian border, a gesture that marks emblematically Italy's role at the time as a protector of Austria and its sovereignty.

The undetermined identity of Italy's enemy during WWI in Elter's film, the apparent vagueness as to its nationality, may find an explanation in the political friendship between Fascist Italy and Austria. In the depiction of the enemy in *Le scarpe al sole*, in its anonymity, one finds mirrored, it could be argued, the special relationship binding Rome and Vienna in the 1930s. This would explain the carefulness with which *Le scarpe al sole* avoids an explicit identification of the enemy with

Austria. As if it were not to be recalled that the present friend had once been Italy's enemy. In fact, the politics of friendship between Rome and Vienna may represent a further reason, which has so far gone unnoticed, why the First World War is so infrequently present in Italian cinema of the 1930s.

#### 4. What War is it about?

An interesting case is also represented by Forzano's *13 uomini e un cannone*. Little consideration has been paid to it in the scholarly literature on WWI in Italian cinema. In a pioneering investigation on the topic Gian Piero Brunetta (1985) only devotes a few lines to Forzano's film (p. 57), which has remained mostly unconsidered. For Pier Marco De Santi (2005) it is "an inconspicuous commercial product" (p. 144), while Alessandro Faccioli (2008) briefly describes *13 uomini e un cannone* as "[a] curious, claustrophobic and unremarkable work" (p. 947). Such comments seem not to do justice to the film, which marks a high point in the revision process of WWI in Italian cinema in the 1930s.

Forzano's film centers on a gigantic cannon and the squad of 13 men, referred to in the title, who maneuver it. The cannon hardly misses a shot and all efforts by the enemy to make out its position are vain. Of special note is the film's location, for *13 uomini e un cannone* takes place on the Eastern front, with the soldiers and the captain in charge of the astounding cannon being Austrians. They are the heroes, while the Russians represent the enemy, and the film clearly stands on the Austrians' side. They are presented as capable, courageous and cheery. The 13 men come from different backgrounds. There is a teacher and a peasant, a pharmacist and a student, a musician and a librarian. There are also an acrobat and a painter, while one of the men openly admits that he does not work: "My father is very rich", he explains. Yet in spite of the social differences, they are sincere comrades and happy to share at table what delicacies they may personally own. The spectator is explicitly invited to identify with the Austrians, who are at the center of the narrative and from the first moment gain our sympathy.

In contrast, the Russians are portrayed with a touch of irony. At the beginning, the film emphasizes the unspeakable fear of the Russian troops before the cannon. It seems to them like a fabulous and monstrous being. The film also makes fun of the Russian generals. They try mightily to locate and destroy the cannon, but to no avail. When they think to have finally hit it and put out of commission, the feat is celebrated with champagne. Yet suddenly, the cannon makes itself heard, hitting the Russian headquarters. Heavy dust envelopes and covers the generals. Their portrayal is in clear contrast with the image of the Austrians. The lavish table where the Russian officers take their meals, between silver candlesticks and fine porcelain, is contrasted with the frugal fare of the Austrian squad. The montage sets the simple meal in the forest under a tent ironically against the Russian banquet, just as the uniform of the Austrian general who visits the squad on the day of its 500th hit, stands in explicit contrast with that of the Russians. His is field grey, unpretentious, while the Russian generals appear in showy uniforms, on which medals and all sorts of decorations shine.

*13 uomini e un cannone* represents a unique case among Italian films on WWI, with the enemy against whom Italy fights during WWI, the Austrians, becoming the film's protagonists. The film takes the side of the past opponent, while Russia, which fought together with England, France and Italy against the Habsburg monarchy and Germany, is portrayed as the enemy. Yet the film avoids explicitly characterizing the 13 men as Austrians. The only place where it points to their nationality is the opening credits. These roll against a stylized map reading "Austria" on the left and "Russia" in the up-right corner. Other than this, there are few hints that the 13 men actually are Austrians. There are only vague suggestions. Some of them have foreign names, as does the street where the family of one of the 13 men lives. As he writes them a letter, the address reads: Klosterneuburggasse. In general, though, the film does not stress their nationality; rather, it purposely confuses it. Some names sound Italian and the fact that they are Austrians is easily forgotten in the course of the story. In front of the spectator stands a deliberately indeterminate hero; and this indetermination also regards the war the film is about. It remains nameless; no dates are given as to when it takes place. It is left to the spectator to identify it as WWI.

Forzano's film reflects significantly the deconcretization marking the depiction of WWI in Italian films in the 1930s. Contemporarily, the reversal of history into its opposite, with the past enemy elevated to hero and the designation of Russia as opponent, must be put in relation with the Fascist regime's international politics at the time of the film's production. On one hand, Forzano's film is to be understood in the context of Italy's politics of friendship with Austria. On the other hand, the Eastern enemy against whom the mighty cannon is aimed seems intended to suggest the Soviet Union. It is worth noticing that while the Austrian nationality of the 13 men remains vague, the enemy is systematically called by name: they are Russians. The different way they are referred to in the opening credits is exemplary, with the Austrian soldiers simply presented as "The Thirteen," their opponents explicitly identified as "The Russians."

In the 13 men which courageously battle the Russians one might detect a hint of the Fascist militias opposing the 'reds' in the years immediately following WWI. The film seems to imply that this is the enemy against whom war is to be fought. *13 uomini e un cannone* comes out in the fall of 1936 and the temporal coincidence with the outbreak of the Spain's civil war is worthy of note. Notoriously, Italy and Germany supported Franco's military junta, while the Soviet Union overtly took the Republican side. Whether there is an echo of the Spanish conflict in *13 uomini e un cannone* remains an open question. Yet Forzano's film has to be placed in connection with the Fascist regime's changing alliances in Europe in the second half of the 1930s, with the past enemy transforming into a new and close ally and Italy engaging in the Spanish war at the side of Nazi Germany.

## 5. A War of the Past

The last film on WWI made during the Fascist regime was Biancoli's *Piccolo alpino*. The film freely adapts Salvator Gotta's homonymous novel of 1926. The novel, enormously popular, was one of the most-read books for children of the time and also one of the most successful Italian novels on WWI in the interwar period. In second place ranked Monelli's *Le scarpe al sole*. (As an introduction to Gotta's novel and Italian children's literature on WWI, see Colin, 2010; Orestano, 2016. An overview on the Italian literature about WWI can be found in Mondini, 2014). The story is about a boy, Giacomino, who, when war breaks out, joins a group of Alpini. Yet, in Biancoli's film, war is but a thrilling adventure, with no dangers, and everything ends well. Death is almost absent, as may be noted for the enemy as well, which practically disappears from the screen.

Throughout Biancoli's film the enemy is seen merely a couple of times. References to it are made in the dialogues, but without ever mentioning the enemy by name, and the occasional roaring of cannons in the distance reminds of its presence, yet one hardly catches a glimpse of the enemy. The first time that the enemy is seen it takes the form of a couple of spies wearing Italian uniforms, who kidnap Giacomino. As they speak no words, their nationality remains unclear. They are rather clumsy and Giacomino easily frees himself. Later, the enemy is briefly shown while Giacomino and another boy attempt to deliver an important message that they are trusted with to the Italian headquarters. It is just one shot, and what we get to see of the enemy are barely a couple of legs. In *Il piccolo alpino*, the enemy has no name and no face, and that is meant literally. The last time that one gets a sight of the enemy is while Giacomino and the other boy cross the river to reach the Italian positions. Enemy soldiers notice the boys and fire. Again, they do not speak any words, their muteness contributing to their anonymity. It makes an identification difficult, whereas their language would have suggested their nationality.

Noteworthy also is the following scene. During a storm Giacomino loses his way. We find him again in an Austrian orphanage. The boy was luckily rescued by a group of Austrian soldiers. He is fine, and the statement that sometimes can be found in the literature on WWI and Italian cinema that Giacomino is captured and held prisoner by the Austrians, is misleading (Miro Gori, 1988, p. 63; Casadio, 1989, p. 79). In the orphanage, Christmas is being celebrated. There is a joyous atmosphere, with the boys singing a Christmas song. When the director invites Giacomino to sing one, too, suggesting *O sole mio*, Giacomino, instead, sings a patriotic song, and everybody appears outraged. Yet the reason remains unclear. Is it the tone of the song that contrasts with the Christmas atmosphere? Is it because it is Italian? That the Austrians among which the boy finds himself are actually the enemy remains untold, and when an Italian prelate later visits the orphanage asking about the boy, the director is ready to entrust Giacomino to the clergyman. Had not the boy in the meantime escaped from the orphanage through a window.

As illustrated by the above scenes, Biancoli's film is careful never to identify the enemy with the Austrians. Of note is also the text opening *Piccolo alpino*, that reads: "March 1915. On the eve of the war against the Habsburgs". It is a peculiar and meaningful phrasing. Taking care to avoid any reference to Austria, the film, instead, evokes a historical entity, the Habsburg empire, that already belongs to history. At the film's end, the enemy gets called by name again. Giacomino reads the communiqué by the Italian general-in-chief Armando Diaz announcing the victory against Austria-Hungary. Once more the enemy is referred to by the name of an historical entity of the past. The effort is evident to present WWI as a conflict led by Italy against an old dynasty and a state which do not exist anymore. Manifestly, any parallelism between the enemy and later Austria, which in the 1930s is a close partner of fascist Italy, is meant to be avoided. Meanwhile, Austria, too, ceases to exist, the country becoming part of Nazi-Germany. Its annexation by force to the Third Reich takes place in March 1938. And this may be a further reason that in *Piccolo alpino* there are hardly any references to Austria. As if Biancoli's film wanted to remove the fact that Austria actually had ever existed. Once again the history of WWI is being reshaped on the screen to adapt to the present.

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## Optimal Solutions to the Sort Algorithms of Database Structure

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### Abstract

Sorting is much used in massive data applications, insurance systems, education, health, business, etc. To the sorting operation that sorts the data as desired, quick access to the required data is achieved. Typically sorted data are organized in strings as file elements or tables. The most common case is when the tabular data is processed in the main memory of the computer. The paper presents the algorithms currently used for sorting objects that are involved in static and dynamic data structures. Then the selection of the data set on which particular algorithms will be applied will be made and the advantages and disadvantages of each of the algorithms in question will be seen. Thereafter, it is determined the efficiency of the sorting algorithm work and it is considered what is determinative when selecting the appropriate algorithm for sorting.

**Keywords:** optimal, solutions, algorithms, database, structure

### 1. Introduction

Solving problems in life, however simple it may be, requires different actions. The set of all sorts of actions with a certain queue, in solving a problem, is called Algorithm. It is a well-defined calculator procedure that takes some values or values sets as inputs and outputs value or value sets as outputs.

Thus, an algorithm represents a sequence or sequence of computing steps that convert the entry to exit results. Sorting represents a fundamental operation in computer science (many programs use it as an intermediate step) and therefore a large number of sorting algorithms have been developed. The algorithm is correct if, for each incoming instance, the output is correct or correct.

The sequential list (vector, matrix, or multidimensional field) represents static data structures because their size does not change during the execution of the program. While linked lists represent dynamic data structures, because the nodes are set or deleted dynamically during the execution of the program. The number of nodes is likely to increase while there is free memory on the computer, but can even be reduced.

Algorithms to solve the same problem often change dramatically in their efficiency. Differences in algorithms can be far greater and more important than differences due to software and hardware. Two kinds of algorithms for sorting, one of the weakest bubble sort varieties, and the other with very high speed (quick sort) efficiency are used in the paper.

### 2. BUBBLE SORT

The bubble sort makes the alignment of the string elements in such a way that at first glance impresses for a very fast method. In fact the bubble sort is one of the simplest methods used in computer science for data sorting. The algorithm takes its name based on the movement of the smallest element of the "bubble" list to the heading of the list, similar to the movement of air bubbles in the water.

The bubble sort is an algorithm that works by repeating the steps in the list to be sorted by comparing each pair of the list and changing the locations of the elements that are not properly sorted.

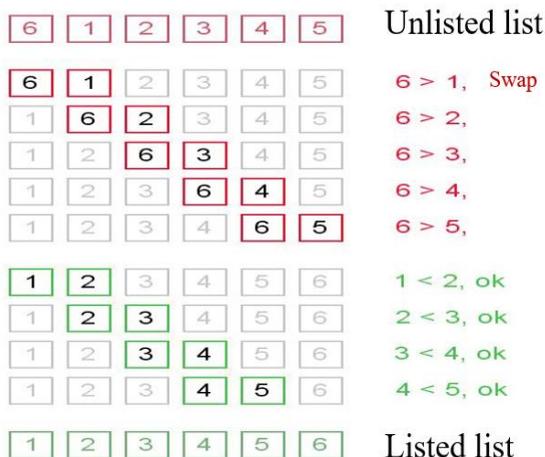
The bubble sort can, however, be used efficiently to rank the lists on which most of the elements are in the right place (the lists are almost sorted), unless the number of elements is too small.

For example, if only one element is not listed the bubble variety will take  $2n$  time, if two elements are not sorted the bubble variety will take time  $3n$ .

In the case of bubble sort average case (average) and worst case (the worst case) are:  $O(n^2)$ .

The bubble sort uses only element comparisons and is therefore referred to as a comparator. Also the bubble variety is stable and adaptive.

Example of bubble sort:



Listing Code:

```
// Bubble Sort
#include <iostream>
using namespace std;
int compare(int, int);
void sort(int
, const int);
void swap(int *, int *);
int compare(int x, int y)
{
    return(x > y);
}
void swap(int *x, int *y)
{
    int temp;
```

```
temp = *x;
*x = *y;
*y = temp;
}
void sort(int table
, const int n)
{
    for(int i = 0; i < n; i++)
    {
        for(int j = 0; j < n-1; j++)
        {
            if(compare(table[j], table[j+1]))
                swap(&table[j], &table[j+1]);
        }
    }
}
int quantity;
int* tab;
int main()
{
    cout << "\nNumber of elements: ";
    cin >> quantity;
    tab = new int [quantity];
    cout << "\nLists number: \n\n";
    for (int i = 0; i < quantity; i++)
    {
        int x = i;
        cout << "Numri " << ++x << ": ";
        cin >> tab[i];
    }
    cout << "\n\n List before sort: ";
    for (int i = 0; i < quantity; i++)
    {
        cout << tab[i] << " ";
    }
}
```

```

}
cout << "\n\n List after sort: ";
sort(tab, quantity);
for(int i = 0; i < quantity; i++)
{
    cout << tab[i] << " ";
}
cout<<endl;
cout<<endl;
return 0;
}

```

### 2.1.1. Measuring the execution time

The execution time is one of the main tools that determines the functioning of the algorithm. The execution time of the Bubble Sort algorithm depends on the number of elements in the list: the order of 27777 elements lasts more than the order of 17777 elements, the execution time in relation to the number of elements of the list is a quadratic function.

The execution time measurements for the Bubble Sort algorithm are performed on some computers, but in this case, the results of 3 computers that have different results compared to others will be reviewed.

Intel(R) Celeron(R) M CPU  
530 @ 1.73GHz  
1.73 GHz, 768 MB of RAM

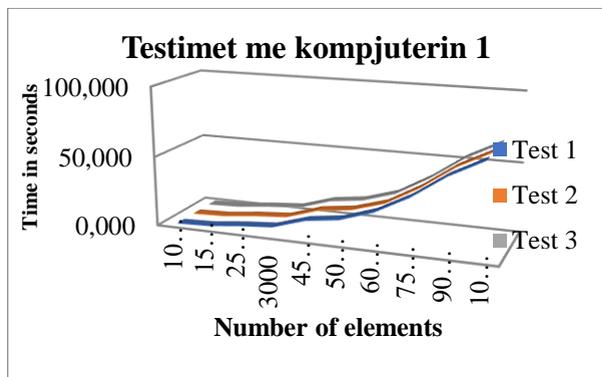
Computer 1:

After three tests we have the following results:

Number of elements	Computer 1 Time in seconds		
	Test 1	Test 2	Test 3
10000	0.656	0.703	0.703
15000	1.468	1.484	1.516
25000	4.110	4.157	4.094
30000	5.969	5.953	5.938
45000	13.360	13.437	13.344
50000	16.593	16.469	16.437
60000	24.532	23.656	23.797
75000	37.219	37.125	37.375
90000	53.703	53.828	53.906
100000	66.234	66.125	66.156

Computer 1 tests

For computer features 1 of the empirical results it is seen that there are small differences in the tests 1,2,3



Computer 2:

Intel(R)  
Pentium(R) 4 CPU 3.00GHz  
3.00 GHz, 504 MB of RAM

After three tests we have the following results:

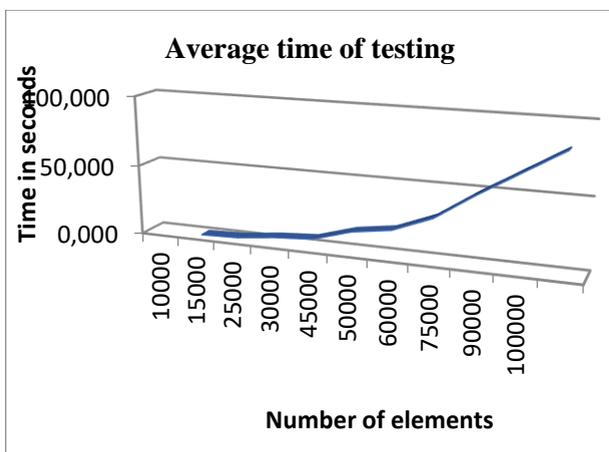
Number of elements			
	Test 1	Test 2	Test 3
10000	0.625	0.625	0.688
15000	1.656	1.406	1.422
25000	4.531	4.297	4.078
30000	5.610	5.985	6.484

45000	12.609	13.093	12.895
50000	15.687	15.391	15.578
60000	22.219	22.391	22.437
75000	36.703	35.343	35.547
90000	50.703	51.109	52.969
100000	62.953	63.063	63.015

For computer features 1 of the empirical results it is seen that there are small differences in the tests 1,2,3

Finally, the average of the tests on these computers is calculated, which is the average of all tests:

Number of elements	Average time of testing
10000	0.778
15000	1.653
25000	4.884
30000	6.783
45000	15.074
50000	19.285
60000	30.445
75000	49.068
90000	65.995
100000	82.925



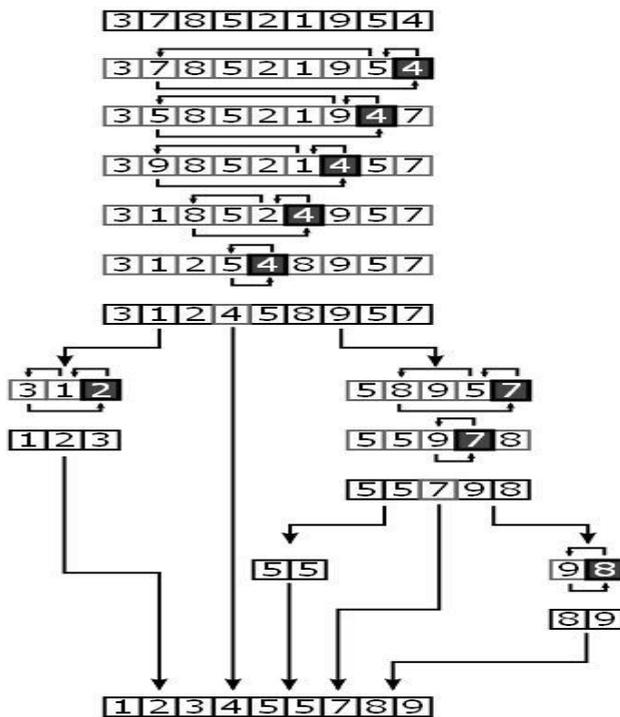
### 3. QUICK SORT

The fast order has the complexity  $O(n \log n)$  in the average case, while in the worst case the complexity of this algorithm is  $O(n^2)$ .

In practice, quick sorting is significantly faster than other  $O(n \log n)$  algorithms, because the algorithm's crossovers can be applied efficiently in larger architectures, and in different data in practice, to make the design of elections that minimize the probability of the need for quadratic time. The quick sort has enabled maximum utilization of the memory hierarchy, creating great advantages in using virtual memory.

The Quick Sort works according to the divide and conquer method, dividing the list into the sublists. Lists with only one element or with 0 elements do not need to be sorted. The quick sort is part of the group of comparative algorithms, which is efficient but unstable.

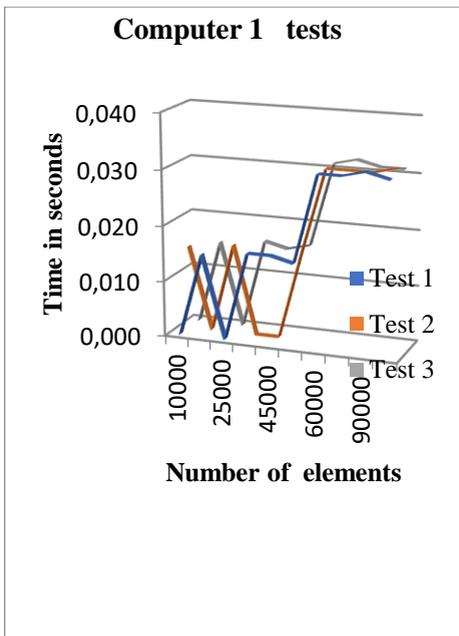
The three most popular varieties of quick sort are: Balanced quicksort, External quicksort, and Multikey quicksort.



Example:

#### 3.1. Execution time

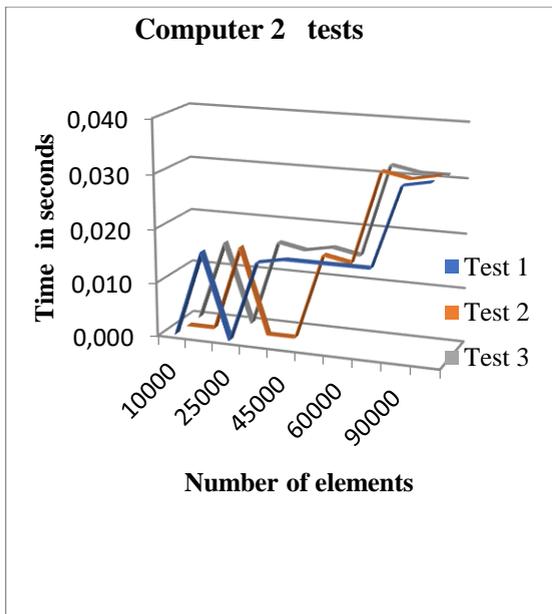
Quick Sort is a fast algorithm, faster compared to the previous methods, but is also quite complex and highly recursive. Next we will do the execution time measurements for vectors filled with random number numbers. The execution time measurements for the Quick Sort algorithm are performed on two computers.



Computer 1: Intel(R) Celeron (R) M CPU 530 @ 1.73 GHz, 768 MB of RAM After three tests we have the following results:

Number of elements	Computer 1		
	Time in seconds		
	Test 1	Test 2	Test 3
10000	0.000	0.015	0.000
15000	0.015	0.000	0.015
25000	0.000	0.016	0.000
30000	0.016	0.000	0.016
45000	0.016	0.000	0.015
50000	0.015	0.016	0.016
60000	0.031	0.031	0.031
75000	0.031	0.031	0.032
90000	0.032	0.031	0.031
100000	0.031	0.032	0.031

For computer features 1 of the empirical results it is seen that there are small differences in the tests 1,2,3



Computer 2: Intel (R) Pentium (R) 4 CPU 3.00 GHz, 3.00 GHz, 504 MB of RAM After three tests we have the following results:

Number of elements	Computer 2 Time in seconds		
	Test 1	Test 2	Test 3
10000	0.000	0.000	0.000
15000	0.016	0.000	0.015
25000	0.000	0.016	0.000
30000	0.015	0.000	0.016
45000	0.016	0.000	0.015
50000	0.016	0.016	0.016
60000	0.016	0.015	0.015
75000	0.016	0.032	0.032
90000	0.031	0.031	0.031
100000	0.032	0.032	0.031

For computer features 2 of the empirical results it is seen that there are small differences in the tests 1,2,3

Comparing the results achieved on these computers (above), the average of tests for each computer is derived, and then compared to each other.

From the tables it is seen that for the same number of elements there are differences in execution time for different computers due to the characteristics of the computers.

Finally, the average of the tests on these computers is calculated, which is the average of all tests:

Below is the average of the tests on these computers for one (**bubble sort**) and the other (**quick sort**):

Number of elements	Average time of testing
10000	0.778
15000	1.653
25000	4.884
30000	6.783
45000	15.074
50000	19.285
60000	30.445
75000	49.068
90000	65.995
100000	82.925

Number elements	Average time of testing
10000	0.005
15000	0.009
25000	0.009
30000	0.012
45000	0.014
50000	0.019
60000	0.026
75000	0.033
90000	0.033
100000	0.035

**Bubble Sort      Quick Sort**

From the above tables it is seen that for the same number of elements there are major differences at the execution time for

different algorithms for sorting.  
As seen, the quick sorting algorithm is much more advanced than the bubble algorithm.

#### 4. CONCLUSION

Informally, an algorithm is any well-defined computational procedure that takes some value, or set of values, as input and produces some value, or set of values, as output. An algorithm is thus a sequence of computational steps that transform the input into the output. In general we used more techniques of algorithm design and analysis so that you can develop algorithms on your own, show that they give the correct answer. Analyzing an algorithm has come to mean predicting the resources that the algorithm requires. Occasionally, resources such as memory, communication bandwidth, or computer hardware are of primary concern, but most often it is computational time that we want to measure. Generally, by analyzing several candidate algorithms for a problem, a most efficient one can be easily identified.

Sorting is a fundamental operation in computer science, and as a result a large number of good sorting algorithms have been developed.

In computer science and mathematics, a sorting algorithm is an algorithm that puts elements of a list in a certain order. The most-used orders are numerical order and lexicographical order. Efficient sorting is important for optimizing the use of other algorithms that require sorted lists to work correctly.

Sorting is one of the richest topics in the theory of algorithms. For many different applications and cost models, hundreds of algorithms and implementations have been designed. Since the dawn of computing, the sorting problem has attracted a great deal of research, perhaps due to the complexity of solving it efficiently.

Sorting as an operation mostly we can use in many applications with massive data, like: security systems, education, health, business etc. However the need for this operation is coming growing increasingly in scientific applications. Because of the sorting operation which make enable sorting of the data according to our desired, we can have fast access to the requested information. From many algorithms for data sorting have been taken and compared two of them, the bubble sort and quick sort. From the empirical results obtained it is seen that the best algorithm in time for sorting mass data is quick algorithm, which is preferable.

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## The international organization, OSCE and its presence in Central Eastern Europe

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### Abstract

International organizations have gained the right importance and have been named as the main actors in international relations with the end of the wars. States realized that it would be more reasonable to cooperate, thus achieving higher and faster results. For this reason, organizations of different types began to be created either by the nature of the operation or the geographic extent. Their roles and objectives have been different, some focus on the political aspects of relations between states and others have more administrative or technical functions to facilitate the work of states and form faster services to individuals. Other organizations deal with security issues and police and human rights issues. In this category are created many organisms, such as NATO, charged with state security and military interventions or the Council of Europe, with the aim of promoting democratic values, implanting them and protecting human rights. The organization that will focus on this paper is the OSCE: Organization for Security and Co-operation in Europe. Among the first created in this area, with objectives to coordinate the work in the fields of state and human security, the fight against terrorism, promotion of democracy and fundamental freedoms, environmental and economic protection, and the area of protection of Human Rights and Minorities, we will mainly see the focus of this organization in East Central Europe. During the time I've been involved with, I tried to bring a historical flow of events to understand how the OSCE missions work in the field and what is the difference with the theory and how the OSCE mission emerges CEE, as a case study Albania.

**Keywords:** International organizations, OSCE, Human Rights, election observation, electoral processes.

### Introduction

The International Organization is defined as a union of states connected with one another by a chord composed of a certain functional apparatus (institutions) to ensure their co-operation on common interests in order to meet the criteria. The legal basis upon which an organization is formed is the treaty signed between the signatory countries, for which reason it has a legal character as well as a natural person and can be considered as such in the case of signing another agreement and emerges as a single. In this case it gets the features and gains rights are the same as the state.

With the end of World War I, the concept of the term collective security begins to be used, with the aim of preserving peace in the world through a co-ordination of the actions and acts of all nations. One of the few organizations dealing directly with state, military and human security issues is the Organization for Security and Co-operation in Europe, initially created as a conference in 1973, taking on the name only on 1 January 1995. It was established with the intent to favoring dialogue and cooperation between the West and the East. Its objectives are to protect and guarantee all types of safety, ranging from human to environmental. A typical security sector organization is the North Atlantic Treaty Pact, widely known as NATO. It was created during the Cold War by the US and their allies as a counter-response to the Warsaw Pact. Taken its form and signed by the members on January 27, 1950. Its purpose was to prevent Soviet military power. But with the end of the war, their goals were re-dimensioned. The aim is to maintain peace and security, to help develop stability and prosperity in the North Atlantic region and other regions. It acts as an organization with a focus on military security using the element of collective security.

These international organizations are what they are today and have more weight in the international arena, but it should be said that there are smaller, less well-known organizations that operate in a particular region or only between 3 or 4 states ensure cooperation. The legal bases on which they operate are the treaties signed by the founding states and those that have subsequently acceded. The reasons for their creation have been the many wars that nations have experienced over the years, especially the World Wars. The many destructions on economic resources, the deficit and the almost bankruptcy

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of many states, the losses in human resources have increased the desire and willingness to avoid these risks. Precisely for these reasons the respective countries have taken the initiative of cooperation in almost all spheres.

### **CSCE, founding documents.**

The European Security and Co-operation Conference came as a result of the goodwill of Western and Eastern states to create a bridge between these two competing camps. The idea was first cast for a Warsaw Treaty meeting in Budapest in 1955, but was not well received by Westerners. The conference call came again in 1966, also during a meeting of the Warsaw Pact. It was the first Finland to respond positively to this request only in 1966. It also became the host of all other countries that would attend the conference.

There was a vocation as a political dialogue for resolving disputes and avoiding conflicts. Its first meeting was held on June 3, 1973, in Helsinki. The participating States were 35, including the Soviet Union, the United States of America, Canada, the European countries except Albania. After the talks held on 1 August 1975, the Helsinki Final Act, which is known as the "Helsinki Accords", is signed. These chords are based on 10 principles for which future conferences should focus on their work and their talks.

### **Declaration on the Principles of Relationships between States<sup>1</sup>**

- 1) Respect for rights inherited under sovereignty.
- 2) Content of use or threat of use of force.
- 3) Territorial Integrity of States.
- 4) Peacefully adjust the differences.
- 5) The inviolability of the borders.
- 6) Non-interference in domestic affairs.
- 7) Respect for Human Rights and Fundamental Freedoms.
- 8) The Right of Peoples Equality and Their Right to Self-Determination.
- 9) Cooperation between States.
- 10) Confidentiality fulfillment of obligations under international law.

These chords and principles constitute and what is called the legal basis of the Conference. They have been given the right legitimacy for the reason that they have been the signatory states that with their will and will have decided to become part of this conference. Under international law, when they are members have their obligations and their rights, as well as the conference know the rights and obligations as well as those of a state. The fact that she turns out to be an actor in the international arena and having a legal basis approved and recognized by member states immediately gains her legal personality<sup>2</sup>.

It is precisely the founding states that have given them the first European Conference on Security and Cooperation, the necessary legal basis for its existence, reaching a contract signed between them after numerous negotiations.

In 1995, the name of the conference changed and it became officially the Organization for Security and Co-operation in Europe. While in 1999, another summit will be held in Istanbul that will bring the "Istanbul Security Charter in Europe" with these targets<sup>3</sup>:

Crisis management.

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<sup>1</sup> Puto A. (2010), E Drejta Ndërkombëtare Publike, Botimet Dudaj, Tirane, pg 134.

<sup>2</sup> Hardacre A., Kaeding M.,(2008), 'Delegated and Implementing Acts: the New Worlds of Comitology – Implications for European and National Public Administration', EIPA Maastricht, pg 29.

<sup>3</sup> F.A. Hayek, (1994), The Road to Serfdom, University of Chicago Press, pg 30.

Post-Conflict Rehabilitation.

Prevention of conflicts.

### **OSCE Human Dimension**

Promoting human rights and the rule of law are the main goals of the human dimension pillar of the Organization for Security and Co-operation in Europe. The participating States have adopted a comprehensive legislation and catalog of their commitments in the field of human rights, democracy, minority protection, tolerance and the rule of law. The legal and moral ground that the states have drafted is the Final Document of the OSCE Summit in Istanbul 1999, underlining: "*Member States are accountable to their citizens and responsible to each other for the implementation of their commitments to the OSCE. With regard to these commitments as our common achievement and therefore we consider it to be matters of immediate and legal interest in all participating States.* »

For these reasons and for efficiency in their activities, the OSCE annually holds a 10-day meeting, called the Human Dimension Implementation Meeting<sup>1</sup>. The conference is usually conducted in Warsaw in order to examine the implementation of the commitments of all member countries. In addition to this large conference, for the same purpose are held additional Human Dimension Meetings, held 3 times a year together with Seminars on this field of activity, organized ODHIR. Their purpose is to discuss current issues and issues of a particular interest.

Interventions and OSCE activities have changed and have always been adapted to the region and the problem where it is sought. The Western Balkan conditions have always been specific and specific, so the organization of the actions by the Organization has sought new capacities that will allow for early deployment of early warning, preventive diplomacy, crisis management and post-crisis rehabilitation.

### **Albania in OSCE**

Discussions on Albania's adherence to the OSCE were held during the meeting of the Council of Ministers in Berlin, June 1991. In the same year, in September 1991, our country signed the Final Act and the Paris Charter for a New Europe. Accession to the organization marks a radical change in the orientation of the country's foreign policy, which means accepting Western values of democracy and the rule of law rule.<sup>2</sup>

Because of the internal specifications of the state, the OSCE's leadership was oriented towards a new dimension. The riots in 1997 forced the former Austrian chancellor to be sent. Franz Vranitzky, who would help resolve the crisis through political dialogue.

Today OSCE ODHIR Mission also supports the fight against human trafficking and corruption, as well as the protection of human rights. Precisely in this area, she works closely with civil society and national institutions such as the People's Advocate or the Commissioner for Protection from Discrimination. In addition to these organizations, it provides support for the probationary system and helps in the reform of the pre-trial detention system. As far as gender equality is concerned, it has helped at the beginning of its intervention with increasing participation of women in political life. She trained women for leaders and assisted in restoring their case to the Assembly.

Albania's accession to the OSCE (former CSCE) was carried out during the works of the Berlin Ministerial Council (19-20 June 1991). Our country signed the Helsinki Final Act on 16 September 1991 and the Paris Charter for a New Europe on 17 September 1991. This accession marked a radical change in the Albanian foreign policy course that would lead to the emergence of international self-isolation, in rapprochement with the Euro-Atlantic community and in the acceptance of Western values of freedom, democracy of the rule of law. Albania's accession was accompanied by the undertaking of legal reforms to respect the fundamental freedoms and rights of the individual. The circumstances that enabled Albania to join the OSCE were the democratic movement of December 1990, the first pluralistic elections in Albania, and the adoption of the Provisional Constitutional Package on 29 April 1991, which contained provisions that recognized political pluralism in respect of human rights.<sup>3</sup>

<sup>1</sup> Ostrom E , (2003), " An agenda for research institutions," Public Choice , Vol . 48, pg 24.

<sup>2</sup> Puto A. (2010), E Drejta Ndërkombëtare Publike, Botimet Dudaj, Tiranë., pg 170.

<sup>3</sup> Puto A. (2010), E Drejta Ndërkombëtare Publike, Botimet Dudaj, Tiranë., pg165.

Following the 1997 internal turmoil, relations between Albania and the OSCE took on a new dimension. The Danish OSCE Chairmanship, through the Special Envoy, former Chancellor of Austria, Dr. Franz Vranitzky, mediated in resolving the political crisis in Albania, which made possible the deployment of the OSCE Presence in Albania. The latter is not a permanent representation of the Organization, but has a temporary mandate, the current version of which was approved in 2003. Today Presence supports legal, judicial, administrative and ownership reforms, capacity building of the Assembly, the fight against trafficking and corruption, the promotion of good governance and the empowerment of civil society. It also supports state police and the process of dismantling obsolete ammunition stocks. It helps Albania to implement the commitments made by our country to the OSCE. The OSCE presence has gradually reduced the number of projects, which speaks of country's progress and more efficient use of Presence's resources. Lastly, it has closed its four regional offices (Shkodra, Kukës, Vlora and Gjirokastra), showing our strengths in the fields of Presence's mandate. The OSCE has Missions in all the Western Balkan countries, which operate in accordance with the respective mandates adopted by the Permanent Council, the main OSCE decision-making body, with the participation of the ambassadors of the 57 participating countries in the Organization. Albania works to ensure that the activities of these missions are effective and serve the peace, stability and European integration of the region.

Albania also cooperates closely with OSCE institutions, such as the ODIHR and the Office of the Press Freedom Representative. Cooperation focuses on areas of interest to our country such as electoral reform, digitalization process, public television reform and national radio and television council.

Increasing the role and profile of Albania in the region and in the international arena has influenced the radical change of OSCE relations. Albania is not only a consumer of OSCE expertise, but it contributes immensely to preserving and promoting the role of the Organization in the security architecture in Europe<sup>1</sup>. Over the last few years, Albania has significantly increased its profile in the OSCE. She hosted the Autumn Session of the OSCE Parliamentary Assembly (October 2012), the High Level Conference on Tolerance and Non-discrimination (May 2013) and the Third Press Conference in Southeast Europe (September 2013). Our bid to lead the Organization in the near future is an expression of the new level of relations with the OSCE and will represent the greatest contribution that our country will give to European security issues.

Albania's contribution to regional developments, where the OSCE has 6 Missions deployed, is very welcome in the Organization.

### **The OSCE Presence in some important areas of CSO-OSCE co-operation**

The OSCE Presence in Albania provides assistance to Albanian authorities and civil society in promoting democratization, rule of law, human rights and consolidating democratic institutions in accordance with OSCE principles, standards and engagements. In addition, to fully realize its objectives, the OSCE Presence in Albania works in partnership with the host country to strengthen key state institutions, to consolidate a democratic control and balance system, and to strengthen dialogue between the parties to increase trust in these institutions.<sup>2</sup> The OSCE has been present with its mission in Albania since 1991. Bearing in mind the positive role that Albania has played in developing and improving relations, as well as the overall positive changes that have taken place in southeastern Europe, assessing the overall progress achieved in Albania in recent years as well as the most important position taken by the country's institutions The OSCE decided that, after the end of the mandate, it should update the Presence mandate in Albania in order to reflect the developments that have taken place in the country.<sup>3</sup>

OSCE Permanent Council Decision 588 clearly stated the goals of the OSCE presence in the continuation of its mission in Albania.

In order to fulfill its purpose in Albania, the OSCE focuses on:

1. Legislative and judicial reform, including property reform;
2. Regional Administrative Reform; Electoral Reform;

<sup>1</sup> Glasius, Marlies. "Do International Criminal Courts Require Democratic Legitimacy?" *European Journal of International Law* 23, no. 1 (February 1, 2012): 43–66. doi:10.1093/ejil/chr104.

<sup>2</sup> Puto A. (2010), *E Drejta Ndërkombëtare Publike*, Botimet Dudaj, Tiranë, pg 170.

<sup>3</sup> Kuci K., (2010), *Filozofia Politike*, UMSH, Tiranë, pg 67.

3. Strengthening the capacities of the Assembly;
4. Combating trafficking and corruption, including supporting the implementation of relevant national strategies;
5. Developing effective laws and regulations for an independent media and an Ethics Code; promoting good governance and projects for strengthening the society.

### **OSCE in Albania, the electoral system and democracy**

*"Everyone has the right to participate in the governance of his country, either directly or through freely chosen representatives. Everyone has the right to equal access to public services in his country. The will of the people is the basis of state power; this will has to be expressed in periodic and free elections, which should be general and equal voting, as well as by secret ballot or by the equivalent free voting procedure."<sup>1</sup>*

Democracy is a form of government that the state authority derives from the people. The word "democracy" comes from the old Greek word *demos*-that means people and *kratos* that means power. The principles of modern democracy have gradually evolved from the religious movements of Calvinism during the 17th century, especially in Scotland, England and the Netherlands where communities began to support and share not only religious, but political ideas as well. The philosophy of freedom and equality was further expanded during the period of enlightenment that would then be recognized as the core values of democracy.<sup>2</sup>

The first democratic state was founded in the US, when France was the first European state established by democratic principles after the French revolution. After 1945 there was a proliferation of Western democracy in Europe and around the world, which replaced authoritarian forms of government. After defeating fascist governments, it seemed that the crisis that democracy experienced during the 20th century was overcome. The long process of decolonization in which the right to self-determination was recognized by Western countries resulted in the behavior of democracy in their former colonies. Dictatorships in Spain, Portugal, Greece, Argentina and Uruguay have all become democracies in the last decades<sup>3</sup>. With the collapse of the Berlin Wall in 1989 and the collapse of the Stalinist system in Central and Eastern Europe, it was noticed that democracy really triumphed. However, not all countries that theoretically support democracy as a form of government do not respect democratic principles or the life of democratic practice. This more than a paradoxical development holds that holding a critical debate on democracy and democratization is a need.

"My notion of democracy is that the weakest should have the same chance as the strongest." Essential elements of modern democracy. It is difficult to measure how democratic society is. However, there are a number of key elements that constitute the foundations of any democratic society. To better understand these elements, education and learning at all levels play a key role.

Equality - the principle of equality means that all human beings are born equal, must enjoy equal opportunities, participate in the political life of the community, and have equal treatment in the face of the law. This also includes social and economic equality between women and men.

Participation - democracy is meaningless without participation, community participation and policy issues are a prerequisite for building a democratic system. Democracy is a form of participation, sometimes participation is a broad concept and it does not only contain powerful political, but also social and economic implications. But participation alone cannot guarantee democracy.

Majority rule and minority rights, even though democracy is defined by the rule of the people, are in fact the rule of the majority. This also implies a majority obligation to take into account the different rights and needs of minority groups. The extents to which obligations are met are an indicator of further enhancement of democratic values in society.

### **State of the law**

We must first clarify what is the terminology we must accept: the rule of law or the rule of law, terms widely used today in political and juridical literature. Both terms have the same meaning, express the same concept, that of close and mutual

<sup>1</sup> Kuci K., (2010), *Filozofia Politike*, UMSH, Tiranë, pg 70.

<sup>2</sup> Roberta A. Dahl, (1989), *Democracy and its Critics*, Yale University Press, pg 23.

<sup>3</sup>Keller H and Geir U. (2012) eds. *UN Human Rights Treaty Bodies: Law and Legitimacy*. 1st ed. Cambridge University Press, pg 78.

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connection between the state and the law. This connection is explicitly expressed in Article 4, point 1 of the Constitution of the Republic of Albania: "the law constitutes the basis and limits of the state's activity". Perhaps for reasons of constitutional referral, in Albania it seems that the expression "rule of law" has acquired citizenship.

The definition of the rule of law varies according to authors and ages. The rule of law is, above all, a theoretical model of organizing political systems. It has become a fundamental theme of politics since it is considered as one of the main characteristics of the democratic regime, but is not necessarily a democratic regime. Generally a state of law is not necessarily democratic, but every democratic state is a state of law. The rule of law thus seems like a first step in forming a democratic state. Its opposite is despotism or police regimes, where arbitrariness and the regime of violence prevail. It is true that the notion of the State of the law is being challenged by the notion of a State of the Art.

The rule of law is the pillar of democracy. When state actions are based on the principles of the rule of law, people are more inclined to trust the authorities and among them to cooperate with the same society. If the rule of law is established, people act in a very individualist way. The rule of law implies a well-functioning legal system that provides guidance on the basic rules that determine the functioning of a social organization and which helps to put them into practice. Based on this argument, we understand the existence of the rule of law is very important to have a democratic electoral system.

Elections are the essence of democracy or the means by which it operates. Democracy in all its forms is based on the electoral system, which creates the governing structure of a country, ensures the participation of citizens in the formation and political control of government and power, and enables political pluralism<sup>1</sup>. Hence, it follows that elections have a multifaceted role in democracy.

Voting is a fundamental element of democracy. The electoral system defines the community of rules on how to vote and how voter votes are translated into places in Parliament. So the election of the electoral system is of significant importance in the democratic representation system. The system determines who will be elected to represent the constituencies, what will be the parties that will form the government, what will be the parties that will form the opposition. So the determination of citizens' governance goes through the elections, the basis of which lies the electoral system.

Calling a "citizen" voter, exercising this right in power is and should be understood by each of the citizens as the only effective mechanism that free individuals, organized in a form of pluralist government every 3/4 years, aim at this means the whole community where they live in general, but in particular each one for themselves, realize the opportunity to improve the level of life more<sup>2</sup>. The electoral campaign should be considered by each voter as a more chance for him and his loved ones; as an opportunity for his close family to improve the current level of living, to benefit from certain state policies; where an individual feels safer in the workplace or in the business he or she exercises; where the health system is reformed and the benefits are concrete; where the child is educated in school institutions that are worthy of the name and the standard of teaching; where the state makes a more dignified policy with its neighbors and realizes that it can not abuse the term "partners" and "friends"; where the individual and the family can exercise, together or separately, more potently than the four years that went, declared and universally accepted rights by everyone to move and "see the world" without fear of politics Consuls of a state will consider them and their family as "people with a risk" to return to the country<sup>3</sup>. Ultimately, being called a voter must understand that you, the individual, and the governance of the next four years you intend to be partners with each other in the policies that will be applied in the future or be opiate or skeptical of these policies<sup>4</sup>.

Being a voter, you should be aware every day of being "citizen", without hesitation, although it is the state's responsibility to secure this right; check the basket if you are registered as a voter in the voting lists; to ask to be registered if they have wrongly omitted by "state" or by cast according to you; to follow the views of political parties on policies that are of interest to you and are a priority for your fate; be present if you have meetings with the candidates in your area, and in particular the meetings where the candidate participates and you have voted the time that went; to ask without fear of your party or party exponents that you think you will vote about the ambiguous attitudes of her or her candidate policy; to assess as an

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<sup>1</sup> Soós, A. K., (2011), *Politics and Policies in post-Communist Transition. Primary and Secondary Privatisation in Central Europe and the former Soviet Union*, Budapest, Central European University Press, pg 25.

<sup>2</sup> Freedman R. (2013) *The United Nations Human Rights Council: A Critique and Early Assessment*. Routledge, pg 56.

<sup>3</sup> Dryzek J., (1996), "Informal logic of institutional design " in R. Goodin. *The theory of institutional design*, Cambridge

<sup>4</sup> Soós, A. K., (2011), *Politics and Policies in post-Communist Transition. Primary and Secondary Privatisation in Central Europe and the former Soviet Union*, Budapest, Central European University Press, pg 27.

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individual the "personality" that competes in your area; to be more active with the people around you to encourage them to participate in the polls<sup>1</sup>.

### Conclusions

Finally, it should be noted that the Organization for Security and Co-operation in Europe has, for some years now, faced a slump in its role. Because of the non-consensus among member states, especially between East and West, a conflict that was thought to have been over in the course of time. For the reasons mentioned above, the OSCE is no longer in the position of the leader, narrowing the work of its missions to public opinion and consultancy. In many cases non-respect of basic principles by the organization itself has affected the loss of trust in the member states and those who would be assisted.

Election Observation by the OSCE in Albania has the potential to enhance the integrity of electoral processes, defining and presenting irregularities and fraud, and providing recommendations for improving electoral processes. Can promote public credibility, as a guarantor, can promote electoral participation and reduce opportunities for potential election-related conflicts. It can also serve to increase international understanding by sharing experiences and information about democratic developments.

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<sup>1</sup> Soós, A. K., (2011), Politics and Policies in post-Communist Transition. Primary and Secondary Privatisation in Central Europe and the former Soviet Union, Budapest, Central European University Press, pg 34.

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## Financing and Fiscality in the Context of Artificial Intelligence at the Global Level

Dr. Otilia Manta

### Abstract

The current financing models, as well as the fiscal models, are based on the current resources available at both the financial system and the fiscal system, but in close interdependence with those existing at the global level, the technology being one of them. Moreover, we consider that increasingly in the resource hierarchy, the place of the human factor is replaced by artificial intelligence (regardless of whether we are talking about industrial robots or intelligent technologies as is the case in the banking financial field). The new ways of approaching and coordinating finances aim to increase the degree of flexibility of financial networks and harmonize the results of those financial institutions that master and use complex but complementary technologies in order to obtain a final product or services optimal and with direct connection to its beneficiary. The defining elements for any financing and control model, regardless of whether we think of Fintech or other programs such as Fiscalis, are given by the following characteristics: digitization (artificial intelligence tools are crucial for digitizing financial services and fiscal), mobilization (virtual space offers not only the possibility but especially the platform for achieving the mobility of services), disintermediation (virtual space offers the possibility of direct access without intermediaries) and automation (through the financial services existing on the online platforms, the beneficiary of the service and the service provider optimizes its time and cost in favor of making the service profitable).

**Keywords:** financial technologies, artificial intelligence, financial and fiscal inclusion and sustainable development

JEL Classification: E44, F65, O31

### Introduction

Currently both at the institutional level and especially at the personal level, we are directly and indirectly involved in the process of the great challenges at the global level, which confirms that we are no longer under the direct influence only of the decisions at the local level but we are predominantly under the decisions at the global level, especially when discussing the markets for financial and fiscal services. In this context of the challenges we can say that we are in the stage of redefining the systems, mechanisms and not least of the instruments regarding the new architecture of the financial markets and of the system of supervision at European and global level. Artificial intelligence has a major role in the process of these great challenges and with a direct impact on the financial services architecture. Arthur Bachinskiy presented in his paper "The Growing Impact of AI in Financial Services: Six Examples", six examples of the implication of artificial intelligence in finance, namely: decisions of artificial intelligence and credit; artificial intelligence and risk management; artificial intelligence and fraud prevention; artificial intelligence and trade; artificial intelligence and personalized financial institution; artificial intelligence and process automation.

In this global context, *identifying the tools and mechanisms for accessing financial resources*, especially for those in need, is not only a priority for new researchers in the economic field, but also a challenge in defining the new architecture of financial markets, respectively identifying financial instruments, mechanisms and financial means to ensure societal sustainability, respectively social, economic and financial inclusion. In many advanced economies, the great challenges are due to the growing inequalities between the poor and the rich, between those with resources and those without resources, but especially the impact of technological and climate change on economies, "the complex impact of globalization - including those related to trade in goods, services and data, and the movement of people and capital. In emerging economies, the sharp decline in poverty and the rise of the middle class have fueled better aspirations and demands for better public goods; these requirements are now facing slower growth and tightening of government budgets. The order resulting from the adversity principle has produced an economic, financial and ideological polarization. The state we are in is one in which one (state) controls the whole (globe), manages discretionary global powers, exercises unilaterally of decisions and favors levelling diversity (including financial). In this global context, identifying the financial resources to

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*support those who have need is not only a priori for new economic researchers, but also a challenge in identifying financial instruments, mechanisms and financial means to ensure the sustainability of society*

Artificial intelligence influences not only finances, but also the definition of tools and mechanisms of tax and tax management at European and global level, with direct impact on the global phenomenon of "fraud". At European level, the EU Fiscalis 2020 program was promoted, in which fiscal harmonization at European level will be achieved both through directives and regulations, but especially through artificial intelligence instruments. In many advanced economies, the major challenges are due to increasing inequalities between wealth and resource shortages and the impact of technological and climate change impacts on the economy, the "complex impact of globalization - including those related to trade in goods, services and data, and movement people and capital. In emerging economies, the sharp decline in poverty and the rise of the middle class have fueled better aspirations and demands for better public goods; these requirements are now facing slower growth and tightening of government budgets. The order resulting from the adversity principle has produced an economic, financial and ideological polarization.

The European Union through its own policies and programs contributes permanently and actively to fight inequality and poverty, especially since *"equality and equity are an integral part of European values and are a cornerstone of the European social model, the EU and the EU member states; whereas both the Member States and the EU aim to promote employment, enabling a high and sustainable level of employment and combating exclusion."* Given this European and global context, the role and importance of artificial intelligence for financing and taxation is essential, more precisely on the one hand starting from the elements of creation of the financing instruments and mechanisms for the financially excluded (the business environment in the rural area, vulnerable groups, etc.) and, on the other hand, the creation of standardized fiscal instruments at European level leading to a financial-fiscal discipline and actively contributing to sustainable growth at local, national, European and global level both now and in the future. In this global context, in the process of identifying the financial and fiscal resources, a major role is played by the ethical principles, principles that are also valid in research, respectively: the principle of honesty; the principle of replicability, the principle of responsibility, the principle of validity, the principle of reliability; the principle of transparency and the principle of respect are permanent concerns of researchers in the economic field, and beyond. The innovation of products and services as support elements for those in need is not only a priori for new economic researchers, but also a challenge in identifying financial instruments, mechanisms and financial means to ensure the sustainability of the company. Moreover, through the current digital technologies, we believe that together with the identification of financial resources, we should also identify a mechanism for their management and from a fiscal point of view, respectively a better functioning of the tax systems within the European internal market and which would it depends on the efficient and effective processing of cross-border transactions by national tax administrations, on the prevention and combating of tax fraud and on the protection of tax revenues.

This implies the exchange of large amounts of information between tax administrations, but also the more efficient functioning of administrations, with the concomitant reduction of administrative, economic and time consuming costs for taxpayers involved in cross-border activities. This can only be achieved through cooperation between the Member States' tax administrations and third parties. Given the increasing globalization, the effective fight against fraud should also have an international dimension. Therefore, the program will also support the exchange of information with third countries, in the context of international agreements concluded with the third countries concerned<sup>1</sup>

### **Research methodology**

The *methodology of the paper* will have as direct instruments the collection of data and information from the literature and from the existing practice at the global level in public and private institutions, but especially scientific articles published on specialized research networks (Research Gate, Academia.edu, RePec etc.), articles published in different journals, relevant books in the field of reference, legislation, analyses and studies, official documents of various tax bodies, tax documents and interactive database of the Federal Banks and Central Banks, other relevant sources identified at the libraries Romanian Academy, National Bank of Romania, National and International Library, etc. Moreover, in the methodology we will analyses the documents using the comparative, analytical, descriptive method, no participative and participatory observation, and the use of a set of informational sources, the collection of financial data in the established databases. Also, the paper will be based on annual reports, publications, consolidated statistical data provided by the Federal Banks,

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<sup>1</sup> The Growing Impact of AI in Financial Services: Six Examples  
<https://towardsdatascience.com/the-growing-impact-of-ai-in-financial-services-six-examples-da386c0301b2>

the European Central Bank (ECB), the International Settlement Bank (BRI), World Bank, World Economic Forum, CGAP, CFI, the European Commission, OECD, published annually, data to be processed in order to be able to provide a general and analytical picture of the most important changes taking place in the globally - considered representative for the understanding of the phenomena studied. To substantiate the funding model for innovation, we used observation and examination tools, research methods based on the basic principles of scientific research, and we also created procedures based on factual analysis as a result of a significant practical experience and of intensive documentation at the level of national and international literature.

### **Literature review**

The literature and the sources of information are multiple, especially as a result of the impact that artificial intelligence has not only in the field of finance and tax, but especially on our daily lives. A presentation of the evolution of artificial intelligence in finance was made by Bonnie G. Buchanan, PhD, FRSA in the work "Artificial intelligence in finance", respectively: John McCarthy is a parent of the concept and definition of the term "artificial intelligence" since 1956. The Oxford English Dictionary defines AI as "*The theory and development of computer systems capable of performing tasks normally requiring human intelligence, such as visual perception, speech recognition, decision-making and translation between languages*"<sup>6</sup> FSB (2017) defines AI as, "*The theory and development of computer systems capable of performing tasks that have traditionally required human intelligence*". At the beginning artificial intelligence was based on algorithms based on logic, now there are working hypotheses that confirm that artificial intelligence is currently based on blockchain technologies, respectively the so-called concept of "machine / technology based decision". Turing (1950) detail an operational test (the Turing Test) for intelligent behavior. In his seminal work, Turing provided the major components for future AI work with language, reasoning, knowledge, learning and understanding. Through the Turing Test, Turing laid the ground work for ML, genetic algorithms and reinforcement learning. The attempt to replicate the logical flow of human decision making through processing symbols became known as the "symbol processing hypothesis" (Newell, Shaw, and Simon, 1957; Newell and Simon, 1961, Gilmartin, Newell and Simon, 1976).

Much of AI in the 1950s and 1960s did not focus on finance applications. In the 1960s, a substantial body of work on Bayesian statistics was being developed that would later be used in ML. Neural networks (which would become a cornerstone of deep learning) were developed in the 1960s and grew rapidly. However, due to a lack of sufficiently available electronic data and computing power, AI fell out of favor into what became known as an "AI winter" (Kaplan, 2016; FSB, 2017). The term "AI Winter" also connotes a slowdown in investment and interest. In 1973, the UK Lighthill Report ended government support for AI research. The 1980s witnessed an AI revival due to new funding and techniques. During the 1980s, Japan, the UK and the USA competed heavily in AI funding. Japan invested \$400 million through the Japanese Fifth Generation Computer Project. The UK invested £350 million in the Alvey Program and DARPA spent over \$1 billion on its Strategic Computing Initiative. In 1982 AI made inroads into the financial services industry when James Simons founded quantitative investment firm Renaissance Technologies. This included the development of "expert systems" (or "knowledge systems") which is a technique that solves problems and answers questions within a specific context. Brown, Nielson and Phillips (1990) provide an overview of integrated personal financial planning expert systems. They emphasize expert systems that use heuristics and the separation of knowledge and control as well as providing examples of expert systems that were prevalent at the time. Kaplan (2016) describes AI as, "The essence of AI, indeed the essence of intelligence, is the ability to make appropriate generalizations in a timely fashion based on limited data. The broader the domain of application, the quicker the conclusions are drawn with minimal information, the more intelligent the behavior."

The advancement of financial technologies includes robotic financial trading, payments made through encrypted cashless platforms, crowdfunding financial platforms, financial consulting, technical and robotic assistance through virtual space, and not least virtual currencies so developed lately. "The value of FinTech's global investment in 2015 increased by \$ 22.3 billion by 75%. Corporations, venture capital and private equity firms have invested more than \$ 50 billion in nearly 2,500 FinTech companies globally since 2010 "(Financial technology (FinTech): Prospects and challenges for the EU, EPRS, Cemal Karakas, Carla Stamegna - Graphics: Christian Dietrich, 2018). However, financial technologies (FinTech), although registering a rapid growth in the virtual space, have positive aspects, especially regarding the speed with which the financial services (adapted and flexible) reach the many financially excluded, but also have risks, challenges such as be especially the data and consumer protection issues, the risk of increasing financial volatility, as well as the alarming increase of cyber-crime). The risks in particular attract the attention of the financial services regulators, and a Financial Technology Task Force (FTTF) has been set up at the European Commission, which together with the European Parliament's Committee on Monetary Affairs (ECON) made the FinTech report published in January 2017. At the global level, respectively the G20,

the Financial Stability Committee (FSB) presented the report on FinTech in July 2017. The concerns at global and European level were transposed into discussions / topics / conferences and regulatory initiatives, at national level.

The current process of financial technologies and the definition of financing models start primarily with the contribution of digital technologies to the development of the financial industry, as can be seen in the graph below.

**Figure no.2. Industry 4.0. Framework and contributing digital technologies**



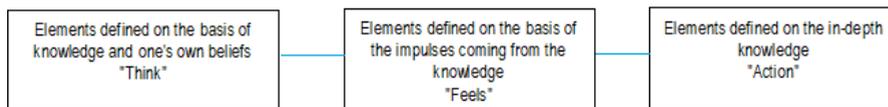
Source: PwC report, 2019

The **process of globalization** inevitably leads to the reconsideration (conceptual reconstruction) of the paradigm of growth and economic development, and especially in financial technology (Fintech). The challenge, on the one hand, of the depletion and / or deterioration of resources (especially natural) and, on the other hand, of our optimization model - maximizing the objective functions of economic actors - is likely to require a radical change the options and the means by which we address this important activity of the individual and society: economic activity. At the same time, it is obvious that economic activity can no longer be regarded in itself as a mode governed by a distinct rationality distinct from others, rationality based on a consistent and sufficient logic. Logic and economic rationality must accept, under the pressure of global problems, a permanent and fundamental communication with the other logic of individual and social behavior (praxis). In addition, they must accept the possibility and desirability of re-evaluations, repositions, or even refunds, in light of the new paradigms of the economic process (including paradigms, for the time being, academic, such as the entropic model).

**Sustainable development** (or growth) is a direct function of resources of the same category, i.e. sustainable resources, inclusive financial resources. The subject of this study is the research of a special resource, namely the financial technology (FinTech). Studying this resource from a sustainable development perspective will lead us to the proposal and the conceptual, methodological and technological development of what we will call a sustainable financial resource. For its part, the concept of a sustainable financial resource will generate some considerations about the sustainable sources of financial resources, including Fintech - our ultimate goal, on the other hand. As we develop more broadly at the right time, the financial sources for sustainable development are more sustainable financial sources for development. This is not just a game of words but an emphasis on an extremely important idea, namely the idea that points to the depth of the sustainability feature. Since, as will be demonstrated, the financial resource (and, as a consequence, the source of the FinTech resource) is one of the foundations of any economic process, it is natural that our attention goes to ensuring this foundation in terms of sustainability in order to be able to speak with some justification and confidence about sustainable economic processes (systems).

## Research results

In our empirical research, with direct elements related to the major challenges at European and global level, a problem that impacts both the financing mechanisms and the fiscal ones is given by the problem of inequality, which has become more important in recent years, more chosen in the context of crises. Although we are witnessing increasing developments in the artificial intelligence sector at European level, the effects of the economic crisis on Europe have been and are still present, reversing the convergence process of the standard of living (which has been a priority for several years) with increasing pressure on social protection systems. The degree of inequality has increased in most Member States, the trend being similar to the global one, generating concerns and concerns both from the perspective of the sustainability of economic growth and from the perspective of social cohesion. However, solutions through financial and fiscal instruments could create the premise of systemic balances at European level, and implicitly at the level of each state. In addition to an inventory of the challenges of global challenges, based on documentation and knowledge of current phenomena, we believe that presenting current developments and trends could be the starting point in defining proposals that can directly support the process social, economic and financial inclusion. The UN 2030 agenda, presents us very clearly the 17 SDGs that are found in our daily tasks, but through the personalized way of involvement and adaptation. While an example of differentiated involvement, but which leads us to the same "sustainable development goals no.1 poverty eradication", the Europe 2020 strategy focuses on poverty reduction, but the challenge of reducing the risk of poverty is related to the inequality debate<sup>1</sup>. In the process of challenges our motivation must have elements of determination, respectively our involvement to be governed by something, and that something can be passed through the following defining stages, respectively:



If in the past the decisions were based on the results of the past numerical series, at present due to the involvement of artificial intelligence, the calculation algorithms are given on the existing bars in the global data blocks, respectively based on blockchain technology. Moreover, the speed of penetration of artificial intelligence both in the financial industry and in the control mechanisms, demonstrates how quickly the architecture of the entire system changes, with a change of business, jobs, even in traditionally conservative areas.

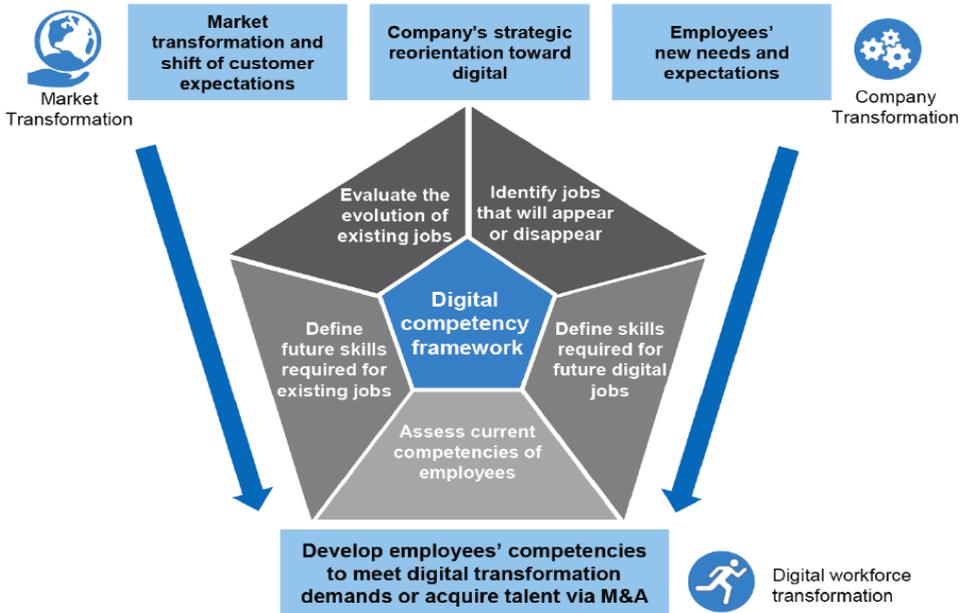
The most popular examples regarding the involvement of artificial intelligence in finance: Influence of lending decisions through artificial intelligence decisions; The direct link between risk management and artificial intelligence; The role of artificial intelligence in preventing fraud in the financial-banking field; The impact of artificial intelligence on trade; The direct link between artificial intelligence and personalized financial institution; The impact of artificial intelligence on process automation.

Financing tools and mechanisms directly influenced by artificial intelligence have the following specific attributes, respectively: digitization, mobilization, augmentation, disintermediation, automation<sup>2</sup>.

<sup>1</sup> Saez E. (2016), „Striking it Richer: The Evolution of Top Incomes in the United States”.

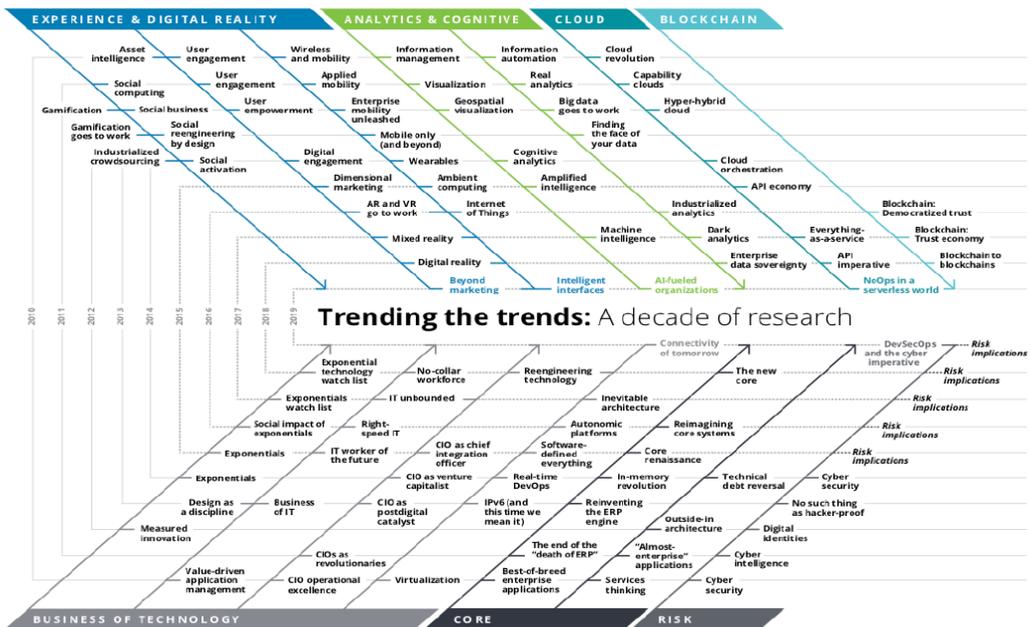
<sup>2</sup> YouTube; *Digital transformation: are you ready for exponential change?* Futurist Gerd Leonhard, TFAS Studios

Figure no.3. Digital competency framework



Source: Accenture, 2018

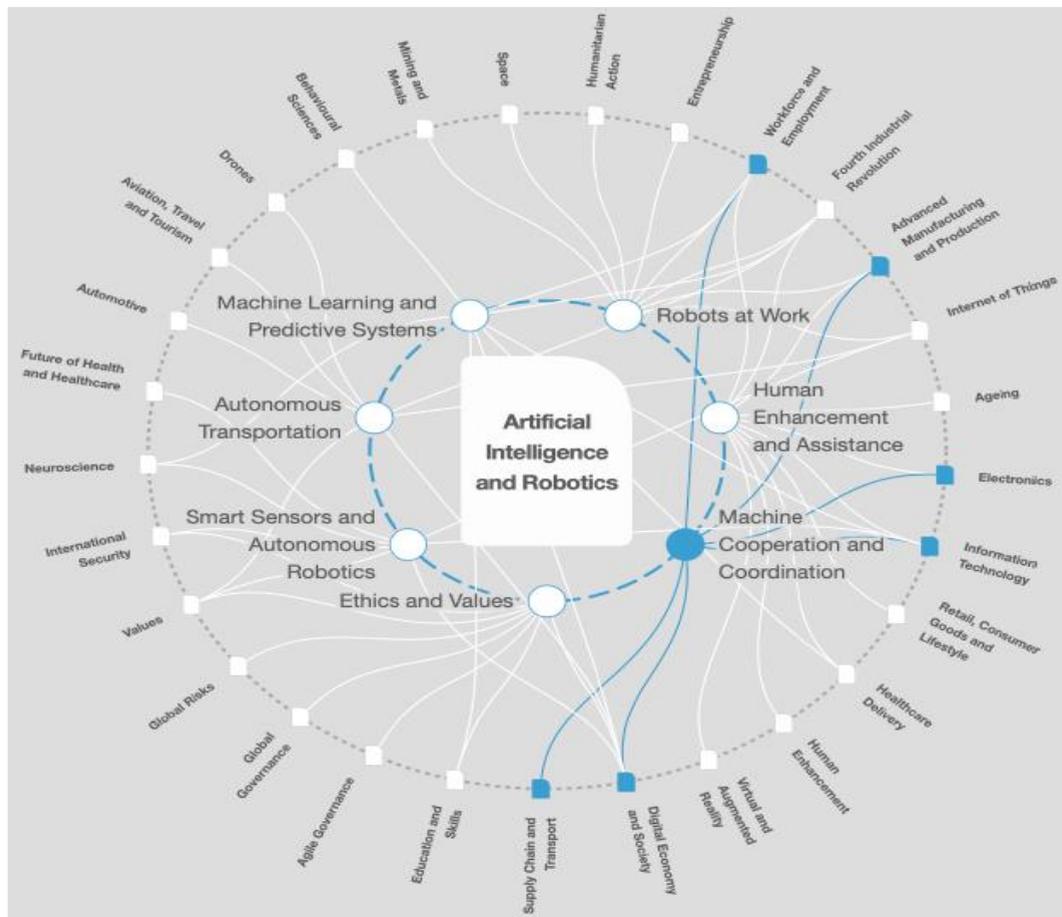
Figure no.4. Current trends of research with impact on finances



Source: Prof. Adrian Curaj, research paper Economic Model 2040, Quo Vadis Romania?, 2019

In order to be able to develop financial instruments and mechanisms in line with current trends globally and under the direct influence of artificial intelligence, we believe that adapting to current digital financial technologies and creating models using them is the basic pillar in the development of the new architectures of financial services connected on the one hand to the real needs of the society, but especially connected to the global trends as they are reflected in the figure above.

**Figure no.5. Artificial Intelligence and Robotics**



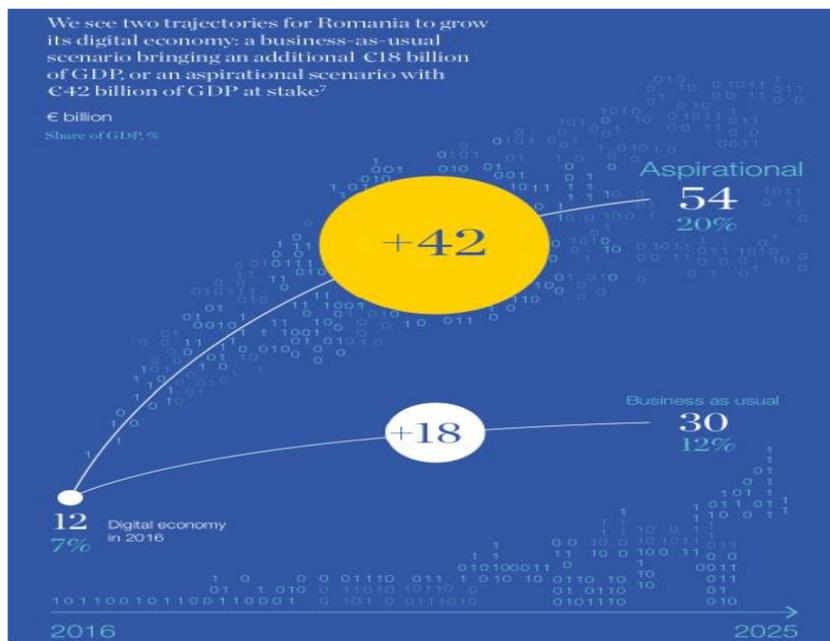
Source: World Economic Forum, 2019

Between artificial and robotic intelligence for finance, there is a direct connection and a direct impact on the service provided in the financial-banking field. Moreover, many of these services will be provided directly by robots as a result of the resource optimization process, as can be seen in the figure above. The trend of digitization is not just in the field of finance, it is found in the vast majority of the economic branches. In our work to reflect the impact of artificial intelligence on the real economy, we will also find our analysis on the main indicators of stability of the real economy.

The holistic approach of the phenomenon of expansion of financial innovations, respectively of current financial technologies, as otherwise abbreviated to FinTech, knows very specific elements and adapted to the global financial context, and lately the share of financial services in the virtual space is dominant compared to their traditional form. Moreover, this new financing instrument has arisen mainly due to the need to streamline the financing system, based on technology, either to provide financial services adapted to the current needs of consumers (especially those who are in need of financing, this is also the real reason for the fintech coupling of the financial inclusion of the financially excluded),

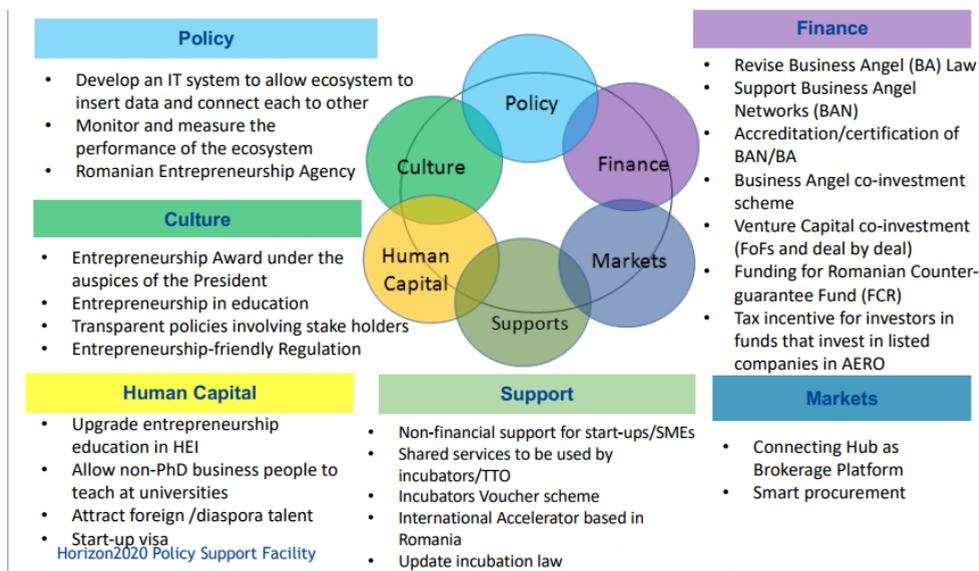
as well as the design of new financial products that are reliable and responsive to the market. The impact of these financial technologies will be directly on the real economy, more precisely its digitalization.

**Figure no.6. Scenarios regarding the digitization of the economy in Romania**



Source: McKinsey, *The rise of Digital Challengers, Perspective on Romania, 2018*

**Figure no.7. Transforming accelerators in Romania: EC Recommendations**



Source: H2020 PSF Report, 2017

In order to be able to estimate at national level our capacity for innovation, technological transfer and entrepreneurship, especially in the financial field, we consider that besides the elements related to intelligent specialization, industrial transformation, a knowledge of the real economy at the level of each state could lead to the realization a financial architecture based on both the combination of the traditional form of financing and the current financial technologies.

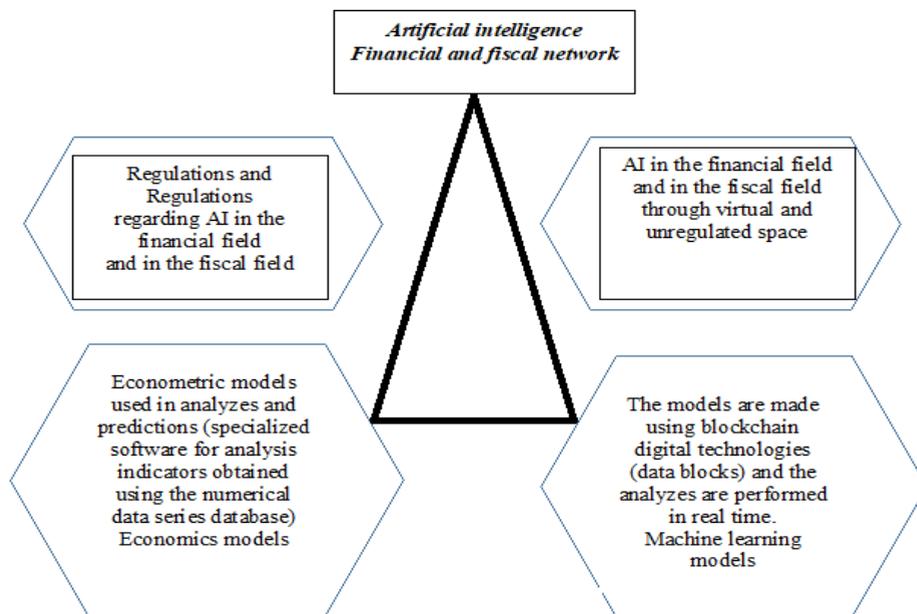
**Figure no.8. The business accelerator model in the context of AI**



Source: H2020 PSF Report, 2017

In order to be able to rethink the architecture of financial services, in the context of the real economy (direct beneficiary of the finances), as well as the impact of artificial intelligence on these economic sectors, we consider that we should reflect some relevant information about the real economy, more precisely the reference indicators regarding the financial state of the real economy.

**Figure no.8. Financial and Fiscal Network (concept) based on AI**



Source: own processing

As we mentioned in the figure above, the economic models differ depending on the positioning of the network, more precisely on the regulatory mode. Moreover, at European level, artificial intelligence in finance and fiscal, we believe should be directly connected to the three key factors for economic growth, provided by the European Commission, respectively:

smart growth (promoting knowledge, innovation, education and digital society);

sustainable growth (a more competitive production, with a more efficient use of resources);

inclusive economic growth (increased participation in the labor market, skills acquisition and the fight against poverty).

We are currently witnessing a dynamic of the economic models at European level, the business model being "the most intellectual and the most surviving species" if we were to paraphrase Charles Darwin ("The surviving species is the one who is capable of adapt best to the changing environment in which it is found"). This famous quote summarizes the essence of transforming the business model into the context of the economic model. It is applied in particular for the development of international business, in which the organization faces different, yet unexplored markets. The economic model of the country is conditioned by the internal resources (human resource from health, education, etc.) and the way of managing them in the medium and long term. A correct way of administration starts from the inventory of sources and resources, followed by the creation of a mechanism by which these resources are exploited. The mechanism of transformation from source to resource is related to the policy addressed at the level of the European institutions, the national policy of the state, the policy at regional level and the policy at local level.

The risk of the network, it acquires concrete forms of action, of manifestation, of certain forms, as a rule, of the characteristics of the network that are affected by the decoupling, distortion of the phase, the distortion, the weakening of the force of a characteristic of the financial network. Obviously, these forms target the impact of the radiant of the institutional characteristic of the network, materialized in norms, bodies, rules, structures, etc. on the interactive features of the network. The instinctive radiant of the network represents the force, the ability of the interactive feature of the network to influence, in a negative sense, to alter the performances of the components. Based on these aspects, the global risk of financial and fiscal networks must be evaluated in the current context of the challenges regarding the functionality of the financial network principle based on artificial intelligence. The complex relationship in which the network risk acts on the performances, on the aims, functionalities and potentialities of the network, is presented in figure no. 1, in the form of an impulse relation.

**Figure no.1: The impulse relations between risks and performance**



The meaning of the symbols is as follows:

*DIM = institutional deficiencies of the financial and fiscal network;*

*CIR = the institutional characteristic of the network;*

*CIF = the interactive features of the network;*

*ICR = network interconnections;*

*IAR = network interactions (real-time and virtual interactive flows);*

*ELR = network elements;*

*FRR = risk forms of the network;*

*RSM = risks specific to the financial network;*

*PCT = losses and costs.*

Starting from the principles listed in the paper and correlating with the impact of artificial intelligence on finances, we can mention the forms of the network risk, respectively:

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*The credibility risk, represents the essential form of risk of the financial network, the attenuation or distortion of the confidence of the economic subjects in the forms of currency, in the financial instruments, the financial-monetary institutions, due to the malfunctions that appear, induces, directly or indirectly, by contagion, immediately or offset, with a time lag, all the specific risks and, first of all, the risk of currency depreciation.*

The financial networks are irreducible to the simple economic reasoning centered on the profit-oriented economic interest, the monetary transactions, the operations and the financial flows, being based on the confidence of the entities, the economic subjects, in the financial network, in the network of transactions, the fiduciary dimension being vital for the reproducibility of the networks and for their continuity over time. Trust is an integral part of maintaining interconnections and interactive financial flows, especially considering the uncertainty and complexity of transactions.

The profit-oriented economic rationality does not cover the trust space in the currency, these being dependent on different factors, the economic rationality depending on the individual interests, selfish, competing and confronted in the market, while the confidence is conditioned by the coexistence, social, political, cultural relations, but also economic, trust assuming reciprocity, while economic rationality implies exclusion through competition (even if the market harmonizes, through profits, interests).

Trust is an essential property of the currency, an abstract feature of money in general, which does not imply the stability and validity of the concrete forms of the currency, because trust in the stability and validity of a monetary form, a financial instrument, means trust in institutions and rules, in regulations and rules, directly responsible for the administration of this form of currency. In this sense, the nature of the risks involved in financial transactions, in interactive flows, reflects their unique character in the modern world, namely that they are generated by human-created institutions. It can be stated that, the risk of credibility is not associated with trust in money as a social institution, but with trust in social institutions, i.e. regulations and organizations, which create and manage specific monetary forms, financial instruments traded on markets.

The risk of credibility in the financial network is determined by economic conditions, but especially extra-economic, placing the monetary forms in an environment centered on economic rationality, dependence on financial transactions, the interactivity of the financial network of interests and economic gain denature and vitiate the functions of the currency, its transitive potential, the aims of the network, serving the concrete forms of the currency of improper and adverse purposes and functionalities. In this sense, the forms of speculative capitalization or financial derivatives, as quaternary, anticipatory forms of currency, at the same time constitute extreme forms of the credibility risk, which generates risk, covering it.

The vulnerability risk, represents a generic risk of the financial network, determined by the inadequate, caused instinctively, of some characteristics of the flows and of the financial network, such as: reliability, complexity, integrability, intensity, connectivity, affecting the network considered as a whole, but differentiated by elements, interconnections and interactivities.

The vulnerability expresses the weakening of the transitive potential of the interactive flows of the network, this favoring, in particular through the channel of inadequacy, but also through the one of inactivation, the emergence of the specific risks, such as the exchange rate risk, monetary depreciation, the interest rate risk, the market risk.

Organizational, configurational incoherence of the financial network, inconsistency of financial instruments, currency forms in the financial asset hypothesis, inadequacy of financial operations, stiffness and temporal or dimensional incongruence of sources and destinations of interactive flows are causal institutional factors of the network vulnerability risk perceived by the participants in the network by diminishing the reliability of the flows, which may generate liquidity or solvency risk, through the volatility of the asset prices, through the conjuncture of network nodes, i.e. financial institutions or markets, which may ultimately lead to bankruptcy risk and so on

The *risk of vulnerability* is, therefore, par excellence a risk of institutionalizing the financial network and derives from the inadequacy of the network to the environmental conditions, to its requirements and needs, and in this sense, the direct effect of this network risk, the currency depreciation, in its form transactional, interactive, currency risk, is connected with the degradation of these conditions, with the relationship between internal and external environment.

The *risk of desynchronization*, is a risk of the flows, of their interconnection in the network, affecting the interactivity of the network, i.e. its essence, being generated formally by the institutional regulation and organization of the network, so by the

implementation of the network, and functionally, by the relation between the attributions, that is, the activities, responsibilities and competences of the component entities.

The institutional causes of this risk are connected and often dependent on economic, social, and political causes (if we do not consider monetary policy itself as an institution), but it is obvious that the way of building the financial network, its architecture, its size and its institutional adequacy, contributes significantly to the occurrence and maintenance of this risk.

The risk of agglomeration, of agglutination, correlated with the two previous risks, is manifested by the abundance, segregation and concentration of currency forms and financial instruments in flow, in certain areas of the network, by regionalization, and polarization, phenomena with different etiologies, but highlighting the institutional inadequacy of the network, creating favorable conditions, especially through the incapacity channel, for the occurrence of the risks of rate, insolvency and, of course, of market risks, of the price of financial assets, of the currency.

The *management of this network risk* is mainly a problem of institutionalization and, functionally, a problem of evaluation and supervision, because the flexibility of the currency, its equitable freedom should also be found in its capitalized forms, financial instruments, between the trust in the currency, which- it confers its omniscience, and the economic reasoning, which regulates fragmentary rule, segregating the capital flows, of the saved currency, manifesting contradictions, crisis-generating confrontations, which partly reflects the existence of this agglomeration risk, with speculative openings.

*The risk of detachment and polarization is the specific network risk, respectively:*

The *risk of detachment* is manifested by detaching the financial network from the whole socio-economic environment, from its real markets, including the health, culture, education, financial network, sometimes becoming adverse to the specific evolution of these human areas, and this is essentially due to the way of speaking of the guiding principles of its configuration and architecture, so that the detachment induces in the financial network specific risks, such as the rate and the rate, the real, not speculative-arbitrary, volatility and coverage of them, generating local crises, regional, absorbed hardly, with losses and costs by the environment, but also liquidity risks, finalized by bankruptcy of the banking entity, as well as non-financial ones.

The risk of polarization highlights the tendency of the network to create competitive poles, financial centers, officially represented, through the Central Bank, which, beyond the attributes of coordination and regulation, becomes, in the name of monetary policy, an operator in the markets, conferring "confidence" in the currency, in its purchasing power, but also operational financial centers, which concentrate with currency, financial instruments, the power to influence, to intervene, sometimes unbalancing the markets in "desire" to balance them according to already esoteric objectives, or at least selectively beneficial. Polarization is a phenomenon common to all networks, from mineral, natural to neural and spiritual ones, but the polarizing institutionalization of the financial network can have perverse, sometimes unexpected effects, polarization contributing to the accentuation of network risks, of those specific to the financial network, to the extent in which polarization does not serve the network, the currency, the confidence in the currency, exacerbating, for example, the orientation towards profit, according to the economic reasoning.

A significant effect of the risk of detachment and polarization, which potential, but also real, effect generates devastating specific risks, consists in the unmatched expansion of the value of financial flows compared to the value of real flows, most financial flows grinding into empty currency, obviously for the gain, for its transfer, rarely converted into real, consumer or investment assets.

The five types of network risks developed above do not cover the entire range of risk possibilities intrinsic to the financial network, only highlighting their existence, specificity and relevance in the monetary space, as well as their decisive institutional etiology. At the same time, the above approach wanted to point out that the risk of credibility is paramount, being the generic network risk, placing the currency, its forms and instruments, in an area dominated by economic reasoning, centered on interest and profit, diminishing currency credibility, the ability of the currency to perform its original functions.

The network risk, its five types delimited above, are generated by determinative or conditional factors, and in turn generate direct and indirect effects, through the risks specific to the financial and fiscal network, the network risk being placed in a structure of interdependencies, immediate and immediate influences.

*Conclusion and indications for future research*

Artificial intelligence in the financial and fiscal field is still at the beginning of laying the foundations, especially due to the fact that networks are found especially in the virtual space, hence the multiple challenges and vulnerabilities (regulation including in the virtual, ethical, economic, and social). However, due to the digital technologies that are part of our current life, we believe that artificial intelligence will become predominantly present in the financial and fiscal fields, contributing to current technologies and to the continuous development, to the creation of complex but easy eco-glotech-system financial models. Although the opinions of the specialists are different regarding the involvement of companies in the development of these technologies, we researchers believe that these financial and fiscal models based on artificial intelligence come with a focus on optimizing resources for each individual, which determines us to appreciate that artificial intelligence combined with the Internet of Things (IoT) will result in physical things becoming more adaptive and responsive, extending their useful lives.

Along with the big data, AI is regarded in the financial services sector as a technique that has the potential to offer immense analytical power. However, many risks still need to be addressed. Many AI techniques remain untested in financial crisis scenarios. There have been several cases in which the algorithms implemented by the financial firms appeared to act in unexpected ways by their developers, which led to flash errors and crashes (in particular the flash crash of the pound following the 2016 Brexit referendum). Lo (2016) calls for the development of a more robust technology, capable of adapting in favor of people, so that users can use these tools safely, efficiently and effortlessly.

Much remains to be done. And clearly more education is needed on the competence and awareness of AI. The late Stephen Hawking summarized: "Raising strong AI will be the best or worst thing that has ever happened to humanity. We don't know yet. "

## Appendix

***Timeline of artificial intelligence milestones*** (Bonnie G. Buchanan PhD (2019): *Artificial Intelligence in Finance, the Alan Turing Institute*).

1937 Claude Shannon proposes that Boolean algebra can be used to model electronic circuits;

1943 McCulloch & Pitts recognize that Boolean circuits can be used to model brain signals;

1950 Alan Turing develops the Turing Test;

1950 Minsky and Edmonds build the first neural network computer (the SNARC);

1956 The term "artificial intelligence" is coined by John McCarthy;

1956 Newell and Simon create the Logic Machine;

1957 Economist Herbert Simon predicts that computers would defeat humans at chess within the following decade;

1958 Frank Rosenblatt introduces a new form of neural network known as "perceptron";

1958 Early genetic algorithms experiments;

1959 Arthur Samuels demonstrates that a computer can play checkers better than its creator, and even play against itself to practice;

1961 Newell and Simons creates General Problem Solver;

1964 Computers understand natural language enough to solve algebraic and word problems;

1965 Herbert Dreyfus' report severely criticizes the emerging AI field;

1967 Marvin Minsky predicts that within a generation the problem of creating "artificial intelligence" would be solved;

1969 Bryson and Ho develop a back propagation algorithm;

1971 Terry Winograd's program SHRDLU answers questions in natural language;

1973 UK Lighthill Report ends British government support for AI research;

1974 – 1980 First "AI Winter";

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1980 Expert Systems, or Knowledge Systems, emerge as a new field within AI;

1980s Early part of decade – Benioff and Feynman create Quantum Computing;

1982 Plan Power is conceptualized by Applied Expert Systems (APEX);

1982 James Simons starts quant investment firm Renaissance Technologies;

1984 American Association for AI coins the term “AI Winter”;

1987 Personal Financial Planning System (PFPS) used by Chase Lincoln First Bank;

1987 – 1993 Second “AI Winter”;

1988 David Shaw founds D.E. Shaw and is an early adopter of AI among its hedge funds;

1990s The AI industry shows renewed interest in neural networks;

1990 Neural net device reads handwritten digits to determine amounts on bank cheques;

1993 FinCen puts FAIS (its AI system) into service to monitor money laundering;

1997 Deep Blue defeats Garry Kasparov, world chess champion at the time. IBM's stock price increases by \$18 billion;

2005 The DARPA 132-mile challenge sees AI applied to autonomous driving;

2007 The DARPA Urban Challenge;

2009 Google's first self-driving car;

2010 Flash Crash occurs on 6 May. In 36 minutes, the S&P crashed 8%, before a rebound;

2012 On 1 August, Knight Capital loses \$440 million 45 minutes after deploying unverified trading software;

2014 Man Group starts to use AI to manage client money;

2016 Google's DeepMind AlphaGo applies ML algorithms to win at international Go championship;

2017 Two Sigma hedge fund which uses ML, crosses the \$50 billion in assets under management;

2017 Beijing announces plans to lead the world in AI by 2030;

2018 UBS announces development of recommendation algorithms;

2018 The Merkel government announces €3 billion will be spent on AI capabilities;

2018 President Macron announces that all algorithms developed for government use will be made publicly available;

2018 Alibaba announces plans to bring AI chips to market the following year;

2018 MiFID II takes effect;

2018 GDPR takes effect on 25 May;

2018 Baidu becomes the first Chinese tech giant to join a US led consortium on AI safeguards.

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## Social Skills for Students in Helping Profession Working with Groups Under Risk

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### Abstract

The lack of comprehensive information concerning the social skills of students in helping professions (psychologists, social workers, pedagogues, and special educators) imposes an important task for educational trainers. Students in training should learn appropriate communion skills for working with diverse vulnerable clients and communities in order to have adequate response to those in need. The data presented in this paper were obtained with use of qualitative and quantitative methods to measure empathy, altruism, and assertiveness in 450 psychology, pedagogue, social work and special education and rehabilitation students (IRI Index of interpersonal reaction, Davis, 1996, Scale of altruism, Raboteg-Šarić, 1993 and Scale of assertiveness, Zdravković, 2004) The results showed that there is a positive relation between the level of empathy and altruism, and a negative relation between the level of empathy and assertiveness in students. In addition, there are significant differences in the birth order, gender, year of study, the quality and the quantity of the education in the field (practical work) that they have participated in during the studies. The obtained results cannot be generalized to all helping professions because of the sample limitation, but they are significant for seeing the current state in regards of the examined characteristics and for building a strategy for their improvement. At the same time, the results present a significant indicator that confirms the idea of redesigning the current study programs that would provide opportunities for the present students to get the needed competencies for providing their professional success.

**Keywords:** social skills for students in helping profession working with groups under risk

### Social Skills for Students in Helping Profession Working with Groups Under Risk

We live in times of change that cannot be stopped and that cause people to function differently, which can range from very effective to extremely ineffective. In conditions of economic collapse, lower living standards, limited employment opportunities, opportunities for adequate youth development are diminished. Also, the twenty four hour subsistence competition and overwork cause the need to communicate with competent individuals who can provide assistance and support. As such stand out members of the auxiliary professions, who in addition to theoretical readiness and expertise, are required to possess certain personal characteristics and specific skills for working with people. Supporting professions include social workers, psychologists, pedagogues, special educators, educators, experts working with people with disabilities, sociologists, educators and health professionals. In order to be successful in providing professional assistance, these individuals need to possess certain characteristics such as good communication skills, conflict resolution skills, mediation, emotional stability and balance, mental and emotional maturity, good self-control, management ability, own impulses, knowing and accepting one's own needs, desires and attitudes. These individuals also need to have the skills to recognize the situation of others, to care for others, and to be prepared to provide assistance. Among these skills and characteristics, empathy, altruism and assertiveness are the most essential for success in the support profession.

Many times in life people, especially members of the auxiliary professions, whether in the private or professional field, can be exposed to discomfort. In such situations, adequate social behavior and communication with others is necessary. In

those moments, a person's legal rights may be compromised, manipulated, labeled, or exploited psychologically and materially. In order to have an equitable relationship in a relationship, it is up to the man to find a way and fight for it. However, he needs to know how to handle it properly, how to govern himself, and how to express it.

#### Social skills

The most common understanding is that social skills are those skills that we use in interaction with other people on an interpersonal level (Hargie, Saunders, & Dikson, 1994). According to Phillips (Phillips, 1978), a person is socially adept at communicating with others, in a way that fulfills their rights, demands, obligations with others. In addition, this person is prepared to share rights and requirements openly and without limitation.

The following definition defines social skills as specific components of the processes that enable the individual to behave in a way that will be judged as competent. Skills are the skills necessary to trigger behavior that will lead to the achievement of a goal that is part of a given task (Schlundt & McFall, 1985). These definitions highlight the macro elements of social behavior in terms of reciprocity or reciprocity. Skills are skills that can be developed to a greater or lesser degree.

The review of the world literature on the relation of emotional intelligence, as well as the previously stated results of research on these constructs, concludes that the purpose and need for research of this kind in our country is multiple. Although it is a relatively new dimension, the literature on emotional intelligence is extensive and is one of the most explored variables that is attracting the attention of world researchers interested in contributing to greater life satisfaction, psychological adjustment, stress management, and improvement. work performance and the like. In these areas, interest in the contribution of emotional intelligence to daily functioning is currently growing, but research is lacking to empirically examine the contribution of perception, understanding, and regulation of emotions to life satisfaction, psychological well-being, and emotional well-being. self-confidence. We therefore hope that our research will serve as a starting point for further research in this area.

#### Problem being investigated

The problem in this research is to determine whether students in the support professions have the necessary social skills to work with at-risk children.

#### Subject of research

The main subject of this research is the social skills students need from support professions to work with children at risk. This research should give a picture of the possible differences between students in terms of gender, year of study, study group.

#### Respondents

The research was conducted on a sample of 134 respondents, students of assistive guidance.

The final sample of respondents on which the data were processed consisted of 52 male and 82 female respondents. The condition that had to be met for the questionnaires to be processed was the number of omitted responses. If the total number of omitted responses on all scales was less than 6, the questionnaire is eligible for data processing. The omitted item was assigned the mean of the corresponding scale as indefinite. But if one of the tests was completely omitted then the questionnaire was not included in the processing. The age of the respondents ranged from 19 to 25 years.

#### Instruments

##### TMMS-30

The inherent meta-mood scale (Trait Meta-Mood Scale; TMMS; Salovey, Mayer, Goldman, Turvey, & Palfai, 1995), which is based on the Salves and Meyer model is a measure of self-esteem that touches on what researchers call Perceived Emotional Intelligence (PEI) or the knowledge that individuals have of their own emotional abilities as opposed to real or mental capacity. It measures three aspects of the thought processes that accompany mood states called meta-mood experiences. These are: Perception (the perceived ability to pay attention to one's own emotional states); Clarity (perceived ability to clearly distinguish feelings) and Emotional Regulation (perceived ability of the individual to regulate one's own emotional states and to "correct" negative moods). It is assumed that these meta-mood dimensions reflect a three-stage functional sequence. Specifically, it is assumed that (1) some degree of attention to emotions is required (2) for a clear

understanding of emotions and, consequently, (3) that capacity to regulate negative moods and emotions will not be possible without some degree of emotion. emotional clarity. Evidence of such a proposed functional sequence was discovered using the analytical methodology (Martinez-Poms, 1997; Palmer, Gignac, Bates, & Stough, 2003).

Our research uses a shortened revised three-factor version of 30 items, which, unlike the original 48-item five-factor scale, is more practical and easier to use and interpret the results, free of those items that were low-load in previous research. As the internal consistency of the subscales remained as high in the revised version as in the initial version (perception:  $\alpha = 0.86$ ; clarity:  $\alpha = 0.88$ ; adjustment:  $\alpha = 0.82$ ) it appears that TMMS - 30 is optimal for use in the exploration of perceived emotional intelligence.

The first factor in this scale is the perception of emotions (degree of attention to emotions) and consists of 13 items of which some are positive and some are negatively connotated. Therefore, the most positive item is the item "I pay a lot of attention to how I feel", and the most negative item is "I do not pay much attention to my feelings". The theoretical range of this subscale ranges from 13-65. The second factor is labeled as clarity of emotions since its most positively charged item was "I am usually very clear about my feelings" and the most negative item was "I can't find any sense in my feelings". This dimension consists of 11 items, and the theoretical range ranges from 11-55. The last factor is labeled as mood regulation because the items that burden it primarily relate to trying to "fix" the negative mood in order to maintain pleasant feelings. The highest positive load is on the item "Although I am sometimes sad, I usually have an optimistic view". The most negative item is "Although I sometimes feel happy, I usually have a pessimistic view". The additional items relate to describing active mood-enhancing strategies. This dimension is made up of 6 items and theoretically spans 6-30.

Data were processed using SPSS statistical software version 21 on a sample of 134 respondents. The following variables are included in the processing:

1. Gender of the respondent;
2. The result of the Characteristic Meta-Mood Scale (TMMS) and individual subscales;

The basic statistical indicators for the overall results of the scales and subscales used in this study are presented and are presented in Table 1.

*Table 1: Descriptive statistical analysis of the achieved score of the variables in the whole sample:*

	N	Min	Max	M	SD	Theoretical span
EI	181	35,00	139,00	110,12	14,29	30-150
Regulation	181	8,00	30,00	22,94	4,81	6-30
Pereception	181	25,00	64,00	47,55	7,78	13-65
Clarity	181	27,00	55,00	40,05	6,36	11-55

As we can see, the measurement of emotional intelligence shows that it is a sample with a relatively high EI (on the average and high score). It also entails high regulation of emotions and differentiation between them, which is confirmed by the achievement of the subscales emotional regulation and emotional clarity of our sample. What is surprising is the high score on the dimension of emotion perception, since I expected this population to nurture a Western functioning trend that requires neglecting emotions in making life-critical decisions and focusing only on cognitive reasoning. Probably the population in this sample is still at a critical age when in contact with their emotions and, given the high score of the other two subscales (emotional regulation and clarity), involves them in decision-making and thinking, which is particularly important in a situation which requires us to make choices and helps us choose what we want, not what is imposed or socially desirable.

Gender differences of the tested variables

To check that the results of male and female respondents differ significantly, a t-test of all variables was conducted. The results are shown in Table 2

Table 2. Arithmetic mean, standard deviation, and t-test results for the tested sex differences of the individual variables.

	N		Male (N=52)		Female (N=82)		T – test		
	M	SD	M	SD	M	SD	t	Df	P
EI	110,12	14,29	109,48	11,91	110,53	15,67	-,943)	51	,350
Regulation	22,94	4,81	23,59	4,00	22,52	5,24	,488	51	,627
Pereception	47,55	7,78	44,82	7,80	49,29	7,29	-3,013)	51	<b>,004</b>
Clarity	40,05	6,36	41,02	6,22	39,44	6,41	,195	51	,846

The t-test, also known as a "student" test, is used to compare two sets of quantitative data when the data from the two samples are related in some way. In our study, data in both samples were collected in the same way, under the same conditions, with the same measuring instruments, and we can conclude that this test is ideal for comparing data obtained from male and female populations.

What can be noted from the results in Table 2 is that a statistically significant gender difference can be observed only in the variable perception of emotion ( $p = 0.004$ ;  $p < 0.05$ ).

These results indicate that the female population is emotionally more intelligent than the male population, not only because of the significantly higher score of the dimension of emotion perception, but also because it is carried alongside the male respondents in the dimensions of emotional regulation and clarity. This may have been a hypothesis for a long time, but now with increasing interest in examining emotional intelligence and its contribution to everyday functioning, it has been repeatedly confirmed. The literature on EI is now full of assumptions as to why this is the case, due to the higher achievement of EI measures for female respondents. Such a conclusion is supported by a large body of research on gender differences in emotional aspects, which show, for example, that women are more capable of decoding nonverbal emotional information (Brody & Hall, 2000), have greater emotional understanding (Ciarrochi et al., 2005), are more sensitive to the emotions of others (Hall & Mast, 2008), are more expressive and exhibit greater interpersonal competencies. In addition, we have traditionally accepted that women are more familiar with the emotional world than men and that they may be biologically more prepared to perceive emotions. Baron-Cohen suggests that these differences between men and women may be the result of the "extreme theory of male brain autism" that men tend to systematize, while women tend to empathize and use emotions more frequently than men. . All of these findings and theoretical explanations can help explain why women achieve higher EI scores, including TMMS.

Although numerous studies confirm that women are emotionally intelligent than men, most of them analyze the relationship between gender and EI only superficially. While some studies have explicit hypotheses about this association, many consider sex as a secondary goal rather than a primary variable that needs to be fully explored. However, these studies indicate that women possess greater emotional abilities, which confirms the need to consider sex as an exponential variable in the mechanisms of emotional functioning. Such a theoretical approach is problematic, as psychologists who deal with gender issues emphasize that sex itself has no exploratory power in the absence of socio-demographic variables such as age or socioeconomic status. In fact, sex always operates in interaction with other variables.

#### Correlations between examined variables

To find out whether there is a relationship between emotional intelligence and its components, Pearson correlation coefficients were calculated.

Table 3 Display of correlation coefficients between the stated variables for the whole sample of respondents.

		EI	Regulation	Pereception	Clarity
EI	r (corr.)	1	,651**	,609**	,700**
	p		,000	,000	,000
Regulation	r (corr.)	,651**	1	,067	,466**
	p	,000		,442	,000
Perception	r (corr.)	,609**	,067	1	,097
	p	,000	,442		,264
Clarity	r (corr.)	,700**	,466**	,097	1

	p	,000	,000	,264	
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As can be seen from the correlations given in Table 3, there is a strong correlation between most of the variables tested. What primarily interests me is the relationship between EI and its constructs, which is particularly important in determining the validity and reliability of TMMS. The total score of emotional intelligence in our study was associated with a strong correlation with all three components of emotional intelligence (emotion perception  $r = .61$ ; emotion clarity  $r = .70$ ; emotion regulation  $r = .65$ ; all with  $p < 0.001$ ).

Our assumption that adolescents and young adults with high expectations of their ability to understand and manage emotional experiences maintain more positive emotional states and are more satisfied with their lives.

Significant results of scientific contribution

Our research was designed to examine the association of perceived emotional intelligence.

Another aim was to determine whether there are gender differences in the correlations between the variables studied.

Appropriate self-rating scales were used for data collection for each of the tested variables.

From statistical processing and analysis we have obtained some results that replicate and confirm previous research around the world, as well as new and unexpected results. Examining gender differences confirmed our expectation that female respondents have a more pessimistic view of the world and that they pay more attention to their feelings. We failed to statistically confirm the difference in emotional regulation and ability to differentiate between feelings, although we expected male respondents to be in that category.

By examining the correlations between the individual variables we found that TMMS has a strong intercorrelation between internal scales, that is, the total score of emotional intelligence in our study is associated with a strong correlation with all three components of emotional intelligence (emotion perception  $r = .61$ ; of emotions  $r = .70$ ; emotion regulation  $r = .65$ ; all with  $p < 0.001$ ).

## Conclusion

When interpreting the results, it is necessary to pay attention to the limitations of the research. First, the data are collected from a convenient sample of students that is not representative of the population in any of the investigated variables, thus limiting the generalization of the findings. In addition, the measuring instruments used show some deficiencies, one of which is self-assessment. This makes it especially difficult to make statements about one's own feelings, since one is often unaware of how one feels or is reluctant to come up with one. The data collected is based on the respondents' own statements, so that the answers may also be influenced by social desires. In the future, the use of a measuring instrument which in addition to intrapersonal, includes interpersonal dimensions, or the use of an EI capability test, such as MSCEIT, could be considered.

Another disadvantage is the sample size and the unequal distribution of male and female respondents. Namely, research of this kind in the future should be conducted on a sample of more respondents and equal number of male and female respondents for a more reliable comparison of sex differences. One has to take into account the fact that it is a correlational research that does not explain the causal relationship of the variables.

For a more detailed explanation of the variance in life satisfaction, I propose to incorporate the variables of material and marital status in the future, and possibly the level of education as exploratory variables. In doing so, the data from this research can serve as a basis for further research.

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## ESP Experience and Teaching at Polytechnic University of Tirana

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### Abstract

This paper is based on treating several issues related to observing proficiency of English Language for Specific Purposes at Polytechnic University. It presents the findings and analysis on how English for Engineering and Technology Students can be taught so that to develop not only language proficiency, but also technical skills and competences. The research provides certain answers to some of the relevant questions: How can they acquire their knowledge and skills for their future work? Do students have the required professional competences for the market? Do the programmes and content of the curricula meet the standards and requirements of the development for the new on-going technology? The research aims to differentiate between these potential determinants by asking respondents on their needs in order to link the findings to technological specifics and impact within ESP education. The research concludes, into some recommendations linked with implementation of the principles on ESP competence and skills at the Polytechnic University for further improving teaching methods, materials and techniques in order to develop the professional competences in parallel with linguistic and technical skills.

**Keywords:** needs, requirements, curricula, competences, linguistic skills

### Introduction

During the last 29 years of Albanian democracy, scientific progress and technological innovation have imposed a profound influence on English learning needs and competences. At present, globalization in engineering education and research is currently a tangible reality, in Albania; so the future engineers and university academics should be able to correctly communicate and acquire professional English with the aim to consolidate their abilities and skills to better develop and implement the innovative techniques and technology in the country. This research paper was initiated as part of a Study entitled "Quality Assurance in Higher Education", and was further on conducted by Foreign Language Centre to identify the language needs and requirements of students at Polytechnic University. The English language curricula have been constantly updated and reviewed based on the feedback gained from the students, teachers and consultations with other University Faculties, Departments and relevant stakeholders.

From its establishment, since 1992, the Centre of Foreign Languages has been delivering English Language and Teaching Courses to all students from 25 different academic Departments and Centres at the university. These departments are grouped into seven Faculties within PUT.

Within the University entities, the Centre appears to be unique, as it extends the English teaching and activities through the entire university, (PUT) where the students are considered as the most important factor and source to the development of curriculum and programme design. The approaches as described in the curricula are considered most likely to bring about changes in the significance of English language on one hand, and in the specific knowledge, skills and acquisition of professional resource materials on the other. They are most likely to contribute to strengthening the professional competences with the ultimate objective focusing to a great extent, on English competence and performance gained at the university. The English Language cannot be considered just a simple 'added material or subject' to the regular curriculum guidelines, but it needs to strike and "encompass the learning environment" as a whole, responded 100% of the teachers of English at the university. The English language is considered as one of the important indicators which play a role to the "future developments in the society", responded 85% of the students at Polytechnic University of Tirana.

## Problems of Research

The study is based on a concept which requires for a greater concern and change in the teaching trends, methods and strategies, paying special attention to consolidating students' English proficiency for future responsibilities and undertaking. The baseline research involved seven Faculties of Polytechnic University and aimed at surveying through the questionnaires "the problematic areas in ESP teaching and learning".

In terms of the students' needs, the study was intended to determine its goal and objectives, its activities and outputs by putting light onto the attitudes and perceptions of students and teachers within the seven Faculties of Polytechnic University about English for Specific Purposes (ESP) and explore the use of methods and application of strategies for developing it further.

No.	Polytechnic University	Students
1	Faculty of Architecture	19
2	Faculty of Civil Engineering	20
3	Faculty of Information Technology	18
4	Faculty of Mechanical Engineering	16
5	Faculty of Electrical Engineering	15
6	Faculty of Mathematics Engineering	14
7	Faculty of Geology and Mines	17
	Total	119

Table 1 Number of students at Polytechnic University per Faculty

### *Research Focus*

In the ESP teaching domain, as an imperative process and activity, the university consolidates and promotes English language competence and linguistic skills through the professional texts and materials. The study-survey was based on two analytical issues:

- 1) perception and needs of ESP;
- 2) teaching text-books and methods which promote professionalism through ESP.

## Methodology of Research

### *General Background of Research*

English for Specific Purposes (ESP) at the university is not taught as a subject separated from the students' real expectations or wishes; it is integrated into a subject matter area which helps to the further consolidation of English skills in their specific fields of study.

Technical subjects varying from Architecture to Civil Engineering, from Computer Science to IT Engineering, from Mathematics Engineering to Chemical Engineering etc. make the English language to be mainly focused on language teaching and activities into the contextual subject matter, rather than on teaching grammar and language structures.

### *Sample of Research*

The sample consisted of 119 students of Bachelor Degree (Tab.1) and 20 teachers who teach ESP at the university. All students and teachers were invited to participate in the survey. For the purposes of the research, only 20 students were interviewed who had excellent learning results aiming to collect a more detailed information and feedback on open ended questions.

### *Instrument and Procedures*

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All the teachers and students filled in the questionnaires comprising questions related to perceptions of methods and programmes of English language and their attitudes.

The ESP teachers completed a questionnaire composed by two sections: in the first section questions were asked on methods and curricula conception, and in the second one, questions were asked on relationship between English language and students' future profession.

#### *Data Analysis*

The initially performed analysis, provided a lot of information on most sensitive issues which need to be improved and upgraded in the prospective research and programmes that can be launched and developed within particular faculties. The content analyses were carefully observed to present perceptions on needs and expectations from ESP, which include several basic elements of teaching and learning, emphasizing on the particular terminology and vocabulary of the field in which the students attempt to be active and participatory respondents.

The research was also focused on the students' opinions, teachers' concerns and the market requirements. It was highlighted that the teaching which combines subject matter with English language in the students field of study may:

- 1) improve the ability to read English materials;
- 2) improve students' speaking;
- 3) encourage faster learning and acquisition of English;
- 4) upgrade efforts to achieve the required skills, knowledge and competences, so necessarily vital for a successful life and career prospects in community business markets.

However, there is no place to wane and give up from the attempts and work to reassess the situation, hence we have already started the adjustments and appropriate steps into our new Study-Programmes for Master Levels of English at PUT according to CEF<sup>1</sup> by extending the term-duration and frequency of the English modules, by further consolidating and introducing Academic Writing and Research with the follow up of achievable teaching and learning outcomes.

#### **Results of Research**

The research findings presented the following results which should be taken into consideration during English teaching process at the Polytechnic University:

- 1) teaching practices that encourage students to reflect interactive learning techniques;
- 2) opportunities to positively interact with diverse foreign peers who may develop a good command of English proficiency in specific fields and
- 3) possibilities for perspective undertaking in different scientific sessions and assignments in English language domain.

#### **Discussion**

##### *Perceptions, Recent Practices and Experience at PUT*

It is explicitly evident that students of a global society need a strong command of English language to help them succeed in their future career and orientation. The number of people who speak it, either as their mother tongue or as a second or foreign language, has increased more than 40%, since the 1950s (Crystal, 1989); and it is the official or semi-official language in more than 60 countries over the six continents (Medgyes, 1994).

The constant and pressing need for the university to work towards students who meet and exceed the requirements of their chosen field of study, has contributed to the design of an English communication programme and modules for the engineering students at university.

In the light of Albania's strategy towards EU Accession and Integration, the vision of globalization and out-bursting spell and dominance of English as "Lingua Franca", namely the Government, more precisely, the Ministry of Education, Sports

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<sup>1</sup> CEF (Common European Framework for Languages from the Council of Europe), orientations and guide.

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and Youth issued out an “Ordinance”, stating that the “Institutions in Higher Education have to determine the International Levels of English Language Acquisition with the follow up of Procedures for the Accomplishment of International Exams according to CEF for the Study Programmes: Professional Master, Master of Sciences and PHD”.MES, Ordinance no.14, 28.03.2011 and the other following Ordinances: no.52 dated 3.12.2015, no.5 dated 16.02.2017, no. 11 dated 10.04.2017, no.20 dated 22.09.2019.

In view of this, the centre developed and built some new concepts and orientations not only for the Tertiary Education, but highlights on the necessary adjustments in the Secondary Education as well. Hence, the national and international standards and curricula aim at extending this vision on English, as an intrinsic part of the quality assurance programme reviews, into the designing of the future programmes and materials.

The centre revised and adjusted the programmes in English Teaching and Research, by reconsidering the total workload for English with reference to the number of ECTS<sup>1</sup> awarded to English as a subject, by every particular department of the Polytechnic University. In addition to module contents, regarding contact hours, self-study hours and interactive hours, it has to be considered as an emerging hindrance and reflect upon the course duration and annual uniform extension of English classes into various Branches of Departments within Faculties by highlighting the positive experience and practice; presumably, laying emphasis on certain developments within few Departments in which English is not brought up to the required vision and level; the pinpoint stands for unification and standardization of ECTS among various Departments and Faculties within PUT. Moreover, with the focus to assess more the integrated skills for the students, ESP teachers think to pay more specific attention to students` competences and critical awareness. Most likely, in a multi functional approach, referring to the scope of activities and challenges of profession, ESP teachers resemble more as “ESP practitioners” as Swales defines them, by describing their roles and functions (J. Swales, 1985). Therefore, a long challenging way stands ahead in the future developments and efforts for ESP at Polytechnic University.

#### *Students` opinion*

100% of the students pointed out that they are highly motivated due to their ability to learn in their main field of study.

80% of students support the idea that their interest in their field will motivate them to interact with different foreign speakers, peers and professional texts.

95% of the students think that the use of vocabulary and structures in a meaningful context, improves English language skills.

95% of students support the idea that ESP at Polytechnic University should emphasize the reading skills.

90% of them think that they are able to use what they learn in the ESP classroom, right away in their work and future studies.

#### *Teachers` opinion*

100% of the ESP teachers think that by providing to the “students assignments on enticing topics” and using the linguistic skills, together with a strong interaction within the class environment and setting, would improve ESP teaching methods and approaches.

“Fluency performance in the English language” is seen as an opportunity in the Engineering Field to move towards` becoming a global engineer` told 95% of the university teachers.

100% of ESP teachers pointed out that more attention and diligence should be paid to intellectual objectives of learning English by encouraging students to “independent research work and critical awareness”; the idea here is to process the information from any professional text into a short summary, concentrating on the main idea and on students` attitude. The idea stands in line with Rivers` remark: “Students achieve facility in using a language when their attention is focused on conveying and receiving authentic messages, that is, messages that contain information of interest to speaker and listener in a situation of importance for both”(Rivers 1988).

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<sup>1</sup> ECTS is European Credit Transfer System

100% of teachers highlighted that "independent materials need to be organized" so as to provide consistency in "developing creative skills" in a way to get rid of traditional thinking and learning. 100% of ESP teachers consider critical thinking as an important instrument for the students to strike success towards employment opportunities and future careers.

### Conclusions

Developing and upgrading the English curricula and modules according to the latest requirements and EU standards, contributes to the global, professional integration and enhanced mentality of the students.

The content-based learning in English, consolidates professional knowledge as well.

The best way of improving the students' general level in English is by teaching students more specialized communication skills.

The feedback of researchers into the teaching process, empowers in improving English teaching approaches and strategies.

Raising students' awareness towards the importance of the processes and strategies involved in ESP learning helps them to decide which fits better for their learning efficiency.

Team competences and critical thinking, consolidate the research and integrated skills.

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## Preliminary Hearing Judge

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### Abstract

A new figure in the judicial system was foreseen in the legal amendments undertaken in the Code of Criminal Procedure, by law no. 35/2017, in the framework of the Justice Reform. The Code of Criminal Procedure has been changed in various aspects, including in here the changes that are related with the subjects of the criminal proceedings. I have previously set out what are the problems that emerged in the criminal process in general, and in the Preliminary phase of Investigation in particular, to understand the effects of this figure and the reason for it to enter into the judicial system. This preliminary investigation control based in over law now is made by the Preliminary Hearing Judge (PHJ) and the Preliminary Investigation Judge (PIJ). The main task of this article, is to determine the impact that the PHJ has had on the progress of a fair and complete criminal process, since it has been sanctioned by law and has begun its functions. On the other hand what are the issues that this subject presents regarding the functions that the law attributes and their implementation in practice? The main focus of this paper is precisely those legal provisions that have provided for the manner in which this procedural subject operates, to further understand its impact on the criminal process in general and on the preliminary investigation phase in particular. An important aspect is making an overview of the Italian law from where we are based to foresee this judicial figure. After a comparison between these legal provisions we came in conclusion of the problematics that PHJ presents. We outline, at the end of the study, our conclusions arising from the examination of the preliminary session and PHJ, as well as some recommendations that I consider necessary for the process of criminal proceedings, in the light of the changes that have taken place.

**Keywords:** Preliminary Hearing Judge, Preliminary Hearing, Preliminary Investigation, Decentralized Prosecution, Case Referral to court

### Introduction

Preliminary investigation has been subject to various problems in practice and precisely to avoid such problems and in the context of an effective fight against crime in the country, the legislature deemed it reasonable to undertake legal changes that were mainly related to the Preliminary Investigation phase and the entities that would be prosecuted during this procedural phase. One of the innovations was the introduction of the Preliminary Hearing Judge who would interact at the Preliminary Hearing stage, as an intermediate stage, which had the role of a controller of the files coming from the prosecution and needed judgment.

Undertaking such a change came as a result of the changes that occurred regarding the prosecution, the decentralization of the prosecution. Granting such independence raised the question of who would be the body responsible for exercising control over the activity of the prosecutor? Answering this question and based on previous experience of centralized prosecution, the legislature deemed it necessary to increase control at judicial level, strengthening the powers of the Preliminary Investigation Judge, as well as through the provision of a new judicial figure, that of the PHJ.

The introduction of the PHJ has been accompanied by debate among law scholars but there have been allegations raised at the constitutional level, for which the Constitutional Court has ruled. To understand the relevance of the PHJ it is important to take a brief look at the reasons for undertaking such a reform. The following is a brief retrospective on legal provisions under the Criminal P.C 1995/not amended, on Preliminary Investigation and subjects of this procedural stage.

## Methodology

In this article we have applied some methods that we considered necessary for studying this judicial figure:

Historical aspects of Preliminary Hearing Judge in the national law over the years

Analitical Methods – analyzing the provisions of procedures, highlighting the innovations and shortcomings of this judicial figure.

Comparative methodology – We have made a comparison of the provisions with the Italian law, which is the system where we have been based to implement this figure, in way to understand the problems that may have and the solutions for those problems, which we have recommended at the end of the article.

### 1. Preliminary investigation and the competent proceeding authority under the Criminal Procedure Code of 1995

A criminal proceeding goes through several procedural stages, but the most important are three: Preliminary investigation, where the foundations of a criminal proceeding are laid; judgment and execution of decisions. Particular attention of this paper will be the preliminary investigation and the subjects that interact at this stage of the criminal process. This procedural phase had a special arrangement in the Criminal P.C. The prosecution is the prosecution body of this phase which conducts investigations. The body of the prosecution is presented to us with a particular legal nature, as it has similarities with both the judiciary and the executive. It is also regulated in the Albanian constitution, which means that it is a body of a constitutional level that is not included in any of the powers, but it is considered a *sui generis* body.

The law provided the prosecution body as a centralized body/sanctioned a vertical hierarchy of the prosecution, with the higher prosecutor exercising control over the lower prosecutor.<sup>1</sup> As can be observed, such a provision was sanctioned not only legally but also constitutionally. Regarding this hierarchical relationship, the Supreme Court has also ruled, which in the unifying decision no. 04, dated 14.12.2002, stated that: "...Given that the prosecution is a centralized body, in the prosecution offices of the first instance courts, the highest prosecutor is the district prosecutor. The prosecutor of the appeal court a higher prosecutor in relation to that of the district court only when it comes to adjudicating cases..." Meanwhile, in the decision no. 56, dated 29.01.2001, the criminal college of the High Court stated that: "...All decisions taken during the preliminary investigation phase, both dismissal of the case and those referring the case to the court, are decisions taken by the head of the prosecution, regardless of the opinion and attitude of the prosecutor following the case. The highest prosecutor in the case is the district prosecutor or the Prosecutor General. In this sense the highest prosecutor for the district prosecutor's office regarding the reversal of his decisions is the Prosecutor General and not any prosecutor at the General Prosecutor's Office. ..."

Referring to this provision we can understand how the preliminary investigation phase worked and what problems were encountered in practice. The proceeding body during this phase, the prosecution, exercises several functions that fulfill the preliminary investigation phase, namely these functions are sanctioned in the Constitution, Article 148 and in the Criminal P.C., Articles 24 and 25, which provide that the prosecutor exercises these functions:

Exercise of criminal prosecution also mainly in cases stipulated by law;

<sup>1</sup>Article 148 of the Constitution provides that: "The office of the prosecutor exercises criminal prosecution and represents the accusation in court on behalf of the state. The office of the prosecutor also performs other duties set by law. Prosecutors are organized and operate as a **centralized body** attached to the judicial system. In the exercise of their powers, prosecutors are subject to the Constitution and the laws." Law no. 8737, dated 12.2.2001 "On the organization and functioning of the prosecution in the Republic of Albania", **Article 3** "The Prosecution Office is organized and functions under the direction of the Prosecutor General as a centralized structure, including the Office of the Prosecutor General, the Prosecution Council and the prosecution offices of the judicial system." and **3/b1**. The degree of hierarchy in the prosecution, according to the levels of organization and functioning in the centralized direction, from the highest prosecutor to the lowest prosecutor, is as follows: a) Prosecutors General Prosecutors are higher prosecutors than prosecutors of the prosecution offices at the courts of appeal and prosecution offices the first instance courts; b) the prosecutors of the prosecution offices of the courts of appeal, in the adjudication of appellate cases in their jurisdiction, are prosecutors higher than the prosecutors of the prosecution offices of the first instance courts, which belong to that jurisdiction; c) the prosecutors at the first instance courts, according to their competence, subject and land, are first level prosecutors in the prosecution. 2. Prosecutors, heads of directorates of the General Prosecutor's Office, heads of prosecution offices of the courts of appeal and heads of prosecution offices of the first instance courts, are higher prosecutors than prosecutors in the relevant structures where they exercise their functions..

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Conducting investigations and controlling preliminary investigations, delegating powers to the OPGJ (Judicial Police Officer);

Bringing charges in court, and representation on behalf of the state;

The right to decide not to proceed and dismiss the case or charge when the cases are provided for in the law.

Taking measures to execute criminal decisions.

The Prosecution exercises all these powers through assistance from the Judicial Police Officer, who assists the prosecution in its investigative activity.

Realization of investigations in practice presented a number of problems related not only to legal requirements but also to the lack of professionalism in conducting investigations. The legal issues consisted mainly of structuring the prosecution as a centralized body which, as a result, lacked the independence of the prosecution on the case, and consequently neglected the latter to carry out the procedural actions necessary for the case. On the other hand, all decision-making was controlled by the highest prosecutor, who had the power to overturn the prosecution's decisions, which meant that the prosecutor had no decision-making powers on substantive matters. The Code provided that:

The orders and instructions of the higher prosecutor are binding on the lower prosecutor. The higher prosecutor has the right to decide to change or invalidate decisions made by the lower prosecutor on appeal or mainly".<sup>1</sup>

On the other hand, the professional deficiency was due to the lack of knowledge of the JPO who were the first subjects to come into contact with the crime scene, to take the first investigative actions to obtain evidence, which could later disappear. This was also due to the lack of training for these subjects and this resulted in deficiencies in investigations and incomplete files being sent to the court, which would affect the fair and efficient decision-making of the judicial system. Obtaining evidence was a crucial stage in the process, as this evidence would be available to the court, but as long as the evidence was rejected by the defense because of irregularities in obtaining it, the court found it difficult to deliver justice.

Another consequence was the delay in litigation due to these problems, which would infringe one of the parties' fundamental rights, adjudication within a reasonable time, but at the same time increased the volume of files before judges. There was a high load of criminal proceedings where the offenses under investigation were of minor importance, thus making the prosecutor unable to effectively concentrate qualitatively on the investigation of serious offenses.<sup>2</sup>

With the completion of the investigative phase which normally had an investigative period of 3 months, but for special cases the possibility of extending the Preliminary Investigations deadlines was foreseen,<sup>3</sup> and proceeded with the second stage of the proceeding which is that of trial.

It is important to consider as one of the factors that influenced the reform undertaking the form of control over the investigative activity of the prosecution. There were two ways in which the control process was implemented, or we can say we have two forms of control, which were:

**First**, Administrative Control, with this form of control being due to the existence of hierarchical relationships in the prosecution structure and was performed through an appeal to the higher prosecutor.<sup>4</sup> **Second**, Judicial control carried out by the Preliminary Investigation Judge<sup>5</sup>. This form of control was limited as it referred only to complaints about actions that

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<sup>1</sup>Criminal Procedure Code of 1995, Article 24/4 and 25/5

<sup>2</sup>Special Parliamentary Committee on Justice System Reform "Analysis of the Justice System in Albania", 2015.

<sup>3</sup>Ibid. Article 324 Deadline extension 1. *The prosecutor may extend the period of investigation for up to three months. 2. Further extension, each for a period not exceeding three months, may be made by the prosecutor in cases of complex investigations or of impossibility to complete them within the extended period. The duration of the preliminary investigations cannot exceed two years. Beyond the 2-year period, in exceptional cases, the investigation period may be extended only with the approval of the Prosecutor General for up to one year, for each extension not exceeding three months, without violating the deadline of the length of detention. 3. The decision to extend the period of investigation is notified to the defendant and the injured party. 4. Investigative actions conducted after the deadline cannot be used*

<sup>4</sup>Criminal Procedure Code 1995, Article 24/5

<sup>5</sup> Ibid. Article 278 "During preliminary investigations, for cases provided by law, the court decides upon the request of the prosecutor, the defendant, the injured party and private parties. 2. All actions of the prosecutor during the preliminary investigation shall be examined by the same judge"

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were not committed by the prosecution but needed to be carried out. In practice, there is the possibility of having the decision of the higher prosecutor overturned when the appeal is being reviewed or has been reviewed by the court, due to a lack of clear stipulation in the law.<sup>1</sup>

The court had jurisdiction to hear the appeals of the parties in cases where the prosecutor could dismiss the case, a power which also extended to the criminal offenses of the type of crime, but the law did not clearly specify the court's jurisdiction over the disposition of cases where it found that the decision of the prosecutor was not well founded, and it did not specify the competence of the court to decide on the conduct of investigations and the time limits within which they should be carried out from the moment the acts were returned. The relationship that existed between these two forms of control was that it was directed to the court to exercise control and lose the right of administrative control exercised by the highest prosecutor. On the other hand, if you first exercised administrative control you had the right to later address the court as a higher instance..

Exercising control has been one of the most controversial points in practice and one of the aspects of this control was related to the adequacy of preliminary investigations so that it could be passed through the trial stage. From the analysis of the Code we find that such control was not provided by law, and therefore there was no control filter to determine whether a file/case met the elements sufficient to pass to the trial stage, i.e. could the court, with the elements in the file, to reach a just decision. Such a deficiency in the legislation had consequences that were related to the judgment and the delay of the proceedings. The prosecution, neglecting the investigation and obtaining evidence during this phase, brought about the need to obtain evidence at the trial stage which extended the trial, violated the principle of trial within a reasonable time, but at the same time posed a problem concerning the quality of the charges filed and sent to to be judged.

In response to these problems posed by the law, the legislature deemed it necessary to undertake legal changes, which substantially changed the organizational method and structure of the prosecution body, as a decentralized body, removing the hierarchical dependence that existed with the higher prosecution. The need to balance the functions of the prosecutor and the independence granted was accompanied by the creation of Preliminary Hearing Judge, whose function was to control the activity of the prosecutor during the Preliminary Investigation phase, and to evaluate preliminary investigations. Its functions are expressly enshrined in the legal provisions of the Code of Criminal Procedure, in particular Chapter IX, Articles 332 et seq.

## **2. Innovations brought about by the 2016 Reform - Preliminary Hearing Judge**

The initiation of a reform of Procedural Law in general and the preliminary investigation phase in particular came as a response to the problems posed by this phase in criminal proceedings, and more specifically these problems related to:

The way the prosecution was organized as a centralized body/vertical hierarchical relationship, which reduced the responsibility of the prosecution in the process and rendered the latter more negligent in their function, and therefore Preliminary Investigations appeared to have substantial deficiencies in the continuity of the criminal proceedings.

Lack of training of the prosecuting entities of this phase, which resulted in lack of professionalism of these entities in conducting investigations, and consequently the file is incomplete and due to the lack of a supervisory structure on the adequacy of the investigations carried out..

Ensuring a regular legal process and respecting the rights of parties to access the process.

The state of corruption among prosecutors, a phenomenon that has been highlighted by reports not only of organizations interacting in Albania such as the Albanian Helsinki Committee, but also by numerous reports prepared by the European Union.

As a response to these phenomena, it was necessary to strengthen the Preliminary Investigation phase through a number of measures, which focused mainly on preliminary investigation control. The decentralization of the prosecution body and the independence it gained based on this prediction brought about the need for intervention and the creation of a competent structure whose relationship with the prosecution would be of a horizontal hierarchical relationship.<sup>2</sup> In the context that the prosecutor did not depend on the superior prosecutor but would already be controlled by a judicial system structure, there

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<sup>1</sup>Special Parliamentary Committee on Justice System Reform "Analysis of the Justice System in Albania", 2015.

<sup>2</sup> Constitution of the Republic of Albania, as amended 2016, Article 148.

were two ways in which that control would be carried out; **first**, through strengthening the positions of the Preliminary Hearing Judge, and **second**, through the sanctioning of the Preliminary Hearing Judge, whose main function is to assess the adequacy of the investigations to take the case judgment.

The Code has exhaustively provided for the functions of this entity, which proceeds at a preliminary hearing as an intermediate stage for the process between investigation and judgment. The main function of this entity is to check the completeness and adequacy of the investigations carried out by the prosecution, to take the case to judgment. Components of this function are considered:

- Verification of the legality of the acts;
- Verifying the usability of evidence,
- Sufficiency of evidence.

The functions and powers that the law attributes to the PHJ in more detail to accomplish its mission consist of:

Examination of prosecutor's request for case referral to the court, within 10 days of submission of the request by the prosecutor, the court sets the date of the hearing.<sup>1</sup> In the course of this hearing, the court shall notify the parties 10 days prior to the hearing.<sup>2</sup> The law provides for the obligation to notify in such a case and of the victim or his/her heirs, if their identity and residence are known. In case the defendant has no defense, the court proceeds with the appointment of defense in accordance with the provisions of Article 49 of the Code of Criminal Procedure. The law provides for a legal maximum deadline for the conclusion of the preliminary hearing no longer than 30 days. Such a provision is coherent with Italian Criminal Procedure Code, where our legislation is based on.

It examines the prosecutor's request for dismissal of an indictment or case when proceeding with crimes, and we are faced with one of the conditions provided by law.<sup>3</sup> During the hearing, the victim is also informed, who has the right to make his/her own claims about the case. After considering all the evidence of the prosecutor, the court decides whether to accept the prosecutor's request or return the acts to the prosecutor to continue the investigation or formulate the request for transfer to court. In this case the parties have the same rights of appeal as in the case when the prosecutor himself has decided to dismiss the case in the case of an offense.<sup>4</sup> The defendant may appeal only the most favorable fact of dismissal of the charge or case.

It examines the appeal against the prosecutor's decision to dismiss the charge or the case for criminal offenses.<sup>5</sup> After making such a decision, the prosecutor is obliged to notify the parties, the defendant and the victim. The appeal is examined by the court in the consultation chamber within 15 days of receipt of the acts. The review of the appeal is conducted in the presence of the parties, the defendant, the prosecutor and the victim or heirs when his/her place of residence is identified and known. At the conclusion of this decision the court may decide:

Leave the decision of dismissal in force, when it considers that we are facing cases sanctioned in article 328/1 of the Code of Criminal Procedure. Appeal to this decision may be made by the defendant and the victim to the court of appeal and the latter when receiving the victim's appeal returns the acts to the prosecutor to proceed with the investigation or the request to refer the case to the court. When it accepts the appeal of the defendant, it decides to dismiss the case for a more favorable cause.

It returns the acts of the prosecutor for the continuation of investigations when they indicate that they are incomplete, specifying the directions for their concentration and, where appropriate, the actions to be carried out, and specifying the time limit within which investigations should be completed;

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<sup>1</sup>Criminal Procedure Code, as amended by Law no. 35/2017, Article 332

<sup>2</sup>Italian Criminal Procedure Code, Article 418. After the submission of the request until the hearing, no longer than 30 days should be allowed under the Italian Code, unlike our law with no longer than 10 days, a period which in our opinion is too short, thus bringing a problem with notifying the parties.

<sup>3</sup>Ibid., Article 329/a

<sup>4</sup>Ibid., Article 329/b

<sup>5</sup>Ibid., Article 329

It returns acts to the prosecutor ordering to formulate an indictment and submit a request for adjudication of the case, when it considers that the investigation is complete and that there is sufficient evidence to support the indictment. Such a legal provision has been the subject of opposition by the Order of Prosecutors of the Republic of Albania (OPRA) to the Constitutional Court, as a legal sanction which contravenes Article 148 of the Constitution, where it is sanctioned that prosecution is the exclusive competence of the prosecution and the constitution does not provide for any case where this power may be restricted. Granting such an attribute to the court leads to taking the prosecutor's powers, going beyond the controlling boundaries that the law provides for the PHJ, argued OPRA representatives. Concerning the prosecutor's powers to prosecute, the CC has stated in a number of its decisions, but in the case under review it rejected the request as unfounded by law.<sup>1</sup> We consider this decision of the CC as incorrect interpretation of the law resulting in the creation of the phenomenon of compulsory prosecution, which denies the prosecutor the right to assess the opportunity to pursue the prosecution in the specific case and consequently, a violation of his/her powers.

Granting such powers to the court violates the rights of the defendant whose position is aggravated by the fact that the law denies the right to appeal such a decision. The defendant has the right to complain equally as a victim only when he/she has the dismissal decision in force to request a more favorable cause of dismissal. In the other two cases the court recognizes the right of appeal only to the prosecutor.<sup>2</sup> In the case when the prosecutor is required to formulate the indictment, the defendant is denied the right to appeal but we consider such a provision to be unjust, as granting the right of appeal only to the prosecution is considered ineffective, based also on the decentralization of the prosecution, where the appeal filed by the prosecutor to the Appeal will be prosecuted by the prosecutor acting at the Court of Appeal and consequently the latter may waive the appeal and thus the appeal remains ineffective in guaranteeing the rights of the defendant.

It examines requests for revocation of a decision to dismiss an indictment or case at the request of the prosecutor, the victim or his/her heirs when new data or evidence emerges or is disclosed, indicating that the decision is not grounded. When making such a request, the victim shall submit and file together with the request the new evidence or facts proving the situation. The request is examined in the consultation room. When deciding to accept the request, the court revokes the dismissal decision and returns the acts to the prosecutor, who resumes the investigation.<sup>3</sup> But if the court decides to reject the claim, the victim has the right to appeal to the court of appeal against this decision. It is worth interpreting to whom the legislature refers to the concept of **new evidence** in this case. In our opinion, new evidence will be evidence that was not known at the time of the investigation and is newly revealed or reported, so we will be in the same situation when seeking a review of the verdict due to the emergence of new evidence, and not evidence which was known but due to negligence was not obtained by the competent authorities.

Examination of the appeal of the victim or the person who has filed a charge on the prosecutor's decision to suspend the investigation. The appeal is examined in a consultation room within 30 days. No appeal is allowed against the decision. When the appeal is upheld, the court decides to resume the investigation.<sup>4</sup> In this way the court does not allow the prosecutor to abuse his powers and allows the victim to seek further investigation, thereby protecting the victim's interests, as in the case where the latter complains about the prosecutor's failure to initiate proceedings.

It examines the requests of the parties regarding the invalidity of the acts or the uselessness of the evidence and where appropriate may order their repetition. The parties, at the beginning of the preliminary hearing, put forward their allegations concerning the investigation. The prosecutor first makes his statements, then the defendant, who may challenge the prosecutor's acts or demand the uselessness of certain evidence which has not been obtained according to legal requirements. The victim has the same right to ascertain whether the acts are invalid and that he/she may file a claim, either himself/herself or through the legal representative, with regard to the invalidity of the acts, or the usability of the evidence. The victim may also exercise this right in cases where the defendant files a motion for summary judgment and in this case it may be a reason for the court not to accept the summary judgment for the defendant.

<sup>1</sup>www.gjykataelartë.gov.al Unifying decision no. 02 dated 20.06.2013; www.gjykatatetuesë.gov.al decision no. 14, dated 21.07.2018, "The power of the prosecutor to ignore or dismiss a criminal case, as an aspect of its constitutional functioning of the prosecution, is in accordance with the rule of law".

<sup>2</sup> Criminal Procedure Code, as amended by law 35/2107, Article 329/6

<sup>3</sup>Criminal Procedure Code, as amended by law 35/210, Article 329/c

<sup>4</sup>Criminal Procedure Code, as amended by law 35/2017, Article 326

It expresses about the parties' allegations regarding the charge or legal qualification of the criminal fact. Both the victim and the defendant in this case have the right, through the representative, to submit their opinion on the accusation raised by the prosecutor or the legal qualification of the offense and, where appropriate, the court, when finding that the prosecutor has erred in these two respects, requests the latter to make the appropriate adjustments. At the same time, it informs the head of the prosecution office in case the prosecutor does not obey the requests of the PHJ.<sup>1</sup> Accurate determination of the criminal fact is a decisive condition on the validity of the decision of the PHJ,<sup>2</sup> but this does not imply that it is the PHJ that determines the criminal fact for which the defendant is being prosecuted, as this is the exclusive competence of the prosecutor. The right to dispose of the indictment is a key component of the prosecution's exercise of jurisdiction, which continues to be exercised at the trial, as it does not end with the conclusion of preliminary investigations. The reason for establishing this institute is to enable the prosecutor to reflect based on the available acts on the criminal fact and the accusation raised so that the file is as complete as possible.

Implementing such a provision in the code is very helpful in case law, at a time when the prosecutor is twice given the opportunity to dispose of new charges, once in the preliminary hearing and once in the judgment. This is undoubtedly considered with regard to guaranteeing a fair legal process, in terms of procedural justice.<sup>3</sup>

The Criminal Procedure Code has clearly sanctioned the cases in which a change of charge may be made, which is the same as the chapter of new charges in the criminal process sanctioned in Articles 372 et seq. of the code.<sup>4</sup> A problematic situation of this institute appears in the case of changing the legal qualification of the criminal fact following the guidance of the PHJ, if the prosecutor fails to comply with the PHJ instruction, he may, by reasoned decision, return the acts for the continuation of the investigations, which brings regress in the case.<sup>5</sup>

The Preliminary Hearing Judge, when the parties claim and when he or she deems it reasonable and generally orders the necessary investigative actions to be taken on the case, in the context of conducting thorough investigations. In this case it may also specify the direction of the investigation and the time limit within which it should complete the investigation.<sup>6</sup>

By analyzing the code in its entirety, the PHJ may also be attributed certain functions, which include, in addition to receiving the requests of the parties, such as those for summary judgment and the provision of evidence under Article 318 of the Code of Criminal Procedure, and powers regarding the assignment of medical measures. The Code in Article 46 provides that when it is found that the mental state of the defendant is such that it needs to be cured, the court, mainly, orders him to be admitted to a psychiatric hospital. Although the code does not explicitly state which court is competent to deal with such a decision, we are of the opinion that since mental incapacity may arise at any point in the proceedings, that court

<sup>1</sup> Criminal Procedure Code, as amended by law no. 35/2017, Article 332/d

<sup>2</sup> Criminal Procedure Code, as amended by law no.35/2017, Article 332/e paragraph 2 "2. *The decision is invalid when the defendant is not accurately identified, or when the requirements provided for in point (c), paragraph 1, of this article are missing or insufficient. The decision to refer the case to the court shall contain: c) the presentation of the criminal fact and its circumstances, indicating the relevant provisions of the law*"

<sup>3</sup> A. Belishta "Defendant's procedural safeguards in a criminal proceeding, through the application of a set of provisions on changing charges, seen from a historical perspective and strengthening them with amended procedural provisions", Criminal Law Department International Scientific Conference "criminal law between Tradition and Challenges of Actuality" pg. 456

<sup>4</sup> Criminal Procedure Code, as amended by law no. 35/2017 Article 332/d "1. *When during the preliminary hearing the fact is different from that described in the request to refer the case to court, another criminal offense emerges, pursuant to letter "b" of paragraph 1 of Article 79, or an aggravating circumstance not mentioned emerges, the prosecutor changes the charge and communicates to the present defendant. When the defendant is not present, the new indictment is communicated to his lawyer, who is given no more than 10 days to communicate with the defendant.*

2. *When during the preliminary hearing a new criminal fact emerges about the defendant, which is not mentioned in the request to refer the case to court and for which it should be proceeded mainly, the court allows the communication of the charge for the new fact, when the prosecutor submits a request and the defendant consents. Otherwise, the court returns the prosecutor acts related to the new charge and notifies the chief prosecutor.*

3. *When during the preliminary hearing it turns out that the legal statement of fact is incorrect, or when the charge is not clearly and correctly worded, the court invites the prosecutor to make the necessary corrections. If the prosecutor does not act, the court decides to return the acts. This decision is notified to the chief prosecutor.*

<sup>5</sup> This case would be problematic and because after the investigation it is the same judge who returned the acts who will consider the second request of the prosecutor, in case the prosecutor did not follow the instructions of the PHJ, it would bring the process into a stalemate, a "silent conflict between the parties".

<sup>6</sup> Criminal Procedure Code, as amended by law no. 35/2017, Article 332/c

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operating at that stage should be competent. Such a conclusion is also reached by the fact that in paragraph 3 of this provision it is provided that when incapacity appears to us during the Preliminary Investigation, the prosecutor asks the Court to authorize the hospitalization of the defendant to a psychiatric hospital. This paragraph in conjunction with Article 278 where the competence of the PHJ is provided, it results that during this phase the PHJ who is competent for the Investigation phase decides. The same logic should be followed if the incapacity is shown to us during the Preliminary Hearing, with the power to decide lying with the PHJ.

By analyzing the functions and powers of this figure, we can come to some conclusions about the advantages and disadvantages of the PHJ:

*Firstly*, it gives you the opportunity to challenge the evidence obtained in the investigation by seeking the uselessness or invalidity of the act.

*Secondly*, it provides the defendant with the opportunity to exercise effective defense, since at this stage you can examine the evidence of the preliminary investigation, without going through the judgment. It thus guarantees the time needed to set up a defense strategy.

*Thirdly*, access to evidence orientates the credibility of the charge but at the same time directs the search for the application of special judgment when it finds that the evidence is strong and seeks in this case the benefits that special judgments can bring.

*Fourth*, it obliges the prosecution to identify its weaknesses and directs it to the necessary investigative actions it needs for the process. This way it guarantees thorough investigations.

*Fifth*, the recording of the hearing may serve as evidence judgment phase.

*Finally*, the subject of a judicial dispute may reveal little about the defense strategy and orient the charge on how it should act in this case.

We can say that in many cases what constitutes an advantage for one party is a disadvantage for the other. But no one can deny that at present the legal framework has made an effective adjustment having regard to the parties' relation to guarantee the most effective means of dealing with them.

The PHJ performs its competences through a certain standard of proof. The **standard of proof** is the level of evidence required in a legal action to convince the court that a particular allegation is true.<sup>1</sup> Three types of standards apply to a criminal proceeding throughout its development; the standard of reasonable doubt that the court applies in determining the precautionary measures; The standard of judgment beyond any reasonable doubt, when the court has the guilt of the defendant; and the standard of proof adequacy that the PHJ applies.<sup>2</sup> The latter through this standard disposes of passing the case for judgment or not, based on the totality of evidence available until the preliminary hearing. It assesses whether the court of appeals based on this evidence is able to reach a verdict on the guilt or not of the defendant, if he/she then refers the case for trial, otherwise he/she may return the acts to the prosecutor and request for the conduct of further investigation.

Of particular importance in dealing with the competences of this subject is the relationship that this subject has with some special adjudications, namely **judgment in absentia** and summary judgment.

The judgment in absentia is an institute which was provided in Criminal Procedure Code with the legal changes undertaken. The anticipation of such a trial came as a result of the issues arising in practice where the defendant was tried without knowledge of the criminal proceedings against him/her. In this way he/she was denied the right to effective defense.

An effective means of appeal was not guaranteed for this category of persons so that it could challenge the decision taken in absentia, a problem for which Albania has often been subject to ECHR decision-making.<sup>3</sup>

In the context of our work, a problem that may arise in practice relates to the judgment in absentia of the defendant and the request for review. Is the defendant entitled to seek summary judgment and where to file it? When the accused person is

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<sup>1</sup>OSCE "Analysis of the Criminal Justice System in Albania, Report on the Development of a Fair Trial Program", 2006

<sup>2</sup> Criminal Procedure Code, as amended by Law no. 35/2017 Articles 228, 4/2

<sup>3</sup><https://www.echr.coe.int>, see Shkalla against Albania; Caka against Albania; Izet Haxhia against Albania.

not present (in absentia), the court proceeds with the adjournment of the trial for one year in order to carry out the relevant search actions of the person. This procedural remedy provided the defendant with a guarantee that if he/she would appear within this time limit, he/she could benefit from the summary judgment. But even in this case if, despite the searches, the person is not found and fails to know about the process, the court proceeds with the revocation of the suspension decision and refers the case to trial,<sup>1</sup> consequently the absent defendant was again denied the opportunity to benefit from the summary judgment.

In the case of a defendant in absentia, it is presumed that the Preliminary Hearing phase has been exhausted and consequently when the defendant appears and requests a review, for one of the reasons set forth in the Code,<sup>2</sup> we no longer have a preliminary hearing. Such an arrangement denies the right of the sentenced in absentia to benefit from the summary judgment, as long as this case is not included in the cases provided for in Article 403/1 for the submission of the request at the hearing.

A person tried in absentia has been denied the right to an effective defense as long as he/she was unaware of the criminal proceedings against him/her. And the request for review is provided as a necessary tool to guarantee individuals' rights to due process. Once a request for a review is received and the case is returned for retrial, only an obligation for the retrial court arises and it is to restore the defendant to the same situation it would have been if it had been duly notified of the proceedings against him.

In such cases, the court shall guarantee to the defendant all the rights he enjoys under the legal acts which are part of the legal order of the Republic of Albania, without limiting any right, including the right to seek summary judgment. Otherwise the appeal remedy, the request for review would not be considered an effective remedy, this being referred to the jurisprudence of the CC,<sup>3</sup> which is in line with the ECHR's decision-making. The latter has stated in relation to Albania that:

*...The refusal to resume proceedings in the absence of the defendant, without indicating that the defendant waived his right to be present at the trial, was found to be a "flagrant denial of justice", making the proceedings "openly in contravention of the provisions of Article 6 or the principles expressed therein" ... 70. The Court reiterated its findings in other decisions too that when a complainant was convicted in violation of his rights guaranteed by Article 6 of the ECHR, the most appropriate form of redress would be to make the complainant, as much as possible, be placed in the position that would have been had this provision been respected.* **(see Izet Haxhia against Albania).**

Although the practice is oriented towards accepting summary judgment requests, in the case of trials in absentia, we are of the opinion that appropriate intervention should be made to establish the judgment in absentia, as one of the cases of Article 403/1, where the summary judgment request may be presented at a court hearing and not a preliminary hearing. Such a provision would avoid any possible future abuse by the authorities of the defendant's right to a summary judgment. Another way is to apply the judgment in absentia in the same way as in the Italian system, where the suspension is made at the preliminary hearing stage and resumes only in the cases provided by law.<sup>4</sup>

The introduction of the preliminary hearing as an intermediate stage, as an example of the Italian system, has been considered an important element for the system as it improves quality and completeness of adjudication in criminal proceedings. But is it necessary to apply this stage in any circumstance?

<sup>1</sup> Criminal Procedure Code, as amended by Law no. 35/2017, Article 352/1

<sup>2</sup> Criminal Procedure Code, as amended by Law no. 35/2017, Article 450, see Article 352/ judgment in absentia.

<sup>3</sup>www.gjykatakushtetuese.gov.al Decision no. 64, dated 16.10.2017 stating: "The Court, referring to the jurisprudence of the European Court of Human Rights of the ECHR with regard to the interpretation of Article 13 of the ECHR, which clarifies the content of the term "effective complaint", has stated that it is important to determine that a range of remedies, by case, are available to the individual and if they provide him with real opportunities to settle disagreements effectively. In this regard, it has been identified that one of the criteria that must be met in order for an appeal to be effective is that the remedy provides clear and secure opportunities for reinstatement of the infringed right"

<sup>4</sup>Italian Criminal Procedure Code, Article 420 bis, 420 quarter, Article 420/2 quinquies, provides that "the PHJ will revoke the order of trial suspension: if the accused is found after searches; if in the meantime the defendant has appointed a lawyer; in any other case where it is certain that the accused is aware of the proceedings against him; if a judgment act is to be submitted in accordance with Article 129/b being in the condition of granting a cessation order".

In order to understand the answer to this question we must remember once again the main purpose and function of the PHJ, which is to check the adequacy and completeness of the preliminary investigations. In cases when it is not necessary to carry out this control, there are also cases when the **preliminary hearing can be avoided**:

- Direct judgments. The Code has clearly sanctioned the conditions under which direct prosecution may be sought by the prosecutor.<sup>1</sup> At the heart of a direct trial is the basic condition for a preliminary investigation to be complete, which means that there is no need for further investigation. Since this form of adjudication completely eliminates the preliminary investigation, it results that the PHJ is not involved at all as part of the process and the case goes directly to judgment.

- Case of the prosecutor's decision to dismiss the criminal case, when proceeding for criminal contravention. One of the powers of the prosecutor is to decide the dismissal of a case where it constitutes criminal contravention.<sup>2</sup> In this situation we do not address the PHJ at all, except when the victim or the defendant addresses him with an appeal against the prosecutor's decision.

What comes up for discussion is what happens when the court accepts the victim's complaint and returns the acts to the prosecutor and orders the prosecutor to formulate the request to bring the case to trial. Could the same judge then adjudicate the prosecutor's request to have the case brought to court, and would we have incompatibility of functions? In our opinion, we are not in a state of incompatibility, as the PHJ, as we said, does not make a thorough verification of preliminary investigations. As a result, from the interpretation of the provision it turns out that it is the same PHJ who will also consider the request for the case to be referred to court.

- Filing of application for approval of Criminal Order<sup>3</sup>. In cases where the prosecutor proceeds with criminal offenses and considers that it is not necessary to apply the prison sentence, he asks the court to approve the criminal order, which determines the sentence that is applied to the defendant, with a fine as the main punishment. During this special adjudication the PHJ does not interfere and the order is approved by the Judge of judgment. Against his decision, the appeal is re-filed with this court and, if this appeal is accepted, proceeds to ordinary trial. The provision is made in such a way that when a criminal order is approved, the court examines issues of judgment such as the proportionality of the sentence, elements which fall outside the jurisdiction of the PHJ.

The legislation has only sanctioned 3 cases in which we may have avoidance of the preliminary hearing, but in our opinion this should have been applied to other cases too. Taking the type of criminal offense as a criterion, which does not represent a complexity in the conduct of investigations, they do not therefore need to be examined by a judicial authority. It should be emphasized that one of the aims of the sanctioning of the PHJ has been to avoid delay in processes and if we apply this institute in any criminal proceeding, we would lose one of the purposes for which this judicial instance was sanctioned.

## CONCLUSIONS

The undertaking of legal reforms in recent years, having as reference/guidance the Italian legal system, brought about a number of changes in the organization and functioning of legal structures operating at each stage of criminal proceedings. As part of the implementation of the separation and balancing of powers, the manner of the organization of the prosecution was completely transformed, which has led to an increase in the efficiency of the prosecution and consequently an increase in the fight against crime.

The new legal framework serves to apply the rights of the parties to the process and has opened a new path for criminal proceedings. Granting control powers to the prosecution activity by raising it to a judicial level in a horizontal relationship between the two structures will avoid the various abuses that have so far occurred in practice and bring about more effective justice.

We can say the PHJ has brought a number of positive developments to the process, reducing the duration of an adjudication by submitting as thorough a case as possible to adjudicate.

Despite the positive aspects of this figure, it should not be forgotten that the legislator in a series of steps, attempting not to copy paste the Italian legislation, has caused a number of problems which may affect the rights of parties to the process. A typical example is the case of adjudication in absentia and the defendant's right to benefit from special adjudication.

<sup>1</sup> Criminal Procedure Code, as amended by Law no. 35/2017, Article 400

<sup>2</sup> Ibid., Article 328

<sup>3</sup> Criminal Procedure Code, as amended by Law no. 35/2017, Article 406/a

These claims only appear at a preliminary hearing, but while the person is tried in absentia, he/she loses such a right, thereby denying him/her the right of access to court and trial in due process. This problem should not have an immediate solution so long as we have neither the Supreme Court, to unify the practice of interpreting the provisions, nor the Constitutional Court, to express on the constitutionality of these provisions.

The PHJ has a range of powers ranging from expressing a cessation of a case in cases of crimes when the prosecutor requests it or when finding that we are in a cessation condition sanctioned by Article 328 of the Code of Criminal Procedure. The introduction of such an intermediate phase has brought about a new legal framework, in view of improving criminal proceedings.

It turns out that the functions of the PHJ are set out in all the legal provisions of the Code of Criminal Procedure. As a consequence, we need to be careful when analyzing and studying them in practice. The establishment of this judicial figure serves the realization of judicial control over the Preliminary Investigation phase, in addition to that carried out by the PIJ (Preliminary Investigation Judge). It has consequently brought about more thorough investigations and more effective justice, where the parties have a range of remedies to seek their rights, and to avoid abuse by state authorities.

## RECOMMENDATIONS

At the end of this paper we consider it necessary to make some recommendations regarding the PHJ and this stage of the criminal proceeding, including its method of operation.

It is important that in its judicial activity the PHJ is concise in applying the relevant legal provisions and making decisions applying the standard of adjudication, which is that of sufficiency to adjudicate. It is important to consider all the claims of the parties at this stage of the proceedings by referring to law and evidence.

From the analysis of the provisions we are of the opinion that the legislature should proceed with the relevant changes regarding the judgment in absentia, and include it in one of the cases where the requests for special trial should be foreseen at the preliminary hearing stage. Such an adjustment is necessary as long as both the SC and CC are unable to comment on the case because of the current impasse.

In our opinion, the power of the PHJ to return the acts to the prosecutor and to request the formulation of the indictment is in contravention of the constitution, and the CC in its decision-making should have expressed by decision on this as it infringes the prosecutor's exclusive competence to carry out the criminal prosecution.

The legislature must be coherent in their legal provisions and undertake legal changes related to Article 334 of the Code of Criminal Procedure, "request for summary trial", in order to comply with the new sanctioned provisions. It should avoid the abuses and discretion of the courts in assessing cases by avoiding the contradiction between the legal provisions.

Concerning the right of appeal in the case of dismissal of the case by the prosecutor or the PHJ, we consider that the legislature has not made an accurate provision of this right to guarantee the access of the defendant and the victim to the process. The right of appeal of the defendant is not always exercised, and moreover this right is related to the status of the defendant, which limits the right of appeal of the person under investigation in those cases where the dismissal of the case is decided by prosecutor. In such a situation the person against whom proceedings have been instituted does not necessarily have the status of a defendant. We consider such a provision to be in contradiction with the unifying decision no.2/2013 which provides for the status of the person being prosecuted and the rights he/she enjoys under this status.

On the other hand, in the case of the disposition of the PHJ to return indictments and request to formulate indictments, the law provides for the right of appeal only to the prosecutor and not to the defendant, with such a provision being ineffective as long as the prosecutor is already decentralized and after making an appeal the case is pursued by the Appellate Prosecutor who may waive the appeal and therefore remains ineffective, with the PHJ's decision being in force. In order to remedy this situation the law must also recognize the right of appeal to the defendant in such cases.

The same problem also applies to the victim, who has the right to complain, but may lose that right as long as his/her notification is limited by the legislature to the fact of identifying the victim. In the event that the victim is not identified, the proceeding authority is not obliged to notify, leading to the violation of equality before the law for the parties and denial of access to court. We recommend appropriate interventions to address legal deficiencies that will in practice result in a violation of the rights of parties in the process.

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## Discrepancies of Figurative Language Use Reflected Through Cross-Linguistic and Intercultural Differences in English and Albanian Language

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### Abstract

The present paper aims at highlighting some cultural and cross-linguistic aspects of idioms causing miscommunication in language. Learning a foreign language shapes the language system of communication with its literal and figurative meanings. While the literal meaning is the direct reference of words or sentences to objects, the figurative sense is used for giving an imaginative description or a special effect. Gaining competence in language enrolls a good command of the figurative use of that language together with its frequent, spontaneous and appropriate use of idioms being an indicator of native or near native mastery of the language. When such command of a foreign language lacks then it gives rise to discrepancies in language, and idioms for the sake of truth become often subject to misconstrued utterances in a target language on the part of L2 learners. Using literal senses of words to trigger the recognition of idioms brings some potential problems. Thus, this article brings together the findings and insights of figurative aspect of English and Albanian language system and its cultural aspect to further the understanding of the phenomena of communicative failures and mismatches in language. The study seeks to analyze and present through a corpus analysis idiom occurrences of communication failure in both languages. A variety of figurative use of language is illustrated in certain contexts and situations to lighten up the usage of idiom mismatches in second language acquisition and provide the paper with rich examples as well.

**Keywords:** cross-linguistic, intercultural, discrepancies, idiom, communication, English, Albanian language

### Theoretical background

The issue of communication has recently become an important means of building up relations between language, culture, human beings and the mixed interrelation between them. The inextricable connection highlights various manifestations of conventionalized language including the idiomatic expressions as one of the important and pervasive language uses reflecting culture in real life.

Peterson and Coltrane (2003) emphasize that to achieve desired communication, culturally appropriate language use appear to be a must. In other words, knowledge of linguistic features is not adequate for successful intercultural communication (Scarino, 2010). This knowledge, in fact, must be supported by an awareness of sociocultural context, tendencies, conventions, and norms in which the communication takes place (Baker, 2012). Culture as a body of knowledge of common beliefs, behaviors and values appear to be the factor to establish and interpret meaning in both verbal and nonverbal language. Alptekin (2002) explains this conceptualizing process as the enculturation of the foreign language learner and states: "Learners are not only expected to acquire accurate forms of the target language, but also to learn how to use these forms in given social situations in the target language setting to convey appropriate, coherent and strategically-effective meanings for the native speaker". Thus learning a new language becomes a kind of enculturation, where one acquires new cultural frames of reference and a new world view, reflecting those of the target language culture and its speakers." (2002, p.58) The cloze relation between language, culture and the role of culture in language are crucial issues which have not been studied even before.

On the other hand Min (2007) categorizes culture in English under two phenomena; high culture, and anthropological culture. The first underlines the intellectual and artistic achievements; the second refers to any of the customs, worldviews, languages, and conventions that make some people distinct from other social group. Culture, accordingly, encompasses three aspects, that is, material culture, social (institutional) culture and ideological culture. Language, as a special product of human society and an instrument of human thinking and communication, is a kind of institutional culture. Given the

intermingled relationship between language and culture, the analysis of the ideological ground enriches the analysis of linguistic forms which show the language forms. In Peterson and Coltrane (2003, cited in Al-Issa, 2005 ) state that language and culture are interwoven and the students' success in achieving higher level of oral proficiency in target language relies on the consideration of culture in designing and developing course materials.

Research findings show that formulaic language comprises up to one half of language. In the traditional view, idioms, "notoriously difficult" (Celce-Murcia& Larsen-Freeman, 1999) are considered special multiwords, and merely a matter of linguistic device with a special meaning and have certain syntactic properties. However, Kovecses (2002, p. 201) suggests that in contrast to traditional view, an idiom is not merely an extraordinary and somewhat complicated utterance of meaning which is special and hard to understand and requires deep linguistic knowledge, but many of them arises from our conceptual understanding comes from human's conceptual system which is natural and not subtle.

As figurative language such as idioms, metaphors, and metonymies is pervasive in real life as a part of the culture, then language learners will be certainly encountered and exposed with idiomatic expressions as a part of language learning and they should attempt to build up their knowledge of idioms if they want to survive in real communication settings. (Boers et al., 2004, p.376) Idioms in particular are widely recognized to be a stumbling block (Buckingham, 2006) in the acquisition of a foreign language; though they are often recognized as incongruous, occasionally ungrammatical and difficult to figure out and resistant to translation for language learners and their contribution to communicative competence and intercultural awareness is both theoretically and empirically acknowledged (Boers et al, 2004; Kovecses& Szabo, 1996; Lin, 2012; Littlemore& Low 2006; Martinez & Schmitt, 2012). More than the Albanian language English is full of idiomatic expressions, hence learning these idioms constitutes the spirit of language and idioms have a considerable role in an L2. This does not necessarily imply that Albanian is a poor language regarding this aspect, but based in a comparative analysis of both of them English language level of idiomaticity gives it the unique and undisputable value of importance in speech and written language as well.

### **Culture and language**

Culture and language are means of collective co-existence and social practice kept in the memory of the society that is created by the people during the centuries. Cultural awareness helps people to become more understanding and tolerant of behaviors which are different from their own. Acquiring another language need not only linguistic competence but cultural awareness as well. Difference between cultures cause some misunderstandings in the interactive communications. The native speaker's vocabulary focuses on cultural and social factors while the non-native one neglect to consider such factors because of the lack of cultural and moral beliefs of that nation. There is a difference between the native and the non-native speaker's focus in an oral discussion. The native speaker puts into his language his mentality, culture, world vision in a cross-cultural dialogue and the non-native speaker receives that vision.

The indispensable condition of realization of any communication is that a speaker and a listener should have a mutual knowledge of realities or the background knowledge as a basis of a language interaction to understand each other. A "Language world picture" gives a non-native speaker the opportunity to realize the implicit meaning of the vocabulary through explicit meaning, to understand accumulated unconscious cultural information via background knowledge, to investigate cultural values via communicative process, to synthesize interrelation and interaction of the culture and the language.

Idioms are considered as the reflection of the national specificity of the people, the origin of which in many cases is difficult to ascertain. They give a figurative interpretation of reality and an emotional model of communication. They are strong and colorful examples of cross-cultural relations. The problem of misunderstanding and confusion comes when a non-native speaker tries to translate an idiom or collocation from his native language into English. Since idioms evaluate the whole narrative summarizing the main events or opinion, a native speakers' unconscious knowledge of collocation is an essential component of their idiomatic and fluent language use and is, therefore, an important part of their communicative competence. Knowing culture, literature, history, traditions of other nationalities equips oneself with the proper language competence easing the communication with a native speaker adequately. According to L. Prodromou (2003, 42) "what is striking about informal uses of language is not only how common the idiom principle is, but just how common creativity with idioms is among native-speakers".

Misunderstandings arise in language based on the fact that language is characterized by the fascinating aspect of figurative language where the meaning cannot be discovered by parsing out these non-literal expressions of speech word-by-word.

The meaning is contextual, rather than literal, and we must examine culture in order to discover what these expressions mean. As a result of these the idiom "*kick the bucket*" may cause a lot of discrepancies in Albanian if the non-native speaker does not know the relation between the meaning and the idiom. In Albanian we show the meaning of this expression by using the expression "*ktheu këmbët/patkonjtë nga dielli*", "*iu fik kandili/qirin*", "*mbylli sytë*", "*ndërroi jetë*", "*iu shua / fik jeta*" etc. Structural components of this expression "*këmbë*" (foot) and "*diell*" (sun) are semantically different from the English components "*kick*" and "*bucket*", an expression that might cause misunderstanding in Albanian (or in any other language as well). The idiom "*It's raining cats and dogs*," which means it is raining hard, the expression is not literal, but rather conveys an idea through an image. In Albanian the same concept is expressed by using other structural and semantically different components "*bie shi me gjyma*". Or idioms "*pay through the nose*" (paguaj shtrenjtë); "*penny wise (and) pound foolish*" (i lire në miell, i shtrenjtë në krunde); "*dog in the manger*" (egoist); "*cast pearls before swine*" (ku di dhia ç'është tagjia); "*go at it hammer and tongs*" (zihen, grinden me të madhe); "*hate sb's guts*" (urrej për vdekje, kam antipati të thellë për) etc. We can give a lot of examples like this to justify that English is a highly idiomatic language and the cases for causing discrepancies in communication are great, since languages use different conceptual metaphors and structural components and the meaning is also conveyed through different linguistic tools. A corpus analyses in both languages is presented below based in an empirical study of idioms.

The origin of idiomatic expressions in both languages varies from history, mythology, folk and traditions to literature, sports, agriculture, medicine, science and technology. The immense variety of sources of idioms shapes language peculiarities of each language. In the examination of language universals, figurative speech plays an important role. This is because universal or near-universal ideas, while conveying the same idea across languages, use varying expressions of speech to do so. As Kövesces (2010) shows in his article "Metaphor, Language, and Culture," three main views explain near-universal metaphors. First, near-universal metaphors could be a miracle with no logical reason behind them. Perhaps similar concepts arose in different languages by chance, and the study of near-universal metaphors will lead to no conclusive explanation. Second, near-universal metaphors could exist due to languages borrowing words from each other in the past. This is a logical idea, as the existence of the thousands of languages in the world today can be mapped as having descended from common languages. Lastly is the view that people in all cultures share a universal bias for certain metaphors. This view is based on the idea that people in all cultures share elementary human experiences and that these common experiences create universal meaning.

Culture expresses meaning through a variety of ways such as art, dance, music, ceremonies, names, and narratives. Language expresses meaning through the words that give verbalization to the experiences that humans share. According to Han S. J. Vermeer, language is an intrinsic part of culture. Language not only preserves and transmits culture, but it is also a vessel of cultural change (Liu, Yin, & Zhang, 2014). Without the use of language to convey meaning and transmit ideas, cultural changes would be limited to non-linguistic ideas. Because a culture without language is not true reality, cultural studies should be closely tied with language studies. L2 learner shows that language is composed of more than linguistics; language requires cultural understanding in order to speak and comprehend the meaning of the language (Byram, 2012).

In the study of the connection between language and culture, one of the main theories is the Sapir-Whorf hypothesis—also called the theory of linguistic relativity. Sapir (1929) summarizes the ideas of the hypothesis: "Human beings do not live in the objective world alone, nor alone in the world of social activity as ordinarily understood, but are very much at the mercy of the particular language which has become the medium of expression for their society" (p. 207). Sapir argues that language has great control over a society and the people within it. This view also signifies that language is a tool to direct speakers' attention to specific attributes of the real world.

### **Cross-cultural differences and translation relationship in language interpretation**

Considering the relationship between culture and language in language learning, it can be said that culture has its own language - our culture by all means of social activities speaks. By using this tool, people can have ideas about how the environment under the impact of culture is expressed, interpreted, and spoken. As founders of language Vereshagn and Kastamarov (1990), in their book title "Language and culture," argued that though people speak a common language, they may not properly understand each other due to intercultural differences. Since language has a social nature the main function of language is its instrumental role in communication between individuals. Culture not only reflects the real world around humans and their living conditions, but a nation's social consciousness means thinking, lifestyle, traditions, value systems, and world views. Ter-Minasova (2000) states that language as a coating material for culture, in vocabulary,

grammar rules, idioms, proverbs and interpretation, folklore, literature, science, in written and oral discourse, cultural values are maintained.

According to Bruner (1990, 29) a human being is related to culture by the system of values, which “inhere in commitment to “ways of life”, and ways of life in their complex interaction constitute a culture”. For Boas (1986) there is no direct relation between language and culture - the former is ‘modeled’ by the latter; culture defines the way of thinking by members of the community – it may require some abstract thinking from them – generalized terms appear in the language, as a result of that demand. Then, there is a direct relation between culture and thinking, as well as between thinking and language, whereas culture and language are indirectly connected.

The link between an idiom and its meaning is provided by the image and conceptual metaphors known as image-schematic structure and basic-level structure. To predict the meaning of an idiom one should find motivating links which consist of images and metaphors as previously said. In case this link can be traced idioms become subject to processing and easier for guessing. If one knows the background reasoning of a word or idiom he can hypothesize about its meaning, including the figurative one as in the examples *to win sb’s hand, be all thumbs, to fall on one’s feet*. Dobrovol’skij and Piirainen (2005, 141) argue that the comprehension of an idiom is based on backward reasoning rather than conceptual mapping. In other language the idiom “*to keep someone at arm’s* (that is you keep a safe distance away from them) may mean quite the opposite: “to be available, to be at someone’s disposal”. The expression *red tape* in English has the Albanian equivalent “formalitete (procedura) administrative”. As it is seen there is no relationship between the color ‘red’ and ‘collar’ and the paraphrased meaning in Albanian is rather given by a non-idiomatic expression.

Based on the above examples it can be concluded that the words can be conceptually equivalent completely, but in terms of schematic knowledge, they may not be entirely equivalent. Words with no equivalent throughout foreign language learning can cause many problems. Because it implies that the concepts in a language and culture may not exist in another. Thus, words with no equivalent of the former reflect the underlying characteristics of each nation’s culture. Various thoughts on understanding various nations and nationalities come from different ways of thinking and cultural backgrounds. Therefore, their understanding of abstract equivalents and methods can vary as well. Finding two words in two distinct languages that have the same meanings are very rare. Thus, as result idiomatic language is a cause for a lot of discrepancies when translating or communicating from one language to another. Based on the fact that figurative language reflect a nation’s spirit it is clear that it’s geographical, literature, spiritual, moral beliefs and traditions are reflected in the language.

Cultural knowledge and differences have represented a major focus of translation scholars. It is frequently difficult for a translator to match or give an equivalency of idioms from one language to another. It has become the issue of many researchers adopting the appropriate ways and methods of conducting the right meaning. The definitions of translation appearing in the 1960s-1970s cover some guidelines: first, there is a change of expression from one language to another one. Second, most of the theorists are for the primacy of rendering the message and its meaning in the target culture. Third, the translator is obliged to find the closest equivalent in the target language. T. Vianu (cited in Kohn 1983:106) says that a good translation stands for the product of delicate equilibrium between what is national and what is foreigner, between the ways in which both source and target languages express themselves. Micaela Muñoz-Calvo, from the University of Zaragoza, Spain, affirms that translators need “cultural literacy, communicative language competences and cross-cultural competencies as well” (2010:2-3), because they must interpret “socio-cultural meaning in cross-cultural encounters, contributing to the transfer of knowledge across cultures and to cultural development as well”. There are many ‘culture-bound’ terms, deeply rooted in culture, which the translator or a non-native speaker finds difficulties in dealing with. According to some researchers, areas of culture such as jobs, positions, professions, food, drink, baking are particular aspect of social life, which differentiate a community from another and are difficult to translate. For Santoyo sport, dances, musical and artistic terms are “specific areas of activity which correspond in the end to actions which are unique to a person or social group, subject to very specific place and time” (2010:15).

The process of translation is seen as means to perceive our own culture reported to the others’ cultures. As the structuralists claim for, the use of language as a means for communication between people underlines its social function; each culture has its own language. As a result, Humboldt shows the fact that every community talk about their thought and ideas in reference to their own way of perceiving the universe, to their intellectual knowledge and experience. In other words, culture is the implicitness shared by a community.

## Methodology

This paper aims at presenting the discrepancies of figurative language of English and Albanian idiomatic phrases through a corpus analysis of idioms in both languages. Data were collected from two English-Albanian dictionaries and one Albanian-Albanian dictionary and a considerable number of phrases from literary books in both languages were taken for analysis. Examples were selected according to the different syntactic and semantic structure noticed in either of the languages in dictionaries and the literary books. Dictionaries were studied by the semantic group under which the idiom falls as idioms with body parts, idioms with proper nouns typical of the culture of a certain language, idioms that come from customs and traditions, literature, fables, religious beliefs, the life of sea and seaman, idioms that come from sports and politics, etc. The figurative language from literary books was selected after a continuous and careful reading of the books to depict the figurative language used by authors.

## Discussion of corpus analyses

Communication does not necessarily result in understanding. Cross-cultural communication continually involves misunderstanding caused by misperception, misinterpretation, and misevaluation. In approaching cross-cultural situations, one should therefore assume difference until similarity is proven. Culture strongly influences, and in many cases determines, our interpretations. Both the categories and the meanings we attach to them are based on our cultural background. Sources of cross-cultural misinterpretation include subconscious cultural "blindness," a lack of cultural self-awareness, projected similarity, and parochialism. In subconscious cultural "blindness," most interpretation goes on at a subconscious level, we lack awareness of the assumptions we make and their cultural basis. Our home culture reality never forces us to examine our assumptions or the extent to which they are culturally based, because we share our cultural assumptions with most other citizens of our country. All we know is that things do not work as smoothly or logically when we work outside our own culture as when we work with people more similar to ourselves. The figurative meaning of idioms offers less possibility for a non-native speaker to communicate and thus get understood in a language. Since we cannot sum up the meaning of the whole expression by the meaning of each constituent it creates a gap for getting lost in languages. Literary meaning of each component can result in language discrepancies and failure in communication.

Literary works, proverbs and idioms are a real and vivid source of illustrating idiom discrepancies in language. To accomplish the aim of this article we have provided several typical situations from some literary works both in English and Albanian.

*He nodded, knowing it was true. And so John left their lives, for good. Ben had been with him almost every day of his life since he was rescued from the Institution.*

*Ben took it hard. At first he did not believe it.* (Doris Lessing, *The Fifth Child*, p. 133)

*With characteristic insight he saw he must part with one or with the other; no half-measures could serve in such a situation. In that lay its tragedy. And the tiny, helpless thing prevailed. He would not run with the hare and hunt with the hounds, and so to his son he said good-bye.*

(J. Galsworthy, *The Forsyte Saga*, p. 22)

*And here Jolly, having begun the day badly by introducing fizzy magnesia into Mademoiselle Beauce's new-laid egg, and gone on to worse, had been sent down (in the absence of his father)*

*to the ensuing dialogue:*

*"Now, my boy, you mustn't go on like this."*

*"Well, she boxed my ears. Gran, so I only boxed hers, and then she boxed mine again."* (J. Galsworthy, *The Forsyte Saga*, p. 325)

*In another moment, he stood as he had stood all the time – his usual stoop upon him; his pondering face addressed to Mr. Bounderby, with a curious expression on it, half shrewd, half perplexed, as if his mind were set upon unraveling something very difficult; his hat held tight in his left hand which rested in his lip; his right arm, with a rugged propriety and force of action, very earnestly emphasizing what he said; .....*

(Charles Dickens, *Hard Times*, p. 80)

From the examples above *boxed my ears*, ..... *boxed hers*, ..... *boxed mine* they can be confused if seen about of the context. For a non-native speaker sometimes even the context might represent problems. If taken only the last sentence alone without considering the context it is pretty sure that it might show problems of misunderstanding idioms even in one sentence. The proverb *run with the hare and hunt with the hounds* might be more common to the ear of the non-native speaker. The idiom *his mind were set upon* becomes more clear in the context since the reader might understand and catch the meaning from the context.

*Mbathën apingat e veshën zhgunet dhe u nisën prapë për udhë. Ec e ec, kapërcyen shumë male e shumë pllaja. Moti ishte i egër e i keq. U lodhën e u këputën e u plasi shpirtin kjo punë. As era, as dëbora nuk u tregonin ku gjendeshin ushtarët që kërkonin.*

(I. Kadare, *Gjenerali i ushtrisë së vdekur*, p.198)

*Ah, more Mina! Një gjë është kryesore. Sot njeriun e mbron nga rreziqet shoqëria. Kjo mbrojtje nuk është individuale, gabon rëndë. Doemos, individi nuk duhet të rrijë duarkryq. Po qëndroi duarkryq, nuk ka të drejtë, as guxim t'i kerkojë shoqërisë mbrojtje.*

(D. Agolli, *Trëndaili në gotë*, p. 273)

Idioms given above are illustrated in figurative contexts which makes easier for the foreigner to understand the expression better. The contexts provide vivid situation where the speaker might find himself more comfortable in understanding them based on the clues the context or situations provide.

A lot of idioms with semantic components body parts lead also to a lot of discrepancies in language. In the examples given below idioms have a semantic component with body parts but the equivalent in Albanian is in most of the cases expressed with a different one compared to English. The idiom *frame of mind* "gjendje shpirtërore" in English we have the body part *mind* while in Albanian the equivalent is given with another component *shpirtërore* (used as adjective, *shpirt* (soul)). If we would make an analysis of the idioms below *get the length of somebody's foot* "e njoh dhëmbë e dhëmballë" (foot – këmbë); *get the upper hand* "bëj zap" (the meaning is given with a non-body equivalent), each one of them creates a different perception in guessing the meaning if the non-native speaker (in our case the Albanian) did not it before or is not provided in a certain context. Other examples to illustrate misunderstanding in both languages taken into consideration in this article are shown as below: *get under somebody's skin* "i ngre nervat"; *give one's ears* "sakrifikoj gjithçka"; *hang heavy (heavily) on one's hands* "mezi kalon (koha etj)"; *head and ears* "i mbytur në borxhe"; *jump down somebody's throat* "ndërpres në mënyrë të ashpër"; *keep a good heart* "e mbaj veten"; *keep a stiff upper lip* "nuk e lëshoj veten"; *lie in one's teeth (throat)* "gënjej sy për sy"; *pass one's lips* "fus në gojë"; *get one's teeth into* "merrem (angazhohem) seriozisht".

Other than body-part idioms, a rich source of idioms in both languages there are other idiom origins too be considered. A typical example of them are idioms with proper nouns typical of the culture of a certain language, idioms that come from customs and traditions, literature, fables, religious beliefs, the life of sea and seaman, idioms that come from sports and politics, etc. Such sources of idioms are non-motivated and make the understanding of the Albanian speaker difficult to comprehend without knowing the history and traditions they have come from. In the examples below *before you can say Jack Robinson* "sa hap e mbyll sytë" the Albanian equivalent is not given with a proper name because it is very difficult in almost all the cases to find a typical example with the same semantic and structural components. The name *Jack Robinson* is approximate in meaning with the idiom "sa hap e mbyll sytë" the paraphrased meaning in English could be "as soon as you open and close your eyes" but we encounter an idiom with Jack Robinson and not with the component "eye". Also in "give sb. a Roland for an Oliver" "i përgjigjem me të njëjtën monedhë" the Albanian component lacks the proper name so the meaning cannot be inferred by the proper noun components Roland and Oliver; *castles in Spain/castles in the air* – *ëndrra me sy hapur*; *spitting image/chip off the old block* – *sikur e ka nxjerrë nga hundët (i ati/e ëma)*; *Jack of all trades* – *ç'i shëh syri i bën dora* are typical examples of this case. The interpretation of the last idiom in Albanian might be *Xheku që i bën të gjitha* but in Albanian *Jack* is unknown and the equivalent exists with the components "sy" and "dorë" in the expression "ç'i shëh syri i bën dora". Taken from the other side we can provide in the article idioms with Albanian proper names the meaning of which can be paraphrased in English and could not be given with a synonymous since it is an idiom which originates from the Albanian social conditions, cultural and moral beliefs. In most of the cases it is difficult to explain the origin of such idioms since they might have been created based on a situation or social event of the time and has not left traces in the history to get an explanation. These are highly non-motivated idioms which a non-native or an English

speaker cannot understand and might lead to cases of misinterpretation as well. Typical examples are: *si Xhaferri simiten, si ferra Ibrahim, si Kolja me Dedën*; idioms with place names: *për një fërgesë në Shalës, rrip i kuq i Korçës, për një kockë gjer në Polos*. In English: *meet one's Waterloo, paint the Fourth Bridge, pile/heap Pelion on Ossa, send someone to Coventry, built castles in Spain, carry/take coals to Newcastle, fiddle while Rome burns, etc.*

In English and Albanian are also evident phrases with synonymous component parts which according to the Albanian linguist A. Jashari lexical diversity become more evident when verbal components are framed according to the level of the action intensity as in examples "*e karfosi me shpatulla për muri*" instead of the verb "*karfos*" (put) where the intensity of the action is higher than in the verbs "*mbërthen, vë*". We can give similar examples with a synonymous noun component "*i dha udhët*" or "*i dha rrugët/duart*"; "*ngre kryet*" – "*ngre kokën*"; "*kruan dhëmbin*" – "*kruan thonjtë*" etc. In English *find one's tongue - find one's voice; fold one's arms - fold one's hands; get out of one's mind/head; lick one's chops – lick one's lips; cut to the soul- cut to the heart; drenched to the bone - drenched to the skin etc.*

On the other hand some figurative expressions in both languages leave speakers and foreign users of language to grasp the meaning of the idiom in cases when they are partly or totally motivated. Such idioms are those originating from bible, mythology, literature, sciences, sports and other fields of life. Totally motivated idioms: The idiom *the Achilles heel* is translated the same in Albanian "*thembra e Akilit*"; Pandora's box "*kutia e Pandorës*"; a doubting Thomas "*si shën Thomai mosbesues*"; many are called, but few are chosen "*shumë të thirrur pak të zgjedhur*"; hatred stirreth up strife "*urrejja shkakton grindje*"; to bury one's talent "*gropos talentin*"; the bed of Procrustes "*kallëpi i Prokrustit*"; Danaide's work "*kova e Danaideve*"; partly motivated idioms: thirty pieces of silver "*shitet për tridhjetë aspra*"; the confusion of Babylon "*është Babiloni*"; the rich hath many friends, make friends with sb "*i pasuri ka shumë miklues*"; keep company with "*shoqërohem me*"; hate like poison "*urrej për vdekje*"; gather one's courage "*marr kurajo*"; cost money "*do para*"; console oneself with "*ngushëlloj veten me*"; come to an end "*përfundoj, i vij në fund*"; etc. From these examples it is clear that the meaning of the idiom can be easily grasped by the reader but it is worth mentioning that English has a lot of idiomatic expressions which create little or no chance of understanding or translation. Thus, idioms are subject of discrepancies in language since a non-native speaker is not based on the literary meaning of the idiom neither on the meaning of separate components of the figurative expression, but rather on the meaning of it as a whole. Based on this fact true for each language idioms can cause a lot of misunderstandings and are means of confusion and create problems in communication for every non-native speaker of a foreign language. Thus it is necessary for every speaker to have a good command of the language to result in successful communication. As a consequence, a non-native speaker might know the meaning of the idiom used in one of the synonymous versions, but might not know if the idiom is used with an equivalent counterpart in another context, thus leading to difficulties for interpretation for native speakers of the language as well.

## Conclusion

Like other types of figurative language, idioms appear to be the natural decoders of customs, cultural beliefs, social conventions, and norms. Idioms, as a major component of native-like communication, enable a language learner to understand the thoughts, emotions and views of the speakers of target language. Idioms are a constituent part of language and play a crucial role in understanding and as a part of language learning and they should attempt to build up their knowledge of idioms if they want to survive in real communication settings. Acquiring another language need not only linguistic competence but cultural awareness as well.

Difference between cultures cause misunderstandings in the interactive communications. The origin of idiomatic expressions in both languages varies from history, mythology, folk and traditions to literature, sports, agriculture, medicine, science and technology. The immense variety of sources of idioms shapes language peculiarities of each language. They are strong and colorful examples of cross-cultural relations. Misunderstandings and confusion of idiomatic expressions come when non-native speakers try to translate an idiom or collocations based on native language into English. Based on cultural knowledge and background this task becomes simpler.

This paper aimed at presenting in detail some specific issues concerning the discrepancies in English and Albanian language caused by the misinterpretation of idioms. We have taken into consideration a number of idioms and certain literary contexts to illustrate the contexts they are used. Based on the degree of motivation idioms cause a lot of difficulties in understanding and use from non-native speakers. Highly motivated idioms present sources of national and social characteristic as in the examples *kick the bucket* or *spill the beans*. Typical examples are present even in the Albanian language *shkoi dushk për gogla* or *si Xhaferri simiten*. Other idioms possess a lower degree of motivation and might lead to lesser cases that cause misinterpretation. However idiomatic language in all the languages specifically for the two

languages we have taken into consideration in this article are subject to discrepancies in many situations. A non-native speaker should possess cultural background of the language to reduce cases of misinterpretation. In approaching cross-cultural situations, one should therefore assume difference until similarity is proven as culture strongly influences, and in many cases determines, our interpretations.

Idioms become often subject of getting lost in languages since the literary meaning of each constituent does not contribute to the overall meaning of the expression. Acquiring good knowledge of them enhances the chances of good communication from the non-native speaker and establishes strong ties in cross-cultural and inter-language relationship. Interpretation in terms of culture means the study of language symbols and cultural concepts in foreign languages, not only possible but also necessary.

Based on the corpus analyses of idioms in both languages, the empirical study carefully analyses cases of misinterpretation from several perspectives. The study sheds light into cases and situations where the idiomatic structure and syntactical components lead to difficulties of idiom understanding. We can conclude that idioms from the linguistic perspective are culturally bound units that shape and intensify the colorful diversity of a language, hence making communication an immense source of discrepancies if one doesn't possess the cultural and national characteristics of it. Possessing idiomatic competence of a language opens new doors to the figurative and linguistic usage of the language itself, mastering with professionalism and having a good command of that language.

The study creates possibilities and opens new ways for further future researches in this deep and immense field, consolidating the strong linguistic and communicative relationships between languages. Language and phraseology are closely related disciplines and offer great opportunities for new contributions in the field.

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## Scaffolding the Lebanese EFL Cycle 3 in Science Report Writing

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### Abstract

Some Lebanese university science instructors complain that students face difficulty in writing reports. The same problem was detected at Harvard University; where professors have also traced a similar problem. Little attention was paid to the scientific report writing process since high-school days. Usually, secondary schools focus on the content, rather than on the process writing itself. The aim of this study was to help cycle 3 Lebanese learners become proficient in science report writing. An action research was carried on a group of Lebanese grade 8 science class learners (n=10). The theoretical framework followed the Technological Pedagogical Content Knowledge (Koehler & Mishra, 2009), to investigate the impact of integrating: the web tool, Google+ platform (Cavazza, 2012), known for its instructional, collaborative and motivating features, the procedural scaffolding (Constructivist theory), and authentic content, in science report writing. Data collection instruments used in this study were: (a) samples from the students' reports written pre, during, and post intervention; (b) the students' class performance scores; (c) interviews with the students (pre/post intervention) and their science teacher. The results revealed that the focus group outperformed the passive significantly by fifteen points. Suggestions and recommendations for further research were shared.

**Keywords:** Science Report Writing, Integration Theory, Web-based learning, Authentic Content, Procedural scaffolding

### Introduction

Many Lebanese university instructors complain that their students in science classes face difficulty in writing reports. Since their high-school days, the focus has been usually on science content, but not on the process writing itself. Similarly, professors at Harvard University (Morris et al., 2007) realized that there were loads of writing assignments in their undergraduate classes; however, little attention was paid to the scientific report writing process. They pointed out that a good scientist is someone who knows how to “keep an accurate and current record of all experimental procedures, observations, and results” (p.10). Fortunately, EFL pedagogy nowadays is leaning towards integration of Internet technology and authenticity of content material in language instruction. Mishra & Koehler (2006), who introduced Technological Pedagogical Content Knowledge (TPACK), drew that integration of the 3 elements: thoughtful technology, authentic content materials, and pedagogical methods of teaching, requires an understanding of cognitive, social, and developmental theories of learning, as well as supports the learning goals and outcomes of an instructional plan. So, an action research was conducted to investigate the practical science report writing problems and to take future actions, as discussed by Norton (2009) and Abbott (2014). Thus, the aim of this research was to help cycle 3 Lebanese learners become proficient in writing scientific reports through implementing writing as a process on an Internet platform (Google+). Contemporary pedagogical theories were applied and authentic scientific materials were used. TPACK was adopted from Koehler & Mishra (2009). The Google+ platform was employed to benefit from its large set of functionalities, and to instruct and motivate the learners, as discussed by Cavazza (2012). Vygotskian constructivist approach was adopted to help the learners collaborate working in groups on this platform on one hand; while on the other, to apply procedural scaffolding approach (e.g. modelling, sharing, rehearsing, applying), implementing the writing-process techniques from prewriting to final posting. Moreover, learners were exposed to online authentic material, which can supply learners with up-to-date valuable information, develop their own strategies for dealing with real language, and make the task more interesting and motivating, as stated by Lowe (2010).

### 2. Literature Review and Theoretical framework

#### Science Report Writing

Harvard University professors, Morris et al. (2007) focused on writing in the sciences and discussed that it is no different from writing in other fields. It requires a clear argument or development of a hypothesis, careful use of evidence and sources, organization, and attention to grammar and wording. Although science report writing follows additional conventions and step-by-step process format, but its outline comprises of title, abstract, problem, hypothesis, introduction, method (safety, material, procedure), results, analysis, conclusion, and references (pp.5-10) (see Appendix B). To develop learners' report writing, educators may benefit from TPACK framework.

### Integration Theory

Many Integration theories supported employment of technology to develop language skills, such as, Mishra & Koehler's (2006) TPACK theory. They considered that the thoughtful interplay of the three domains: technology, pedagogy (the methods of teaching), and content (the subject matter), "support the learning goals and outcomes of the instructional plan" (p.15). Specially, when access to class content is extended beyond the actual instructional period, it could make a big difference for students, who require additional processing time. Opportunities to access online tools and tutorials enhance integration of new information. The ability to repeatedly review material like video tutorials, demonstrations, and archived lecture recordings outside of class can aid students' comprehension and provide invaluable access to instructional materials for their tutors or parents (ibid, p.15). Similarly, González-Lloret & Ortega (2014) realized that developing pedagogic tasks requires taking full advantage of technology and doing what cannot be done in the classroom with paper and pencil. For example, one can integrate multimedia for rich and authentic input (i.e. video, simulations, gaming environments) and engage in learning that allow students use the language and the technology in productive and creative ways. Finally, they considered the Internet as a rich database of authentic material (p.8), which exposes learners to unlimited sources.

### Authentic Content

Authentic content material has gained momentum in educational pedagogy nowadays. Nunan (2004) described authenticity as "the use of spoken and written material that has been produced for purposes of communication not for purposes of language teaching" (p.49). What concerned him was not whether authentic materials were used or not, but how the combination of authentic, simulated and specially written materials provided learners with optimal learning opportunities (p.49). Moreover, to Vaičiūnienė & Užpalienė (2010) authentic materials come from unlimited sources: photographs, business cards, computer-based information, as, news, journals, TV and radio broadcast, films, documentaries, internet websites, general or special literature and easily accessible websites (e.g. authentic specialist publications in the field, statistics, reports, surveys, etc.). They pointed that when these materials were derived from the real world and brought into the classroom they made the task more interesting and motivating and led the learners develop strategies for dealing with real language (p.94). Referring to Berardo (2006), Vaičiūnienė & Užpalienė (2010) discussed that when teachers search for sites on a specific topic, prepare questions, and post them online, they can successfully replace authentic printed materials brought into the classroom and make the ESL classroom significantly livelier (p.94). While hard-copied material may date very quickly, online authentic material is continuously updated. At last, exposing learners to contemporary information from a real text in a target language definitely motivates the learners (p.94).

### Web-based learning

Research revealed that Internet technology and web-based learning offer a valuable source of language input. It is significant in enhancing learning outcomes, reinforcing the direct relationship between the language classroom and outside world, developing language skills and promoting different types of interaction increasing students' motivation in the subject matter and language proficiency (Vaičiūnienė & Užpalienė, 2010, p.97). Bloch (2013) drew that the development of technological applications has offered tools for language learning and for creating a communicative space. This space can be asynchronous (different time, different place), where users interact using any of these modes of discourse, e.g. email, listservs, blogs, discussion boards, social networking sites. It can as well include synchronous modes of discourse (same time, different place), where participants interact in the same time frame, (e.g. chats, video conferencing, e-learning systems or virtual learning environments) (c.i. Lesiak-Bielawska, 2015). In addition, students can benefit from features of word processing software as Microsoft Word, in writing and processing, for instance: spell check, autocorrect, grammar check for awkward grammatical constructions (e.g. passive sentences, text-to-speech add-ins that support auditory proofing before students submit their work) (Mishra & Koehler, 2006, p.15). Moreover, the platform used for this study was Google+. Cavazza (2012) considered it a major player similar to Facebook and Twitter. Google+ comprises of large set of functionalities that enables the users to share, publish, play and network on its platform. In addition, the administrator can: (a) form a private group by sending numerous membership invitations, (b) post instructional material easily in rich-text posts

as, fonts, colors, images, PPT and videos. Furthermore, to reinforce collective communication among learners, members can like the posts and hold peer-peer/peer-instructor discussions on the dashboard.

### Vygotskian Constructivism

Procedural scaffolding of Vygotskian constructivism builds students' independent knowledge of concepts and language and moves beyond explicit teaching to modeling, sharing, rehearsing, and applying. Such practices include grouping of students into teams to build skills and increase independence (Echevarria, et al., 2002). Moreover, as Dennen (2004) drew, scaffolded learning activities come up with adequate challenges based on the learner's current knowledge. The instructor is expected to model and scaffold a certain context for learning decision-making process, talk aloud about the considerations and explain the rationale for the end result. Then, the learners can use similar strategies to build content and genre knowledge, related to the topic they can draw on authentic life experiences, lab experiments, books, and Internet resources (p. 815). Likewise, one always should keep in mind the metacognitive strategies Brown (2007) discussed, such as, self-questioning, reflecting and inferring that raise awareness of one's own cognition.

### 3. Methodology

#### Participants

When the problem of science report writing in Lebanese EFL classrooms was pinpointed, an action research was carried in one Lebanese private high school, on one class (n=10) as a pilot study, to find out the impact of integration of the web tool, Google+, procedural scaffolding, and authentic content, on the development of science report writing process, which was neglected for lack of time. Grade 8 was chosen as a basic level, as Grade 9 learners have the Lebanese official exams (Brevet). For the purpose of sampling, participation on the platform was left optional, but observed. The focus group were the participants who interacted actively on the platform for more than 10 times; the passive group were those who just listened and participated less than 9 times on the platform. For ethical purposes names were unrevealed. Thereafter, random sampling of these learners was performed and their results were compared. Captures (screen shots) of the participation on the platform were taken and presented.

#### Data Collection Instruments

##### Reports

Pre-intervention reports on 3 different scientific themes written by the 10 participants were collected (No. 30). One from each theme was randomly chosen for qualitative content analysis (see Appendix E). Post-intervention reports on a new theme written by the 2 groups were randomly chosen for analysis and comparison of pre/post-intervention results, to find out how each of the students from the different categories developed their report writing at the higher order concern (HOC) and lower order concern (LOC) levels. This evaluation was based on a science report writing rubric (see Appendix C) and accordingly it was assessed by 2 instructors; for reliability purpose, a 3rd was assigned in case of discrepancy in results were revealed. Tables were formed to display the results (see Appendix F).

##### Scores

The pre/post-intervention class performance scores were analyzed employing Microsoft Excel and displayed in charts, bar graphs and tables. The aim of selecting these instruments was to compare how the students developed in report writing at the post-intervention stage.

##### Interviews

As Mackey & Gass (2005) drew, an interview is a research tool that can test a hypothesis (p.179). An interview with the participants was designed, to get their opinion at the end of this intervention. Another interview with the participants' school science teacher was designed to find out how she integrates the use of Internet technology, contemporary pedagogical theories and authentic scientific materials in the science class, in order to motivate and develop report writing through instruction of process-writing techniques.

### 4. The findings, Interpretation and Discussion

#### Content Analysis of Pre-intervention Reports

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Content analysis of science reports written by the two groups at the pre-intervention stage was conducted. As Cohen (2005) stated that content analysis requires auditing communication content against standards, taking a verbal and non-quantitative document and transforming it into quantitative data (pp.164-165), so this analysis was based on an Outline of Science Report (see Appendix B) and Report Writing Rubric (see Appendix C). Based on Hewett's (2012) description of HOC and LOC, the researcher mapped and analyzed the elements of HOCs at content-based level: title, thesis statement, content development, introduction and conclusion, organization, use of outside sources and appropriate quotation; as well as, she mapped and analyzed the elements of LOCs at sentence level: transitional words, word-level mistakes, grammar and mechanics errors, and citation style issues.

Pre-intervention reports were collected from the website of the school (see Appendix D), examined and the following was revealed.

The title: Titles should be written in informative and neutral form; instead, learners wrote them in interrogative form, as, "How is my blood type determined?"

The Abstract: An abstract is comprised of the purpose, method and results of the experiment; however, all the reports missed this part (In the mid/post-intervention the abstract was included).

The Problem: The problem was clearly stated, but it was displaced.

The Hypothesis: The investigated problem and results were clear.

The Introduction: The Introduction should include the aim of performing the experiment, background information (outside sources) and in-text citation. The learners missed the aim, didn't maintain a paragraph form, but copy-pasted info in bullets and missed to cite the background information. The form should be written in a paragraph-like form, but at times they wrote it in bullets and at others they mixed the paragraph with the bullets, such as,

"Plants need to take in a number of elements to stay alive. The most important are:

carbon

hydrogen

oxygen."

The Method: The Method section comprises of 3 parts written in bullets, and addressed in the passive voice and the past tense (see next).

- Safety: the steps taken to keep safe from hazardous material were missing.
- Material: materials, instruments and steps used were written but in a paragraph form.

Procedure: Instead of describing how the experiment was performed step by step, the learners copy-pasted it, and used the imperative case as, "Follow the virtual lab on the following website:

<http://www.kscience.co.uk/animations/minerals.htm>",

"Fill the test tubes with water. Place the plants in the water." At other times, instead of using the passive voice, they employed the pronoun "we" in the present tense, such as, "First we choose a finger... we embrocate so that the blood will we inject our finger..." as if it was read in an instruction book!

The Results: to illustrate the results, data is set in tables, graphs, charts and figures, descriptive captions and numbers are seen in the order they appear in the text (e.g. Figure 1/Table 1). However, in these reports, data were floating and were not set in tables.

The Figures and graphs: These were employed, but descriptive titles and numbers were missing.

The Analysis: This part involves an explanation of what the results mean, e.g. "as seen in Figure1/Graph 2 ..." in a paragraph form. At times, the learners explained what the results meant, without referring to the expression "as seen in Figure1/Graph 2 ...", but at others, they just skipped this part.

The Conclusion: This part involves writing 1 or 2 sentences about data analysis and whether or not the results support the experimental hypothesis. In these reports, the conclusion supported the experimental hypothesis, but at other times it didn't, such as, the conclusion of "How is my blood type determined?" came as, "My blood type is AB+".

The References: References are the citation of outside sources used in the report according to the requirements of the APA format. However, in-text-citation for outside sources in the introduction section was missing, so references following the APA format did totally not exist.

Given that errors at HOCs (content-based level) and at LOCs (grammar and mechanics level) were traced, an intervention was required.

The intervention phase

The intervention started with the formation of a private group of Lebanese EFL grade 8 learners on Google+, which aroused curiosity and interest to integrate constructing knowledge with using Google+. The aim and objective of the study was to develop the report-writing skills. Then, Procedural scaffolding was implemented to serve this purpose. The first component of Procedural scaffolding was realized through modeling and sharing of an authentic science report. The "Boiling Water" report (see the link in Appendix A) was posted on the Google+ platform, its context was in line with the theme of the month, on the syllabus of the learners. They were asked to read it and meet the next day by 8:00 p.m., for a synchronic group discussion session. When they met, online Think Aloud strategy was used to raise awareness of their own cognition and build knowledge on the frame. So, the purpose and the context of science report writing at the HOC and LOC levels were addressed. First, the HOC questions, related to the structure of the report (boiling water) (see Figure 1), discussed the content of each section laying the stress on their weakness, based on the corrected reports, as: When you read this report what did you realize? What was the abstract about? What did the thesis statement prove? What did the introduction include? What were the main parts of the Method? Where was the data set? What was the most important issue about the conclusion? What were the references used for?

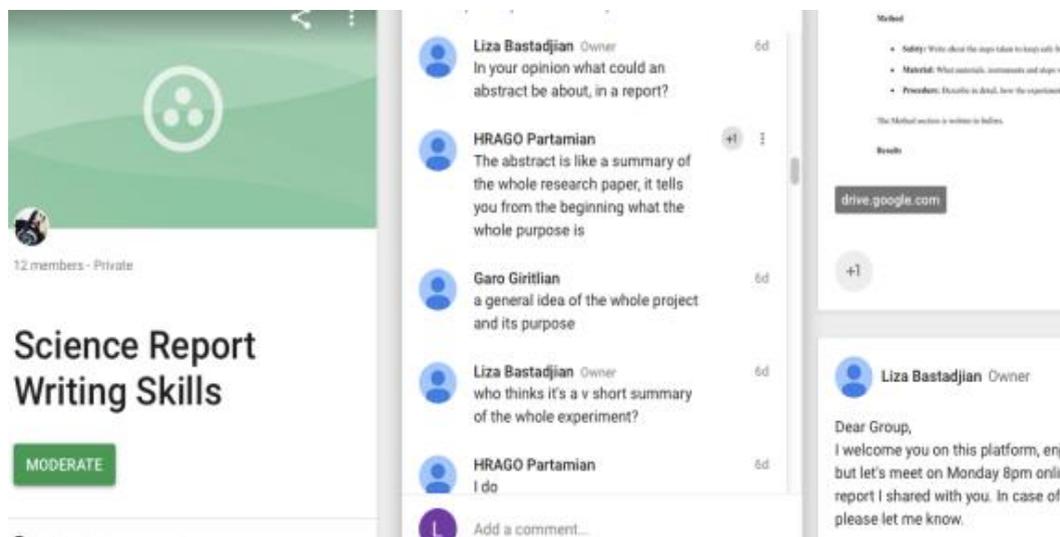


Figure 1. Discussion of HOCs on Google+

As seen in Fig. 1, the focus group students were highly motivated; they were interacting on the platform and answering all the questions related to HOC. For example, one student said that the abstract looks like "a summary of the whole research paper..."; another said, "it includes the aim, the purpose...". The main idea behind asking all these questions was to trigger their own metacognition about the parts they were skipping in their reports. Afterwards, LOC questions, concerning the language features of that report (see Figure 2) were addressed: What was the tense used here (past tense)? Why? Did the researcher use 1st or 3rd person when writing the report (third person)? Can you show me where? Did the writer focus

on issues, information, processes rather than the subject or doer of the action? What do we call this form, active or passive (passive voice)?

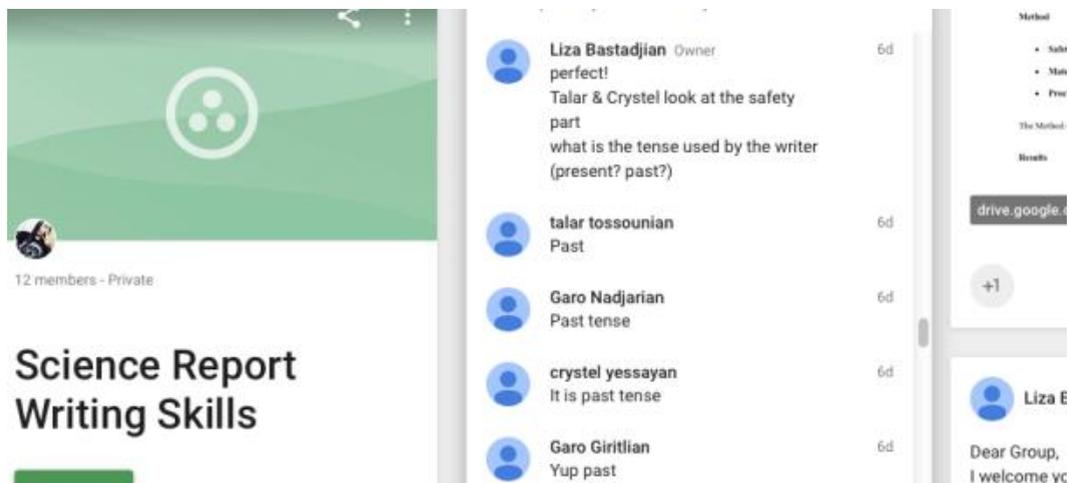


Figure 2. Discussion of LOCs on Google+

The same strategy was used in discussing the LOC. As seen in Fig. 2, the focus group interacted and gave correct answers to all the questions raised here. For example, they all realized that the tense used in the model was the past, not the imperative mood they were using. These questions made them realize the mistakes they were committing in their reports.

The second step of procedural scaffolding was realized through Rehearsing. At the end of the session, the learners were given guidelines related to writing scientific reports. The intervention period started when their 1st reports were already written, the implemented writing-process techniques comprised of revising, editing, rewriting, and final posting on Google+ platform. They were asked to reread a recent science report on "Blood Typing" (not written for this study rather as an assignment for their science course), to revise and edit it based on the given guidelines and then post it on the platform, in one-week time. They wrote their first draft, the teacher gave them feedback, focusing primarily on the errors that were observed in their texts. Finally, they wrote their final drafts. When they posted the revised drafts, they were led to coach each other on the platform and discuss the mistakes through peer-peer and instructor-learner discussion and commentary. Peer review and clear guidelines motivated them. Following the online discussion, she scaffolded their production, and led them to reread their own work more than once, to revise and do the necessary changes of their draft. They edited their reports at the HOC and LOC levels with the help of the instructor. When they started rewriting, she led the students to incorporate changes and post the final drafts.

The third step of procedural scaffolding was achieved through Applying. Finally, the learners applied the constructed knowledge and wrote a new authentic science report about "Natural Antibiotics" independently and shared it with their peers by posting it on the Google+ platform. The role of the instructor was to coach and gradually withdraw from the process when independent work was attained. This intervention lasted for four weeks, two times per week. To sum up, Procedural scaffolding was successfully implemented, to develop the learners' report-writing skills.

#### Pre/post intervention report scores

The mean score of pre-intervention reports written by the two groups was  $50/100 = F$ ; no statistically significant differences were found; they wrote in the same pattern. The mean score of post-intervention reports of the passive group was  $65/100 = D$ ; whereas, the mean score of post-intervention reports of the focus group was  $80/100 = B$  (see Figure 10). The focus group outperformed the control significantly by 15 points.

#### Qualitative Results

##### Content Analysis of Post-intervention Reports

Online instruction of report writing skills, which applied procedural scaffolding approach (e.g. modeling, sharing, rehearsing, applying), and the writing-process techniques from prewriting to final posting, had brought about encouraging results on some of the features of science reports. Content analysis of science reports written by the two groups at pre/post-intervention was conducted, based on Report Writing Rubric and Outline of Science Report. As Cohen (2005) stated, content analysis is auditing communication content against standards; its basic goal is to take a verbal, non-quantitative document and transform it into quantitative data (pp.164-165). HOC at content-based level (title, thesis statement, content development, introduction and conclusion, organization, using outside sources and appropriate quotation) was mapped. In addition, LOCs at sentence level (transitional words, word-level mistakes, grammar and mechanics errors, citation style issues) was mapped.

Title: Titles written in interrogative form were successfully changed to declarative, as, "Natural antibiotics from plants".

The Abstract section requires a summary of the entire report without including specific details, where the purpose, the method and the results of the experiment are included (see Figure 3 and 4).

#### Natural Antibiotics from Plants

Summary:What is the best natural antibiotics in plants? My hypothesis was that the olive oil and garlic have better antimicrobial properties. We conducted an experiment using culture plates where we used germs from our hands and sterile disks which contain the 4 natural antibiotics: solution of thyme, solution of lemon, honey and olive oil the has been soaked by garlic. The zone of inhibition of garlic and olive oil were larger than those of the other. Therefore, olive oil and garlic is the best natural antibiotic.

Figure 3: A sample of the passive group's abstract

#### Natural Antibiotics From Plants

##### Abstract

Some natural antibiotics inhibit the growth of bacteria. This project was performed to measure the effectiveness of different antimicrobial agents by measuring zones of inhibition on bacterial culture plates, using the Kirby-Bauer disk-diffusion method and I tested the most effective one on bacteria found on human feet. Four different natural antibiotics were used- lemon, olive oil and garlic solution, thyme and honey, where it was found that an olive oil and garlic solution was the most effective at fighting against bacteria found on human feet.

Figure 4: A sample of the focus group's abstract

As seen in Figure 3 the passive group learner used another title for "Abstract", he opened up with a question, and wrote the hypothesis, however, gave a detailed info on the experiment and the results. The focus group in figure 4 discussed concisely the purpose, the method and the results of the experiment.

The Introduction section requires that one clarifies the aim, and supplies related background information (outside sources) and in-text citation (see samples of the 2 groups here).

Research:Here is a list of 8 of the best natural antibiotics to help beat infections.

Echinacea:Echinacea was very popular in the United States during the 18th and 19th centuries, but its use began to decline after pharmaceutical antibiotics were developed. Studies have since show that it can be very effective for treating many strains of bacteria. Note: Echinacea can slow your body's metabolism of coffee and certain medications.

Goldenseal:Berberine, an alkaloid found in goldenseal, has demonstrated activity against Gram-positive bacteria, including MRSA. There are additional compounds in goldenseal that may enhance the antibiotic effects of berberine, so it may be prudent to supplement with goldenseal rather than its berberine extract. Note: Berberine may cause brain damage in infants and children. Do not consume if you are pregnant or nursing.

Garlic:The active component of garlic, called allicin, successfully targets many strains of bacteria. Garlic cloves can have beneficial effects but are not as potent as its supplement form. Note: Garlic as a supplement may prolong bleeding and can have major interactions with certain medications. It may be unsafe for children.

Figure 5: A sample of the passive group's introduction

## Introduction

Nature has provided thousands of natural medicines and natural antibiotics over millennia. Most people are unaware, but virtually all pharmaceutical medications originally came from the plants of the Earth. After they were proven effective in treating various ailments, the pharmaceutical industry then created synthetic variants, which they could patent. In this way, they retained the exclusive rights to earn revenues from their patents over a specific period of time. The aim of this experiment was to find a natural antibiotic to fight against bacteria found on human feet.

The point is that every medicine under the sun originated as an herb or a spice, a tree leaf or shrub root, a berry or a fruit. Fortunately, some of these same medicinal function as very efficacious natural antibiotics. Especially when they are prepared properly, these potent medicines can produce the desired effects without many of the adverse side effects associated with pharmaceutical-grade antibiotics.

High-powered pharmaceutical antibiotics certainly have their place in today's society.

Figure 6: A sample of the focus group's introduction

As seen in Figure 5, the passive group learner used another title for "Introduction", missed the aim, didn't maintain a paragraph form, but copy-pasted info in bullets and missed to cite background information. Whereas the focus group learner in Figure 6 included the aim, maintained the paragraph form, summarized and paraphrased info, but missed to cite background information.

The Method section requires 3 parts

Safety: This part is about the steps taken to keep safe from hazardous material.

Material: All the materials, instruments and steps used in the experiment are mentioned here.

Procedure: Description of conducting the experiment in details step by step are mentioned here (see samples of the 2 groups next).

**Materials:**

- Sterile disks (1 per natural antibiotic tested). Alternatively, disks may be made by using a hole punch and filter paper, but they will need to be sterilized in the oven, as described in the procedure.
- Nutrient agar plates (2):
  - 1 plate will serve as controls, with no antibiotics.
  - 1 plate will serve as test plates, with antibiotic disks...

**You will also need to gather these items**

- Permanent marker
- Pencil
- Timer or clock
- Natural antibiotics extract...

**Procedure: Isolation of bacteria from your body**

**Hands:** Before washing your hands after a meal swirl it in a small amount of water

**Preparing plate for disk diffusion test**

1. Use a pencil or permanent marker to label each sterile disk with a code for the natural antibiotic, then keep track of the codes in your lab notebook.
2. Use a permanent marker to mark the bottoms of the nutrient agar plate that will be your test plate with 4 sections. The sections should all be equal in size. Number the sections sequentially.
3. Label the nutrient agar plate that will be your control panel...

**Measuring zones of inhibition**

1. After overnight incubation, examine your plates and take pictures of them
2. Measure the diameter of the zones of inhibition for each disk. Keeping the lid on the plate in place, use a ruler to measure the diameter of the disk plus the surrounding clear area (in millimeters)
3. Construct a bar graph of the results

Figure 7: A sample of the passive group's method

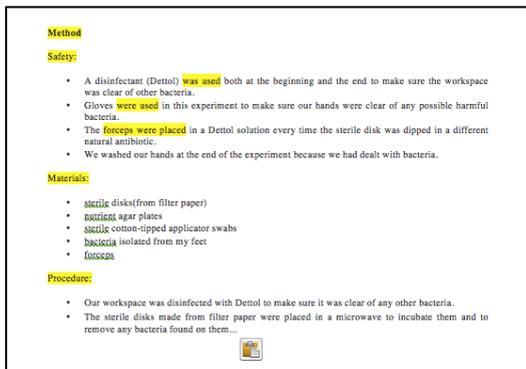


Figure 8: A sample of the focus group’s method

As seen in Figure 7, the passive group learner missed the title “Method” and missed the “safety section” but copy-pasted instructions as these appear in the imperative form but not in the past tense. The focus group learner, as seen in Figure 8, followed the proper structure of the Method section and titles; he included the safety section using the appropriate language, the passive past tense as “Gloves were used in this experiment”.

Results: The results were not set in tables in the pre-intervention phase; however, in the post-intervention phase these were included, but missing the titles (see Fig. 9).

Antibiotic	Thyme	Honey	Lemon	Garlic & olive oil
zone of inhibition (in mm)	9	9	17	20

Figure 9: A sample of the focus group’s results

Analysis: all learners explained what the results meant, but without adding the expression “referring to ...” or “as seen in Figure 1/Graph 2 ...”

Conclusion: the conclusion supported the experimental hypothesis, e.g. “therefore, the solution of olive oil and garlic is the best natural antibiotic.”

References: the 2 groups included the references, such as,

Passive group

<http://www.chopra.com/articles/8-effective-natural-antibiotics-to-help-beat-infections#sm.0001oede7o9x8dzssww2jri2qo24l>

Focus group

<http://naturalsociety.com/what-are-the-most-effective-natural-antibiotics>

<https://www.google.com.lb>

**Mechanics:** although the checklist instructions said that “12 point Times New Roman” font should be used, the passive group learner used font 18 for his titles, whereas, the focus group abided to the checklist.

**Language:** synthesized language is favored, the passive learner copy-pasted word for word from another source; whereas, the focus group learner summarized and paraphrased the gathered info.

#### Quantitative Results: Pre/Post-intervention Scores

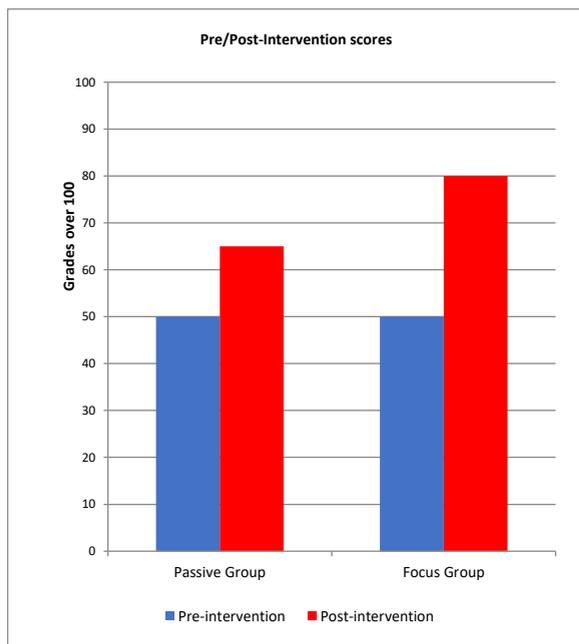


Figure 10: pre/post-intervention scores of the 2 groups

As seen in Figure 10, the score of the passive group shifted from 50.0 to 65; whereas, the focus group shifted from 50 to 80. This means that the focus group, who participated in online instructions and in procedural scaffolding approach, implemented the writing-process techniques, outperformed the passive at school significantly by 15 points. This validates the hypothesis that the integration of technology, Google+, pedagogy, Vygotskyan constructivism, and exposure to authentic material led the learners to improve in Science Report writing.

#### The Interviews

At the end of the intervention, the participants were asked their opinion about the intervention, “How did you benefit from the study?” “Do you think it could help in other courses? How?” Learners from the focus group responded (see the snapshot in Appendix G), one learner said, “This was very helpful ...we may benefit at the university...”, another said “I enjoyed it, it was helpful, it can help in our upcoming research papers as well.” These learners realized that instruction on this platform was effective and applicable to other studies and in higher education in the future. Moreover, an Interview with their science instructor was conducted, following each question (Q) she answered (A), as seen here:

Q1-Do you integrate Internet technology and authentic contents in science classroom? (Internet sources) How?

A1-Yes, I do. Science fair projects are assigned to students where they research about the scientific problem in hand on the Internet using reliable sources to come up with a hypothesis, which is then verified experimentally. Students' science reports, ideas, opinions and collected information are shared in the school-blog. Virtual field trips are done to different ecosystems; tours inside cells or living organisms' different systems are visited, next to virtual labs and simulations. Our future plans include arranging meetings in class, via Skype with scientists, NASA researchers, and astronauts...

Q2-Do you usually integrate science and EFL teaching? When teaching science do you correct their English? How?

A2- I correct their grammatical and spelling mistakes without having to deduct any grades. My target is their scientific literacy. I focus on the scientific content in my evaluations rather than their English language.

Q3-What is the rubric you follow to instruct science report writing? (free writing? the book? other?)

A3- I evaluate each part according to the scientific content.

Q4-Do they work individually, in pairs or in groups? How?

A4- They work individually applying their knowledge i.e solving the exercises or answering the questions in class or writing reports. They work in pairs in visible thinking routines such as think, pair, and share... They work in groups in science fair projects, activities in class and experiments.

As seen in this interview she employs Internet for research purposes, as virtual labs and other, which expands their knowledge horizons and moves beyond the textbook; however, her focus is on the scientific content. As for science report writing rubric, she doesn't abide by any format, this validates the pre-intervention report content analysis. For their science projects, they work in pairs but procedural scaffolding is not applied.

#### Conclusion

In conclusion, the results validate the hypothesis that employment of TPACK framework, namely integration of Google+ (Cavazza, 2012), the instructional, collaborative and motivating platform, procedural scaffolding (Constructivist theory), and exposure to authentic content developed cycle 3 Lebanese learners in science report writing. The perception of the learners, reflected through the interviews, was positive. Similarly, their science class instructor implemented all the skills, related to science report writing, practiced in this study, on the rest of her cycle 3 classrooms. The significance of this study is in line with timely studies involving Web-based learning. At last, the Quantitative and the Qualitative results contributed to the field of integration of technology in EFL learning. It is recommended that authorities adopt: a unified form of science report writing for the science classes in the Curriculum of cycle 3, and integrate Pedagogic theories and Authentic Content in various school courses to instruct the learners while motivating them.

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## Appendices

Appendix A: A sample of science report "Boiling Water"

Retrieved on February 4, 2017, and adapted from <http://studylib.net/doc/8430705/how-to-write-a-scientific-report>

Appendix B: The outline of science report

Retrieved on February 12, 2017, and adapted from: <https://unilearning.uow.edu.au/report/2b.html>

Appendix C: Report Writing Rubric

Report Writing Rubric

NAME: \_\_\_\_\_

	Advanced/Exemplary	Proficient	Needs Improvement	Failing	Score
Title/Introduction/Hypothesis	Title is informative and clear. Introduces the topic clearly, previewing what is to follow. Clearly explains the purpose of the lab. Includes background information, vocabulary, question(s) or problem(s) to study, and a hypothesis with a full explanation. (Variables fully and clearly identified.) Provides a link between the background information and hypothesis.	Title is mostly informative and clear. Introduces the topic clearly, previewing what is to follow. Adequately explains the purpose of the lab. Includes some background information, vocabulary, a question or problem to study and a hypothesis with some explanation. (Variables clearly identified.)	Title is mostly clear but not informative. Intro. somewhat explains the purpose of the lab. Includes some background information, vocabulary, a question or problem to study and a hypothesis with no explanation. (Some variables identified.)	Title information is not clear or not relevant to lab. Intro. does not explain purpose of lab. Includes no background information. The problem or question is unclear. Hypothesis is not testable.	
Safety / Materials / Procedure	Fully explores all relevant safety considerations. Effectively describes, in detail how the experiment was performed. Includes all materials used and the procedure followed. Written in a manner that allows the experiment to be repeated. (Optional) Designs a detailed procedure that effectively addresses the question being studied. Generates data relevant to the variable(s) being studied and provides for adequate controls.	Explores relevant safety considerations. Adequately describes how the experiment was performed. Includes important materials used and the procedure followed. Mostly written so that the experiment can be repeated. (Optional) Designs a procedure that addresses the question being studied. Generates data mostly relevant to the variable(s) being studied and provides for adequate controls.	Explores some relevant safety considerations. Somewhat describes how the experiment was performed. Includes some materials used and a skeletal procedure. Somewhat written so that the experiment to be repeated. (Optional) Designs a procedure that barely addresses the question being studied. Lacks ability to collect important data. Variable are not clear and/or lacks adequate controls.	Explores irrelevant safety considerations or safety missing. Does not adequately describe how the experiment was performed. Lacks most materials. Experiment cannot be repeated. (Optional) Procedure design is completely inadequate to study question. Lacks variables and data collection methods.	
Data & Results / Calculations	Fully, clearly, and effectively organizes and reports all data collected during the experiment, including all raw data (without interpretation). All data and results organized in clear and fully labeled tables, charts, and graphs. All calculations shown, with units.	Clearly and effectively reports most data collected during the experiment with adequate organization. Data and results organized in clear tables, charts, and graphs. Most calculations shown, with units.	Reports most data collected during the experiment with some organization. Missing some data. Some data and results in tables, charts, and graphs. Some calculations shown, with some units.	Report is missing large amounts of data and is very unorganized. Tables, charts, and graphs do not show data and results. Calculations not shown.	
Conclusion / Discussion / Sources of Error	Claims a precise and well-supported conclusion that responds to the purpose of the lab. Distinguishes the claim from an alternative or opposing claim. Supports claim with logical reasoning and many examples of relevant, accurate data and evidence that demonstrate an understanding of the topic. Fully summarizes and explains the meaning of data and results, with some examples. Explains relationship to hypothesis. Identifies important sources of error and explains effects on results.	Claims a conclusion based on data and results that ties to the purpose of the lab. Distinguishes the claim from an alternative or opposing claim. Supports claim with logical reasoning and relevant, accurate data and evidence that demonstrate an understanding of the topic. Adequately summarizes and explains the meaning of the data and results. Hypothesis tied to results. Identifies some important sources of error and an effect of a source of error.	Makes claims and reaches conclusions minimally based on data and results. Somewhat supports claim with logical reasoning and relevant, accurate data and evidence that somewhat demonstrate an understanding of the topic. Somewhat summarizes and explains the meaning of the data and results with no concrete examples. Indirectly or barely refers to hypothesis. Inappropriately or minimally identifies sources of error.	Conclusion and claims do not relate to data and results. Does not support claim with logical reasoning. Uses little relevant, accurate data or evidence. Does not demonstrate an understanding of the topic. Does not summarize and/or explain data and results. Does not use examples of observations; generalizes without support. Fails to identify sources of error.	
Format	Meets all requirements given by your instructor.	Meets most requirements given by your instructor.	Meets some requirements given by your instructor.	Does not meet requirements given by instructor.	

Retrieved on March 4, 2017, from Formal Lab Report Writing Toolkit for Grades 6-8, Dr. Robert G. O'Donnell Middle School. Revised in Summer 2013.

Appendix D: Pre-intervention Science Report samples

## Sample 1 BIOLOGY RESEARCH PAPER: CHLOROPHYLLIC PLANTS

Sample 2 The Scientific Method: Can we fold A4 paper equally more than seven times?

Sample 3 How is my blood type determined? <https://agbuschools.edublogs.org/2017/01/19/how-is-my-blood-type-determined/#.XVe0erj7l6g>

## Appendix E: Results of 3 random pre-intervention reports

Criteria	Sample 1	Sample 2	Sample 3
Title	✓ Too general	✓ Interrogative form	✓ Interrogative form
Abstract	x	x	x
Problem	✓ mis-ordered	✓ mis-ordered	✓ mis-ordered
Hypothesis	✓	✓	✓
Introduction	✓ Wrong title	✓ Wrong title	✓ Wrong title
Aim	x	x	x
Background information & Citation Form (paragraph)	✓ not paraphrased nor cited	✓ not cited	✓ not paraphrased nor cited
Method	Title: Experiment	Title: Experiment	Title: Experiment
Safety	x	x	✓ (not bulleted)
Material (bulleted)	✓ (not bulleted)	✓ (not bulleted)	✓ (not bulleted)
Procedure (bulleted)	✓ (not bulleted)	✓ (not bulleted)	
Results	✓	✓	✓
Table	x	x	x
Graph	✓ (not labeled)	x	x
Chart	x	x	x
Figure (Labelled)	x	x	✓ (not labeled)
Analysis	✓	✓	x
Conclusion	✓	✓	✓ insufficient no transition
References	x	x	x
Formal Style	✓	✓	✓
Grammar:			
Past tense	Use of imperative and passive forms	Use of imperative	Use of present tense and pronoun
Passive voice		Passive not used Use of pronoun We	Passive not used Use of pronoun We

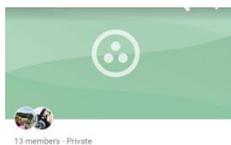
Notes. Abbreviated symbols mean: ✓ Present, x Absent

## Appendix F: Results of pre/post-intervention reports

Criteria	Pre-intervention 2 groups	Post-interv Focus group	Post-interv Passive group
Title	✓	✓	✓
Abstract	Interrogative X Totally absent	Declarative ✓	Declarative ✓ needs restructuring
Problem	✓ mis-ordered	✓	✓ Titled as "Question"
Hypothesis	✓	✓	✓
Introduction	✓Wrong title	✓	Wrong title
Aim	x	✓	x
Background information & Citation Form (paragraph)	✓ not paraphrased nor cited Bulleated	✓ not cited ✓	✓ not cited not paraphrased Bulleated
Method	Title: Experiment	✓	Title: Experiment
Safety	X (Totally absent)	✓ (bulleted)	x
Material (bulleted)	✓(not bulleted)	✓(bulleted)	✓ (bulleted)
Procedure (bulleted)	✓(not bulleted)	✓(bulleted)	✓(bulleted)
Results	✓	✓	✓
Table	x	✓	✓
Graph	x	✓ (not labeled)	✓
Chart	x	x	x
Figure (Labelled)	✓(not labeled)	x	x
Analysis	x	✓	✓
Conclusion	✓ insufficient no transition	✓	✓
References	x	✓	✓
Formal Style	✓	✓	✓
Grammar:			
Past tense	Use of imperative, present tense and pronoun	Use of and passive forms in the past	Use of imperative
Passive voice	Passive not used Use of pronoun We.		Passive not used Use of pronoun We

Notes. Abbreviated symbols mean: ✓ Present, x Absent

Appendix G: The learners' interview answers



13 members - Private

## Science Report Writing Skills

**Liza Bastadjian** Owner · Discussion 4d

Dear group,  
I thank you for your participation on this platform.  
Who can tell, how did you benefit from this intervention?  
Do you think it could help in other courses? how?

+1 1

**Garo Girtlian**: This was very helpful for us, and we may benefit from this in the future at university. Thank you. :)

Good Evening everyone!  
How are you?

+1 158

Shared privately · View activity

**Garo Girtlian** +1 6d  
Thank you very much!!

**Garo Nadjarjan** +1 6d  
I enjoyed it!!!

**crystal yessayan** +1 6d  
Thank you 😊

**HRAGO Partamian** +1 6d  
I enjoyed it, and this session was helpful and it can also help in our upcoming research papers aswell

**Garo Nadjarjan** 6d  
Thank you!! :)

**HRAGO Partamian** 6d  
Thanks

## The Most Distinctive Female Character of the Trilogy of Kurlani by Mirko Božić

Mirela Šušić

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### Abstract

Gara is the most distinctive female character of the *Trilogy of Kurlani* by Mirko Božić since it is the only female character in *the Trilogy* who is a Kurlani by birth and as such carries a "stone gene". Gara is passionate, full of defiance, imbued with the Kurlani pride, and strengthened by the "Kurlani nerve". Her reactions at the beginning of the *Trilogy* are instinctive, but the modernity of the writer's procedure is mostly illustrated in Gara's "predicaments" in the course of the *Trilogy*. Not only does the *Trilogy of Kurlani* begin and end with her, but it is the Kurlani female tragedy that also begins and ends with Gara. From the first pages of the *Trilogy* where we first meet this character to its last pages where the inhumanity of female fate finishes with her, Gara undergoes a semantic metamorphosis. The actantial significance of Gara is mirrored in her topicality throughout the *Trilogy*, and the horizon of this female character does not remain within the boundaries of the world to which she belongs.

**Keywords:** Gara, a Kurlani woman, Kurlani women, female figure.

### 1. Introduction

In the novels of Mirko Božić, *Kurlani, gornji i donji* (Kurlani, Upper and Lower) (1952), *Neisplakani* (The Unwept) (1955) and *Tijela i duhovi* (Bodies and Ghosts) (1981), which in their entirety represent a unique "Work"<sup>1</sup> – *Trilogiju o Kurlanima* (The Trilogy of Kurlani)<sup>2</sup>, the female characters are an important structural element. Making a coherent whole, the novels of *the Trilogy of Kurlani* have been semantically upgraded, and what is particularly important in the context of this paper, they are actantially completed. Thus, one of the most specific female characters, the character of Gara, only after being studied through all three parts of the *Trilogy* realizes the fullness of her actantial significance, and along with the primary aesthetic dimension mirrors the other forms of life such as sociological, ethical, philosophical and psychological.

The character of Gara, from the first to the final novel of the *Trilogy of Kurlani*, changes; she "grows" and develops, and her existence and identity development are primarily influenced by gender relations built through the female-male binary opposition. Gara is realized and seen in correlation with male characters whom the writer, with his impressive linguistic achievement, portrays through the determination of biological heritage, "murky blood", but also by the social framework which is determined by its primitive, patriarchal life. Her relationship with the other female characters is in large part built directly.

The interpretation of Gara's character will show that Božić's "hard worker" and "child -bearer" despite her weakness, otherness and subordinate position, and despite the biological fact that determines her, as well as the social construct that restricts her, resists all the cruelty of hard life. She realises herself precisely in the intent, which is relevant for the sake of her personality, which gives Božić's woman an element of mysticism. It is because she – the woman succeeds, even if only in a fraction, in realizing her will, i.e. in achieving herself and her identity, in making real her purpose in existence as an individual construct, and which, among other things, is considered to be a specific achievement of this work.

### 2. Literary criticism

Literary criticism, when dealing with the novels of the *Trilogy* individually or the *Trilogy* in its entirety, has touched upon these issues by almost invariably relying on Frangeš's criticism of this subject, though only the part of Frangeš's criticism

<sup>1</sup> See more about this in Pavletić 2006.

<sup>2</sup> Since the research of the novel about the Kurlani did confirm Vlatko Pavletić's observation that these fabula-wise different but semantically related novels should be studied as a unique, coherent work, the syntagm "kurlani trilogy" is consistently written in capital letters as *The Trilogy of Kurlani* and is understood as a single work, which as such exceeds the value of its constituent parts.

that recognizes Božić's female as "labour and breeding cattle" and as "a being which is a subject of short pleasure and long-suffering" (Frangeš 1987: 373). The phrase "female worker" and "child-bearer", as the general and unquestionable determinant of the Božić's female figure in the *Trilogy*, has been regularly taken over from Frangeš's criticism. At the same time, however, the very same part of Frangeš's criticism was abstracted as Gara is redeeming herself in this "bitter poem about woman as a child-bearer and hard worker":

[...] this fragile toy in the whirlwind of wild passions and a great male war, elevating with her nails fought motherhood to the level of heroism; [...] washing in the liquid-manure pit of history and cruel primaeval customs, she emerges as a reborn person and a whole social human being. Thus, the terrible Kurlani knot, with all the dark scenery and cruelty of events, is after all untying; because in the end, after all the horrors and resistance, the Kurlani strength is victorious, long-lasting, able to outsmart and overwhelm the seemingly irresistible forces (Frangeš 1987: 373-374)

Gara is meant to untie this "terrible Kurlani knot" because she is carrying a new life (cf Šušić 2018: 102) and she on her own consciously and decisively, proudly and serenely moves towards the path towards herself, in other words, "the path to the creation of her personality and the higher goal of human existence" (Frangeš 1987: 373-374). Just as Ivo Frangeš first pointed out: "Only Gara is redeeming herself [...] and is the only one who, washing in the liquid-manure pit of history and cruel primaeval customs, emerges as a reborn person and a whole social human being. Thus, the terrible Kurlani knot [...] is untying after all [...]" (1987: 373-374).

This Frangeš's lucid observation is crucial for a complete understanding of Božić's convention in shaping a female character and is one of the starting points of this work because it primarily emphasizes that Božić's characterization of the female figure of the *Trilogy* does not serve to typify a character. Quite the opposite, it helps to create a woman's character that is the original line of force of universal values, and from which the interpretation in this paper starts in terms of the conceptual expression of the value which is revealed in the literary work itself.

### 3. Kurlani women

Dealing with the novels of Božić's *Trilogy of Kurlani* or the *Trilogy* as a whole, literary criticism, as mentioned above, has noticed the success of Božić's female characters. However, since systematic research of the female characters in Božić's *Trilogy* has not been done, thus the differentiation of women's characters went unnoticed as some, by marriage, became Kurlani women such as Perka, Anđelija and Iglica, unlike the characters who become Kurlani by birth such as Gara.

However, the division of feminine characters in this work into Kurlani women and a Kurlani bride emerges from the literary text itself, which is an indicator of Božić's creative procedure, with which he, precisely through a different structure and the strength of the character of Gara, emphasises the defiance and pride, strength and endurance of the indigenous Kurlani.

Namely, Perka, Anđelija and Iglica become Kurlani women by marriage. They take on the misery and suffering of Kurlani women, but they, however, do not acquire that indestructible Kurlani genetic code. They, just like underground streams which are invisible but unremittingly flow through the watercourse of life, "clutched" with the traditional patriarchal framework of the rural area – bear the most stringent burdens of life.

Thus, Perka, although a passionate, strong woman, broached by guilt, is broken by life's sufferings, and she surrenders, dies and disappears from the reality of the novel. By marrying Filip, Anđelija becomes a Kurlani woman, and her life expires with her blood, which is not impetuous and boiling, nothing like the native Kurlani strength, which is resilient and durable. She, as well as Perka, dies in the central novel of the *Trilogy*, lacking the strength to fight for her survival. Iglica, the second wife of Filip Kurlani, is sweet, kind and gentle. She is a woman-child without real passion and pain. Her actions are expressions of benevolence, but she does not embody a strong woman.

Unlike them, Gara is a Kurlani by birth. She, like the Kurlani family, experiences terrible, uncomfortable pain, but also catharsis. Gara is developing and "growing" despite her tragical fate and the stigma of an out-of-wedlock born child, she – a Kurlani – does not surrender. She remains and survives on the rough stone, in hard times, verifying her existence, her own life, and carrying a new life. A new life of Kurlani. As a symbol of the primordial woman, she prolongs the Kurlani posterity.

### 4. The Kurlani Woman

Native, by birth a Kurlani – Gara – undergoes a transformation, and from an endangered, unemancipated and deprived woman becomes, as Ljerka Schiffler-Premec points out:

An outgoing person, no longer helpless and endangered. She is the proof of greatness, the primal matter, the soil which creates, the sun that maintains, the primaeval strength, life itself which abolishes prehistory, recognizing only the germ. With her liberated conscience, she, the black Gara of the past, the sinner and sufferer, goes ahead, extending her short spring, female spring, a flash of existence happily announcing her future, the future of the offspring that is about to come. (1981: 77-78)

Gara sees deeper, sees further "gaining a new meaning of her own being, becoming a woman-man, a *human being*" (Schiffler-Premec 1981: 78).

Through the character of Gara, the extraordinary achievements of Božić's meticulous observations are mirrored, as well as the writer's sharp sense of physical detail and mental flows, but also, most importantly – the predicaments – of this female character portrayed with "the extraordinary expressiveness and power of his prose-dramaturgic speech with which he essentially wants to change the world (Schiffler-Premec 1981: 73).

Božić's language game with the name of this character is highlighted by the symbolism of the meaning of "diamond" which the writer adds to the character of Gara by establishing a semantic value in Gara's dialogue with her lover Milić: "Gara. A nice name. Unusual. **Like a diamond**! Black diamond." (Božić 1989b: 264). With the symbolism of diamond, Božić corresponds to the symbolism of this female figure emphasizing its meaningful value throughout the *Trilogy*, especially concerning the other female characters. Thus Gara, thanks to the permanent Kurlani nerve, has acquired exceptional physical properties being "vigorous", durable and resistant, and at the same time passionate and attractive. Her new character features such as courage and determination, and willingness to give herself to the so much yearned-after sexual intercourse, which are not considered to be favourable in her Kurlani world, correspond precisely to the symbolism of a diamond which is "due to its excellent physical properties – hardness, transparency and glitter – [...] the main symbol of perfection, though its glory is not always considered to be a favourable property." (Chevalier et al., 2007: 133). So Gara is just like a diamond that is "born out of the earth in the form of an embryo, and crystal, which is the state of transitional maturation. The diamond is "ripe", the gem is not ripe. A diamond is the culmination of maturity" (Chevalier et al., 2007: 133), as a mature woman, hardened by the Kurlani life who experiences a flare-up of consciousness about her value, enlightenment that has changed her mindset and heralded the new order of female being and the feminine principle in general. And just as the Tibetan etymological equivalent '**dorje**'<sup>2</sup> says, the diamond is the 'queen of stones', which symbolizes the clarity, shine and sharpness of enlightenment [...]" (Chevalier et al., 2007: 133). In the same way, Gara, who grew up in a rocky area and strengthened by it and permeated with its substance, can be designated as "the queen of stone". It is her who releases the life on the rock from the patriarchal shackles and who, with her fight, breaks with the imposed conventions of primitive collective thinking.

In literary criticism, it has been repeatedly emphasized that Božić's power is in the language, description, and suggestion, and Gara is presented and introduced into the plot precisely through the suggestive-provocative language of the narrator. This language enlivens her sensuality and sexual orientation as a motivational means for further growth of the character as well as the development of the plot:

Gara's eyes and black hair shine, the locks flow restlessly through the scarf, her breasts well up through a knitted shirt. Gara is flippant like a little goat because she is the darling of the family; at sixteen, her body firmly swells like a flood. But a mountain-dweller finds it challenging to get to her, her father and her brothers too protect her and do not even take her to town on saints' days. (Božić 1980: 52)

In contrast to the robust Perka who is subject to instincts and is stoically repentant for adultery and the death of her child, about which she never found out whether she was responsible or not, and Anđelija who was born to serve, the writer manifests Gara's emotional profiling through the dichotomy of happiness and sorrow. The new state of affairs begins to change this young "highlander":

Those eyes, until yesterday so innocent and shy, were overwhelmed by the longing for the peaceful listening to the heart under her heart. The thought that she might lose that peace suspended her breath; as if her eyes were no longer black and shiny like deep water, at night, in the dark, with a gleam of the hazed moon ... In this young highlander, in just a single

<sup>1</sup>Pointed out by the author of this paper.

<sup>2</sup>Pointed out by the author of this paper.

month, they seem to have narrowed, full of smoke from the oil lamps while staying awake; to have become dark blue from fear and green in defence. (Božić 1980: 64)

While passionate Perka yearns for Philip Kurlani, Gara has no "love sorrows". She does not long for her Bosnian. Moreover, she does not even remember his face well:

Well, she has forgotten him. She still wanted to confront him her old man, she hoped he would come back, but the young Bosnian had not appeared for the ninth week now. She vaguely remembers his face, but it changes, it's not black any more, but at times it becomes brown. [...] There, she does not know, but she knows that his name is Mitar [...] (Božić 1980: 53-54).

Resolving Gara's existential problem caused by her unrestrained sexuality in the novel *Kurlani*, which results in unwanted pregnancy, motivates interpersonal relationships and creates dialogues that are revived by the suggestiveness of Božić's language. So Gara will have confidence in Perka, even though she is "a childless widow, and she could envy her. And she would even mock her behind her back" (Božić 1980: 54) because "in Perka the eye is the most painful so that she might find understanding in her" (Božić 1980: 54). Gara's Kurlani blood is boiling even in this stressful, emotionally tinged moment. Although she is in an unenviable situation where almost every woman of that time and region would have lost pride and been mind and action-restricted, Gara recognizes the advantage of her condition concerning others and even her "illegitimate", "shameful" pregnancy assumes to be Perka's desire, and therefore possible envy. So, this young, sixteen-year-old girl, pregnant in a patriarchal society, with no support from her mother and with an angry father, who, although he loves her, is more "poisonous than a venomous snake when he is angry" (Božić 1980: 54) has the courage and consciousness to take her pregnancy like "it's an ill wind that blows nobody any good". Such a connotation by Božić marks Gara as a strong woman.

Gara, unlike Anđelija, does not show the will of motherhood but becomes a mother, which fundamentally changes her starting position, her appearance, and the way of life. At the end of the *Trilogy*, Gara will be verified as a sensual, eroticized woman aware of her sexuality and free of the patriarchal complex. However, at the beginning of the *Trilogy*, the writer, through the materialization of her current individual and collective position, through the narrator's denotation whose prediction will not come true, retards the femininity of this character:

Gara is firmly caught up with her sin, the more so because she, with her illegitimate child, brought the misfortune of the lawsuit. Gara is hopeless: **There is nothing more of Gara: she has forever been silenced in every woman's constant desire.**<sup>1</sup> At first, she was a little wavering and tried to withstand the rudeness they were showing to her, a "notorious indecent woman", but afterwards she hardened and now she takes everything as a life necessity. They both went astray, and neither gave away their creditors so that the rural grindstone mills them ever so more violently and repulsively. "There will be so many bastards as there is dog's tooth grass in the fields!" - The peasants sheep-drop. But she is silent.... and will cope with it! (Božić 1980: 224)

The fadeaway of Gara's beauty, as well as the psychological profiling of this character, begin with worries from the moment she realizes she is pregnant. Disaster – from a beautiful, lively, lusty, desirable young girl of the broken girlhood with unwanted pregnancy but with the desired child – the culmination of the experience in the Božić's vivid portrayal of her physical appearance and behaviour:

With her firm, slightly apart bare feet, she stopped in the door and snuffled and wiped the nose with her hand. Waiting for a command, she had a dumb and indifferent expression. **She had put on weight and was stuffed with some yellowish fat, like a fattened goose**, although she took care of the whole house. She worked excessively, **her skirt always tucked up, her sleeves rolled up, dishevelled and dirty**, and all she had for herself as comfort was some unintelligible grumbling, which neither Čukan, the old servant, could discern. "She will be exactly like her grandmother," Andrija would say. **Her charcoal eyes**<sup>2</sup> lay now in the passages of the fattened face, and her neck was wrinkled, yet she did not look like an older woman. (Božić 1989a: 178)

Through the course time and Gara's biological maturity, her conception of the world around matured as well as her position in the social environment:

<sup>1</sup> Pointed out by the author of the paper.

<sup>2</sup> Pointed out by the author of this paper.

And Gara sneaked out from the house roused up by Gavran's cheerful song. She looked around with her fearful eyes first, and then she dumbfounded calmed them down and pinned them somewhere at a black point, a speck of dust, getting carried away in her sorrow. Youth persistently throbbed inside her, the heat loosened her stiffness, but the first wrinkles also appeared. Shame is forgotten only where everything is in disgrace; where it is a rarity, guilt is rightfully punished: by remembering. Everything great remains in one's memory. The peasants do not recognize repentance; they only pity sorrow. Gara sank with disgrace and emerged with pain. And time has passed, but there is no land nor shore in sight. With her mother, she listened, watched, and felt that world which with its ordinary and dull life, ferociously crumbled them because of the serious flaws and the forgiving "mistakes": weakness and shame! (Božić 1980: 235)

Gara, while being "bridled with sin" was almost a mute subject without her individuality and subjectivity but she was the subject who was seen and felt by a sensible Čukan's soul, which sensed Gara from far away (Božić 1980: 53). Čukan, highly emotional for a male person of that time and area, whom contemporary literary criticism, by the peculiar traits of his character, distinctive for both male and female gender, could call "androgynous" (according to Oraić-Tolić 2005):

This uneasiness in colour and this colouring in the fever of her first maternity, "unblessed" and unrecognizable, **touched only Čukan**<sup>1</sup>, whose life, full of vagrancy and mockery, silently comes to an end in the mountains. In all his trembling, he felt his brokenness, he, who once was also so young and in each of his muscles had a mouse hopping but remained unused, homeless, hungry, and outcast. He was silent as a servant and suffered like an old loner who, in the suffering of someone else's child, regenerates the sadness of his own bleak life. Smoothly floated the white square pieces in the corners of his bloodshot eyes as if they would never melt. Still, in that silence and in that eye, there was something darkened, some accumulated determination that at least a piece of that "wretched sadness" he will take away from the fate of that child who he looked after as his granddaughter. (Božić 1980: 64)

Despite the tragedy that Gara will experience later with the death of the son of Gara and the collective shooting of the Kurlani clan, she is, generally taken, happy in many ways, and the writer hints at the very beginning of the novel Kurlani by exposing the significance of interpersonal relationships in Gara's system of values:

Gara is so happy, my God – happy! Her father's voice was sweet, and her brother's arm righteous. She, poor thing, hoped for the worse. "They will haul me over the coals!" she thought. That obscure nightmare was full of anxiety! She did not know what Čukan knew, that her old man - though under his sullen moustache – loved her. This is why now after all the blows and scolding, he eases his relief in a flood of tears that are always pure and not bitter when they brim over in the first motherhood (Božić 1980: 56)

Becoming a mother, within her family, she becomes more accepted, and now each blow is a blow delivered on the mother. Besides, she gave birth to a son, the heir, and the only one to show herself in the extension of the Kurlani ancestry lineage, which for her father Silvestar had a significance of life-proportion. Gara brings happiness, a new life to the Kurlani, which fundamentally changes her position in the family and society, so her relationship with her father Silvestar becomes even more profound and closer, while the relationship with her brother Andrija gains a qualitative dimension and he begins to show positive emotions towards his sister Gara:

**When the little human being, came out from his mother's womb and began to breathe** with his free and with his small raised chest began to squeak like a lamb, something touched Andrija's heart. **For the first time, he stopped thinking about his sister as a sinner, wrong, and shameful girl as she no longer was that, and any blow now was on the mother.**<sup>2</sup>; [...]So until now he did not want to understand his sister, who has become a mother today, and thought she deserved to be scolded and harassed; he never thought that once he would be embarrassed or sorry for that.

But Gara's child, you see, touched his young man's soul, which like soil absorbs the moisture after dry months and which, from the darkest thoughts in no time, turns to happiness. This joyful newborn baby's crying shook his everlasting contempt, like the body in motion that even the slightest touch pushes off the path. (Božić 1980: 73) .

However, regardless of this flare-up of emotions, Andrija Kurlan will continue to hit his sister at his whim or, just out of spite will call his horse after her "Garin".

<sup>1</sup>Pointed out by the author of this paper.

<sup>2</sup>Pointed out by the author of the paper.

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Following the character of Gara's father Silvestar throughout the *Trilogy*, we will notice that there were few things which brought joy to his life. In general, what Kurlani had the least of everything-was pleasure. However, Gara's childbirth "had really made Silvestar happy "(Božić 1980: 73), and due to a concatenation of circumstances, favourable for Gara, Garin was considered to have been from the male line of lower Kurlani (Božić 1980: 73) because he was the first-born since Krdo and Andrija as well as the late Ivan – did not have children.

Silvester's relationship to Garin, filled with pure, socially unburdened, primordial grandfather's love for his grandchild, was also determined by Sylvestar's love and care for his daughter Gara, that is, the relationship of Silvestar to his grandchild is the indirect characterization of Gara's character in a sociological sense:

Garin is sleeping with his happily closed big eyes. He is sleeping like a little black hamster with gobbled lips. God has given children a blessed sleep, and anyone who tries to intercept it will be in big trouble! Drowsy and angry, Garin smelled the green intruders as stinking dung-beetles, so sensitive is his nose; his black-eye got angry, and his chatty tongue loosened, as well as his grandfather's, his every wink and jerk reveal his mood and lead a person in discomfort. Šaliveštar hastily put his head in his lap, and hugged him tightly; he could have blurted something fierce and dangerous, if not even bitten or spit someone, unfortunately! His grandfather had completely forgotten the cube of sugar to calm down his grandson with. The little one always has a little imp wriggling inside, just like his mother and he would have to take more care of him and her likewise<sup>1</sup>, until he passes the Way of the Cross. (Božić 1989b: 152-153)

Garin was the greatest source of Silvestar's joy and the only one who succeeded in making him laugh: "Grandad!" he came under the oak tree, raised his little shirt and stuck out his belly taking off his sheep-skin coat, "Grandad! Look! I got two eggs as well. I'm also waiting for the pigeons."(Božić 1989b: 152-153) This apparent roguish Garin's spirit was inherited from his mother's way of thinking:

All things get other colours, depths and heights; now children have bigger eyes and older minds; Garin said, "The puddle is shallow, but the mud is deep"; It is not childish, it makes sense: as if the brat had peeped out of a god's cloud over the Kurlani existence! (Božić 1989b: 37)

[...]

Garin hesitated to enter the grandfather's room. He looked with half-closed eyes, somehow sullenly and drowsily, at the quiet grandfather's bed. His big black eyes almost without the whites, like in a lamb, were troubled looked around restlessly tapped gently at the door with his little bare feet. He did not know where to go or what to do as he was so idle, and then again, he was afraid he might wake up his grandfather.

[...]

The old man concealed himself, motionless and quiet. He peered at his grandson with his half-closed eyes, and a visible smile flickered over his face. [...]

- Come here! -he said quietly, with a weak voice, and Garin rushed forward and threw himself on the blanket and onto his chest straddling him in a second.

- Grandpa, give me a blk!

- Easy now, my kiddy, don't pull it hard! - the old man smiled [...]

[...] He takes grandad's moustache shouts: "Gee-ho, Gee-ho, my little black horse!

It is flashing in the old man's forehead, but he is laughing and moaning, defending himself with his hands from the riding skills of this little brat. He is secretly feeling his sturdy little legs. Women point out to his long eyebrows, thought Grandpa. Let them both be and may the family lineage be kept **because Garin is the Kurlani clan. The villainous sort of his unknown father has not prevailed**<sup>2</sup>, and has been entirely suppressed by a healthier genus. Let Garin be, let dry leaves be around the house! Although broken stones do not make a wall, and dry leaves a tree, there neither can be a wall without

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<sup>1</sup>Pointed out by the author of the paper.

<sup>2</sup>Pointed out by the author.

crushed stones nor a fire without dry leaves. His sons did not make a good showing, have not done it yet. Only Gara. And this is why she became unhappy, tacit, and sad in her maturity. (Božić 1989b: 177)

However, as Garin's presence in Silvester's life was a source of great joy, Garin's death would become an endless source of Silvester's sadness. The motive of Garin's death and how that death occurred, the reason of the child's death is repeated and connotes the way in which he died like in the case of Perka and her child during the procession, which is a correlative of the levelling of male and female tragism. Namely, Silvester thinks he suffocated his grandson in an attempt to protect him with his own body<sup>1</sup> during a German collective shooting of the Kurlani family, which also has some of the procession features. However, it will turn out that while Gara was preparing her son Garin for the funeral, she found: *an abject hole under his little bare shoulder. "And Father has gone mad thinking he choked him!"* (Božić 1989b: 172).

While the writer describes Gara's relationship to father Silvester and her brother Andrija through some awe either through indirect connotations or a direct technique of the inner monologue, the connection to her son is manifested in two ways. The first is indirect when, through her father, Silvester's perception of his daughter, her affection and love for her son Garin is defined:

(She may be sorry, and now she is sorry for not listening to her partisan teacher and escaped with her and her elementary reader to join the partisans. The teacher encouraged and implored her, **but Gara could not do without Garin**<sup>2</sup>, Garin was her concern, her pendant, and then it was difficult to encumber her old father and ill mother with him. She couldn't leave him to her sisters-in-law either; they were loaded enough with their burdens.) (Božić 1989b: 152)

The second, direct relationship with her son can be seen over his dead body when Gara mourns for him. However, Gara is a Kurlani, who is, even in this most tragic and the most painful moment for a human being, secure and also strengthens in her enormous grief. With the death of her child, she is not broken down like Perka but becomes stronger and more enduring. There is no remorse in her, no long-lasting grief, but there is that primordial spark for life. Femininity starts bulking inside her again; she is not a mother any longer but is still a woman.

The relationship of the character of Gara to other female characters has less semantic representation and is reflected through Gara's relationship with her mother, Perka and Iglica.

Gara's experience of her mother is reflected in her demeanour when she thoughtfully bestowed in Perka rather than her mother in the delicate situation of her unwanted pregnancy:

There is no use confiding in your mother; sitting in the chimney-corner with her backache; "good for nothing any more", father says. She has never got used to these parts and never has she had any joy in her life. (Božić 1980: 54)

In the relationship which in the *Trilogy* builds up between Gara and Perka, Gara's affection for Perka is apparent, but fearing for herself Gara is afraid to help Perka:

And Gara, whom she wished all the best. "I've been crucified too, Gara, come to me and sit down with me for a while – she begs the young mother, but Gara fears her brothers like the Scourge of God and is continually avoiding it: "Garin is ill... I have to milk the cows... Krdo will see me!" (Božić 1980: 224)

Despite Gara's justified fear of the cruel brotherly punch, Gara will still show empathy and human consciousness:

And Gara, in all this rush around the gentfolk, furtively took some dunkies wrapped up in a piece of cloth to Perka, "so that her child wouldn't want them," and "to give an easier birth to the baby." (Božić 1980: 221)

Gara's experience of Iglica reveals Gara's sensitivity to the perception of human traits so that Gara will become aware of Iglica's generous nature, who, though poor, always comes with "full hands."

Gara's relationship to her first lover, the Bosnian, is only a denotative sketch in the structure of this figure, while in her explicitly portrayed relationship with her second lover, Milić, put in the spirit of the poetry of Gajo Peleš, the meaningful values of this female character that cause a radical alteration of its features are fundamentally changed. Certainly, Božić creates this change of meaningful, significant values gradually, in this case, through an upcoming transformation of the

<sup>1</sup>In the first part of the *Trilogy*, in the novel of the *Kurlani*, while falling down Perka suffocated her child with her own body.

<sup>2</sup> Pointed out by the author of the paper.

primordial existence of this female character that becomes a symbol. Božić, in the spirit of his Kurlani poetics, announces the temporality of semantic values with a saying of proverbial nature at the very beginning of the novel *Bodies and Ghosts*:

For who does not know that time is fast moving and have bad teeth? Only a fool has confidence in time. Man is to overcome time, not to be overcome by time. It was, therefore, necessary then to intensively and wholly take advantage of man's short time for a great victory, for great dawn and a g Great Tomorrow. (Božić 1989b: 40)

It is precisely Gara, who, with the time enriched by the experience of life, will live to see this "great dawn" after the centenary primordial existence of atavism that has destroyed humanity by determining the human value according to the biological determinant of sex. She, Gara, will in a real and symbolic sense – survive, for: "An instinctive defiance pricked her. She extricated herself, digging with her knees and elbows from the slurry pit." (Božić 1989: 166), in contrast to Perka or Andelija who, by marriage, become the Kurlani women and as such, have no innate "Kurlani gene" so cannot survive in primordial living conditions.

Gara is repeatedly experiencing her "great tomorrow" through the motive of willingly and consciously engaging in a sexual act with soldier Milić, through which, symbolically, the entangled threads of various female destinies unravel. While at the beginning of the *Trilogy*, Gara was unburdened with any discursive cognitive methods, at the end of the *Trilogy*, the hot Kurlani blood in her does not boil only by instinct. In her second sensual experience, Gara participates on an equal basis and engages consciously and deliberately in it, and the pregnancy that was the result of this act becomes a choice of her own. And, Gara is no longer afraid of anything. The individualized semantic network of this female character, which carries resolve, vigour, action, and courage, is portrayed in short, stylistically pronounced sentences in which the subject and predicate are very often missing, and the writer directly emphasizes the state of the absence of fear.

The machine-gun crackled

From above! From the Kurlani Upper. Short, quick bursts. The thin echo suddenly stops short. Like the sound of walnut against a board.

**She did not get scared. Nothing can frighten her anymore. Her heart is no longer timid.**<sup>1</sup> It flashed only from the damn memories of the pit. (Božić 1989b: 261)

Božić's poetic explication of the semantic potentiality and the actantial significance of this female character throughout the *Trilogy of Kurlani* is rounded up in the poetic image of the last part of the *Trilogy*:

From a smoke-stained window, from the frame of the bluish liverock, **Gara Kurlani is looking at them like Mother of God of Sinj** from the shackles of darkened silver and dusty glass. Gara's eye is not soft and gentle, her face is not gold-plated but blood-stained, her eyebrows are not sea leeches, but venomous snakes, Gara is entirely like the black sky over Mother's of God image. Gara's conception is sinful, and Mother of God is immaculate, Mother of God son was a God, Gara's son was a bastard. Son of Mother of God has resurrected, and for Gara, there is no heavenly hope! Gara is the face, and Mother of God the back, Gara is a reality, and Mother of God is a dream! **Gara is a living legend!** (Božić 1989b: 187-188)

## 5. Conclusion

The actantial significance of the complex character of Gara – a Kurlani woman, has been realized through the progressive stages of her life, which the writer portrays gradually through the narrator's comments, the views of others, her own words and thoughts, as well as her inner monologues. He even uses even the technique of the stream of consciousness so that he would complete the rounding-up of this most complex female figure of the *Trilogy of Kurlani*.

This most symbolic female figure almost has no direct relationship with the other characters except for her encounter with soldier Milić and dialogue with Iglica at the very end of the *Trilogy* when Gara has already "restored to life". The relations of Gara's relationships were achieved indirectly. So we indirectly learn, because Gara is already pregnant, about Gara's relationship with the young Bosnian. There is no direct dialogue between Silvestar and Gara nor between Gara and her mother. The relationship with Perka is shown through Perka's inner monologue, whereas the relationship with her brothers causes in Gara an elementary sense of fear. And Cukan's concern for Gara is not revealed through Gara's consciousness or action, but we learn about it through the omniscient narrator and the descriptions of her condition.

<sup>1</sup>Pointed by the author.

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Complex and continuously changing, Gara also "rebels" against her creator, the writer. She has broken free and become autonomous in her "existence" because she is no longer determined by destiny as an essential factor and as the meaning of the human existence which Božić fatalistically places in the foreground.<sup>1</sup>

Through the semantic metamorphosis of her meaningful complex, Gara becomes an individual, unique force, but also the incarnation of all Kurlani women, that is, a universal representative of women of that time and region wrapped up in the patriarchal blind veil, at the same time embodying the primordial and timeless woman.

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<sup>1</sup> cf Miroslav Šicel, "The Kurlani Trilogy of Mirko Božić", in: *Ogledi iz hrvatske književnosti*, Rijeka, 1990, p. 171.

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## Children's Rights and Sport Activities: The Parental Liability

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### Abstract

Sport is a fundamental right and above all it is a right for children. As a matter of fact many Constitutional Charters, in Europe and in the other Countries around the world guarantee to every child the right to engage in play and recreational activities for rest and leisure time. According to scholars, playing sport activities, kids and young people enhance their physical and mental development, learn about play fair, respect, rules, inclusion, healthy lifestyle, learn to become group's member. Indeed, it is necessary to underline that this right encloses the right to choose whether or not to play sport activities and the kind of sport to practice. Who can help children in choosing which sport, or how many sports to do? Since children lack autonomy, it's up to parents to make decisions to promote children's interests also about sports filed: both parents are equally important in law. Since it is a parent's duty to prepare children for an independent life, recently in family law the relationship between parents and children has changed: the absolute power of parents over children to made choices about kid' growth has been replaced by an equal or almost equal relationship. According to case law, custom, and literature, this new democratic model of the family organization, can be confusing for parents. Are there specific roles and duties that parents have to perform to protect and to promote their children's sport, to help kids to enjoy, to increase their motivation, and to ensure their health and safety during sport activities? Is the mere fact of a parent-child relationship a basis for vicarious liability? The aim of this work is to discuss the parental liability related to amateur sport in the light of Italian case law.

**Keywords:** children's right; sport; duty of care; parental liability

### 1. Introduction

#### Sport as a fundamental right for all

According to the Charter of the Council of European Sports issued in 1992 "Sport means all forms of physical activity which, through casual or organised participation, aim at expressing or improving physical fitness and mental well-being, forming social relationships or obtaining results in competitions at all levels" .

Taking into account that sport are a need of the human beings, in 1975 the European Sports Minitser of the Council of the Europe, recognizing a specific legal value of this need, provided for the right to sport as a fundamental right; and in 1978 the International Charter of Physical education and sport, issued by UNESCO, expressly stated that the practice of the sport is a right for all.

Nowdays, scholars (M. TONK, NAGY MEHESZ, V. A.VOICU, 2010 )literatures explane the multiskylled role that sport plays for human beings in every aspect of their life releted to the individual and to the social life, in enhancing human health and in promoting harmonious development of personality.

Sport activities meet people's interests as confirmed by the recognition of the principle of specificity by Union law; according to the art. 165 of the TFEU, the European Union contributes to the promotion of European sports profiles, taking into account its specific features, its structures based on volunteering and their social and educational function, and with its action aims inter alia to protect the physical and moral integrity of sportspeople, especially the youngest ones.

This is the so-called social model of sport, recognized by EU to make public and private institutions and organizations involved in people education, aware to collaborate in order to develop children and youth education through sport.

The aformentioned sources show that sport and human right are strictly connected (A.G. PARISI 2009); first of all because the national and the international legal systems place the right to sport within fundamental rights, and secondly because

the sport seems an instrument to promote the other human rights and to implement the rules and the principle of the law on human rights, as the protection of the dignity of human being.

The interaction between this rights emerges considering children's rights.

## **2. Methodology. The right to sport for children**

The UN Convention recognizes also that every child has the right to rest and leisure, to engage in play and recreational activities appropriate to the age of the child and to participate freely in cultural life and the arts, and that member governments shall respect and promote the right of the child to participate fully in cultural and artistic life and shall encourage the provision of appropriate and equal opportunities for cultural, artistic, recreational and leisure activity.

According to the scholars, (M. CIMMINO, 2012), playing sport activities, kids and young people enhance their physical and mental development, learn about fair play, respect, rules, inclusion, healthy lifestyle, learn to be members of a group.

Indeed, it is necessary to underline that this right encloses the right to choose whether or not to play sport activities and in which kind of sport to be engaged.

As a matter of fact according to the Children's Rights in Sport Principle developed by Japan Committee for UNICEF, children can express their views freely about all matters affecting themselves, including their willingness or unwillingness to participate in matches and practice, in accordance with their age and maturity.

The principles state the need to protect the views of the child on how they wish to participate in and enjoy the sport, including those aiming to become professional athletes and those wishing to enjoy sport as a leisure and recreation activity.

Undoubtedly all sporting activities should be available to any child wishing to participate; young people have the right to participate in training and competitive activities which are designed to help to develop friendship and solidarity amongst them.

Who can help children in choosing which sport, or how many sports to do? Since they lack autonomy, it's up to parents to make decisions to promote children's interests also about sports filed: neither parent is more important in law than the other (MOROZZO DELLA ROCCA, 1994).

Are there specific roles and duty that parents have to perform to protect and promote children's sport, to help kids enjoy, to increase their motivation, and to ensure their health and safety during sport activities?

Over the past decades, organised youth sports has spread, and as a consequence the related sports injuries, have risen. In fact the practice of sport, as for the variety of so-called lawful and dangerous activities, even if promoted and encouraged, can also represent a danger to the fundamental legal assets of the person, namely life, health and mental and physical integrity (M. PITTALIS, 2016). In the absence of a specific discipline of the subject, is the mere fact of a parent-child relationship a basis for vicarious liability?

## **3. Discussion. The parental liability for sports injuries of minor**

First of all, it is necessary to remember that according to many national legal system, child or minor is generally is a person under the age of 18 and that because the lack autonomy, so family law provides for important rules to regulate the parental responsibility, that is the parent-child relationship, recognizing that it's up to parents to make decisions to promote children's interests, well-being, establishing different rights and the responsibilities of parents towards their children.

Indeed parents are all biological parents, whether they are married or not; any person who, even if not a biological parent, has parental responsibility for a child or young person - like an adoptive parent, a step-parent, or guardian; generally any person who takes care of a child or young person. (G. GIACOBBE, 1997).

The 'parental responsibility' encloses the rights, duties, powers, responsibilities and authority parents have for or over their child, about feeding and clothing, making decisions about where to live or schooling, to consent to medical treatment, or representing them in legal proceedings (G. DE CRISTOFARO, 2014; M. SESTA, 2011; M. SESTA, 2000; P. STANZIONE, 1980).

The scholars underline the aspects concerning the relationship of parents and child from those ones related to the relationship of parents and third parties; but the most important distinction made by literature aims to distinguish the

personal or moral aspects of parental relationship from the parental task the management of minor's properties related to his economic interests.

Although is a parent's duty to prepare children for independent life, recently in family law the relationship between parents and children has changed: the absolute power of parents over children to make choices about kids' growth has been replaced by an equal relationship or almost equal.

The Art. 30 of the Italian Constitution states the right and duty of the parents to support, educate and provide moral guidance to their children; and the Art. 147 of the Italian civil code states that the child's abilities, natural inclinations and ambitions should be taken into consideration.

According to case law, custom, and judgement, this new democratic model of the family organization, can be confusing for parents; however in many cases, related, for instance to religious, politic, sexual, medical and sporting choices, that involve personal and moral aspect of their life, the children's will plays an important role in the legal relationship with their parents.

In fact after the reform made by the Italian legislator with Law of 19 May 1975, No. 15 re the parental responsibility it is up to both parents and throughout the years, slowly, case law and juridical literature changed their vision, considering the minor a holder of rights and recognizing that growing up he will improve his concrete capacity of judgment becoming able to take decision about his life or to express his will.

In fact, scholars (E. LAMARQUE, 2016; G. GIACOBBE, 2014; G. ANZANI, 2009; . STANZIONE, 1975) and case law conceive the children as individuals who also have human rights, according to the provisions of the UN Convention on the Rights of the Child (1989), -ratified by many countries in the world- that recognizes the rights to provision, (education), the rights to protection,(discrimination) and, in particular, the rights to personal freedoms and to participate in decision-making (to respect for their opinions).

Even though the term 'children' usually refers to younger people who are unable to understand and to make important decisions for themselves, and, in a different way, 'young people' are older or more experienced people, even if under age of 18, are able to make these decisions for themselves it's up to the Court to determine whether the child had caused an accident through failing to take 'reasonable care' and so had been negligent.

The topic of the liability of a minor in tort is too difficult, ( it has different implications: first of all it is important to underline that generally a person will not be guilty if their acts were not voluntary; in case of damages involving minors we need to take into account what "voluntariness" means, since the tort of negligence is determined by the objective standard of the "reasonable person" and a child is generally incapable of appreciating the danger, and reasoning in reference to it.

In addition the parent is not automatically liable for the child's negligence (A. PANOS PERÉZ, 2010; M. BESSONE, 1982) . The case law shows that it is difficult to prove negligence of parents regarding due supervision of their children. The complexity of this question increases when the harmful act is made or involve a child that is not accompanied by their parents and in this moment they cause damage to third parties. There are fewer cases where the plaintiff is at school or at sports ground as the child is under the supervision of their teacher or coach at any material time of injury.

Generally in this cases it is up to the parent to take measures in advance to observe or monitor the child at any time or alternatively to indemnify third parties for damage .

#### **4. Results. A brief look to the Italian case law**

In particular, the task of establishing to what extent, in concrete terms, the assessment of the value of sporting activities could be brought, recognizing the right to practice sport and when, instead, this right should succumb to the protection of the right to life and/or psychophysical integrity, which can sometimes be jeopardized by sporting activities, was referred to case law (M. CIMMINO, 2012).

The jurisprudence seems to be favorable to the parents' exemption from liabilities, especially when the child were close to the age of 18

In Italy, for example, the civil liability of the parents is based on a presumption of fault, which could be rebutted by evidence to the contrary, the parents are liable for the torts of minor children living with them, unless they proved that they could not prevent the wrongful act.

regarding the harmful act made during sport activities that engage minors, scholars and jurisprudence was called to experimenting in this field the operation of the principle of *neminem laedere* summarized in the general clause of Art. 2043 of the Civil Code and considered regulatory protection for the guarantee of inviolable rights.

Parents have to properly instruct their children, in particular when allowing them to take part in a sport activity that can be particularly dangerous,

In relation to the damage that occurred during the performance of the sporting activity, the Supreme Court was also able to call attention to parental responsibility pursuant to Art. 2048 of the Italian Civil Code, which would be founded on the parents' failure to fulfil the duties set out by Art. 147 of the Civil Code, which regulate parent-child relationships.

Parents are required to prove, in accordance with Art. 2048 of the Civil Code, that the minor was given a healthy education and that adequate supervision of their age, character and temperament was provided for them.

Thus it is from time to time necessary to establish, in cases of harm caused by a student to the detriment of another student, "if an anomalous behaviour of this kind, voluntary and violent, in any way justifiable, for not even having been committed during a phase of the game and in the excitement of the moment, but deliberately and when the game was at a standstill, was an indication of an inadequate education with respect to the civil dictates of relational and sporting life, the responsibility for which - in the absence of a precise liberating test - could only fall presumptively on the parents, who failed to fulfil their duties with regard to the same obligations pursuant to Art. 147 of the Civil Code.. "

It can be said that parents will not have to compensate the damage caused by their child during a sporting activity, if they show that they have properly introduced the child to sport and have adequately supervised the child on the occasion of the unlawful act"; and, again, when they exercised adequate vigilance to the degree of education and maturation of their child".

If it is true that parents, in turn, have the obligation to instruct and educate their children according to the latter's inclinations and natural abilities, looking at the field of illegal acts, nevertheless, it is necessary to consider the other side of the picture, so that, from a 'viewpoint of self-responsibility and self-determination, if the minor is subject to protection, then he/she must also be considered responsible for his/her own conduct, so more attention needs to be paid to the evaluation of his/her ability to understand and take action.

Indeed, potentially and abstractly, the parents will always be responsible for the actions carried out by the minor, with obvious implications from the point of view of the opportunity for compensation for damages deriving from the unlawful act of the minor.

Moreover, this rule does not provide for any differentiation between minors according to their age, so that the liability regime deriving from the offense of a seventeen-year-old is the same as that which follows from the same fact as a twelve-year-old (as long as both are able to genuinely understand and take action).

The legislator, therefore, has not provided for a graduation of the responsibility that takes into account the «older minor» ; nor has the case law indicated precise criteria of interpretation as a function of the age of the child close to acquiring the full capacity to act, differently from other systems (for example, in Germany and France) that follow a discipline similar to ours .

Moreover, on the occasion of the preparatory work of the current Civil Code there was also the proposal to introduce a progressive system of acquisition with regard to the minor's capacity to act, in correspondence with intellectual and moral maturity; finally, however, a radical solution was opted for which, through the watershed of Art. 2 of the Civil Code, the minor age was established as a condition of general legal incapacity of the person, in order to satisfy the requirements of certainty of trade, and therefore in a perspective of protection of economic needs.( G. BERTI DE MARINIS, 2016).

Today this vision has changed and it is necessary to take note of it, especially in relation to adolescence(M. MONTEJO RIVERO, (2012),In fact, some European legislations, in identifying the age below which the minor is not considered responsible, arrive at ever lower ages.

These observations seem to be consistent with the discipline of family relations, based on the change in the institution of parental authority to "parental responsibility" carried out by the Italian legislator in 2012 with the introduction of the new Art. 316 of the Civil Code, the expression of an evolutionary path that started with the entry into force of the Constitutional Charter and that was marked by the passage from an institutional and authoritarian conception of the family to that which

considers the family as a community, founded on the mutual solidarity of its members, all bearers of autonomous subjective rights, interests and, tendentially, of duties and responsibilities.

## 5 Conclusions

Tort parental responsibility legislation focuses not only on providing monetary compensation by parents where their children are unable to do so, but also aims to persuade parents to better supervise their children.

Prevention initiatives undertaken to reduce sports injuries can be of different types. Some strategies involve modifying the rules of the sport discipline, such as imposing the use of protective equipment, e.g. a helmet in cycling. This approach provides some degree of protection without specific cooperation from the athlete other than complying with the regulations. On the other hand, active prevention strategies aim intrinsic, modifiable risk factors and imply a change of attitude or physical characteristics to decrease injury risk.

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## Tax Revenue and Nigeria Economic Growth

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### Abstract

This study examines the relationship between Tax Revenue and Nigeria Economic Growth. In order to achieve this objective, data was gathered through secondary means. Tax Revenue is proxy by Petroleum Profit Tax, Value Added Tax and Companies Income Tax, while Economic Growth is proxy by Gross Domestic Product. Data collected were analyzed with the aid of the Stata computer software. The study revealed that Petroleum Profit Tax (oil tax revenue) has a positive but no significant relationship with Nigeria Economic Growth, while Value Added Tax and Companies Income Tax (non-oil Tax Revenue) have significant relationship with Nigeria Economic Growth. The study recommends that government should minimize the wide spread corruption and leakages prevalent in tax administration in Nigeria, and transparently and judiciously account for tax revenue generated through the provision of more quality public goods and services, and need not to increase the rates of Value Added Tax and Companies Income Tax in the short run, but to closely monitor the operations of companies engaged in petroleum operations to minimize tax evasion, and as well as support the development of entrepreneurial activities in order to significantly increase Tax Revenue so as to sustain the significant relationship of VAT and CIT (non-oil tax) revenue with Nigeria Economic Growth.

**Keywords:** Tax Revenue, Economic growth, Company Income Tax, Value Added Tax.

### Introduction

The necessity for taxation emanated from the need for government to provide essential amenities for societal growth and development. This will enable the government to effectively superintend human affairs in a given geographical space. The government will need financial and material resources to carry out its functions which include the provision of basic amenities of life such as good roads, pipe borne water, electricity, health facilities as well as security over lives and property.

Osita (2004) described taxation as the most important source of government revenue from the view point of certainty, consistency, and reliability. The Nigerian Government has over depended on the oil sector of the economy for most of its revenue since the mid 1970's, despite the unreliable and fluctuating nature of oil prices in the international oil market. According to Ariyo (1993), this development has led to the neglect of other revenue sources like non-oil tax, Agriculture and solid minerals, and also that the advent of oil boom in Nigeria encouraged laxity in the management of non-oil sources of Government revenue, leading to a sustained reduction of non-oil revenue to the government over the years. This has culminated in persistent shortage of government revenue to fund its obligations to stimulate economic growth, thereby leading the country into economic recession in 2016 and the attendant socio-economic crisis.

According to Hendrik (2001), economic growth involves increasing the capacity of the economy to satisfy the wants and needs of inhabitants of a nation, and also that 'economic growth refers to increase in output, while economic development refers to all the changes in the economy, including the social, political and institutional changes that accompany changes in output.' In his book *The Wealth of Nations*, Adams Smith documented that the economic growth of a nation deals with sustained increase in real gross domestic product (GDP), per capita income, and expansion of the production possibilities of an economy.

. The Economic Recovery and Growth Plan (ERGP, 2017) believes that the economic growth recorded during 2011-2015 which averaged between 4.8% per annum was mainly driven by high oil prices, and was largely non-inclusive. Continuing,

this document (ERGP, 2017) maintains that "majority of Nigerians remain under the burden of high poverty, inequality and unemployment". In the opinion of the growth plan document, this unfavourable economic scenario may be due largely to the seeming lack of critical investments in agricultural production and food security, infrastructural development; power and energy provision, roads and rail construction, industrialization, education and critical skills acquisition, solid minerals development, the provision of good quality health care for a healthy work force, as well as high corruption and mismanagement of public finance, thereby leading to a positive but jobless economic growth trajectory.

The Economic Recovery and Growth Plan (2017) document believes that after more than a decade of economic growth, the sharp and continuous decline in crude oil prices since mid-2014, along with a failure to diversify the sources of government revenue and foreign exchange in the economy, led to economic recession in 2016. The capacity of government spending to stimulate economic growth was equally constrained, especially due to lack of fiscal buffers to absorb the shock, thereby culminating in the resultant socio-economic crises that accompanied the economic recession in the country.

As the functions of government increases especially in a modern economy, government's revenue to finance its obligations must necessarily increase. Thus the need for more certain, consistent, reliable and diversified sources of government revenue in Nigeria (such as Value Added Tax Revenue and Companies Income Tax Revenue) can therefore not be overemphasized. According to the Federal Ministry of Economic Planning in their Economic Recovery and Growth Plan (ERGP, 2017), following the crash in the price of crude oil in the international market, where crude oil sells well below \$120 per barrel, coupled with decline in oil production on account of militant activities in the Niger Delta, government's financial position has decreased to low levels, and consequently hampering the spending capacity of the government on critical investments in Agricultural production and food security, infrastructural development; power and energy provision, roads and rail construction, industrialization, education and skills acquisition and employment generation, thereby plunging Nigeria's economy into a recession in 2016 with its attendant socio – economic crisis on the country's economy.

From the empirical review in this study, it came to light that previous researchers such as Chude and Chude (2015), as well as Afuberoh and Okoye (2014) did not clearly bring out the relationship of the variables (VAT, PPT and CIT) in the Nigeria economic growth. Secondly, most of the research work on this topic stopped between 2015 and 2016, and therefore does not include the most recent data on this topic. Due to the economic reality of today, the scope of the study will cover up to 2017. This study will also provide clear analysis for appropriate identification of the relationship of the variables (VAT, PPT and CIT) and Nigeria Economic growth through the use of the Stata Econometrics computer software package. By so doing, this study will help to close the gap earlier identified in the works of previous researchers.

The study therefore examines the relationship between tax revenue and Nigeria's economic growth. The specifically the study assesses the relationship between Value Added Tax (VAT) revenue, the relationship between Petroleum Profit Tax (PPT) revenue, the relationship between Companies Income Tax (CIT) revenue and Nigeria's economic growth. The paper hypothesizes that:

H<sub>0</sub>1: Value Added Tax (VAT) revenue has no significant relationship with Nigeria's economic growth.

H<sub>0</sub>2: Petroleum Profit Tax (PPT) revenue has no significant relationship with Nigeria's economic growth.

H<sub>0</sub>3: Companies Income Tax (CIT) revenue has no significant relationship with Nigeria's economic growth.

## Literature Review

### Conceptual Clarification

#### Economic Growth

According to Hendrik (2001), economic growth involves increasing the capacity of a country's economy to satisfy the wants and needs of inhabitants of that nation. Hendrik (2001) continued that "economic growth refers to increase in output, while economic development refers to all the changes in the economy, including the social, political and institutional changes that accompany changes in output."

In his ageless book, *The Wealth of Nations*, Adams Smith documented that the economic growth of a nation deals with sustained increase in real gross domestic product (GDP), per capita income, and expansion of the production possibilities of an economy. Sharp, Register and Grimes, (2002) documented that economic growth is the long run process that results from the compounding of economic events over time. Similarly, Dwivedi (2002) posited that economic growth means a

sustained increase in per capita national output or net national product over a long period of time. It means that the rate of increase in total output must be greater than the rate of growth of the population.

### **The Kaldor Model of distribution**

In this economic growth model, Kaldor postulates that the saving-income ratio is variable in the growth process. Here, Kaldor based economic growth on the classical saving function which implies that savings equals the ratio of profits to national income. This is given by:  $S = P/Y$

### **The Pasinetti Model of Profit and Growth.**

This economic growth model is an extension of the Kaldor model of distribution by incorporating worker's profits as returns on their savings. This shows that there exists a distribution of income between profit and wages, thereby keeping the system in long run- equilibrium.

### **Joan Robinson's Model of Capital accumulation.**

In her book, "The Accumulation of Capital", Joan Robinson builds a simple model of economic growth based on the capital rules of the game. In this model, net national income is the sum of the total wage bill plus total profits which is expressed thus:  $Y = WN + PK$

### **Meade's Neo-Classical Model of economic growth.**

In this model, professor Meade constructed a neo-classical model of economic growth that is designed to indicate the way in which the simplest form of economic system behave during a process of equilibrium growth. Here, the net output produced depends on four factors. These include: The net stock of capital available in the form of machines, the amount of labour force available, the availability of land and natural resources, the state of technological knowledge which continues to improve over time.

### **Petroleum Profit Tax (PPT) and Nigeria's Economic Growth**

Odusola (2006) documented that Petroleum Profit Tax (PPT) is a tax applicable to upstream operations in the oil industry. He continued that PPT is particularly related to rents, royalties, margins, and profit sharing elements associated with oil mining, prospecting and exploration leases. According to the definition of the Petroleum Profit Tax Act (PPTA), Petroleum operations essentially involve petroleum exploration, development, production and sale of crude oil.

The importance of Petroleum Profit Tax (PPT) to Nigeria's economic growth cannot be over-emphasized. Ogbonna (2011) documented that Nigeria's petroleum industry constitutes a major source of revenue to the government, and occupies a strategic position in the economic growth of Nigeria. According to Onaolopo, Fasina and Adegbite (2013), Petroleum Profit Tax (PPT) is the most important tax in Nigeria in terms of its share of total revenue, contributing 95% and 70% of foreign exchange earnings and government revenue; and the importance of foreign exchange to Nigeria's import-dependent economy cannot be over-emphasized. Onaolopo, Fasina and Adegbite (2013) continued that the petroleum industry is the largest generator of Gross Domestic Product (GDP) in Nigeria, which is Africa's most populous nation, and contributed to national economic growth in varied ways through employment generation, income generation, industrialization, as well as improvements in other economic variables.

However, Ogbonna (2009) expressed the opinion that the administration of Petroleum Profits Tax in Nigeria has mainly been focused on revenue generation to the detriment of stimulating economic growth and development of the country.

### **Value Added Tax (VAT) and Nigeria's Economic Growth**

Okoye and Ani (2004), defined VAT as "an indirect form of taxation based on the general consumption behaviour of the people". This definition is in line with the Statements of Standard Accounting Practice (SAAP) number five (5), issued in the United Kingdom in 1974, to be a tax on the supply of goods and services which is eventually borne by the final consumers, but collected at each stage of production and distribution chain.

Margaret, Charles and Gift (2014), believed that the impressive performance of VAT in all the countries it was introduced actually influenced the decision of the government to introduce VAT in Nigeria in 1994. The Federal Inland Revenue Service (FIRS) documented that VAT, which replaced the old sales tax, is a consumption tax which is relatively easy to

administer, easy to collect and difficult to evade, thus increasing government revenue thereby aiding Nigeria's economic growth. The FIRS is responsible for the administration of VAT in Nigeria.

### **Companies Income Tax and Nigeria's Economic Growth**

According to Ani (2004), CIT is a direct tax levied on the profits of companies. Companies Income Tax is derivable from the taxable profits of companies which are incorporated under the Companies and Allied Matters Act, 1990 as amended till date or any other law that may replace it dealing with the incorporation of companies. In line with section 8(1) of the Companies Income Tax Act (CITA), CIT are payable upon profits of any company accruing in, derived from, brought into, or received in Nigeria in respect of any trade or business that may have been carried out. Currently, the rate of CIT is 30% of assessable profit.

Dickson and Rolle (2014) posited that government often use CIT incentives such as tax exemptions to attract and retain local and foreign investors to engage in productive activities thereby increasing economic growth, and also influence a favourable balance of payment with other countries. Since companies income tax is progressive (the higher the earnings, the higher the CIT), it encourages economic growth. Ani (2014) mentions the objectives of CIT which aids Nigeria's economic growth to include: Source of government revenue to finance infrastructural projects. Equitable distribution of income/wealth. Achievement of favourable balance of payment. As an instrument of fiscal policy to regulate the economy and influence economic growth. To discourage the manufacture and consumption of undesirable goods inimical to public health so as to maintain a health society and work force to aid economic growth.

### **Empirical Review**

Many empirical studies have been carried out on the contribution of taxes to government revenue generation and Nigeria's economic growth. For instance, Cornelius, Ogar and Oka (2016) examined the impact of tax revenue on the Nigerian economy. The objectives of their study were; to examine the relationship between petroleum profit tax and the Nigerian economy, the impact of company income tax on the Nigerian economy, and the effectiveness of non-oil revenue on the Nigerian economy. Data were sourced from Central Bank of Nigeria's Statistical Bulletin and extracted through desk survey method. Ordinary least square of multiple regression models was used to establish the relationship between dependent and independent variables. The finding revealed that there is a significant relationship between petroleum profit tax and the growth of Nigeria economy. It also showed that there is a significant relationship between non-oil revenue and the growth of Nigeria's economy. The finding equally revealed that there is no significant relationship between company income tax and the growth of Nigeria economy. It was recommended that government should endeavour to provide social amenities to all nooks and crannies of the country. It was further recommended that government should engage in a complete re-organization of the tax administrative machineries in order to reduce to tolerable levels the problem of tax evasion and avoidance, and finally, to enhance the tax base of government, employment opportunities should be created, and a good environment for entrepreneurship and innovation to thrive should be made available, using tax proceeds.

Achor and Ekundayo (2016) examined the impact of indirect tax revenue on economic growth in Nigeria. The study uses value added tax revenue and customs & excise duty revenue as independent variables, and economic growth was proxy with real Gross Domestic Product as the dependent variable. The study employed secondary data collected from Central Bank of Nigeria's statistical bulletin for the period covering 1993 to 2013 for the empirical analysis using the convenient sampling technique. The research design is time series and the data were analyzed using descriptive statistics, correlation, unit root test, co-integration test and error correction model regression. The result revealed that value added tax had significant impact on real Gross Domestic Product. The study therefore recommended that existing tax administrative loopholes should be plugged for tax revenue to contribute immensely to the development of the economy since past value added tax and custom and excise duty had a significant impact on economic growth.

Chude and Chude (2015) investigated the impact of company income tax on the profitability of brewery companies in Nigeria. The study employed the augmented Dickey Fuller Unit Root test, Johansen co-integration test and Ordinary Least Squares techniques to analyze time series secondary data. The study revealed positive correlation between taxation and profitability.

Dickson and Rolle, (2014) studied the impact of tax reforms on tax revenue generation in Nigeria. Specifically, the researchers attempted to verify the relationship between federally collected revenue and specific tax revenue generation sources. The study employed annual time series data spanning the years (1981-2011). The various income taxes were used as a proxy for tax reforms. By way of preliminary test, the Augmented Dickey fuller was employed to test for unit root.

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All the time series variables were non-stationary at levels but became stationary after first differencing. The Johansen's co-integration test shows that long-run relationship exists between tax reform and federally collected revenue in Nigeria.

Onaolapo, Fasina and Adegbite (2013) examined the effect of petroleum profit tax (PPT) on Nigeria Economy. In order to achieve their research objectives, secondary data were obtained from Central bank of Nigeria statistical bulletin covering the period of 1970 to 2010. In concluding their analysis, multiple regressions were employed to analyse data on such variables as Gross Domestic Product (GDP), Petroleum Profit Tax, Inflation and Exchange rate were all found to have significant effects on Economic Growth with the adjusted R square of 86.3%. Following the outcome of this study, it was concluded that the abundance of petroleum and its associated income has been beneficial to the Nigerian Economy for the period 1970 to 2010, and that income from a nation's natural resource has a positive influence on economic growth and development. It was recommended that Government should transparently and judiciously account for the revenue it generates through Petroleum Profit Tax by investing in the provision of infrastructure and other public goods and services, and that government should more effectively and efficiently utilize revenue generated from PPT to create growth, employment opportunities and wealth in the economy so as to encourage tax payers to be more willing to meet their tax obligations to the Government.

Umoru and Anniwe (2013) examined the effect of tax structure on Nigeria's economic growth. The researchers employed co – integration and error correction methods of empirical estimation to analyse their data. They came out with the conclusion that direct taxation is significantly and positively corrected with economic growth, while indirect taxation had significant negative impact on economic growth. On the basis of the empirical analysis, the study concluded that petroleum profit tax is one of the most important direct taxes in Nigeria that affects the economic growth of the country and should therefore be properly managed to reduce the level of evasion by petroleum exploration companies in Nigeria. The study recommended among others that companies involved in petroleum operations should be properly supervised by the relevant tax authority (FIRS) to reduce the level of tax evasion; government should show more accountability in the management of tax revenue and finally, the level of corruption in Nigeria and that of government officials should be drastically reduced to win the confidence of tax payers for voluntary tax compliance, thereby increasing government tax revenue.

Adesina (2011) studied Value Added Tax and Economic growth in Nigeria. To achieve their objectives, the researchers employed time series data on Gross Domestic Product (GDP), Value Added Tax (VAT) revenue, total Tax Revenue, and Total Federal Government Revenue from 1994 to 2008. Their data which was sourced from the Central Bank of Nigeria were analyzed, employing both simple regression analysis and descriptive statistical method. The result showed a positive relationship between VAT and economic growth.

## **Theoretical Framework**

### **Harrod-Domar theory of growth**

The Harrod-Domar theory of economic growth assigns a key role to investment in the process of economic growth. It places emphasis on the dual character of investment to facilitate economic growth. In the first instance, it creates income, and secondly, it augments the productive capacity of the economy by increasing its capital stock. In this model, as long as net investment is taking place, real income and output will continue to expand. However, in order to maintain full employment equilibrium level of income from year to year, it is important that both real income and output should expand at the same rate at which productive capacity of the capital stock is expanding.

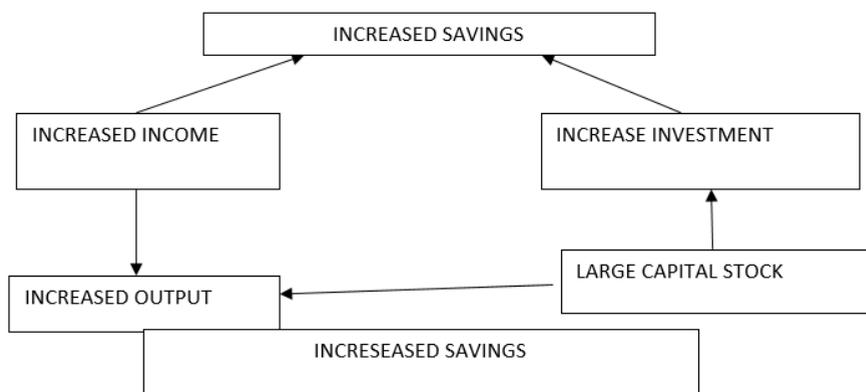


Figure. 2.1 Harrod-Domar Economic Growth Model

The Harrod-Domar Economic growth model above suggests that the rate of a nation's economic growth depends on the level of savings, productivity of investment, as well as the amount of capital employed.

This study is anchored on the Keynesian theory of taxation. This is due to the fact that if high taxes are not imposed, it will lead to shortage of government revenue, thereby impeding the ability of government to effectively meet its obligations to citizens. Such a scenario is capable of creating socio – economic crisis and the resultant adverse consequences in the economy.

### Methodology

The study examines Effect of Tax Revenue on Economic growth in Nigeria. The explanatory research design was used for this study. This is because this study is considered explanatory in nature, as it seeks to explain the relationships between tax revenue and economic growth. This study focuses on all the tax data on economic growth in Nigeria between 2003 and 2017 as provided by the federal Inland Revenue service.

Secondary data was obtained from the office of the Federal Inland Revenue Service (FIRS), Abuja, and the annual report of the Central Bank of Nigeria (CBN), office of the National Bureau of Statistics, Abuja, as well as academic and professional publications. Upon completion of data collection, combinations of both descriptive and inferential statistics were employed as methods of data analysis. The regression analysis was conducted using the stata computer software package. The reasons for employing this software package are because time series data are employed for this research. It enhances the quality of the data, data becomes more variable, more degree of freedom and it reduces and eliminates bias in the data (Baltagi, 2005). Since multivariate regression is used to test the hypotheses, assumptions of multi co-linearity, normality and linearity were also tested. The Pearson correlation matrix is used to test the multi collinearity assumption while Multivariate regressions for the model were conducted for the year (2003-2017).

### Operationalization of Variables

The variables for this study are divided into two (2), the independent variables and dependent variables. All these variables are included in the framework designed by the researcher. See below the framework for this study in figure 3.1

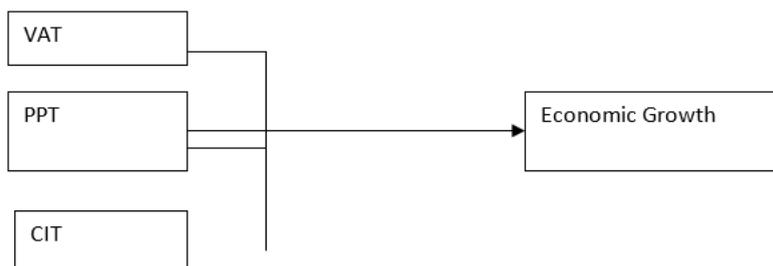


Figure 3.1 research Framework

**Table 3.1**

Operationalization/ Justification of variables

Variables	Acronyms	Operationalization	Sources
Value Added Tax	VAT	Value added tax	Adesina (2011)
Petroleum Profit Tax	PPT	Petroleum profit tax	Okafor (2012)
Companies Income Tax	CIT	Company income tax	Akwe (2012)
Economic Growth	GDP	Gross domestic product	Owolabi and Okwu (2011)

Sources: Researcher, 2018

### Explanatory Variables

The explanatory variables for this research work include:

VAT - Value Added Tax

PPT - Petroleum Profit Tax

CIT- Companies Income Tax

GDP - Gross Domestic Product

$\mu$  - Error Term or Stochastic Variable

Tax Revenue ( proxy by VAT, PPT & CIT ) is the independent variable

Economic Growth ( proxy by GDP ) is the dependent variable

### Model Specification

The functional relationship between tax revenue and Nigeria's economic growth is expressed thus:

Nigeria's Economic Growth =  $f$  (Tax Revenue)

$GDP = f(VAT, PPT, CIT)$

$GDP = B_0 + B_1VAT + B_2PPT + B_3CIT + \mu_t$

### Unit of Analysis

The unit of analysis is very important in the determination of sample, instruments and of data collection. Aggregation of the data collected during the succeeding data analysis period is called unit of analysis (Sekaran, 2000). Furthermore, Sekaran (2000) stated that the unit of analysis can be individuals, groups, division, industries, organization or countries. This study uses only data from Tax regulatory body and National Bureau of statistics in Nigeria as unit of analysis. The justification for adopting this method is as a result of secondary data employed for this research.

## Results and Discussion

The study uses VAT, PPT, and CIT to indicate tax revenue and Gross Domestic Product as proxy for economic growth for the period of 2003 to 2017 (that is 15 years). Table 4.1 presents the figures of Gross Domestic Product (GDP), Value Added Tax (VAT), Petroleum Profit Tax (PPT), and Companies Income Tax (CIT) in Nigeria for the period of Fifteen (15) years (2003 – 2017).

**Table 4.1** Data for the research in Billions

Year	GDP	VAT	PPT	CIT
2003	33,004,796.34	136,411,195,482.82	432,604,082,464.54	114,773,549,268.15
2004	36,057,737.78	163,297,644,060.50	878,625,818,385.40	130,791,877,049.62
2005	38,378,796.06	192,656,500,238.13	1,352,240,333,801.02	170,303,596,128.54
2006	40,703,681.36	232,697,196,045.77	1,349,522,480,302.02	246,671,752,648.75
2007	43,385,877.08	314,545,459,426.06	1,132,039,173,131.73	332,443,891,962.36
2008	46,320,014.94	401,736,686,467.03	2,060,883,883,648.70	420,582,988,206.56
2009	50,042,360.65	481,407,349,067.46	939,412,237,977.13	600,590,101,017.74
2010	54,612,264.18	564,892,034,367.62	1,480,363,895,241.91	666,132,500,585.70
2011	57,511,041.77	710,555,190,249.19	3,070,591,156,709.50	715,441,977,939.77
2012	59,929,893.04	802,964,773,457.72	3,201,319,571,023.34	846,591,938,812.83
2013	63,218,721.78	767,333,425,892.48	2,666,366,902,994.02	998,436,121,814.50
2014	67,152,785.84	802,964,773,457.72	2,454,064,276,673.66	1,204,833,776,449.03
2015	69,023,929.94	767,333,425,892.48	1,289,960,879,877.01	1,408,432,864,503.65
2016	67,931,235.93	828,199,394,271.89	1,157,808,090,922.32	1,124,721,669,907.67
2017	68,496,917.93	972,348,407,529.22	1,520,481,810,364.95	1,262,009,217,165.73

**Source:** FIRS, Abuja and National Bureau of Statistics, Abuja. (2003-2017). Note: for the analysis, Natural log of each numbers were used.

### Descriptive Statistics of Variables

Table 4.2 presents the descriptive statistics of continuous variables. The variables are Gross Domestic Product, Value Added Tax, Petroleum Profit Tax and Companies Income Tax in Nigeria. Economic growth is proxy using the Gross Domestic Product (GDP). The data analysis was conducted with the aid of Stata computer software. This is so because it makes data to become more robust and informative.

**Table 4.2:** Descriptive Statistics Analysis of the Variables

Variables	Mean	Min.	Max.	SD
GDP	7.71	7.52	7.83	.110
VAT	11.65	11.13	11.98	.289
PPT	12.16	11.63	12.51	.232
CIT	11.71	11.05	12.14	.370

Note:  $N=15$ , GDP=Gross Domestic product, VAT= Value Added Tax, PPT = Petroleum Profit Tax and CIT= Companies Income Tax. Min= Minimum, Max= Maximum and SD = Standard deviation. Source: Researcher's Computation(2018)

The results in table 4.2 show the descriptive statistics for the overall data set. Measures of central tendency; mean was used to summarize the data, while standard deviation tested the degree of dispersion among the variables under investigation. GDP, VAT, CIT and PPT value for the period of 2003-2017, showed a mean of 7.71, 11.65, 12.16 and 11.71, with their standard deviations of .110, .289, .232, and .370 respectively. All the distributions were positively skewed, indicating that they are not

symmetrically distributed. The Kurtosis values of the distributions indicated that they are not normally distributed. To ensure that the data for this study were fit for the study, the stationarity test was carried out on the data.

**Table 4.3: Result Summary of Unit Root Test**

Trend and Intercept at 5%, and 10% level of significance

Variables	ADF Statistic Values	Test 1% critical values	5% critical values	10% critical values	Order	Remarks
LGDP	-1.584426	-4.0113	-3.1003	-2.6927	1(0)	Stationary
LVAT	-1.484133	-4.0113	-3.1003	-2.6927	1(0)	Stationary
LPPT	-1.180389	-4.0113	-3.1003	-2.6927	1(0)	Stationary
LCIT	0.173195	-4.0113	-3.1003	-2.6927	1(0)	Stationary

**Source: Researcher's Computation (2018)**

The results of the unit root test using Augmented Dickey –Fuller at 1%, 5%, and 10% level shows that all the time series variables are stationary at levels. This shows that the findings of the study will be reliable in explaining the relationship between tax revenue and Nigeria's economic growth. Following the result of the stationarity test above, the study adopts the technique of ordinary least squares for the regression analysis. This is based on the premise that, all the variables in the data set are robust and can yield best linear unbiased estimates.

### Diagnostic Tests for Multiple Regression Analysis

Before the commencement of regression analysis, the basic assumptions in multiple linear regressions using stata are checked. These assumptions include, multicollinearity, normality and outlier

#### Multicollinearity

This form of normality test of data distribution inspection focuses on the degree of the relationship that exists between independent variables. A serious multicollinearity and correlation between the independent variables exists when the correlation is above 0.86, and this is insignificant in this study. (Hair et al 2010). See table 4.4

#### Normality

It is important to test for normality of variables across two or more variables (Coakes and Ong, 2011; Pallant, 2003). In order to uphold the assumption of normality in respect of data distribution, normality is one of the pre-requisite for multivariate analysis. If this is neglected it can lead to misleading relationship between the variables under investigation and hence distort the findings of the research (Gujarati, 1995). However, normal P-P plot was used in this study to test for normality as suggested by some previous scholars. For example, Hair et al., (2010) delineate normal p-p plot and histogram as graphical representation of data distribution that enhance visual inspection at a glance. This study adopts normal P-P plot to check for the distribution of the data. See appendix 2 for P-P results.

#### Outliers

Outliers are unusual observations present in a set of data with extreme values that differ from the rest of the data (Karioti, 2007). It can also be referred to as observation with extreme values which are different from other observation in the same category. It does not strongly influence the estimated slope of the regression line but could adversely affect the model fit and estimated error (Latin, Douglas, and Green 2003) and leads to wrong conclusion and inaccurate prediction. When outliers are identified, the next consideration is either to delete or to retain the outlier. However, for the current study, the robust regressions were used because this method gives less weight to outliers and also check the robustness of the model (Hair et al., 2010).

#### Correlation Matrix of Variables

The Pearson correlation matrix in this research is presented in the Table 4.4. Generally, all correlations between independent variables are less than 0.86, thus it is said that there is no issue of multicollinearity. The current study posits absence of multicollinearity. See Table 4.4

**Table 4.4** Correlation Matrix of Variables

Variables	GDP	VAT	PPT	CIT
GDP	1.000			
VAT	0.782	1.000		
PPT	0.608	0.671	1.000	
CIT	0.990	0.686	0.603	1.000

Note \* $p < .10$ , \*\* $p < .05$ , \*\*\* $p < .1$ . following Hair Et al 2006, the acceptable level of correlation is 0.86 and bellow. Any variable above this acceptable level posit presence of multicollinearity.

The study hypotheses were tested using Discriptive statistics. The results is presented in table 4.4 to 4.5

H<sub>01</sub>: H<sub>01</sub>: Value Added Tax (VAT) revenue has no significant relationship with Nigeria's economic growth.

**Table 4.5** Multiple regression summary Result

Variables	Coefficient	Std. Error	t-statistic	Prob.
<b>C</b>	3.082	918	33.55	0.000
<b>VAT</b>	0.000	5.60	2.96	0.013*
<b>PPT</b>	05.845	6.66	0.88	0.399
<b>CIT</b>	0.000	3.23	5.57	0.000***

R<sup>2</sup> = R-squared 0.9903

Adjusted R<sup>2</sup> = 0.901696

Prob > F = 0.0000

Note \* $p < .10$ , \*\* $p < .05$ , \*\*\* $p < .01$

Table 4.5 presents the results of multiple regression analysis between the tax revenue variables and economic growth with the corresponding coefficient, t-value and the probability value (P-value). The model was produced to capture their relationship. The detailed diagnostic test is as follows, R<sup>2</sup> = 99% and probability = 0.000. The result in the model shows a robust result as there is significant positive relationship from the model. The calculated t-statistics: df at 45 at 0.05 level of significance ranges from- 2.021 to + 2.021.

From the result on table 4.5 presents that Value Added Tax revenue is indicated by a critical t-statistics value of 2.96 which is more than the calculated t-statistics value of 2.021 at 0.05 level of significance, which shows that VAT revenue has significant relationship with Nigeria economic growth. Based on the result, the null hypothesis is rejected and the alternate hypothesis is accepted to the effect that Value Added Tax (VAT) revenue has significant relationship with Nigeria's economic growth.

H<sub>02</sub>: Petroleum Profit Tax (PPT) revenue has no significant relationship with Nigeria's economic growth.

From the result on table 4.5 it can be seen that Petroleum Profit Tax revenue has no significant relationship with GDP in Nigeria, but somewhat positive relationship G.D.P. (Petroleum Profit Tax (PPT) coefficient = 05.845, t-value = (0.88). It is such that a unit rise in Petroleum Profit Tax causes a 0.58-unit stagnation in the Gross Domestic Product (GDP). Likewise, it can be seen that Petroleum Profit Tax is indicated by a critical t-statistics value of 0.88 which is less than the calculated value of 2.021, at 0.05 level of significance. This shows that there is no significant relationship between PPT and Nigeria's economic growth. Based on the results, the null hypothesis is accepted, while the alternate hypothesis is rejected to the effect that Petroleum Profit tax (PPT) revenue has no significant relationship with Nigeria economic growth.

H<sub>03</sub>: Companies Income Tax (CIT) revenue has no significant relationship with Nigeria's economic growth.

The result on table 4.5 revealed that Companies Income Tax revenue has a positive and significant impact on the GDP in Nigeria (Companies Income Tax (CIT) coefficient = 0.000, t-value = 5.57). It is such that a unit rise in Company Income

Tax causes excellent performance of Gross Domestic Product (GDP). Likewise, it can be deduced that Companies Income Tax revenue is indicated by a critical t-statistics value of 5.57 which is more than the calculated value that ranges between - 2.021 to +2.021 at 0.05 level of significance. This shows that there is a significant relationship between CIT revenue and Nigeria's economic growth. Based on the results, the null hypothesis is rejected and alternate hypothesis is accepted to the effect that Companies Income Tax (CIT) revenue has significant relationship to Nigeria's economic growth.

Generally, pulling all the tax variables together, it can be observed that tax revenue has significant relationship with Nigeria's economic growth with a  $R^2$  value of 0.99, indicating a 99% relationship with Nigeria's economic growth. This shows that tax revenue is important to Nigeria's economic growth. Table 4.5 below presents the summary of hypotheses tested:

Table 4.6 : Summary of Hypotheses Tested

Hypotheses	Expected Result	Achieved Result	Decision
Value Added Tax (VAT) revenue has no significant relationship with Nigeria's Economic growth	Positive	Positive	Supported
Petroleum Profit Tax (PPT) revenue has no significant relationship with Nigeria's Economic growth	Positive	Not Significant	Not supported
Companies Income Tax (CIT) revenue has no significant relationship with Nigeria's Economic growth	Positive	Positive	Supported

### Discussion of Findings

The study shows that Value Added Tax (non-oil) tax revenue has positive significant contribution to Nigeria's economic growth. This finding is in line with the government's drive to improve economic growth and revenue generation through improved management of taxes in Nigeria. The finding is in consonant with the discovery of Izedonmi and Okunbor (2014) whose findings showed that VAT Revenue had significant relationship with Nigeria's GDP.

It was also discovered that Petroleum Profit Tax (PPT) revenue has no significant relationship with Nigeria's economic growth. The finding is in line with the findings of Madugba, Ekwe, and Kalu, (2015) that discovered a negative relationship between Petroleum Profit Tax and Nigeria's economic growth.

Finally, findings from this study revealed that Companies Income Tax (CIT) revenue has positive significant relationship with Nigeria's economic growth. The finding supports the discovery of Cornelius, Ogar and Oka (2016), whose findings revealed that there is positive significant relationship between (CIT) revenue and Nigeria's economic growth.

### Conclusion and Recommendations

This study examines the relationship between Tax Revenue and Nigeria's Economic growth. The specific objectives of this study include to: assess the relationship between Value Added Tax (VAT) revenue and Nigeria's Economic growth, examine the relationship between Petroleum Profit Tax (PPT) revenue and Nigeria's Economic Growth and ascertain the relationship between Companies Income Tax (CIT) revenue and Nigeria's Economic growth.

In order to achieve the objectives of this study, secondary data covering the period from 2003 to 2017 was obtained from the Federal Inland Revenue Service (FIRS) Abuja, as well as National Bureau of statistics, Abuja. Tax revenue is the independent variable, while Economic Growth is the dependent variable. Tax revenue (independent variable) is proxy by Petroleum Profit Tax (PPT), Value Added Tax (VAT) and Companies Income Tax (CIT). Economic growth (dependent variable) is proxy by Gross Domestic Product (GDP). Regression analysis was carried out on the data collected with the aid of Stata Econometrics computer software package.

From the data presented and analyzed, it was discovered that Petroleum Profit Tax (oil tax) revenue has no significant relationship with Nigeria's economic growth. This may be as a result of over dependence of Nigeria economy on crude oil. It was also discovered that Value Added Tax and Companies Income Tax (non-oil tax) revenue have significant relationship with Nigeria's economic growth.

Based on the findings of this study, it is hereby concluded that Petroleum Profit Tax (oil tax) revenue has no significant relationship with Nigeria's economic growth. This is as the result of over dependence of government developmental effort on the oil sector. However, PPT demonstrated positive non-significant relationship to G.D.P. This is an indication that the

contribution of PPT revenue in Nigeria cannot be over ruled. On the other hand, Value Added Tax and Companies Income Tax (non-oil tax) revenue have positive significant relationship with Nigeria's economic growth. This is an indication that consumers of good and services should be encouraged to pay VAT.

From the findings, the study made the following recommendations: The Federal Government should drastically minimize, or find ways and means of totally eliminating the leakages prevalent in petroleum profit tax administration in Nigeria, and should as well as transparently and judiciously account for revenue generated from petroleum profit tax through the visible provision of more quality infrastructures and public goods and services across the country in order to substantially increase government revenue. This is because, the more the revenue from petroleum profit tax is effectively and efficiently utilized by the federal government to aid growth, employment opportunities and wealth creation, the more tax payers will be willing to discharge their tax obligations, thereby increasing tax revenue to the government. Companies involved in petroleum operations should also be closely monitored by the Federal Inland Revenue Service (FIRS) to reduce the level of tax evasion so as to increase the amount of government revenue from PPT source. The Federal Government should make effort to increase the tax base rather than to increase the rate of Companies Income Tax so as to substantially improve revenue receipts from CIT source, prevent limited liability companies from distributing dividends to their shareholders pending when all outstanding tax liabilities are settled, and government should as well as support entrepreneurial development in Nigeria by fixing the country's electricity infrastructure problems, so as to increase electricity power supply to industries and Small and Medium Enterprises (SMEs).

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## Playing with the Camera. Critical Notes on Two Films by Austrian Director Willi Forst

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### Abstract

This essay aims to critically reflect on the work of Austrian film director Willi Forst, devoting special attention to two of Forst's films of the 1930s, *Mazurka* and *Allotria*. Forst's career developed successfully in both Austria and Germany between the 1930s and the end of the 1950s and Forst has been widely counted among the major figures in German-speaking cinema of the time. In scholarly works on the history of Austrian film, Forst's name has been typically associated with the musical genre and the so-called Viennese Film, of which Forst has been regarded as the indisputable master. In this association of Forst's work with the Viennese Film and the musical genre, long predominant among film historians, one may detect a reason for the scant consideration dedicated so far to films such as *Mazurka* and *Allotria* which, not belonging to the above genres, have been usually regarded as of minor relevance in Forst's work. With the aim of correcting this assumption, the present essay intends to critically focus on *Mazurka* and *Allotria*, placing them within the wider context of Forst's work. Though the two films belong to different genres, *Mazurka* being a melodrama, *Allotria* a comedy, they appear to have a significant number of points in common, and through their discussion and comparison, this essay hopes to contribute to a better understanding of Forst's oeuvre, shedding light on a number of facets of Forst's work to which scarce attention has been devoted so far.

**Keywords:** Willi Forst, Austrian Cinema, German Cinema, Hollywood, Avant-Garde Cinema

### 1. Introduction

The present essay intends to investigate the work of Austrian-born film director Willi Forst, devoting special attention to two of Forst's films of the 1930s, *Mazurka* and *Allotria*, directed by Forst in Berlin respectively in 1935 and 1936. Forst's career developed successfully in both Austria and Germany between the 1930s and the end of the 1950s (Loacker, 2003; Bono, 2010) and Forst has been generally counted among the major figures in German-speaking cinema of the time. Forst's name has been typically associated with the musical genre and the so-called Viennese Film. With its stories set in Vienna between the 19th century and the eve of the First World War, and characterized by a variable mixture of comedy, romance and melodrama, the Viennese Film significantly contributed to the renown of Austrian cinema in the 1930s (Fritz, 1991; von Dassanowsky, 2005, 2018), with Forst generally regarded as the indisputable master of the genre.

In this identification of Forst's work with the Viennese Film and the musical genre, that has long been predominant among film historians (Bono, 2010, pp. 12-13), one may detect a reason for the slight consideration dedicated so far to films such as *Mazurka* and *Allotria*. Not belonging to the above genres, they have been usually regarded as of minor relevance in Forst's work. As examples may be cited Robert Dachs' (1986) biography of Forst as well as the scholarly volume devoted to Forst's oeuvre by the Austrian Film Archive in 2003 on the occasion of Forst's 100th anniversary of birth (Loacker, 2003), which both scarcely consider *Mazurka* and *Allotria*.

In linking to previous studies by the author on *Allotria* (Bono, 2006) and, more generally, on Forst's cinema (Bono, 2010), this essay aims to critically investigate Forst's films *Mazurka* and *Allotria*, placing them in the context of Forst's work, with the purpose of contributing to a better understanding of the Austrian director's oeuvre. Though the two films belong to different genres, *Mazurka* being a melodrama, *Allotria* a romantic comedy, they appear to have a significant number of points in common, and through their discussion and comparison, the present essay intends to shed light on a number of facets of Forst's oeuvre to which scarce attention has been devoted so far.

## 2. Through a Woman's Eyes

After debuting in 1933 as a director with the musical film *Leise flehen meine Lieder*, followed in 1934 by *Maskerade*, both set in Vienna respectively in the early and late 19th century, with their definitely Austrian flavor as to their milieu, characters and genre, Forst seems to have conceived *Mazurka* and *Allotria* as products with explicitly an international character. In both films, Forst worked with subject matter that was not located specifically. "I have already revealed to you that I filmed a story that is not tied to one time or place," Forst pointed out about *Mazurka* (Bono, 2010, p. 51). At the same time, Forst seemingly aimed with *Mazurka* and *Allotria* to prove his ability to work within different genres. In the pressbook for *Mazurka*, Forst expressed his intention to move freely between the genres. "Following my first two films, [...] I felt the urge to finally depict not only one epoch and milieu." In answer to the question, "Which genre will the film belong to, and what style did I envision?" Forst replied, "My film has no style at all. That is, none in particular! I hate nothing more than when, in making a film, the style is set first, and then all the subsequent work is imposed on it" (Bono, p. 51).

In contrast to Forst's first films, *Leise flehen meine Lieder* and *Maskerade*, which inclined towards melodrama, yet were interspersed with humorous scenes, in *Mazurka* melodrama predominates and, with the exception of a few moments at the beginning, completely pervades the film. At its center is a mother, a cabaret singer, who does not refrain from murder to save her beloved daughter from an unscrupulous composer. French cinema historians Francis Courtade and Pierre Cadars disapproved of Forst's film for being "an unbelievable melodrama," in which "nothing has been left out: the unscrupulous seducer (pianist, moreover); the loyal bride violated on a drunken night; trampled-on love; the fallen diva becoming a bar singer" (Courtade & Cadars, 1972, p. 254). Yet in examining the film, one should not fail to consider the complex structure that distinguishes *Mazurka*, which will be discussed in the following.

The film's opening credits roll against the backdrop of a European city, as a car hurtles through the streets toward the train station. The camera continues its sweep through the station to stop in front of Lisa, who is bidding her stepmother goodbye. The woman is leaving for a couple of days. The narrative continues at a brisk pace, driving Lisa into the arms of the composer. She accepts his invitation to the concert, succumbs to his kiss, and meets him again in a nightclub; then, by Lisa's side, we witness the shot that abruptly ends his life. The film's opening explicates the strategy that distinctively shapes *Mazurka*. Forst aimed to confer the narrative with a subjective tone, by placing the viewer alongside Lisa. We are invited to adopt her point of view.

The opening shot, as well as the subsequent camera movement that follows Lisa's stepmother as she boards the train, though not attributed to any character, may be connected to Lisa. Lisa constitutes the focus of the first part of *Mazurka*, and the spectator stands by her side. We share her uncertainty about the composer's identity, her hesitation to attend the rendezvous, and her surprise as she finds him waiting for her in the conservatory. Here the camera abruptly rushes toward Lisa. The movement feels unusual and surprising and reflects Lisa's agitation. The camera movement is repeated when the phone rings at Lisa's home the following day. The composer is calling, presumptuously asking her to meet him. We listen to the conversation by Lisa's side, and the camera shows her from the front, yet we hear the man's voice through the receiver, warm and seductive, as though we were Lisa; acoustic subjectivity colors the scene.

The film subtly induces a process of identification between the spectator and Lisa's character (before passing the floor to her mother in court), which reaches a peak in the nightclub sequence and culminates in the kiss that the composer coaxes out of Lisa at the conservatory. As the couple dance a waltz, the montage alternates between Lisa and the man. Both are framed in close-ups that reveal themselves to be point-of-view shots, with the actors looking and talking to the camera as though it were their respective partner. A special trestle was employed to achieve this effect, connecting the actors to the camera so it could accompany them as they danced.

Similarly, Forst breaks up the scene where the man kisses Lisa into several shots, with the aim of conveying Lisa's feelings, her inner turmoil. First, the incident is shown from a distance; then the montage shifts to a closer shot of the couple, with the camera positioned over Lisa's shoulder. A further shot follows with the camera placed next to the man, and the segment culminates in a close-up. The effect is unusual. The transition between the shots is not action-based; indeed, the couple stands motionless, and time seems to expand, to momentarily come to a standstill. A second kiss follows, and Forst reinforces this impression by inserting a dissolve to black in the middle of it, thus breaking the continuity of action and making the length of the kiss uncertain. It is a moment that lasts an eternity. The dissolve is introduced by a double close-up of Lisa staring at the chandelier on the ceiling before closing her eyes. The screen goes dark; then the chandelier reappears. Lisa opens her eyes and pulls out of the embrace.

The experimental nature of this sequence stands out; it is remarkable in the way it dissects time, and it is infused with subjectivity. Later, as Lisa chats with her stepmother at home, a glimpse of the living room's chandelier, followed by a close-up of the girl, is all that is needed to evoke Lisa's distressing memory. The detail of the chandelier recurs in the scene where the composer forces Vera, the cabaret singer, into his bedroom, taking advantage of her drunkenness instead of escorting her home. The camera shows the woman's perspective as the man bends over her, and the screen goes dark. Behind him we catch a glimpse of the bedroom's chandelier. At this point, the spectator is still ignorant of Vera's connection to Lisa, yet the detail of the chandelier and the point-of-view shot clearly establishes a parallel. The chandelier becomes figurative of the violence both women suffer at the hands of the composer, evoking their trauma.

The sequence in which Vera is abused by the composer impresses through its stylistic audacity, and is one place in *Mazurka* where Forst appears to be explicitly influenced by the avant-garde of the 1920s. As the man forces Vera into his bedroom, the camera becomes unsteady and wavers. It adopts the woman's viewpoint as she stumbles through the corridor. The image blurs; the accompanying music is discordant. A door opens and Forst unleashes the camera, which drags the viewer along into the depths. We feel dizzy. Then a bed appears from the darkness, and the camera rushes toward it. The bed grows larger, and the camera suddenly stops in front of Vera.

### 3. A Turbulent Game of Love

This willingness to experiment with the film's techniques also characterizes *Allotria*, being a feature that this film shares with *Mazurka*. Scholars have generally overlooked this point and viewed *Allotria* and *Mazurka* in the context of their respective genres, romantic comedy and melodrama. Yet if one emphasizes this aspect, that is Forst's inventiveness in employing cinematic language which characterizes both *Mazurka* and *Allotria*, their similarity becomes evident. In the pressbook for *Mazurka*, Forst stated that it was intended as a work that "gives to film what belongs to it" (Bono, 2010, p. 56). Similarly, Forst declared of *Allotria*, "I was aiming to make an amusing film – to entertain." "If, in doing so, I have succeeded in sneaking in a few novelties, and revealed a little bit of what film is still capable of doing more (not just mine, but film in general), I will be very happy" (Bono, p. 56).

In being a comedy, *Allotria* represented a novelty in Forst's work. "*Allotria* was something new for me," declared Forst. "So far I have made three films, all of which were practically 'tragic!'" (Bono, 2010, p. 56). *Allotria* demonstrates Forst's effort to switch between genres and test himself in new fields. His intent in *Allotria* to confront Hollywood and the genre of sophisticated comedy is evident: "I want to try to create a comedy that has something of the lightness and insouciance of the Americans" (Willi Forsts neuer Film, 1936). Tracing German cinema's relationship with Hollywood during the Nazi era, Markus Spiker (1999) noted, "Starting in 1936, a series of German films emerged that were apparently modeled on American genre films, both stylistically and dramatically" (p. 155). He also included *Allotria* among the German films of the time that displayed American influence.

In *Allotria*, Forst clearly built on the films by George Cukor, Gregory La Cava and George Stevens. "We always say we cannot make anything similar in Germany," he noted. "I do not think that is true at all" (Willi Forsts neuer Film, 1936). Forst's effort was praised by the press, with a Berlin newspaper writing, "One can definitely say of this comedy of mistaken identities that it is on a par with American film comedy" (mabe., 1936). "Forst has no longer left untouched Americans' reputation for making smart, carefree, pleasant entertainment films," one critic remarked. "Now he himself has brought such a sprightly child of the cheerful muse into the world" (S-k., 1936).

The American template can be detected in various places, and the story as well as the characters are imbued with the spirit of the sophisticated comedy. Their names are Philipp and David, Viola, Gaby and Aimée, and together with Adolf Wohlbrück, Forst engaged some of the most popular stars of German cinema of the time for *Allotria*: Heinz Rühmann, Renate Müller, Jenny Jugo and Hilde Hildebrand.

Philipp is a Don Juan type, impeccably dressed, preferably in a dinner jacket, and a gentleman who under no circumstances loses his nerve. He courts the woman, Viola, with whom he has become smitten during a voyage at sea, despite a storm churning the ocean. But when they reach Europe, they lose sight of one another in the confusion of the landing. Philipp has a friend, David, and they share not only unusual professions, as dictated by sophisticated comedy (Philipp owns a plantation on Java; David is a race driver), but also a lover, as they discover one evening when they meet by chance at the home of Aimée (whose name is suggestive of her role). Viola is the best friend of Gaby (whom David marries at the beginning of the film), and the women both know Aimée, who owns a dress boutique. This completes the quintet and closes the circle that connects the characters.

This is the world of the sophisticated comedy as defined by Hollywood in the early 1930s. It is a world in which life is a game; women are beautiful, flighty and capricious; and men's professions are more like hobbies, a pastime of sorts. Nothing is taken seriously. The luxurious apartment in which Aimée receives her lovers, as well as David's and Gaby's villa – furnished in the modern style of the 1930s and complete with a park – where they live after marrying, serve as backdrops for the perpetual war between the sexes that fuels the sophisticated comedy. Love is only a game, a match in which every move is allowed – and they are often of particularly inventiveness. Aimée's weapon of choice for the disruption of David's and Gaby's engagement party is perfume; she pours a few drops in the tank of David's car, resulting in his losing the race.

Love in *Allotria* is not romantic. The nightingale sings not to seal a lovers' kiss, as tradition would have it. Rather, its song provides an ironic counterpoint to Philipp's and Viola's nightly conversation on the terrace of their friends' villa, where they have coincidentally met again. Philipp is jealous, taking Viola to be David's wife. She is delighted, since his jealousy proves he loves her. She asks coquettishly, "Am I not allowed to be happy? I am loved." Philipp thinks she is referring to David. "Are you so sure about that? And you love the man?" "Infinitely," answers Viola. Every word jabs, like rapiers crossing in a duel. "He doesn't deserve you," remarks Philipp; and though the statement seems to be off the mark (if referred to David), at the same time it hits the nail on the head. When it was time to ask for Viola's hand at sea, was not Philipp paralyzed with fear? In *Allotria*, words are subtle, their meaning many-layered.

Against the backdrop of David's and Gaby's villa, the game of love becomes a play, a comedy of misunderstandings and coincidences of the sort that French author Georges Feydeau excelled at. When Philipp visits the couple after their honeymoon, Viola opens the door. She has also come to visit her friends. Philipp mistakes her for David's wife; Viola and Gaby think this is funny, and they play along. If Viola is David's wife, then Gaby will play her girlfriend. David does not like the game at first, but then he joins the two. And the game of love takes on a new facet, becoming a performance of sorts in which Viola, Gaby and David each take on a role. The villa turns into a stage on which a play in the style of Feydeau is unfolding: a recently-married man (David) has a relationship with the best friend (Gaby) of his wife (Viola). The comedy is staged for the benefit of a spectator (Philipp), who takes the game to be real.

Initially, Viola tries her hand at directing. The day Gaby and David return from their honeymoon, she hides a squeaky plastic pig under their bed and hangs a laurel leaf above their entranceway, that is to fall on them as they enter. Like in the theater, Viola rehearses the scene, with the help of the staff. If Viola's farce meets with little success, the ensuing comedy of errors comes off better. It will take until morning for Philipp to see through the game, take over as director, and assign himself the role of the seducer, disappearing with Gaby (who is enjoying her role as the friend of the lady of the house) in the middle of Aimée's party.

Frivolous and light, airy as the dresses that Viola and Gaby wear to Aimée's party, love in *Allotria* is a society game. "I'd like to finally know what game is being played here," remarks the elderly lady who is Viola's and Philipp's dinner companion during the sea-crossing, glancing at the orchid on their table. She is curious about Philipp's flirtation with Viola: will he ask for her hand before the journey ends? The question introduces the turbulent game of love that courses through *Allotria*.

Couples are volatile units, and every combination is possible. Pairs form and break up again. Some are attracted to each other but fail to bond: the storm casts Philipp and Viola into each other's arms, but fear of marriage petrifies Philipp, and a stumbling passenger separates the couple. Others break up to form a new pair: David leaves Aimée to marry Gaby. Some simulate being couples (as do Viola and David); and some couples extend to a threesome, like Philipp, David and Aimée, or David, Gaby and Philipp, when Gaby, to spite her husband for passionately kissing Viola (is she not his wife for fun?) removes her wedding ring and flirts with Philipp. But Gaby drinks one glass too many at Aimée's party and wakes up in a sleeping car with Philipp in Marseille. All David's skill as a race driver is required to catch up with his wife and friend before their ship sails. Thus the couple eventually doubles to become a quartet. This leaves Aimée out, who takes up with Gaby's father, a widower. Five plus one makes six. Now the numbers add up.

The movement gives shape to the film: dynamics springing from the game of love drive the narrative, and the whirlwind sweeps the spectator along with the characters. Of note is the image that opens *Allotria*, a rotating circle. The geometric figure is emblematic, translating the movement that shapes the film into a graphic form. As the title *Allotria* appears on screen, the letter O occupies its center. A second, larger circle doubles it in the background. Soon the film's title breaks apart, and the O-shaped circle dominates the screen. The names of the leading actors appear around its circumference; the remaining credits roll in the circle's center as it continues to turn.

The circular movement carries over from the credit sequence to the entire narrative. It extends to the glittering ball in progress on the ocean liner, as the dancing couples draw spirals while revolving to the music; it infects the ocean, where it churns up a storm; it metamorphoses into the track on which David is racing; it takes the shape of the game that Gaby's guests improvise at her engagement party. While they wait for David (who is with Aimée), they play blind man's bluff: Gaby stands blindfolded in the center while the company turns circles around her.

The circular motion that runs through *Allotria* sows confusion throughout the night that Philipp, Viola, David and Gaby spend under one roof. When it comes time to retire, David, Viola and Gaby switch rooms to maintain the illusion that Viola is David's wife. Gaby moves to the guest room; David goes off with Viola to the master bedroom. When Philipp closes the door to his room (which is between the others), David slips onto the terrace to get to Gaby, where he runs into Philipp. Gaby, impatiently awaiting her husband, heads through the corridor toward the master bedroom. Here she meets Viola alone, for David is being held up on the terrace by Philipp. Now Viola changes rooms, but bumps into David as he is aiming for the guest room in hopes of finding Gaby. He hurries back through the corridor, but meanwhile, Gaby, annoyed, regains her room across the terrace. And here she meets – Viola! “But Gaby,” her friend protests, “you're running around in circles all the time.” The line is emblematic: the circle is the scene's constructive principle, the game of love turning into ring-around-the-rosy, where everybody keeps moving around but eventually arrives back at one's starting point.

Gradually the motion accelerates, and the ongoing turmoil that characterizes *Allotria* reaches its climax with David driving hurriedly with Viola to Marseille. The Grand Prix has just started when they reach Monte Carlo, and David joins the race. After following a straight line from Berlin to France, the movement now resumes a circular shape and expands, moving beyond the narrative to the montage. Shots of a street with Monte Carlo in the background, building façades, and spectators stretched along the course, follow each another in a turbulent crescendo. The images almost blur as the montage imparts a feeling of speed, recklessness, thrills. Here Forst has clearly appropriated the lessons of the avant-garde cinema of the 1920s.

#### 4. The Camera as Protagonist

It is not the narrative material that makes *Allotria* special; indeed, the story's components are on the inventory list of every sophisticated comedy. Constant sparring between the sexes and deliberate or coincidental quid pro quos are elements traditionally favored by the genre. *Allotria*'s strength lies in its creative direction, and the precise script that Forst wrote with a renowned author of the time, Jochen Huth. Contemporary critics singled out Forst's elegance in translating the material to the screen. “[The film's] charm lies not in its subject material, but in the color and rhythm of the action,” one critic noted (Hermann, 1936).

The playful spirit animating its story and characters courses through the film to also encompass the camerawork and editing. As the ship rocks in the storm, the camera staggers along the corridor with Philipp and Viola, as though it too were losing balance. In *Allotria*, the camera becomes a protagonist alongside Philipp and David, Viola and Gaby, and the press appreciated Forst's ingenuity, describing it as “a film that brilliantly exploits all possible ideas through the camera's technique” (v.d.N., 1936), “a firework of pictorial ideas, a glistening cascade of movement” (pck., 1936). In a play on the film's title, *Allotria*, which means “frolic” in German, a Berlin newspaper commented, “[Forst] also dares to frolic with the camera” (Ma., 1936).

Time is also a variable in this game that takes place on screen; *Allotria* plays with it coquettishly, stretching and then compressing it as if it were a band of rubber. As David bids a hasty goodbye to Aimée (Gaby is waiting for him to celebrate their engagement), his impatience affects the film's tempo. He jumps literally to the door and is gone. Time feels elastic and subjective, adapting to David's mood of the moment. Later Aimée makes David believe that Philipp threatened to take revenge after discovering them together that evening. As David pictures the scene that Aimée imaginatively describes, the scene repeats in slow motion; his dash from the salon to the door breaks off halfway, the action reverses, and he falls back into the chair. “Even if the film does not want to take itself seriously, it is the first comedy in years that we have taken seriously,” remarked the press (Stanzl, 1948, p. 98). The scene continues with Philipp scolding David. As Philipp points at him, his finger grows enormous while David appears like a dwarf in the gigantic chair. Forst “knows what to do with objects;” “his ideas are like little shimmering balls that he juggles on the stage of entertainment” (mabe., 1936).

Forst's inventive use of the camera – which he unleashed in *Allotria*, as he had done a year previously in *Mazurka* – and of the techniques and language of film, garnered the attention of contemporary critics. In light of Forst's training as an actor and his work in the theater and popular films in the years previously, the press expressed surprise for the result,

acknowledging Forst's transformation "from leading lover of the cinematic operetta stage, glittering with epaulets, to a director of European proportions" (Betz., 1935). The Italian magazine *Cinema* dedicated a three-page analysis to the above scene from *Allotria* (Sabel, 1941), and critics of the time likewise called attention to the inventive nature of *Mazurka*, emphasizing "the virtuosic direction of Willi Forst, [...] who is conversant with all the tricks of the fantasy machine and implements them intellectually, and with keen understanding and mastery" (Betz.). For a Viennese newspaper, Forst made use "of all sound film's achievements while also employing silent film methods that were long thought to be outdated, and which suddenly awoken to new life here, in an artistic way" (*Mazurka-Erfolg in Wien*, 1935).

In the prestigious Italian film journal *Bianco e Nero*, Guido Guerrasio (1943) reflected on the influence of French avant-garde, German Expressionism and Viennese culture on Forst's work. "In Forst, one surmises the simultaneous presence of two or more stylistic flavors," he observed, pointing in particular to "typical signs of emotional montage [...], that seem to originate distinctly in the French avant-garde school" (p. 11). For reference, the Italian critic cited Jacques Feyder's film *Crainquebille*.

## 5. Conclusions

This facet of Forst's work would later pass into oblivion. The technical audacity that distinguished several of his films – *Ich bin Sebastian Ott*, from 1939, also represents an interesting example, as well as Forst's first post-war film, *Die Sünderin* – has been scarcely acknowledged by scholars. Alongside French René Clair and German Ernst Lubitsch, Forst counted Soviet director Vsevolod Pudovkin among the cineastes he admired most (Forst, 1963), and he considered Sergei Eisenstein as someone from whom "we have learned" and "whom we like and admire" (Bono, 2010, p. 63). This scarcely jibes with the typical profile of Forst that has been cultivated by the majority of critics, and Forst's tribute to the Soviet directors may appear surprising, if one merely considers Forst's preferred genres, or the escapist dimension that colored Forst's work. Films such as *Mazurka* and *Allotria* challenge not to confine Forst's work to the realms of operetta and Austrian tradition, with Forst's admiration for the Russian cineastes suggesting that it is necessary to more closely investigate Forst's relationship with the European cinema of the 1920s and the influence of the avant-garde on his work.

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## Model for Economic Security Assessment

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### Abstract

The problem of measuring the economic security of a country is a complex topic with an ongoing research since there are a number of factors with different characteristics that should be taken into account. The goal of the research is to suggest a model for economic security assessment based on public available data from official sources like EUROSTAT or national databases. The main assumption is that economic security is directly proportional to the economic development. Based on this assumption the economic security could be assessed using measurements for economic development such as GDP, GDP per capita, inflation, unemployment, budget deficit, government debt, net export, etc. A model is provided giving 7 indicators of economic growth and referencing values that if achieved and sustained for a longer period of time should provide a higher level of economic security. Based on the referencing values and comparison with other countries the model could be used for assessing the current level of economic security of a country.

**Keywords:** Economic security, GDP, Inflation, Unemployment, Deficit, Debt, Growth.

### Introduction

An important element of a country's national security is its economic security. In the aftermath of the Cold War, the security focus has increasingly shifted from military power to economic power. However, the two should not be regarded as independent concepts as military power provides a security product that creates conditions for the development of the economic power of the state, but on the other hand economic power determines the resources available for the development of the defense and security sector. The economic power depends on the state of education, health, transport, infrastructure, science, culture, social policy and internal security, which determine the welfare of a country.

Economic security is often associated with financial security - the availability of resources and sustainable revenues, both financial and non-financial, in order to maintain a particular way of developing the country in the long run. Free market competition has emerged as a model for organizing the economy of most countries, where companies have a leading role and everyone is free to own private property and grow their own (private) business according to their capabilities and development prospects. Despite this model, the state must have a strong planning and regulatory function, and through the three authorities - legislative, executive and judicial - establish and control the conditions and rules for the functioning of public spheres, including the business environment, and at the same time play a leading role in planning and socially equitable provision of public goods.

From what has been said here, it can be concluded that economic security is the maintenance of the ability to overcome the negative factors of the environment and use the positive ones so as to ensure the economic development of the state.

Basically the research assumes that economic security is directly proportional to the economic development. The goal is to suggest a model for assessing economic security based on available official statistics that can be accessed on public databases like EUROSTAT or national databases.

### 1. Measuring Economic Development

In order to provide a better basis for the justification of decisions in each activity, indicators for current phenomena, actions taken and results achieved are sought. The economy is a field that has a wide range of such indicators - gross domestic product, gross national product, unemployment, inflation, government debt, consumer price index, interest rate and more. Each meter has its own advantages as well as a number of disadvantages, which are the reason to look for better and better ones. Appropriate examples in this regard are the UN Human Development Index, the Nordhouse and Tobin Measure

of Economic Welfare, the World Bank's Genuine Savings Indicator, and the GPI - Genuine Progress Indicator) and more. Since economic development is the consequence of pursuing the right policy, it must be based on appropriate measures that will allow the right objectives to be set and the results achieved to be taken into account. The use of incorrect or inaccurate meters can lead to the wrong direction of economic development policy and have undesirable consequences. According to John Galbright and his book *The Great Crash 1929*, the lack of reliable benchmarks, combined with misguided theoretical knowledge, led to deterioration rather than an improvement in the aftermath of the 1929 US crisis. The same phenomenon repeats itself almost a century later when inaccurate valuations of securities backing up mortgage loans in the US lead to the 2008 economic crisis. Wrong metrics and misjudgments can lead to a false sense of security, which is a prerequisite for a wrong policy and negative consequences (Jacobs, Slaus, 2010). Measuring economic security remains a problem for further research.

## 2. GDP and Economic Security

Economic security is linked to the economic growth of a country. It cannot be stated that a country is economically secure in the presence of high inflation, high unemployment, low population incomes, high government debt, low GDP, lack of a state budget to cover the state's obligations to sectors such as healthcare, education, social activities, public transport, etc. Economic growth is a prerequisite for enhancing the security and well-being of each country, but it can also be a prerequisite for a crisis in the long run.

GDP is used as a measure of a country's economic power. GDP per capita is often used as a measure of the standard of living in an economy, although it hides uneven distribution of income among the population. From what has been said, it can be argued that high GDP and its growth are prerequisites for economic security. But excessively high GDP growth is a prerequisite for an economic crisis. It is essential to monitor the rate of GDP growth. Excessive growth will lead to rapid depletion of production resources, as well as increased inflation and negative effects on the economy. Very often, GDP growth is associated with the accumulation of debt and the excessive consumption of a country's natural resources. Expenditure on restoring the ecological balance distorted by industrialization increases GDP; in the case of natural disasters, the costs of the services involved in overcoming the consequences are increased; the increase in crime increases the cost of investing in law enforcement agencies; epidemics increase health care costs. All these expenditures are classified as government purchases and increase the amount of GDP therefore GDP does not differentiate the factors that lead to progress from those that impede it.

Weak growth or negative growth is not good for economic security, but faster growth too. The question arises: "What kind of economic growth is good?" Following the example of US economic development, it is assumed that sustainable GDP growth is between 2.5% and 3.0%. The federal government perceives such a growth rate as sufficient to stimulate economic activity without unduly increasing inflation. Whether this is a sustainable growth rate for the US is a controversial issue, but certainly the stated interval between 2.5% and 3% may not be the right target for any economy. What is more important is to seek a growth rate that stimulates economic development but does not increase inflation too much. According to (Iliev, 2005), this percentage is between 2% and 2.5%, according to (the Journal for basic terms used within the educational process, UNWE, 2013) is between 3% and 4% and according to (Samuelson, Nordhaus, 1989) it is 3,5 %.

Potential GDP or natural GDP is the value of GDP that can be sustained over a long period of time and does not lead to a significant increase in inflation. Potential GDP is achieved through full utilization of available production resources. Full load should not be understood as 100% since there are always natural, regulatory or other limits.

GDP growth beyond its potential leads to the so-called "overheating" of the economy and the depletion of natural resources, at a faster rate than their recovery. Growing below the level of potential GDP means that not all production factors are used in the best possible way. Each economy for some reason is growing below the potential GDP. Since economic security depends on economic growth and GDP growth is taken as a measure of economic growth, it follows that in order to maintain its economic security a country should strive for GDP growth as close as possible to potential GDP.

## 3. Unemployment and Economic Security

Labor resources with their quantitative and qualitative characteristics and their use are a factor that can develop an economy or slow it down in the long run. An important indicator of a country's economic development is the unemployment rate. Employment is closely linked to economic growth because maintaining high unemployment for a prolonged period of time disqualifies labor resources and impedes future economic development. It is a prerequisite for impoverishment of the population and deterioration of political, economic, social and cultural values, and hence instability in the country.

In addition to employment, expressed in terms of number of employees only, the income earned by employees is essential. This indicator can be directly linked to the government's income policy. The aim is to provide sufficient income for the employed so that they do not fall below or near the poverty line and have the opportunity to maintain their qualifications, restore their ability to work, access to healthcare, education, culture, etc., which affects the motivation and quality of the workforce. For developed countries, apart from changes in family and cultural values, low incomes on the one hand and high standards of living on the other are some of the main causes of population decline, which is a prerequisite for exacerbating the problem of labor shortages. Exemplary instruments through which the state can influence the wage are the determination of the minimum wage threshold and the determination of minimum wages by major economic activities and qualification groups of occupations, while taking into account the purchasing power of money when forming these thresholds.

There is a perceived minimum threshold for natural unemployment, which has a positive effect on the economy. It is provisionally assumed that natural unemployment is around 5-6% (Iliev, 2005) and is within frictional and structural unemployment (Friedman, 1968) and maintains stable inflation rates. Further job creation to reduce unemployment below its natural threshold will increase inflation. Raising wages puts a strain on businesses, reduces the competitiveness of the economy and raises inflation. In the absence of a depreciation of the national currency, or in the absence of such and maintaining minimum levels of inflation, a reduction in wages is a mechanism through which the state can increase its competitiveness and increase its solvency, but this should not be at the expense of excessive impoverishment of the population. The aim of a sustainable policy is to maintain a level of unemployment and income that will maintain price stability and create conditions for economic development.

#### **4. Economic Security and Employees' Income**

In addition to employment, expressed in terms of number of employees, the income earned by employees is essential. This indicator can be directly linked to the government's income policy. The aim is to provide sufficient income for the employed so that they do not fall below or near the poverty line and have the opportunity to maintain their qualifications, restore their ability to work, access to healthcare, education, culture, etc., which affects the motivation and quality of the workforce. For developed countries, apart from changes in family and cultural values, low incomes on the one hand and high standards of living on the other are some of the main causes of population decline, which is a prerequisite for exacerbating the problem of labor shortages. Exemplary instruments through which the state can influence wages are the determination of the minimum wage threshold and the determination of minimum wages by major economic activities and qualification groups of occupations. A corresponding indicator could be the average salary in a country and how far it is from the poverty threshold but there is a major problem with judging based on such an indicator. A high average salary in a country does not mean that the income is well distributed among the people and some could earn a lot while others could earn very little. A better indicator could be the number of people living with income on or below the poverty threshold.

#### **5. Inflation and Economic Security**

Inflation is a key factor in the economic security of any economy and largely determines its functioning. High inflation leads to a depreciation of money, which means that one consumer will be able to buy less goods and services with his money than in previous periods. As a result, savings are depreciated and consumers impoverished and consumption shrinks.

High inflation has a strong deterrent effect on investors, whether individual, institutional investors or businesses. Price volatility and the fear of depreciation withdraw investors from investments in financial and production assets and direct them to investments in gold, gems, real estate and other commodities that are considered to be retaining their value over time. The outflow of large amounts of capital from manufacturing and the financial sector significantly limits economic development.

For banks as lenders, inflation leads to a depreciation of their assets - loans and has a positive effect on borrowers. In reality, a long-term hyperinflationary loan can be repaid within a few months' wages, making the bank insolvent. This effect is further compounded by the outflow of savings into financial assets - massive termination of deposits and other savings, which results in withdrawal of money from the banking system.

Deflation, although associated with price reductions, also has a negative effect on the economy. With deflation, the price of money rises and one consumer can buy more goods and services with their money than in the previous period. This leads to a holding back of consumption as everyone prefers to postpone the purchase for a while so they can buy cheaper. For the same reasons, businesses can delay their investments, thus holding back economic development. With the rise in

value of money, borrowers in the face of business are beginning to pay more and more expensive loans in shrinking markets and declining cash flows, and with a longer fall in prices and limited sales, they run the risk of insolvency.

As inflation rises, output produced in a given country becomes more expensive, reducing its competitiveness in international markets. On the other hand, as inflation decreases, competitiveness increases, but so does sovereign debt as a percentage of GDP, as the overall level of market prices declines and, consequently, GDP decreases. The contradiction between competitiveness and sovereign debt is a problem facing a number of EU countries, as increased competitiveness is a prerequisite for getting out of the crisis faster, but reduced debt provides resilience in times of economic crisis.

How much should inflation or deflation be? Inflation is a sign that the economy is growing, but too much growth is not having a positive effect. In some situations, low inflation or even deflation can be as dangerous as high inflation. The lack of inflation may mean that the economy is weakening. In order to avoid economic stagnation and avoid delaying investment, the European Central Bank assumes that price stability is achieved by annual inflation of around 2% (European Central Bank, 2001). The reason is that this is considered to be a level sufficient to stimulate consumption and business activity.

## 6. Budget Deficit and Economic Security

General government deficit is defined as the balance of income and expenditure of government, including capital income and capital expenditures. "Net lending" means that government has a surplus, and is providing financial resources to other sectors, while "net borrowing" means that government has a deficit, and requires financial resources from other sectors. This indicator is measured as a percentage of GDP.

In cases where a budget deficit is identified, current expenses exceed the amount of income received through standard operations. A nation wishing to correct its budget deficit may need to cut back on certain expenditures, increase revenue-generating activities, or employ a combination of the two. One of the primary dangers of a budget deficit is inflation, which is the continuous increase of price levels. Budget deficit can cause the state through the central bank or corresponding institution to release more money into the economy, which in turn feeds inflation.

Budget deficit may occur as a result of unforeseen situation like crisis response, war etc. or it could be caused by a certain state policy to increase government spending in order to support some economic activities or sectors. For example the government may decide to generate deficit and use it for increasing the defense spending or supporting the agriculture, thus boosting the economic activity of all related sectors. In other words the deficit could be used for boosting the economy, but such a decision should take in to account the negative effects of inflation if the deficit increases too much and deteriorating the business environment in a country by making certain economic activities a lot more favorable than others. If a certain industry suddenly becomes more profitable private entrepreneurs will divest capital from other businesses and move them to the supported industry. If such a tendency is kept for a long time the economy may lose competitiveness in key industries and then they will need support, which in turn will increase the deficit further and further and will create additional imbalance in the economy.

A certain amount of deficit may be necessary for each economy but how much depends on the geopolitical and economic environment of the country. If the deficit ratio stays below a critical level, then there are two steady states where capital, output, and public debt grow at the same constant rate. An increase in the deficit ratio reduces the growth rate (Brauninger, 2005). To set up a referencing value this research will use the Euro convergence criterion – government deficit cannot be higher than 3% of GDP.

## 7. Government Debt and Economic Security

Government debt contrasts to the annual government budget deficit, which is a flow variable that equals the difference between government receipts and spending in a single year. The debt is measured at a specific point in time, and it is the accumulation of all prior deficits. Government debt can be categorized as internal debt that is owed to lenders within the country and external debt that is owed to foreign lenders. Another common division of government debt is by duration until repayment is due and it is divided in long-term or short-term. Government debt-to-GDP ratio measures the gross debt of the government as a percentage of GDP. It is a key indicator for the sustainability of government finance.

Good utilization of government debt results economic development. It also allows the government to support certain policies and achieve certain goals. Debt becomes a problem if debt-servicing capacity does not keep up with growth of debt. This may also be expressed as debt exceeding sustainable levels. Unsustainable levels of debt have repercussions for an economy in the form of re-allocation of resources from valuable social and economic sectors towards debt servicing at a

certain time when debt is due. There is a non-linear impact of debt on growth with a turning point – beyond which the government debt-to-GDP ratio has a negative impact on long-term growth – at about 90–100% of GDP. Confidence intervals for the debt turning point suggest that the negative growth effect of high debt may start already from levels of around 70 to 80% of GDP (Checherita – Westphal, Rother, 2012).

Just like deficit, a certain amount of debt may be necessary but as stated above this amount should be monitored prudently. Since the different countries may plan differently according to their geopolitical and economic environment to set up a referencing value this research will use the Euro convergence criterion – government debt cannot be higher than 60% of GDP.

## 8. International Economic Relations and Economic Security

Due to the processes of globalization and the increasingly open and dependent economies of individual countries, economic security is linked to the dependence of the country's economic growth on international relations. A country's participation in certain unions may be a prerequisite for closing traditional markets for its goods and services. This is especially true for the military industry and trade in dual-use items. On the other hand, this may be a favorable opportunity to enter new markets.

Economic security requires ensuring the competitiveness of the national economy in the global economic space by developing competitive advantages in priority sectors. An indicator could be the country's net export. When it is positive, it means that the state earns more from export than it spends on import and therefore its goods and services are competitive on the international market.

An important part of international relations and their relationship with economic security is the dependence on import of resources. Although there is no fully independent economy in terms of resource availability, it is essential for economic security that this dependency is not on a single provider and as low as possible. Since such an indicator could not be assessed by using data from publicly available official sources and databases it should not be included within the current model for economic security assessment.

## 9. A Model for Economic Security Assessment

Considering the above stated the following model could be derived:

Table 1. Model for Economic Security Assessment

№	Indicator	Reference value
1	GDP Growth	2,5% – 3,5 %.
2	Inflation	1% – 2%.
3	Unemployment	5% – 6%
4	Employees income	0% population with income at or below the poverty threshold
5	Budget Deficit	Less than 3% of GDP
6	Government Debt	Less than 60 % of GDP
7	Net Export	Positive

## Conclusion

The 7 derived indicators for assessing economic security are based on the assumption that economic security is directly proportional to economic growth. The study does not include indicators such as the United Nations Human Development Index, the Nordhouse and Tobin Measure of Economic Welfare, the World Bank's Genuine Savings Indicator, and the GPI - genuine progress indicator), Human Happiness Index and others, as the purpose is to use the most widely accepted indicators of economic development and available data in public databases.

Reaching the reference values of all 7 indicators together and maintaining them for a long period of time is difficult, but the model sets a goal to guide the economy in order to maximize economic security of the country. To apply this model to a separate country will give certain results and recommendations. To really assess the economic security of a country through this model it would be better to compare the results of the targeted country with the results of other countries. For example to assess the economic security of an EU member country it would be better to apply the model for all countries within the EU and then compare. All the necessary data is available in the EUROSTAT database but the limitations of each indicator should be taken into account when interpreting the results. For example a country may have a positive net export but may be highly dependable on import of strategic resources or the deficit and the government debt could be within the reference values but this might be as a result of slow development.

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## Challenges and Opportunity of Housing for Black Miner in South Africa

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### Abstract

Mine companies are experiencing a change in the political system of the country (South Africa). This political change from apartheid government to the government of Democratic has brought about a totally different system of government; this change has led to the transformation of mines companies from employment section to housing of mineworkers from their operation system, how are the mines companies / houses dealing with this change? Changes in the political and economy of the gold mining in the 1970s - 1980s have prompted management to begin moving away from migratory labour and implementing alternative accommodation strategies for black mine workers. The paper aims to provide some understanding of the current housing situation and housing needs of mineworkers more than a decade after the abolition of the legislation which had shaped the living environments of mineworkers in South Africa, and will look at the different / alternative approaches for housing black mine workers and how they can afford housing.

**Keywords:** Housing, Miner workers, Hostels

### 1. Introduction

#### THE COMPOUND SYSTEM

The mine owners built compounds to house, contain and control their African employees from the late 1890s. The compounds were not new to South Africa; mine owners had developed the compound system in the diamond mines of Kimberly. In this compound all the workers were housed in large buildings next to the mine, where Africa workers ate and slept together. One of the functions of compounds has been seen to the control mine workers in the mines.

#### CHARACTERISTIC OF A COMPOUND SYSTEM

Life in the compounds was very different from the reserve / village life at home. There was no privacy anywhere in the compound. The toilets were nothing but a long bench with holes where 20 men could relieve themselves at the same time. Washing was also a public business and in the rooms the men dressed and undressed in full view of each other. The lights were left on all night, because of different shifts that the workers had. In the compounds / hostel there is no privacy in the rooms nor in the open lavatories, nor in the shower rooms. It is against the tradition that a son sees his father naked or on toilet. But hostel life has forcefully changed that.

#### PATERNALISM

Paternalism on the mines entails the provision of accommodation, food, health and recreational facilities by mine management to migrant workers.

#### FOOD

The compound was supposed to provide most of the food for the workers needed to stay alive. The Chamber of Mines made an agreement with the mining companies that the ratios should be the same in all the compounds.

## LEISURE TIME

In those early mining years compound mine workers had very little spare time, often they were so tired after a shift underground that they spent their spare time sleeping. According to one compound manager, miners should either be 'working', resting or in hospital.

## LIQUOR AS A FORM OF CONTROL

When the gold mines first started, liquor was given to recruits to tempt them to work in the mines. Mines owners began to invest in the liquor industry, and in the early years, many mine managers had a policy of rewarding hard workers with 'tot' at the end of a shift (Daw, 1998).

## Why were compounds set up in the gold mines?

In Kimberley the compound system prevented stealing, but gold could not be stolen out of the rock, in the same way as diamonds. The Rand mine-owners therefore did not need compounds to prevent stealing. Nevertheless the compound system had so many other advantages for the diamond mine owners that the gold mines owners (Chamber of Mines) decided to use the system as well. There are at least five main reasons for this:

### CHEAP MANUAL LABOUR

### COST CUTTING

### LOW ABSENTEEISM

### CONTROL OF WORKERS

### PREVENTED UNIONIZATION OF THE BLACK LABOUR FORCE

#### Challenges of accommodation.

According to Daw O.D (1998), there are five problems which exist in the mining industry for accommodation of black mine workers:

The current situation is that the company owns the hostels and houses and rents them out to the workers, workers do not have any say over the running of the housing.

Family housing, the only alternative finally to hostels, remains the preserve of a small elite.

There are mine workers who like to move with their families to the cities, but, given the 'status quo' of the mine accommodation / housing, this is impossible,

The reaction of black mine workers to management of these mine companies benefit all the mine workers has been less than enthusiastic. The top-down, non-consultative strategies of housing delivery are clearly inappropriate and inaccessible to the mass of black mines.

No corporation has committed itself to the dismantling of the compounds completely.

## RESTRUCTURING OF THE COMPOUND SYSTEM

Corporate embarrassment about compound life, brought about in part by a number of academic studies published in the 1970s (Wilson, 1972, Johnstone 1976, Webster 1978, Lipton 1980), motivated the mining houses to reform and improve the mine residence and substantial sums of money were pumped into upgrading and as Lipton (1980:95) put it 'ameliorating the condition of mine life'. Room size and proximity were reduced, private ablution and toilet facilities provided, electricity was supplied and recreation and bar facilities became part of the hostel environment. The compounds were modernized

quite considerably in the 1970s and part of this modernization was a 'HOSTEL'. The modernization of the compound did nothing however to alter its basic social character as an institution.

## **PROBLEMS WITH THE HOSTELS SYSTEM**

Overcrowding

Separation from family

No privacy

No place for visitors

The only positive thing about the hostels is that they are close to work and friendship with other workers. All residents were able to cook their own food or eat at the dining hall which prepared food centrally. Food was served by the mine company's catering department according to menus chosen by the residents. Residents resented the dehumanising effect the hostel had on them. They wanted accommodation which matched the standard of living enjoyed by white mineworkers and which allowed them to stay with their families.

Since the 1980s the induna system has been gradually dismantled, making way for new structure such as elected boards of representatives and governors which attempts to manage hostels on a democratic basis.

While there are numerous constraints on improving productivity levels in South Africa mines, one argument put forward by the mining industry is that productivity would increase if migrant workers were stabilised in family accommodation. Absenteeism is lower among mines housed in family accommodation than among hostel dwellers.

Despite the drawbacks of paternalism, mining houses seem to be reluctant to change the hostel system owing to cost constraints. The industry is however, considering giving mineworkers more choice by granting them an all-inclusive wage, and allowing them to decide where to rent accommodation and obtain food, the present structure of accommodation for mineworkers in the mines are:

Hostel

Married housing

Home-owners

Living-out

Visitors' quarters

### **2. (a) WHAT KEEPS THE MIGRANT WORKERS IN HOSTELS?**

Daw (1998) states five factors that keeps the migrant workers in hostels as follows:

The high cost of providing family accommodation is another serious obstacle, particularly for the mining industry, which argues that it is hard-pressed to find the frame for housing development.

Wage levels of migrant mines are too low to enable them to pay for market related family housing.

Financial institutions provide loans for the purchase of conventional housing only, and there is an urgent need to lower housing standards.

While most mining houses are keen in principle on providing family accommodation to all employees the cost factor limits this mainly to workers in higher job categories, i.e. semi-skilled and skilled workers. In any event, in view of the limited availability of land for housing it would be difficult to provide all employees with family accommodation.

The bulk of employees on the mines are unskilled and cannot meet market- related housing cost.

### 3. INTRODUCTION OF HOME-OWNERSHIPSCHEMES

Democracy has seen a shift by mining houses towards the reduction of hostel accommodation in accordance with the demands of the Mining Charter which envisages the provision of family housing to all workers. This may be provided by the employer, government or workers' housing schemes. This strategy has been strongly supported by National Union of Mineworkers (NUM) in reaction to the hostels role in workers' exploitation under apartheid

According to the Government Gazette (RSA, 1996:5), the government is responsible for the creation of opportunities and favourable economic conditions that will enable all South Africans to obtain housing units within their means. The government had four major subsidies for low cost housing:

Individual Subsidy

Project Linked Subsidy

Social Housing Subsidy

Consolidation Subsidy

#### 3. (a)South African Housing Subsidy Policy

The South African housing policy has seven strategies: stabilising the housing environment; mobilising credit; subsidy assistance; supporting the people's housing process; rationalisation of institutional capacity; release of serviced land; and co-ordination of state assistance. The subsidy assistance with reference to the South African housing policy is provided through the introduction of what the World Bank refers to as targeted housingsubsidy.

This targeted subsidy is available to all heads of households with a total income of less than R3 500 per month, who are legally married and/or have financial dependants; are South African residents (or, as the Constitutional Court has recently ruled, who have permanent residential status in South Africa); who have not benefited from government funding for housing in the past; who are 21 years of age or older, and who are first time home-owners. Table 1 provides an overview of the subsidies available and how these have changed since 1994.

**Table 1: Housing subsidies per income category, 1994-2004**

Income categories	Subsidy size 1994 - 1998	Subsidy size 1998 - 2002	Subsidy size 2002-2004
R0-R800	R15 000	R16 000	R23 100 (if not rural subsidies or People's Housing Process subsidies, an own contribution of R2 479 is required)
R801 - R1 500	R12 500	R16 000	As above
R1 501 - R2 500	R9 500	R10 500	R14 000
R2 500 - R3 500	R5 000	R6 000	R7 800

Source: Africa insight Vol 36 no1, 2006

These subsidies are made available by means of six subsidy programmes; individual subsidies, project-linked subsidies, consolidation subsidies, institutional subsidies, relocation assistance and rural subsidies. A background information relating to three of these programmes need to be discussed I, namely individual subsidies, project subsidies and institutional subsidies

Individual subsidies are ownership-based and can be accessed by means of an individual application to the relevant authorities (usually by means of an attorney). Project subsidies also provide full title and are accessed by means of a developer being awarded a project by the relevant authority (mainly the provincial government). Institutional subsidies are subsidies provided for rental housing or rent-to-buy housing, and are delivered through social housing institutions. Thus, the first two subsidy methods are extremely relevant for the provision of family housing to mineworkers, while the institutional subsidy provides, in theory, for the acquisition of some form of rental housing by mineworkers (Marais and Venter 2006).

### **Development of subsidy schemes**

The subsidy schemes of most mining houses are designed to give their employees access to market related finance via financial institutions. Despite the fact that both subsidies and collateral, which are designed to access mechanisms, are high, the home-ownership option has been slow to take root in the migrant workforce (mines). The biggest single problem from the migrant point of view is the high cost of conventional housing. At Vaal Reefs, management admits that 70% of the target groups of 45 000 miners who are to be settled at Kanana township are unable to afford housing at the market rate despite subsidies. The major problem therefore lies in the low wage levels. Although companies such JCI and Anglo have made their housing schemes available to all employees a JCI spokesman said that those making use of the scheme are mainly employees in category B4 (clerical and administrative employees and team leaders) and upwards.

Mining houses which pay a living-out allowance to some of their employees do so to overcome the responsibility of housing them, whether in hostel or family housing. This allowance is designed in part to address the problem of miners who wish to have family accommodation but cannot afford market-related conventional housing. Workers who wish to take up the option of informal housing are excluded from the mining companies subsidy schemes and are therefore unable to raise finance.

Another way in which employers in mining industry are addressing the issue of access to housing is the living-out allowance. This is designed ostensibly to allow migrant miners freedom of choice between living in hostels or making other arrangements for their own accommodation. It has the advantage of relieving employers of the responsibility to provide food, accommodation and health facilities to employees. The living-out allowance does not however, address the acute shortage of land and housing, it could in fact promote squatting, which might have a negative effect on productivity.

According to Strydom and Russell (2010), the living out allowance has had a number of undesirable consequences over the years. These include:

- A serious drop in mine workers living standards as many chose to spend as little on accommodation off-mine as possible in order to have more disposable income for other needs;

- Proliferation of informal settlements in mining regions due to a shortage of affordable accommodation to rent;

- Poor living conditions in such informal settlements due to a lack of basic infrastructure - clean water, sanitation, refuse removal, electricity etc.

- Mine workers choosing to leave their wives and children in rural areas and to establish second families close to their places of work, the additional financial burden of running two households notwithstanding.

The all-inclusive wage, on the other hand could have a positive effect by attracting already urbanised labour to the mines. It may also be beneficial to the migrant workers and his family as it facilitates access to housing. Many migrants are reluctant to take up urban family accommodation because this would imply abandoning the extensive network of people who depend on their earnings in the rural areas. Older migrants who have invested in land, cattle and housing in the household in the rural areas are reluctant to move their families to urban areas, many migrants also perceive the urban townships as an unwholesome environment for their families. It is therefore recognised that migrant and hostel will continue to remain a reality on the mines for a considerable period of time, and on remote mines they may not disappear at all.

#### **4.(a) Housing Opportunity in Lonmin/Marikana**

Platinum mining in South Africa is concentrated in the Bushveld complex in the North West Province, the reserves are mostly in the traditional authorities of Bapo Ba Mohale and Lonmin leasing the Marikana land from them, it mine pays royalties to the traditional authorities.

According to Crispin Chinguno 2013 housing facilities of Lonmin comprise 1 798 houses and 544 family and 95 bachelor units. In addition, it has three hostel complexes for unskilled and semi-skilled labour (Lonmin 2010). Lonmin thus provides accommodation to about 2 342 of its 28 000 direct employees. This constitutes less than 10% of its direct workforce. The majority of the workers are in private accommodation which has exerted pressure on access to the few Lonmin houses.

Lonmin highlights that the LOA living out allowance is paid as an alternative to company accommodation and thus most workers end up in informal settlements. To be eligible for this allowance a worker has to prove occupation outside company accommodation usually through a letter from the landlord approved by a commissioner of oaths. The following forms of settlement for Lonmin workers are: hostels, family units, mortgage housing schemes, low density housing, skoomplaas.

Lonmin offers hostel accommodation at Karee Wonderkop and Eastern but in line with the Mining Charter aims to convert all of them into family units by 2014. At the Wonderkop Hostel, for example, at least eight workers shared a room with no privacy or dignity.

**Family accommodation:** As part of phasing out traditional hostels, Lonmin was converting some into family units. A hostel unit, for example, for eight single workers was converted into a one-bedroomed family unit for a single worker. The conversion of hostels into family units has reduced the capacity for accommodating single workers. Acquiring family unit accommodation is not easy as the demand is high, numbers limited and access is through registration on a long waiting list.

#### Marikana West housing scheme

As part of its Social Labour Plan Lonmin has set up the Marikana Housing Development Company which builds houses and gives mortgages to its staff. Some houses have been developed and allocated to workers. Lonmin had a target of constructing 5500 units by 2009 under this scheme but was unable to achieve it (Lonmin 2010).

People who live in housing scheme accommodation are usually those who have permanently settled in the area and see a future here beyond their employment. A high proportion of women workers reside in this area as a majority of women workers are from local communities. This makes it easier for them to take out a mortgage in contrast to migrants from the Eastern Cape, Mozambique and Lesotho who are constrained by many having two families. In addition, their only attachment to the area is as workers and they see no future in the area beyond employment.

**Skoomplaas** Before the demise of the compound system, a number of houses close to hostels were reserved as married quarters for senior black staff. These houses are now reserved for senior workers amongst the unskilled, semi-skilled and administrative staff (Chinguno, 2013).

**Nkaneng informal settlement:** Nkaneng is an informal settlement adjacent to Lonmin operations in Marikana. The councillor and his committee have reliable statistics on numbers living there. They estimate at least 12 000 residential stands with an average of eight households on each stand.

Nkaneng is a post-apartheid phenomenon. Senior residents indicated that people started living there in the early 1990s following the release of Nelson Mandela. They settled illegally without sanction from the local traditional Chief Bapo ba Mohale, the custodian of the land which was used for cattle grazing. The area has no accessible roads, water or electricity, sewerage or refuse removal. Before 1994 mine workers at Lonmin lived in hostels. The first mineworkers to live outside hostels rented rooms within adjoining villages. The reasons for staying outside hostels varied but it usually concerned a prolonged visit by a wife or relative. The mine authority usually only provided accommodation up to a maximum of two weeks. Some subsequently relocated in the villages permanently.

Some of the workers argued that they moved into the informal settlement to save on rentals and supplement their low incomes with the LOA of R1 850 a month. It cost an average rental of R220 for a single room sharing in the hostel while a single room in

an mkuku (shack) costs R300. A brick one room in the informal settlement cost R600 per month. A worker explained why he constructed his own shack, 'i have a family here and in the Eastern Cape. I cannot afford R3 000 to pay a mortgage (Chinguno, 2013).

## 5. (b) Housing provision in Kathu

Kathu in the Northern Cape has lately experienced an extraordinary growth in the demand for housing, due to the increased demand for iron ore from China. As in the case of many small towns, the economy of Kathu is largely based on a single resource: iron ore. The mine was founded by the erstwhile company, ISCOR, just after the Second World War; and the town of Sishen was established. The ore in the area has always been extracted by means of an open-quarry method; and over the course of time, the length of the quarry necessitated a shift in the location of Sishen, resulting in the founding of the town of Kathu in the 1970s, approximately 15km to the east (Nel & Van Wyk, 2007).

Owing to a combination of factors, such as the backlog caused by apartheid mineworker-housing strategies, the fact that the mines have sold the residential properties that they historically owned, and the recent expansion of mining activities, a substantial housing shortage has arisen in Kathu (Nel & Van Wyk, 2007). In addition, increased private - sector interest as a result of expanding mining activities

has seen the prices of houses skyrocketing. As a consequence, middle-income mineworkers have found it increasingly difficult to access housing in the town. In an attempt to provide housing for their workers, the Kumba mining company contracted the Matlapeng Housing Company, which is subsidized indirectly by various methods, to assist in this regard. In some cases, Kumba donated the land and paid for the provision of infrastructure; while the institutional housing subsidy from the government has also been utilised for those households that qualify. Three different models of tenure are followed in this regard (Nel & Van Wyk, 2007):

Individual ownership - this option is available for those who can afford it, in cases where the approval of the banks can be obtained. The survey indicated that 27,5% of households in the new housing development have opted for this form of tenure.

Instalment sale agreement - the house is acquired by means of an instalment sale agreement, which means that formal transfer does not take place on day one. Half of the households that were interviewed selected this option. The immediate advantage of the instalment sale is that it provides an option for households whose credit record is not good enough to qualify for a mortgage bond. Although there is very little difference between the monthly payment in respect of the instalment sale, and the payment that applies in the case of a mortgage bond, the fact that transfer does not take place at the beginning of the transaction contributes to a reduction in initial costs. At the same time, the instalment finance model is designed (obviously at a cost) to allow the participant to default for approximately three months. A further advantage of this approach lies in the fact that, should the household be unable to pay the instalments, they would lose their house, but would not be blacklisted for defaulting on a mortgage, or held responsible for the asset, since in such cases the house remains the property of the Matlapeng Housing Company.

Rental option - finally, it is also possible to rent the housing unit from Matlapeng. The remainder of the sample 22,5% of households - fell into this category. Rental housing is between 20% and 40% cheaper than the instalment sale or the ownership option.

## 6. Discussion

In the past black mine workers exclusively lived in mine hostels, this has changed following the attainment of democracy in 1994, mine companies have since abdicated the duty to provide accommodation by substituting this with a living out allowance (LOA), when the mines started to pay living out allowance, black miner workers moved out of mine hostels and into informal settlements on surrounding land. There are over 38 informal settlements around the Rustenburg platinum belt, and what increases this number of informal settlements is that some of the black miners will buy plots from the local chief and build rows of shacks and rent them out to other black miner workers, and in these informal settlements there are no services in these plots/land there are no roads, electricity, health care centers or even a school, and it appears that neither the mine companies nor the local municipality have interest in the development of infrastructure settlements around the mine in South Africa. In conclusion black miner workers argued that living in the informal settlement next to the mine is a matter of choice and an expression of freedom, the hostels were designed to maintain employer control over the workers beyond the workplace including their social life, in the hostel workers are restricted in drinking, noise and female visit. All these restrictions are resolved by moving into an informal settlement.

## 7. Conclusion

The mining company wishes to shift the cost of providing housing for mineworkers to the mineworkers themselves, while government policy on migrant workers and mining hostels is vague. The government has introduced housing schemes with the mining houses which can benefit the black miner workers to have a house.

According to Marais & A Venter 2006 only 1.3% of the South African respondents have received a housing subsidy before. This means that 98.7% of the South African mineworkers are eligible for a housing subsidy. Approximately 38% of the on-mine residents have been residing at their current residents for less than 10 years, compared to 43% of the off-mine workers. These figures also suggest that the permanency of mineworkers has increased during the last 10 years and that staff turnover at mining areas has decreased considerably.

The living out allowance is paid as an alternative to company accommodation and this results in Black miners workers end up in informal settlements. The government with the mine houses in South Africa can develop an affordable housing scheme which can benefit the low-income black miners in South Africa.

In essence the socio-economic profile of mineworkers suggests a fairly stable workforce with well-established households which might be more orientated towards providing housing for the family.

## 8. Recommendations:

Development of a Housing Subsidy scheme for black low-income miners in South Africa.

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## Man as Object: The Denial of Dignity

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### Abstract

Considering and treating people as things, objects or instruments is easier than one may think. Marx and Lukacs have highlighted the fact that the different processes of reification (reducing man to an object) is rooted in market logic: philosophers of the Frankfurt School like Horkheimer, Marcuse and Adorno have identified their origin in the techno-scientific reasoning of capitalist society. In this paper I intend to demonstrate that their explanations embrace the phenomenon of reification in an incomplete way. Through Axel Honneth's social philosophy I intend to show that the reduction of man to an object depends on the misrecognition of the qualities and dignity of man. Such misrecognition does not depend on market logic or techno-scientific reason, but rather on a certain attitude that man adopts towards himself and others.

**Keywords:** Man as Object, Reification, Capitalist society, Market, Misrecognition.

### Introduction

In the first part of this study I will examine the phenomenon of Reification (reducing man to an object) from the point of view of the studies carried out by G. Lukacs and the philosophers of the Frankfurt School, who reached the conclusion that this phenomenon is deeply rooted in the logic of the market and in the techno-scientific reasoning of capitalist society. To reconstruct the fundamental stages of their analysis, I will focus on the economic, social and cultural dynamics, which they believe to be the basis of the processes of reification. Thereafter, I will compare their position to Axel Honneth's perspective to demonstrate that such processes cannot only be attributed to market logic. From his viewpoint, the different forms of reification imply relational dynamics characterised by the absence of emotional involvement with regard to the sentiments felt and demonstrated by others. Reification derives from the cancellation of relationships based on sentimental participation of what other people are experiencing.

### The market as a cause of reification

In *Grundlegung zur Metaphysik de Sitten*, Immanuel Kant affirms the necessity of treating human beings as ends rather than as means. Considered as means, human beings are treated as objects, as things to be used. "So act as to treat humanity, whether in thine own person or in that of any other, in every case as an endwithal, never as means only" (Kant, 1909: 47). At the beginning of the 1920s Gyorgy Lukacs, in *Geschichte und Klassenbewusstsein* (1923), elaborated the concept of reification. The Hungarian philosopher clearly emphasises that man and social relations in a capitalist society are "reified", reduced to things. This phenomenon, which he named reification, was analysed by Marx in *Okonomisch-philosophische Manuskripte* in 1844, who described it as "alienation". It has been said that Lukacs took up the Marxist concept of alienation and reused it. However, what is surprising is that the *Manuskripte* were unpublished until 1932, therefore making it impossible for Lukacs to have consulted them while he was writing his *Geschichte und Klassenbewusstsein* published in 1923. Thus, while being able to reference other Karl Marx works and studies by Max Weber, his work was original.

Quoting Marx, Lukacs explains that reification occurs when "a relationship between people takes on the character of a thing". In his opinion, the progressive spread of this phenomenon is a principle of capitalist societies and is deeply rooted in the exchange of goods, which man does not control but is controlled by it. In the exchange of merchandise everything, including man, is considered as a source of profit. Man's abilities are perceived in view of profit. In this way, in a capitalist society the only people who count are those who have the suitable abilities to generate and maximise profit. Work is reduced to goods and with it the worker obeying, like all other goods, the laws of market demand and supply. This reality of mutual consent leads man to relate to others as goods.

Lukacs uses the term "as goods" to define the instrumental use of people, the consideration given to their abilities and needs. In such a world, according to the Hungarian philosopher a truly critical and practical approach cannot exist since

"contemplative knowledge" is dominant and dictates conscience and science by elaborating strategies and conditions to favour profit optimisation. By "contemplative knowledge", Lukacs does not mean that the knowing subject is absorbed in involved and interested reflection with regard to what is being analysed, but, to the contrary, he implies a detached, uncaring, neutral and uninvolved behaviour. Such an approach is characteristic of the Scientist, whose thought is reifying and reified and is dictated by calculation based on the distinction between subject and object, between theory and practice.

According to Lukacs, critical thought is possible only through dialectics considered not as a universal law of nature but as interaction between subject and object, theory and practice and their unity. Dialectics allows us to understand that the reification of man is not a natural fact but it is the historical-ideological product of certain activities of man such as those dictated by capitalist logic.

In Lukacs' opinion, in capitalism this reifying process exists on such a vast scale that it has penetrated the conscience of man who has acquired the habit of perceiving himself, his feelings, others and all living beings as "things", as simple objects. For this reason, Lukacs states decisively that reification has become "man's second nature". He identifies its origin in the market logic of a society dominated by the capitalist middle class. This point of view was taken up by the philosophers of the Frankfurt School in light of the assertion of instrumental reason in the modern era.

### Technical-scientific reason and reifying processes

The concept of "reification", analysed by the philosophers of the Frankfurt School together with the rediscovery of Lukacs' ideas, was widely adopted, often to extremes, in the 1968 intellectual debate.

Horkheimer, Marcuse, Adorno and Habermas agree with the claim that contemporary society is dominated by a technical and scientific rationality that pursues a reifying approach with the aim to dominate the world. Their concept of reason recalls that defined by Max Weber. In his work *Industrialisierung und Kapitalismus im Werk Max Weber* (included in the *Kultur und Gesellschaft*, 2, collection, 1965), Herbert Marcuse highlights the connection established by Weber between reason, capitalism and dominion.

The specifically Western idea of reason is fulfilled in a system of material and intellectual civilisation -economy, technology, "way of life", science, art- which is fully developed in industrial capitalism, and this system tends towards a specific type of dominion, which becomes the destiny of the present age: total bureaucracy. Reason unfolds as technical reason, as transformation and manipulation of men and things due to the systematic-scientific *apparatus*, built upon the predictable capacity to perform; the rationality of such apparatus organises and controls things and people, factories and administrative bureaucracy, work and leisure time.

Marcuse states that in Max Weber's sociology, formal rationality becomes *capitalistic* rationality; so it presents itself as that methodical organisation of the irrational "profit impulse. In this work of 'organisation' Western reasoning becomes the *economic* reason of capitalism: the rational and continuous tendency towards renewed profits in the field of capitalist endeavour. Therefore, rationality becomes the condition of *profitability*, based on systematic and methodical calculation, on the "calculation of capital". Thus, it is not difficult to recognise the different phenomena of reification produced by technical rationality, which acquires the features of economic reason of capitalism. In *Dialektik der Aufklärung* (1947), Horkheimer and Adorno (2007) observe that scientific reason reduces nature, life and man to objects of analysis in order to dominate and manipulate them as required. It constitutes a formidable instrument of capitalism which, with the invention of the "culture industry" with its channels of entertainment and distraction, kills critical reasoning and annihilates that reason which pursues the liberty and emancipation of man from all forms of reification and alienation.

Technocratic rationality leads to indifference and passivity, acceptance and submissiveness to the *status quo*. Upon the reification of reality is based technical and scientific reason, which is seen to be increasingly formal and commanding in character, indifferent to nature and life, and instrumental in the subjugation of man. Horkheimer claims in *Zur Kritik der instrumentellen Vernunft* (1967) that with the modern industrialised civilisation, instrumental and calculating reason appeared as irrational dominion over man and nature. Such a capitalistic society reflects the contradictions of instrumental reason: it possesses the means and technological-scientific tools to eliminate material misery and to make man happy but, in actual fact, it does none of these. For this reason, according to Horkheimer, capitalism is an irrational system. He observes that an individual was once able to see reason as an instrument of self; now he finds himself faced with the reversal of this reification of self. The driver of the car has been thrown out while the car is blindly racing into space. At the pinnacle of the process of rationalisation, reason has become stupid and irrational (Horkheimer, 1967).

### What is instrumental and reifying reason based on?

In a capitalistic society technical reasoning, in its most powerful form, is implemented to manipulate, to control, to monitor, to punish the masses and to provoke a “sense of interior emptiness” which is recognised only superficially and distortedly as lacking material goods. Besides technical reason, a capitalist society is allied with political thought, which depends on the economic-financial and technical sectors in its decision-making process.

A detached approach towards reality, typical of instrumental and scientific reason, fosters capitalistic logic in the sense that instrumental reason treats everything in a neutral manner placing man, animals and embryos on the same level: that of things. With its impassivity and neutrality instrumental reason sees the world in an uninvolved way, downplaying the fact that being a human in the world consists in a sort of existential involvement, in an interested, concerned and practical relationship. Instrumental, scientific and technical reason positions the world as object in opposition to subject (Heidegger, 1980, Pansera, 1998). Heidegger claims that representing (*vorstellen*), establishing (*stellen*), organising (*bestellen*) and producing (*herstellen*) are essential to technical reason given the power over nature (2013). Reification is the natural consequence of such technical configuration (Vattimo, 1997: 66).

### Reification as forgetfulness of recognition

In his work entitled *Verdinglichung (Reification)* (2005), Honneth observes that, like Lukacs, Heidegger is convinced that the primacy of the idea of a neutral representation of reality is responsible for the ontological blindness which has prevented adequate understanding of the structures of human existence. According to Honneth, for both philosophers, despite their different perspectives, it is possible to acknowledge the intention to destroy the concept of a knowing and contemplating subject that places the world before self, otherness. Such a configuration is characterised by a distinct separation between the knowing subject and the otherness of other people. In this sense, according to Honneth, it cancels any form of original relationship between man and the world based on emotional involvement.

For Lukacs reification produced by the market highlights a distortion of that original approach through which man establishes social relations. In his opinion it is a mistaken practice based on subject-object dualism and promoted by a contemplative and uninvolved behaviour. Considering Marx's structure-superstructure relationship, Lukacs believes that the economic sphere conditions and shapes cultural and social phenomena. According to Honneth, Lukacs' emphasis, by attributing the processes of reification to the processes of exchange, excludes a significant class of phenomena of reification such as that emerging from the diverse forms of brutal dehumanisation such as racism and human trafficking. What does this missing consideration derive from? For Honneth it derives from a sort of systematic blindness which depends on prejudice whereby only economic obligations can lead to the negation of the human characteristics of man (Honneth, 2005). In his opinion, the phenomena of reification can be traced back to human behaviours that do not originate from a capitalistic context but, rather more, from an approach aimed at cancelling forms of relations characterised by the “recognition” of a person's qualities and dignity. Such cancellation becomes possible when a neutral and detached attitude towards others dominates. By “recognition” Honneth refers to “attitudes and practices by which individuals or social groups are affirmed in certain of their qualities” (Honneth, 2002: 505). He thinks that “acts of recognition are oriented not towards one's own aims but rather towards the evaluative qualities of other” (Honneth, 2002: 513). In interpersonal relationships, when a sentimental dimension or sense of involvement with regard to what others are experiencing is lacking, the emergence of reifying behaviours is always possible.

### Conclusion

In accordance with the analyses of Lukacs and the thinkers of the Frankfurt school such as Horkheimer, Marcuse, Adorno and Habermas (1981), many present-day observers and critics argue that the market has taken possession of our thought processes and our deepest aspirations to the extent that, as stated by Umberto Galimberti, we no longer know how to extricate ourselves from the market and we only know how to see what looks like a good: “Our lifestyle is suffocating in a reasoning made up of calculation, market, exchange, interests and assurances to conserve that withering treasure: life without beauty” (Galimberti, 2008: 123). Judgements, like: in a capitalistic world where social relations are dominated by calculating economic rationality and maximum profit-making, man loses his humanity, are now shared by people of differing cultural backgrounds. For Axel Honneth this perspective does not explain the root of the varied phenomenon of reification. His analysis shows that reifying dynamics become a fundamental and dominating part of a society regarding the way in which human relations lack emotional involvement, feelings of solidarity and sentimental interest.

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## How Important Are Linguistic Competencies on the German Labour Market? a Qualitative Content Analysis of Job Advertisements

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### Abstract

Linguistic competencies (LC) are in many companies and industries an essential prerequisite for employees to accomplish tasks and integrate into a job. Under this premise, this paper summarizes the arguments and counterarguments within the scientific discussion on the relevance of LC in Job advertisements (J-Ads) in the German labour market. The main purpose of the research is to uncover the different importance of LC in the respective officially occupational category (OC) to examine whether connections between required LC and the tasks from the J-Ads. Therefore, this research represents an analysis of LC with regard to J-Ads, which was conducted on the basis of a qualitative content analysis. For the methodology of the research, 180 J-Ads were examined on the criteria of KLdB 2010. The investigation took place in a period from November 2018 to February 2019. The paper provides first evidence for the different importance of LC for the different OC and indicates ambiguities within J-Ads. Given evidence there are considerable inconsistent discrepancies between the required LC for applicants and the tasks to be performed, which can lead to inefficiencies in the recruiting process. The study confirms and proves that, in addition to implementation and conceptual problems, some management questions regarding the exploitation of LC in J-Ads can also be optimized through improved awareness and clarification of the ambiguity of the competence term.

**Keywords:** German labour market, Job advertisements, linguistic competencies, qualitative content analysis, occupational category

### Introduction

The globalization of states, markets and humans has made it possible to overcome geographical boundaries. One result of these developments is the increasing pluralization of societies. People with different cultural backgrounds, ethnicities and different religions are shaping coexistence like never before. It can be stated that many Western industrialized countries are shaped by their diverse societies (Kalpaka, 1998). In order to make this coexistence of diversity in public space possible, Gutierrez-Wirsching et. al. (2015) see communication via language as a decisive mediator. This hypothesis could be underpinned by using the increasing number of language courses offered in recent years as an indicator. And from a political perspective, language ability has long been understood as an imperative of integration. This imperative can also be seen in the state structures in which students have increasingly acquired language and cultural skills in their careers and have enshrined them in their curricula. Applied to the economic context, it can be stated that language skills have long been regarded as key competencies of employees in order to survive on the international market.

Against this background, it becomes clear that language and concrete LC are of personal as well as social importance. For us, language catalyzes interpersonal contacts and restricts them when they are not present. Besides that, LC are in many companies and industries an essential requirement for employees to accomplish tasks and integrate into a job. Based on this, companies are continuously facing the challenge to attract and to ensure valuable workforce with this competencies on a competitive labour market (Masgoret, 2006). In order to attract and retain these employees, an effective recruiting plays a key role. There is evidence that effective recruiting is related to fluctuation and success (Korhonen, 2004). Since recruiting involves a high amount of resources, it is necessary to continuously improve and optimize it. One of the biggest challenges in the recruitment process is the definition and transfer of requirements in job descriptions as well as the transfer

of information to the target groups. As a result of this job-analysis, job seekers deduct information about the job and the organization from the message presented in advertisements (Highhouse & Hoffman, 2001). Against this background, this information is communicated in advance in the form of J-Ads in order not only to provide orientation for potential applicants, but also to create a self-image for the company (e. g. Frijters et al. , 2005). According to Rafaeli and Oliver, J-Ads intend to attract employees on the one hand and on the other hand to impress an audience about organizations (Rafaeli & Oliver, 1998).

In the light of the importance of approaching and selecting candidates in the recruiting process, we examine whether companies are already effectively communicating language-related information in J-Ads or whether discrepancies and inefficiencies can be identified through the different OC. In doing this, we examined J-Ads with a differentiated consideration of industries and OC with regard to LC. For the methodology of the research, 180 J-Ads were examined in a qualitative content analysis based on the criterias of KLD B 2010 and ISCO. The investigation took place in a period from November 2018 to February 2019. The analysis is based on German J-Ads that appeared on an online job search engine. The results of our research are presented in the following logical sequence: After introducing the relevance and need of this topic in job descriptions, the fundamental theory and concept on LC in J-Ads is provided. Therefore, the theoretical basis of LC and J-Ads and the role of communication skills regarding to LC is explained and reasons to understand LC as a recruitment challenge are given.

### Literature Review

Although LC play an important role in language-related (Andresen, 2005) as well as in intercultural research (Burwitz-Melzer et al. 2012), there is no standard definition for the construct. In general, it can be defined as the ability to understand linguistic phenomena detached from their content context (Andresen & Funke 2003). However, all definitions of this topic often prove to be problematic in practice, precisely because of their breadth and specificity. Applied to the economic context, it can be highlighted that the operationalization of LC can be enabled in different way of nature. The spectrum ranges from spontaneous language skills in explicit situations to deep implicit linguistic comprehension that allows for the interpretation and understanding of contexts.

Consequently, the question arises as to whether it is justified to subsume these very different forms of LC under the same ability. The scientific discourse therefore still applies a term distinction developed by Chomsky in the 1960s, in which the conceptuality of LC is divided into two areas. According to Chomsky, the terminology of LC is distinguished in terms of „competence“ and „performance“ (Chomsky, 2006). Competence is the term used to describe a cognitive-abstract system of language knowledge and skills that distinguishes a native speaker. Native speakers are capable of forming any number of sentences in their first language (= mother tongue). In shape and structure are these phrases largely correct. However, this ability is potential that does not mean that a person actually forms all possible sentences. Performance refers to the current linguistic realization based on competence. Thus, the performance corresponds to a part of the competence. However, language productions are an expression of performance and, when voice performance is assessed, performance is judged rather than competence. For bilingual people, in a monolingual context, such as the vocational school or an aptitude test, only the performance of one of the two languages is considered. Thus a substantial part of the linguistic competence and performance of the bilingual person is disregarded.

In the psychology literature this topic is also viewed differently. A distinction is made between knowledge, ability and competence. The knowledge of a person is regarded as mental availability and the possibility of applying available knowledge. In learning theory, competence is also understood as a goal-oriented component in which problems can be successfully solved by combining knowledge and skills. A competence thus serves to be able to cope with additional tasks besides the routine (Littlemore & Low, 2006). It can be stated that especially the distinctions from the point of view of learning psychology play an essential role, especially for the personnel selection process, since future employees have to perform and apply productive work in order to ensure company performance. LC can be divided into six areas from a psychological point of view. Understanding skills used to be referred to as passive language skills. The person reading or listening knows best that comprehension has nothing to do with passive behavior. Understanding is a highly active activity and for this reason, today we also speak of receptive language services (Savignon, 2018). This is always the case with both deep foreign-language and mother-tongue competence. Knowledge of the meanings of words and phrases and knowledge of grammatical forms and structures in a language is a necessary component of linguistic competence (Cummins, 2005). In Germany, there is a separation between oral and written language use. While listening comprehension and speaking are largely experienced in dialect, reading comprehension and writing largely use high-level

language. As many companies operate in global markets, they are often in the need of people with dual language skills (Noels, 2005).

For this reason, it is literary essential to include the subject of bilingualism as an object of investigation. From the perspective of learning psychology, bilingual people have two systems of linguistic competence (first and second language) with different characteristics in the individual areas. The second language is in turn divided into two specialized subsystems (oral dialect and written high-level language). For many migrants, the first language is also divided into two subsystems (dialect in the family and high-level language in the wider environment). It should be noted that linguistic competences are always influenced by the context and that successful communication takes place over several levels (Byram et. al., 2013). It is therefore not always sufficient to be able to speak a language in order to learn and work successfully in that language. According to Gutierrez-Wirsching et. al. (2015), LC is therefore shaped by cultural determinants. This leads to the conclusion that the language and the competence of language represent an effectiveness factor for everyday business life and that this is a prerequisite for both applicants and employees. The determination of these prerequisites as well as the degree of this requirement can be demonstrated in company practice by means of a requirement profile. The requirement profile is a binding, written fixation of the organizational prerequisites of a position in the company with regard to its objectives, tasks, necessary competences and resulting duties.

The requirement profile is an integral part of the recruitment process and describes which criteria the applicants must or should fulfill, it standardizes the ideas of the decision makers of the future jobholder and gives interested parties orientation for self-assessment (Littlemore & Low, 2006). The profile is usually the indispensable basis for a targeted and fair search and selection process. In addition, applicants can be better compared and evaluated. J-Ads are designed and advertised on the basis of requirement profile and previous planning. According to Ahsan et. al.(2013), J-Ads must consist of three different components in order to be able to carry out an effective selection process. Here, J-Ads must always inform the employee about the job requirements and task activities. This includes titles, positions, requirements, qualifications, etc. In addition, organizational areas are listed that communicate the time frame as well as application modalities. Particularly in recent years, the high demand for highly qualified personnel on the employer side has led to increasing competition, which has led to the company using personnel marketing methods in J-Ads. This means that additional company information is communicated on the J-Ads.

### **Methodology**

With the assumed necessity to evaluate sufficient LC in the recruitment process (Hershfeldt et al. , 2009; Gregory et. al. , 2014), it is essential to examine the validity of linguistic components on J-Ads. To address these gaps, we conducted a qualitative content analysis in order to examine LC within the context of J-Ads and to account bias between explicitly requirements and tasks. Specifically, the current study aimed to 1) determine if there is an overriding importance and association of LC between the OC. 2) to examine whether requirement profile and task activities discrepancies were in job ads associated. To address these questions, we conducted the qualitative content analysis by evaluating nine different occupational groups with each 20 J-Ads. The analysis of J-Ads has meanwhile become of one commonly used method for assessing professional competencies (Nonthcumjane, 2011; Sproles & Ratiedge, 2004; White, 1999). Therefore this qualitative content analysis were adapted by using the following procedure outlined by Maceli (2015) and Mayring (2010) to examine the primary research questions regarding the association between linguistic competence and J-Ads.

For this, we have prepared our systematic qualitative content review in total of 180 J-Ads according to the following procedure. First of all, we examined whether the J-Ads explicitly mentioned German LC as a part of the tasks or whether LC were mentioned exclusively in the requirements. In the second step, the same procedure was repeated in regarding to foreign LC. In this meaning J-Ads were evaluated which explicitly state foreign LC in both requirements and tasks or only in the activities or only in the requirements. In the third step it was examined, whether and to what extent undefined languages competences are mentioned as a requirement or in the tasks. J-Ads which did not name any LCs in the activities, i. e. also requirements, were also noted. The examined OC were selected according to classes 1-9 of the German Classification of Occupations 2010 (KldB-2010). The KldB-2010 was selected for this study because the international classification of occupations (ISCO-88) is only applicable to a very limited extent to the German labour market with its dominance of dual training programs and nationally recognized occupational profiles. Due to the fact that our study focuses on companies in competitive situations, especially in international markets, class 0 (military) was not considered, as there is only one employer, and the mobility of educational qualifications in the military is not always given. It is precisely this

classification, which is based on standardized vocational training, which enables better discriminatory power and differentiability than the partially generalizing factors of ISCO.

However, in order to include ISCO in the selection process and because academic occupations are usually examined, we have concentrated on non-academic occupations in ISCO classes 4-8, as these represent by far the largest proportion of the workforce in the German labour market. The following professions were examined: KIdB-1: Gardener, KIdB-2: Locksmith, KIdB-3: Assembler/ Mechanic, KIdB-4: IT Specialist, KIdB-5: Truck drivers, KIdB-6: Salesperson, KIdB-7: Assistant tax consultant, KIdB-8: Nurse, KIdB-9: Media Designer. In order to control the investigation, the J-Ads were collected exclusively from the online platform Indeed. Since Indeed has up to 90% coverage of accessible online J-Ads, a necessary range of J-Ads could be ensured. The J-Ads were collected over a period of four months from November 2018 to February 2019. In addition, only J-Ads in the Berlin area were examined, as there is a sufficient number of vacancies per class and differences in local labour markets could be avoided as a federal state with a median size. In addition, only J-Ads that were not paid to reach a higher rank in the search algorithm were taken into account in the survey in order to avoid any distortions. Furthermore only full-time J-Ads were considered for the study and no part-time or apprenticeships were analyzed. After identification of suitable J-Ads, the J-Ads were analyzed via MAXQDA and coded according to the qualitative terms and objectives mentioned above.

## Results

For each OC in our sample the statistics for the search criteria are described in Table 1. As mentioned in the methodology we defined the following search criteria to examining the J-Ads. No LC mentioned (NLC), Requirement undefined "communication competencies", task profile with language references (LC-T), Requirement "German lang. competencies" (GLC-R), Requirement "foreign lang. competencies" (FLC-R). The result shows that many professions of OC have a discrepancy in their J-Ads.

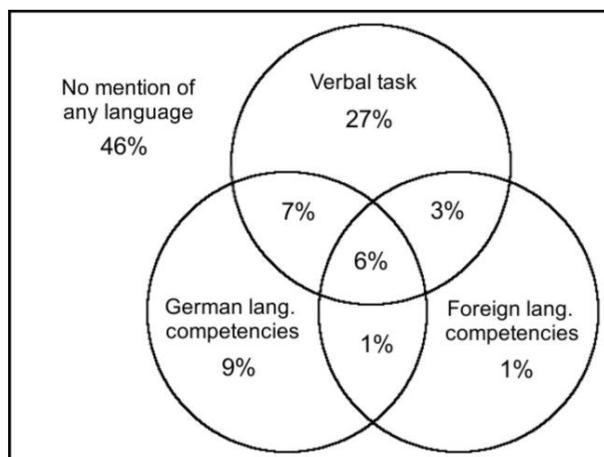
Criteria	Total Documents	Percentage	KIdB-1	KIdB-2	KIdB-3	KIdB-4	KIdB-5	KIdB-6	KIdB-7	KIdB-8	KIdB-9
NLC	75	41,67	11	14	13	1	15	0	6	10	5
LC-T	38	21,11	4	1	2	5	1	7	7	7	4
GLC-R	16	8,89	3	3	2	0	3	1	2	1	1
LC-T + GLC-R	12	6,67	1	1	0	4	0	3	2	0	1
LC-T + GLC-R + FLC-R	11	6,11	0	0	0	4	0	1	1	0	5
LC-T + ULC-R	11	6,11	1	0	3	3	0	4	0	0	0
NLC + ULC	7	3,89	0	1	0	0	1	1	1	1	2
LC-T + FLC-R	4	2,22	0	0	0	0	0	3	0	0	1
FLC-R + GLC-R	2	1,11	0	0	0	1	0	0	0	0	1
FLC-R	2	1,11	0	0	0	1	0	0	0	1	0
LC-T + ULC + FLC-R	2	1,11	0	0	0	1	0	0	1	0	0
<b>Sum</b>	<b>180</b>	<b>100,00</b>	<b>20</b>								

**Table 1: Descriptive statistics about OC in relation to LC**

No Linguistic Competencies mentioned (NLC)  
 Requirement undefined "communication competencies" (ULC)  
 Task profile with linguistic reference (LC-T)  
 Requirement "german lang. competencies" (GLC-R)

Requirement "foreign lang. competencies" (FLC-R) Overall, only 58% of the 180 J-Ads selected mentioned LC. It can be stated that some classes like e. g. KIdB-5 Truck driver do not mention any language elements in the J-Ads 15 times in total, but three times German LC are required in the remaining five J-Ads. Another example of this discrepancy can be seen in KIdB-8 Nurses. Here in 20 J-Ads only seven times LC are stated in the task activities but at the same time only two times LC are described in the requirements. However, a relative congruence could also be demonstrated in the context of all KIdB, particularly in KIdB-4 and KIdB-6. Here LC are mentioned in the tasks as well as in the requirements. Furthermore, it can be seen that especially in KIdB-4 IT specialists also have a higher importance of foreign LC. In the

class 6 Salespersons it can be stated that there are unclear and no explicit denominations of languages in the tasks as well as requirements are present. Furthermore it can be emphasized that the KIdB-1 Gardener, KIdB-2 Locksmiths, KIdB-3 Assembler, KIdB-5 Truck driver, KIdB-7 Assistants in tax, explicitly do not mention foreign LC both in the tasks and in the requirements, and thus foreign languages play an essential role only in KIdB-6 Salespersons. A perspective within an occupational group shows that we also have different terminology logic, possibly hermeneutics of LCs. For example, the occupational groups KIdB-4 IT specialists and KIdB-6: Salesperson represents a strong variance in the naming of LC. Here, language skills are considered necessary, but only unclearly defined. In addition to an individual consideration of the KIdB categories, a superordinate consideration of the discrepancies already discussed becomes clear. Figure 1 gives an overview of unique positions and overlaps. Language is explicitly mentioned in 54% of the J-Ads examined. However, only in 16% of the cases was a fit found between the task and the requirement profile. In most cases (27%) a verbal task was mentioned without explicitly demanding verbal competence. Even more astonishing are the 11% of J-Ads in which verbal competence is required without the task having verbal components in any way.



**Figure 1: Overlapping LC in J-Ads leaving**

At the occupational group level, language was most frequently left unmentioned by motorists (75%) and locksmiths (70%) and, as expected, least by salespersons (0%), with IT specialists also shining with 5% not mentioned. Unexpectedly, language was only part of the call for tenders for nurses in half of the cases examined. Both IT specialists and media designers require foreign-language skills in 35% of the cases.

## Discussion

This study examines the relationship between LC and OC by means of J-Ads in respect to work out the different relevance and possible discrepancies and to make the recruitment process more effective. Overall, a different importance of LC in the OC can be understood by means of J-Ads. It can be stated that occupational groups which generally represent a personal reference also communicate a higher proportion of LC in the J-Ads. Surprisingly, however, it could be stated that the occupational group KIdB-8 of nurses only requires LC to a relatively limited extent. This is remarkable of the necessity of social interactions and increasing societal importance. Reasons for this could be fundamental recruitment problems in hiring suitable candidates which language skills are tested or trained afterwards. Since undefined or unclear requirements with regard to LC could be established, especially for the occupational group, the possibility of recruiting measures could be more effective. In addition, it was found that OC that are less person-related also show fewer language demands in the J-Ads. At first glance, this correlation is congruent and comprehensible. However, it is remarkable that LC must also play an important role in J-Ads for these occupational groups. A truck driver must also have LC attested to in his job profile. Here, however, it can be seen that the wide range of language skills can be trained in a few small courses and can therefore be considered secondary for recruitment. After Ahsan et. al.(2013) misunderstandings and cultural factors play an essential role, which lead to operational conflicts. Conflicts are to be regarded here particularly from economical viewpoint as cost factors, since they disturb the operational sequence of an enterprise and can lead to quality losses. From this perspective, companies must try to reduce these conflict potentials in order to avoid these negative aspects.

One aspect to avoid conflicts could already be contributed in the recruiting process and here in particular by effective communication of language skills. In addition to conflicts, the motivation of employees to work in a way that maximizes profits also plays an important role. Since the majority of scientific contributions already attest to a connection between employee motivation and customer loyalty as well as their contribution to increasing profits, it is necessary for many companies to secure employee motivation (Masgoret, 2006). The extent to which language skills have a direct or indirect influence on the motivation of employees is unclear and cannot be determined from these results. However, it can be understood that without language skills, the handling of these problems is made more difficult.

## Conclusion

The presented study showed a different importance of LC with regard to their inclusion in J-Ads. If an explicit mention can also be postulated as an actual indicator for the importance of LC, this study was able to demonstrate effectiveness problems by means of J-Ads and to derive potentials for action. However, as in other studies concentrating on J-Ads as the object of investigation, there remains a doubt that implicit factors in the J-Ads also determine LC. This limitation can be strengthened above all by the fact that one must assume fundamentally that each task or J-Ads requires a certain degree of LC. However, since we have controlled this disturbance factor in this study, the study is greatly simplified. The following expressions such as team and communication skills or empathetic and competent behavior were not considered for the study, since this terms do not require a clear explicit verbal LC. However, it cannot be denied that these examples imply LCs. Thus, the ability to communicate, in addition to non-verbal forms, also represents the transfer of information via language. The same also applies in a limited way to a competent appearance, which is achieved precisely when necessary information is provided through the use of language. Furthermore, it can be stated that many companies have J-Ads written by computer programs or external service providers, so that possible ambiguities can also be traced here in the provision of services. This impression also becomes clear in the course of the study, since according to the findings there is no clear definition and hermeneutics of LC within the occupational groups and this ambiguity of the definition could also be proven for the discrepancy between tasks and requirements.

## Recommendations

The results of this study might be useful for the managerial procedures focused on recruitment and personnel marketing. Recruitment has a considerable effect on organizational performance and also represents a major cost problem, and must therefore be constantly improved. The recruiter should learn to reduce the ambiguity of the terms in his J-Ads in order to prevent effectiveness problems and also to promote a more understandable image with the candidates. The good news from our study is that managers in recruitment on German labour market do understand that language matters, and thereby foster performance. Nevertheless, managers should be aware of the comprehensibility and importance of language as a competence, especially against the background of migration and social diversity, and should communicate this more clearly in J-Ads. More specific, the results of this study are relevant for management procedures to help recruiting issues to prevent and gain a better consciousness of misunderstandings in J-Ads and the effects of this on recruiting processes. The potential of obtaining the right candidate through a comprehensible list of tasks and requirements may increase when this is already communicated in the J-Ads.

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## Imagological Stereotypes in Letters and Diaries of Besieged Leningrad

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### Abstract

The article deals with the problem of cross-cultural communication and imagological stereotypes that every nation has. It discusses their influence on the assessment of historical events. It analyses "Pryamaya rech" (Direct Speech) - a documentary book created by amateur writers L. Romankov, M. Romankova - engineers and physisits, L. Myasnikova – a surgeon, and the reviews of a historical book written by Boston University assosiate professor of history A. Peri, containing diaries of besieged Leningrad. The Russian belief in such principles as collectivism, generosity, self-restriction, self-control, diligence and conscientiousness is considered by foreign scholars to have been imposed by "Soviet propaganda". Nevertheless, I argue that they became the result of the Russian nation's evolutionary development during its long and tragic history. It is these traits of character rather than individualism, found by A. Peri in the diaries, that are more typical for Russian people and that can help to survive in historical catastrophes. I also suppose that Russian classical literature has become part and parcel of foreign hetero-stereotype image of Russia. Several intertextual links of besieged Leningrad diaries to classical Russian literature have been found by A. Peri and the authors of foreign reviews.

**Keawords:** imagological stereotype, siege, documentary book, cross-cultural communication

### Introduction

Nowadays cross-cultural communication is discussed very widely. At present various national cultures are regarded as interdependent entities (Holden) rather than different ones (E. T. Hall, R. D. Lewis, G. Hofstede, F. Trompenaars, C. Geertz as quoted in Realo et al., 2009) The latter viewpoint is based on the 19th century cultural anthropology theory. As far as communication is concerned, it is usually a kind of dialogue between parties. It implies the ability to deliver information as well as to receive and interpret it. During the process of cross-cultural communication, i.e. the communication between different peoples, "the introduction to <...> another country's culture" is essential for information perception and mutual understanding, though it does not deny the necessity to "study one's own culture" (Mirolyubov, 2012, p. 43). The knowledge of national and world history and culture allows to get an "increment in spiritual realm" (Mirolyubov, 2012, p. 45), obtain cultural identity and get rid of stereotypes.

### Methodology

The attributes of imagological or ethno-stereotypes, which are subdivided into auto- and hetero-stereotypes and represent the self in contrast to other nations, can be found as early as in medieval literature (Koroleva, S., 2014), (Papilova, E., 2013). They vary among different countries. It is assumed that "it takes decades to change the content of national stereotypes (Madon et al., 2001)", because "national stereotypes are very stable over time and even significant events in the world political landscape do not radically change their content." (Realo et al., 2009, p. 231) They are 'pictures in our heads' (Lippmann, 1922), they are acquired <...> from<...> gossip, anecdotes, books and films." (Realo et al., 2009 p.231) Nowadays these stereotypes are studied by sociologists and political scientists, linguists and literary critics. For this purpose, the latter apply the tools of a special branch of comparative literature studies called imagology. The information it provides may help to overcome ethnic hatred due to achieving better understanding during the process of cross-national communication. For an ethno-stereotype study, which involves auto- and hetero- ones, personal communication, fiction and poetry cannot be considered the only sources of information. Letters published in books of memoirs and documentary biographies are able to make a substantial contribution to this study too.

## Discussion

### Cannibalism and crime

One of the most important episodes in Russian history is the siege of Leningrad during the Great Patriotic War which lasted from the 22-d of June 1941 to the 9-th of May 1945. Undoubtedly, it was a part of World War II, nevertheless, it became a special war for the Soviet people. For any resident of the former Soviet Union, the word "blockade" which is translated as a siege recalls such stereotype images as: a tiny piece of bread weighing 125 grams, snow, emaciated people pulling sledges with: buckets of water, relatives or corpses. G. Manaev also adds to this list: cards, light reflectors, animal glue, loudspeakers and cigarettes. (Manaev, 2019) All these images can be found in Russian memoirs and novels about the siege: "The Siege Book" by D. Granin, "Almost three years" by V. Ibrer and a lot of other books offered at the site "Livelib" (<https://www.livelib.ru/selection/541930-knigi-o-blokade-leningrada>). However, analyzing some foreign historical works and their reviews, one comes to the conclusion that abroad these 872 war days are associated with absolutely different things: cannibalism, theft, cruelty and corruption. Unfortunately, it is these concepts that correspond to the contemporary western reader's idea of Russia as a country of tycoons and criminals, "as a black-hatted villain" (Crosston, 2018, p.1), as "the world of the thieves" (Galeotti, 2018) and allow D. Benioff to name his book (2008) about besieged Leningrad 'City of Thieves'. It sounds insulting and before publishing it in this country, its title has been changed into "City". But the closer the publication is to the war time, the less the discrepancy between Russian and foreign images of the siege is. A. Werth was a British correspondent in the USSR during the war and interviewed Leningrad citizens as soon as the siege was over. Of course, he narrates about hunger and cold, but he does stress people's fortitude and conscientiousness: "We went on with this blueprint work right through the winter 1941-2. . . It was a blessing for us architects. The best medicine that could have been given us during the famine. The moral effect is when a hungry man knows he's got a useful job of work to do." (Werth, as quoted in Eyewitnesstohistory) This quote refutes "common belief about the Russian national character shared" in Latvia, Lithuania, Estonia, Finland and Belarus that Russians are "low in<...> conscientiousness" (Realo et al., 2009 p.245). This "belief" contradicts the witnesses of "blokadniks" – people who lived in besieged Leningrad. They are provided by some contemporary western authors and ought to be taken into consideration: "One woman of fifty-seven years of age, wrote of eighteen day shifts, twelve hours a day hacking at ground "as hard as rock" <...> Teenage girls <...> were expected to dig and maneuvered concrete blocks using just their hands and a crowbar. People always reported for work either out of patriotic duty or<...> penalty." (Colley, 2012, p. 10) It is these traits of character that are connected to a siege victim image in Russia, though there were numerous crimes and even 1500 registered cannibalism cases. The blokadniks' correspondence has been included into the book "Pryamaya rech' (Direct Speech)" by L. Romankov, M. Romankova, and L. Myasnikova. They survived the siege in their childhood and the information they provide coincides with the facts that can be found in the book "The War Within Diaries from the Siege of Leningrad" written by Boston University associate professor of history A. Peri in 2016. However, its interpretation is slightly different. The book has got positive reviews in "The Guardian" and in the weekly "The Spectator". "The Guardian's" assessment of the facts presented in the book, which analyses 125 diaries found by the author in 8 Russian archives or obtained from blokadniks and their relatives, does not diverge much from the traditional one. D. Alberge, a representative of the liberal press, writes about hunger and cold, but pinpoints that the blokadniks' struggle was their internal battle with themselves rather than a heroic collective resistance to the enemy. She refers the readers to the New Testament as well as to the 2012 film adaptation of L. Tolstoy's novel "Anna Karenina" made by J. Wright and T. Stoppard, when quoting Aleksandra Liubovskaia's diary. The woman compares herself with Virgin Mary: "Describing the horror of washing her son, whose skin was covered with scurvy-induced blotches, she recalled Mary cleansing the body of her crucified son." (Alberge, 2016) The audience recollects both "The Bible" and the episode in "Anna Karenina" when Kitty starts to take care of K. Levin's dying. L. Tolstoy describes "the sick man" who was as skinny as a blokadnik. His underwear "on Kitty's orders <...> was being changed" and his body became visible: "The long, white frame of his back, with enormous protruding shoulder blades, the ribs and vertebrae sticking out, was bare". (Tolstoy, 2013, p. 494). It was a "frightening body" for Levin, but not for Kitty who "obviously did not think about herself <...>; she thought about him [Nikolai]" (Tolstoy, 2013, p. 495, 496). However, in the novel Kitty avoided looking at Nikolay's naked body, respected his feelings, understood that he "found it embarrassing and unpleasant to be naked in front of her" (Tolstoy, 2013, p. 494) But nowadays the attitude towards nakedness has changed. T. Stoppard and J. Wright violate the historical truth for the sake of modern trends. They recoup on poor sick Nikolai turning Maria Nikolaevna and Kitty into indifferent nurses paying no attention to the patient's weak protests and the harm that they do to his soul: "Nikolai lies naked in clean sheets. Masha hauls him up into a sitting position. Kitty puts a nightshirt over his head. Nikolai protests feebly". But everything becomes clean around him." Nikolai lies quietly in a neat bed in the neat room, with medicine and water jug, etc., tidily by the bed." (Stoppard, 2012, p. 157) Unfortunately, today Americans and

Europeans are very reasonable. They care much more about washing their hair rather than cleansing their sins. However, L. Tolstoy who tried to be reasonable too, comes to the conclusion that reason does not help when people die. Quoting Matthew, he calls Kitty and Maria Nikolaevna "babes" and K. Levin "the imprudent" (Tolstoy, 2013, p.496), because K. Levin "could not help knowing that he was more intelligent than his wife" (Tolstoy, 2013, p. 496) and tried to "believe in reason" (Stoppard, 2012, p.194), but death makes him admit that he "did not know a hundredth part of what his wife <...> knew about it" (Tolstoy, 2013, p.496) Kitty and Agafia know that people must not be afraid of death, if their lives are righteous. But people are sinful. And as D. Alberge underlines, suffering is the path to salvation. In her review she stresses the significance of the Leningraders' sacrifice, drawing a parallel between Aleksandra Liubovskaia family's lot, Nikolai's death and Jesus Christ's predestination, who "loved us and washed us from our sins in His own blood" (Revelation 1:5), who died for our sins. "The wages of sin is death" (Romans 6:23) and "without the shedding of blood there is no forgiveness of sins" (9:22, NRSV). By 1941 the city had been gripped by sin. As for Colley, describing Saint-Petersburg, he also mentions L. Tolstoy, saying that Saint-Petersburg "was the city of Tolstoy" (Colley, 2012, p.5) and appealing to the foreign stereotype image of Russia as the homeland of Tolstoy and Dostoevsky's "the holy" literature. Nevertheless, speaking about Saint-Petersburg, he does not mention Dostoevsky's gloomy city which was full of evil and can remind us besieged Leningrad. This image contradicts Tolstoy's city of "high culture" and "French-speaking Russian aristocrats" (Colley, 2012, p.5) especially scrupulous about the issues of decency and honor. But eventually Saint-Petersburg became "the cradle of revolution" (Colley, 2012, p.6) Sin had taken possession of its people. They forgot about conscience and God, got used to writing denunciations out of jealousy, greed and fear. The result of that was that "30000 Leningraders were arrested, exiled, or executed, labelled as enemies of the people" (Colley, 2012, p.6). These victims were the price to be paid for being possessed by sin. But they were not enough to be forgiven for those sins and "for the sins of the whole world" (1 John 2:1-2, New Revised Standard Version). Leningraders were made to pay "over one million" (Colley, 2012, p.3) human death toll to try to save the world from "oblivion through death with no hope beyond the grave" (Aust, 2009). D. Alberge argues in her review that in spite of the terrible accidents and atrocities that took place during the siege A. Peri feels deep respect towards the Leningraders.

As for J. Mirsky, who writes for the Conservative Party weekly magazine "The Spectator", he avoids analyzing the events taking into account the sinful nature of man and follows the tradition to blame the Soviet ideology that failed to prevent people from cannibalism, theft, cruelty and corruption that took place in the city, from plunging into "the political, social, familial and personal nightmares" (Myrsky, 2016) when "parents [were] eat[ing] their dead children, or vice versa" and people were "steal[ing] the ration cards of those who 'dropped dead'" (Myrsky, 2016) in ques. His words "I wouldn't have ever believed" (Myrsky, 2016) demonstrate that the journalist sees the English as a nation possessing special endurance and upbringing, incapable of mistakes and mean deeds, impeccable and unerring. This auto-stereotype is opposed to the old hetero-stereotype image of Russians as "barbarians at the gate" (Koroleva, 2014) who are prone to numerous vices. For example, describing the siege, the author tries to impress the audience speaking about sexual harassment in that city: "Those in charge of food supplies, and of dishing out the meagre rations, often stole food for themselves - you could tell by looking at them - or exchanged it for sexual favors. So, when you saw a plump, pretty girl with lovely hair and color, you always knew why she looked so good." (Myrsky, 2016) Addressing intellectual readers, he draws parallels between the siege of Leningrad and the siege of Troy described by Homer in the Iliad: "Stand aside, Homer. I doubt whether even the author of the Iliad could have matched Alexis Peri's account of the 872-day siege which Leningrad endured after Hitler's army encircled the city in September 1941." (Myrsky, 2016) Demonstrating excellent knowledge of classical literature, referring to Tolstoy and to the hetero-stereotype image of "holy" Russian literature, the author nevertheless makes a blunder dealing with the Soviet history. He claims that Stalin escaped from Moscow during the war: "In Stalin's Moscow all this [the siege] was supposed to be a glorious second Fatherland War, like the one Tolstoy created in "War and Peace", this time led by Stalin (who had fled Moscow when Hitler invaded)" (Myrsky, 2016). However, his error, which, unfortunately, is not obvious to foreign audience, makes Russian readers doubt that they can trust the information provided in the article. For example, the author arrives at the conclusion: in those days, Russian classical literature with its high ideals had an opposite effect on the people. The audience is referred to the novel "War and Peace" by L. Tolstoy as well as to its 2016 BBC film adaptation. In diaries Leningraders compared their life during the siege and Tolstoy characters' life during the war with Napoleon: "But when the Leningrad blokadniki read Tolstoy they experienced not inspiration but puzzlement. The Rostovs weren't starving; they could leave Moscow with cartloads of belongings, and few of the major characters died" (Myrsky, 2016). It made people feel discouraged.

## Collectivism vs. individualism

In their reviews the journalists draw the reader's attention to different narration points in A. Peri's book and interpret them inequally. One of the imagological images of Russia is a dissident - "a person who publicly disagrees with and criticizes their government" (Cambridge dictionary) J. Myrsky pinpoints that although *blokadniki* did not oppose the party's line frankly, the diaries testify that their thoughts were in conflict with the propaganda that demanded heroism and faith in victory from the citizens: "Peri contends that while the diarists were rarely subversive or anti-Soviet, what they generally recorded was despair, pain and terror. Their insights and reflections fell outside the Party line of heroism and hope." (Myrsky, 2016) "The Guardian" also holds it that most of the diaries lack any heroic motive. They are very self-centered, full of despair and depression. People were worried not about collective, but individual problems which they were facing and striving to solve at those times and were able to entrust to their diaries only. The explanation of this fact that the journalists offer to their readers does not take into account that individualism is less typical for Russians than for any other European nation due to their Orthodox conciseness. Unlike community spirit, self-dependence has never been considered to be one of the main Russian traits of character. Isolation could never help in Russia. The foreign interpretation of the siege is influenced by the western critical attitude towards this country which has always been viewed on either as "a barbarian at the gate" or a negligent "student". Moreover, every episode of Soviet history is assessed in terms of one more imagological stereotype - "Soviet propaganda". The access to western radio stations is considered to be important even during the war as only they are thought to be able to guarantee the freedom of speech: "It was not until the era of glasnost in the mid-1980s that the Ukraine famine and the starvation in Leningrad emerged from their smothering in propaganda." (Darori, 2018) This point of view can hardly be considered well-grounded. The author defines the famine of the 30-ies as "the Ukraine" one in spite of the fact that it took place in Russia too. He writes: "Isolation increased with the lack of outside news. Anyone who listened to a foreign radio station, when the electricity was working, risked execution. Cautious citizens did not dare mention the blockade or the siege. The correct phrase was "the battle" or "the defense" of Leningrad. Bulletins from the Soviet Information Bureau and reports in *Leningradskaya Pravda* revealed little, so rumors ran unchecked" (Darori, 2018). This statement is disproved by Marina Romankova's letter published in her book "Pryamaya rech" (Direct speech). She is 10 years old and demonstrates her excellent knowledge of the current international affairs to her aunt: "I want to tell you important news: Japan declared war on America and England. Two air attacks and one sea attack have already been made on the Hawaiian Islands" (Romankov, Romankova&Myasnikova, 2019, p. 37)

Of course, it goes without saying that letters usually differed greatly from diaries. When writing a letter, people usually became their own censors as they tried "not to give extra work of cutting out <...> lines to military censorship" (Romankov, Romankova&Myasnikova, 2019, p. 35). However, the "medical nightmare" described by Myrsky does not correlate with the real *blokadnik* letters. According to N. Davidenkov, it is better to view the war and Leningrad siege as a "historical catastrophe" which the citizens "have got into".

## Direct speech

Since the advent of political and economic reforms in Russia, lots of amateur authors have published their books. The grandchildren of the famous Soviet physicist N. Davidenkov: M. Romankova, L. Romankov, L. Myasnikova have compiled a documentary book "Pryamayarech", ("Direct Speech"). It contains about 60 letters of their relatives from besieged Leningrad to their aunt, an assistant professor of Moscow State Technical School named after N.E. Bauman I. Voshchinina, evacuated to Chelyabinsk. She was a very charming person, was acquainted with poetess A. Akhmatova and ballerina G. Ulanova, so her nephew and nieces hope that "at least <...> children, grandchildren and their friends" will read this book, find out their family story and it will "give them something in order to understand the complexity and diversity of the world." (Romankov, Romankova&Myasnikova, 2019, p. 6). Though its introduction and conclusion may seem to be too academic, the letters let us hear the speech of Russian intelligentsia and make this book interesting and easy to read.

The head of the family N. Davidenkov was born in a noble family in Riga at the end of the 70ies of the 19th century. K. Levin's son Mitya whose birth is described by L. Tolstoy in "Anna Karenina" could have been his coeval. Lots of those who belonged to that generation immigrated, were shot or died in the camps after the revolution. N. Davidenkov belonged to those who were lucky enough to avoid repression. He did a lot for the development of science and engineering in this country. His work was highly appreciated by the government especially during the war. Having spent his childhood in Smolensk, he later moved to St. Petersburg, where he studied and then lived and worked almost all his life. He stayed in the city when the war began. He and his family wrote letters to his wife's niece, dear Irinochka, from besieged Leningrad. I. Voshinina belonged to a noble family, was nee Rot and the granddaughter of the governor of Kiev. Her father left Russia

with the White Army. Her step father (her father's brother) was executed. That's why she had to change her surname and spend her childhood in the Davidenkovs family. They brought her up like their own child. In 1941 she and her husband, who was a valuable specialist, had two Ph. D degrees in Science, were evacuated, but she kept correspondence with the Davidenkovs and sent them food as often and as much as she could. One cannot find in them any trace of the slightest despair, so typical for Leningrad diaries, probably, because there was a military censorship. Nevertheless, they are very sincere and sometimes full of humor. Even in such a difficult situation, the Davidenkovs are able to joke. Typical Russian "openness" (Realo et al., 2009) and "collective" (Myrsky, 2016) spirit were their recipe of survival. It is contrary to Peri's call for individualism: "The best way to survive was to draw an even tighter ring around oneself." (Myrsky, 2016) According to A. Peri, "collective solidarity is fine for socialist ideology, but it's really isolation that people experience[d]" (Alberge, 2016) during the siege. The letters demonstrate that the Russian saying: "Do not have a hundred of rubles, but have a hundred of friends" happened to be true. Isolation, the lack of support led to death inevitably, while freinship saved people. N. Davidenkov writes: "Petya and I have friends - former students who help a little here and there" (Romankov, Romankova&Myasnikova, 2019, p. 38). Perhaps this spirit of collectivism, which A. Peri does not believe in, can explain "how such a miracle happened that almost all of us survived" (Romankov, Romankova&Myasnikova, 2019, p. 6)

### Adults and children during the siege

The characters of the book are both adults and children. Their common peculiar feature is that they are all ready- to- help persons. Thanks God, the firewood for that winter had been bought by the family before the war in May. If it had been done as usual in September, it would have been too late. Besides that, their neighbors were decent people and nobody tried to steal it. The family understood what a blessing it was. That's why instead of eating somebody, they shared what they possessed with other people. They offered hot water to their numerous guests and let their neighbors warm up in their flat. Besides kindness and generosity, it was their diligence, hardworking, an ability to cope with their instincts, to organize their life properly that helped them to survive: "It's so good that you found a job for yourself, - writes N. Davidenkov to I. Voshnina, - it helps to live and endure hardships and anxieties, even hunger: when you work, you forget about hunger." (Romankov, Romankova&Myasnikova, 2019, p. 65) In their letters dating back to the terrible winter of 1942 when the famine and cold were the worst, they still attempt to make jokes: "As you can see, we are OK, although we are actually starving, but not very much and even less than many of the others. Your mother has become like a young lady, and the aunt too. But she has found out the great pleasure of eating when the stomach is empty. Our dreams are about cuisine and food." (Romankov, Romankova&Myasnikova, 2019, p. 48) "Sometimes we manage to buy tiles of animal glue for 25-50 rubles and make the filler out of it. It is fragrant." (Romankov, Romankova&Myasnikova, 2019, p. 50)

The style of the letters is amazing, taking into consideration the conditions under which the authors lived at that time. Sometimes there is a feeling that they do not speak about evacuation but about a tour: "Here we have received a wonderful New Year's gift from you - a telegram that your trip has finally ended safely! ... I hope you will describe in detail the whole trip." (Romankov, Romankova&Myasnikova, 2019, p. 39) I. Voshchinina lived more than 100 years, and she kept these letters from besieged Leningrad all her life. These 60 letters give us an opportunity not only to find out what was happening at that hard period of Russian history, but to hear the eyewitnesses voices and enjoy their 19-th century old-fashioned, but elegant style that was still in use among Russian intelligentsia in the middle of the 20th century, who, nevertheless, had already stopped "French-speaking" being afraid of prosecution. The letter topics are not diverse. There are only 6 of them: 1. food and meals, 2. work that provides them food, 3. household chores, 4. illnesses and cold, 5. evacuation, 6. incidents in their life, with food being the main one. Politics is discussed very rarely and delicately. Their daily meager menu is reported in almost every letter, and, as one can see above, with subtle humor. The illnesses caused by the cold and hunger were inevitable and numerous: bowel disorder - "23 r. Per day!", pleurisy, flu, a urinary canal polyp, a full range of childhood diseases - whooping cough, scarlet fever, chickenpox, smallpox, milk tooth. The military censorship made them write about their friends' deaths choosing words very carefully too: "Borechka (Vorobyov) selflessly worked for his INSTITUTE <...> has been deprived of the opportunity to be useful to the state" (Romankov, Romankova&Myasnikova, 2019, p. 72) - which means that the rector was shot on charges of panic. The narration about their daily routine is quite understandable. The winter of 1941-1942 was very severe. The temperature dropped below minus 30C. Transport, water supply, sewage, central heating did not work, electricity was cut off. They stood in lines for bread, went for water with buckets, took out "their buckets of shit to the scrapheap". Their chance to survive was close to nothing. However, they refused to waste their time on going to the bomb shelter, which they called the "Petushkovs", and continued their scientific research the dim gas lamp light. They were working on the recipe of soy milk which helped to save children from hunger, writing and books, even managed to get a doctoral degree. And even their grandchildren, being four years old, studied a lot. They "learned how to write, to add and subtract to five by themselves" (Romankov,

Romankova&Myasnikova, 2019, p. 54). The daughter of L. Myasnikova's former Ph.D. student devoted her essay in Switzerland to the analysis of the Davidenkov's siege experience. She writes to L. Myasnikova: "My German teacher <...>was especially interested in your grandmother, how she was able to organize the family in order to survive, namely, that the children had to be busy (writing, cleaning) and that they had to eat their rations strictly in time. It turns out that her mother, when she was little, also survived the war. Unfortunately, the war traumatized her mother mentally. Frau Schroedter said that if her mother had had such a grandmother at that moment, then perhaps she would have survived the war easier. "(Tervoort, 2019) The adults in the Davidenkovs family cared about their children very much and were very attentive to them and put down their wise remarks. Lelia, who was 4 years old, asked: "Mom, what is a dependent, is it a person or a thing?" A dependent is a person who does not work. In besieged Leningrad, dependents as well as children received the least ration of bread-only 125 g per day. Since life was so difficult, both children and adults tried to enjoy trivia. The restart of sewage and running water in the summer of 1942 was a great present for them: "A very happy thing has recently taken place: since May 20, the sewage has been working, and since May 23, the running water has been in operation, you do not need to go to the fire hydrant to get water. This is a very, very big relief." (Romankov, Romankova&Myasnikova, 2019, p. 76). Being rather pragmatic, Marina, who is ten, takes care of her garden on the balcony. She plants "lettuce seedlings, <...> onions and dill" (Romankov, Romankova&Myasnikova, 2019, p. 73) there. She tries to teach her aunt in Chelyabinsk: "I am very sad that you don't visit your garden because "the garden is life," from our point of view." (Romankov, Romankova&Myasnikova, 2019, p. 78) As a child, Marina is more optimistic than the grownups. She believes that Germans will be defeated and tries to support her depressed aunt: "Do not Cry! See you some day. After all, this terrible, bloody war will not last for centuries." (Romankov, Romankova&Myasnikova, 2019, p. 52) When spring comes, N. Davidenkov is delighted by the beauty of nature: "It is the middle of spring, the weather is wonderful, the trees are turning green, and the city looks so peaceful, as if there were no war." (Romankov, Romankova&Myasnikova, 2019, p. 64)" Now in Leningrad, there is beautiful, fresh, lush greenery, everything is clean and quiet, the whole city has been turned into kitchen gardens " (Romankov, Romankova&Myasnikova, 2019, p. 68) The life is getting better and it is important "to be as careful as possible so as not to fall into the number of "extra victims." (Romankov, Romankova&Myasnikova, 2019, p. 78)

In "Anna Karenina" L. Tolstoy, who was always proud of his ancestry, stresses how important good manners can be. He describes Kitty's feelings at the ball, when she finds out that Vronsky is in love with Anna: "Only the strict school of upbringing she had gone through supported her and made her do what was demanded of her" (Tolstoy, 2013, p. 81) Belonging to the nobility, N. Davidenkov and his wife possessed excellent manners and self-control and managed to bring up their children and grandchildren in the same way. It is the ability to cope with instincts, wishes and vices that made it possible for them to survive. In the letters to I. Voshinina there are complaints about their housekeeper Marusya (a former peasant) who was unable and unwilling to control her feeling of hunger. : "Marusia is very annoying, she grabs and eats everything that has been left somewhere, put into storage or forgotten; it is impossible to persuade her to stop it, and you have to keep everything locked up" (Romankov, Romankova&Myasnikova, 2019, p. 74) When she went away, they felt a relief. The Davidenkovs bought scales to share food equally and even to get an opportunity to feed their son, who lived at his wife's place and "they [did] not leave much [for him] in his family" (Romankov, Romankova&Myasnikova, 2019, p. 42). The Davidenkovs were not greedy. When the parcel with bread that I. Voshinina had sent them was stolen they treated the accident philosophical: "Your package, unfortunately, has not reached its destination: at such a time as now, food orders are not delivered!" (Romankov, Romankova&Myasnikova, 2019, p.38) Everyday issues prevail in their letters, but one can find a lot of philosophical motives in the correspondence too: "Do not spoil your life and think less about us. Remember that this is a historical catastrophe and nothing can be influenced by us anymore." (Romankov, Romankova&Myasnikova, 2019, p. 765)

The perception of everything that is happening as a historical catastrophe, similar to the one they had endured during the revolution, the understanding that everything, except love and care should someday come to an end, helps this family not to live in isolation, to stay together and not to perish.

## Conclusion

The rules for survival in historical catastrophes have been obtained by Russian people in the course of history. They are: collectivism, generosity, self-restriction, self-control, diligence and conscientiousness. They are able to share their experience with the rest of the world, because "it is important not to forget history. It is important to listen to those who survived the tragic time and record their memories." (Tervoort, A., Myasnikova, L., personal communication, September 18, 2019) Knowledge of history may be crucial for cross-cultural communication, but negative imagological stereotypes,

such as Russia is a country of thieves, Russians are barbarians, cannibals and criminals can become a serious obstacle in it.

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## Assessing the Effect of Tax Administration on Smes Tax Compliance Level in Kogi State

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### Abstract

Effective tax administration is important for tax revenue generation. It has been observed that the loss of revenue caused by widespread of tax evasion and tax avoidance in Nigeria is due to inefficient and inept tax administration. The most common problem faced by taxpayers is to understand the instructions in the tax pack. This study assesses the burden of tax administration on taxpayers' compliance level in Kogi State. The population of this study comprises of registered small scale businesses taxpayers in Kogi State, with a sample size of three hundred and seventy eight (378). Questionnaire was used to generate the data while One Sample chi-square test was used to test the null hypotheses. The result shows that administrative tax compliance costs have a significant effect on tax compliance level in Kogi State. The study recommends that the tax authority should make tax administration less complex in the area of tax procedures, tax rules and tax computation to enhance the level of tax payment in the State.

**Keywords:** Tax Revenue, Tax Evasion, Tax Avoidance, Tax Compliance.

### Introduction

Tax administration is centered on the implementation and enforcement of tax legislation and regulations. These activities include identification and registration of tax payers, processing of tax returns and third-party information, examination of the completeness and correctness of tax returns, assessment of tax obligations, (enforced) collection of taxes and provision of services to taxpayers. Ifueko (2011) opined that the very nature of tax administration requires participation by several parties, including those who are being taxed (tax payer), those collecting the tax (tax authorities), those who utilize the tax (Government ministries, department, agencies, etc), those who create the laws on the basis of which the tax is collected (legislature) and ultimately those on whose behalf the tax is collected and for whose benefit it is utilized (the entire citizenry).

In every society, taxation policy acts as a fundamental element for economic direction and also helps to ensure countries' economic growth and improvement of global competitiveness (Taha & Loganathan, 2008). The efforts of collecting tax revenues cannot be achieved unless there is strong tax administration which ensures proper tax collections and minimize tax evasion. Tax administration is rapidly changing and tax authority has to fulfill increasing demands and growing expectations from their stakeholders, including new demands from taxpayers for sophisticated tax services. Tax administrators must develop a contemporary vision. Rapid economic developments and ever-higher expectations on the part of taxpayers make it necessary for a tax administration to redefine its strategic course. Its relationship with taxpayers must be laid down in a system of rights and obligations in order to enhance tax compliance level in the State.

Tax payer's behaviour is strongly linked to their views about the fairness of the tax system. Their reactions to their personal experiences with tax authority are rooted in their evaluations of the fairness of procedures the authority use to exercise their taxing power, actually, taxpayers who feel they have been treated fairly by the tax authority will be more likely to trust the tax authority and be inclined to accept its decisions and follow its directions. But, taxpayers are most likely to challenge a situation collectively when they believe that the procedure is unfair. The Australian Tax Office (ATO) has noted in one of its findings in 2004 that the ability of the taxpayers to trust the regulating body and their perception of fairness with which they are treated has a great influence on a person's choice to contravene tax rules than simple economic or rational self-interest does.

Facilitating tax compliance involves strengthening key elements such as improving services to taxpayers by providing them with clear instructions, understandable forms, assistance and information as necessary. The proper means of achieving tax compliance need to be designed in such a way that can help to deal with tax evasion. Thiga and Muturi (2015) divulge that tax rate and tax compliance cost are very significant aspects of tax compliance and tax awareness to taxpayers. Administrative compliance cost is another important aspect of tax compliance and should not be ignored when designing efficient and effective compliance strategy (Sandford, 1995).

Adenugba and Ogechi (2013) revealed that revenue administration agencies are very important in fostering revenue collections, however; their mechanisms need to be reviewed in order to work out any weaknesses noted in their operations.

The presence of tax complexity in tax administration particularly in terms of record keeping, too many details in the tax law and ambiguity cause tax non-compliance particularly in the informal sector of the economy. Richardson (2006) found that complexity is the most important determinant of non-compliance. According to Price Waterhouse Coopers (2008), SMEs consistently report that complying with taxation regulation is a constraint on their growth and development due to the cost they have to incur to become and remain tax compliant.

Omorogiuwa (1981) opined that ineffective tax administration is the main factor responsible for high tax evasion in Nigeria. Philips (1973) corroborates this view when he states that tax evasion is due principally to administrative ineffectiveness (Okoye and Ezejiofor, 2014) further argued that one of the problems which makes developing countries to collect low tax revenues is inefficient and ineffective tax administration as a result of tax complexities. It is observed that in developing countries such as Nigeria, the infrastructure which taxpayers are supposed to enjoy is usually in a deplorable condition (Fafunwa, 2005), the educational system in disarray (Obaji, 2005) and the health system is in a worrisome condition (Ogbonna & Appah, 2012). The foregoing shows tax administration may have far reaching effect on tax compliance level. The study therefore assesses effect of tax administration on SMEs tax compliance level in Kogi State. Specifically the study assesses the effect of administrative compliance cost, administrative tax complexities and administrative tax equity on SMEs tax compliance level in Kogi State. The paper hypothesizes that:

H<sub>01</sub>: Administrative tax compliance costs have no significant effect on tax compliance level in Kogi State

H<sub>02</sub>: Administrative tax complexities have no significant effect on tax compliance level in Kogi State

H<sub>03</sub>: Administrative tax equity has no significant effect on tax compliance level in Kogi State

The outcome of the study will help the Kogi State Board of Internal Revenue and other revenue board in the area of addressing tax compliance cost, tax complexities and tax equity that will enhance tax payers compliance level in the State. It will also benefit the Kogi State government in enhancing their revenue generation from the taxpayers.

## Literature Review

### Conceptual Clarification

Tax administration is primarily concerned with ensuring compliance and enforcing sanctions. The effective tax administration needs to be connected with identification, assessment and collections of tax revenues (Gurawa & Mansor, 2015; Bird, 2004). Effective tax administration is a key machinery of tax revenue collections in both developed and developing the economy. Vehorn and Ahmad (1997) point out four models of tax administration in a decentralized environment which are central to government tax administration, central government tax administration with the assignment of taxing powers to different levels of government, multilevel administration with revenue sharing and self-administration by each level of government.

The choice of the tax administration model depends on the structure and complexity of the country governing system which is either unitary states or federal states. Another tax administration model which is mostly preferred by most governments is contracting out services to private companies. Mikesell (2003) expounds that the extent to which national and sub-national authorities cooperate independently, the more reliance is likely to continue. Tax administration is very important and tax authorities need to design tax administration reform that can help to identify bottlenecks (Silvan & Baer, 1997) that in one way or other affects tax administration operations.

Aurioll and Warlters (2005) suggest that developing country governments consciously need to relax and open barriers to entry into the formal sector in an effort to enhance tax administration and maximise tax revenue. According to Aurioll and Warlters (2005), governments in developing countries need to work out observed internally degrees of corruption, malfeasance, and general administrative inefficiencies in tax revenue collection. In an attempt to address the challenges of tax administration in collecting government revenue in developing countries, Abiola and Asiwah (2012) examine tax administration focusing on its crucial role in reducing tax evasion. Their study revealed that effective enforcement machinery is very significant in increasing tax revenue. The objective of maximising revenue should be in line with effective tax administration that can help to work against corruption, tax evasion and all other bottlenecks of the system.

### **Tax Compliance Cost and Taxpayers Compliance Level**

Tax compliance costs refer to all costs, besides the actual tax liability, born by taxpayers and third parties in the process of ensuring that they comply with the provisions of the relevant tax laws and the requirements laid on them by the relevant tax authorities, including the inconveniences encountered in the process of becoming and remaining tax compliant.

Sanford (1995) opined that tax compliance costs are the costs incurred by taxpayers in meeting the requirements laid on them by the tax law and the revenue authorities. These are costs over and above the actual payment of tax and over and above any distortion costs inherent in the nature of the tax. These costs would disappear if the tax was abolished. They include the costs of collecting, remitting and accounting for tax on the products and profits of the business and on the wages and salaries of its employees, and also the costs of acquiring and updating the knowledge to enable this work to be done, including knowledge or legal obligations and penalties (Sandford, 1995).

While there have been some attempt to clearly define tax compliance cost, there are also debate on the appropriateness of tax compliance cost definitions. The most frequently cited definition of tax compliance cost proffered by Standford (1995) has been regarded by Yesegat (2009) as inconsistent. By extension, Sapiei, and Kasipillai, (2009) noted that the first sentence of the definition confines compliance cost to cost incurred in complying with the requirement of the tax system, while the next sentence opened up the scope of tax compliance cost to include all cost except for the tax liability and the distortion cost. However, Sandfordet, Michael and Peter (1989) offers a justification for their definition of tax compliance cost in which the paper argues that complexities and interrelationships make it difficult if not impossible to define the various cost within absolute precision or in a neat mutually exclusive way.

Tax compliance cost from the administrative costs perspectives are the costs that exist besides the occurrence of compliance costs that are borne by the companies. These costs are cited as those that the government must also take into account as a public cost to ensure that the tax legislation is obeyed. These are to some extent substitutable, for example when a country transfers from a system where the tax office calculates the tax owed, to a self-assessment system as was the case in Nigeria in 1993. The consequence is usually an increased burden on the companies. Together, the compliance costs and administrative costs are defined as the operating cost of taxation (Sandford, 1998; Evans, 2001).

Internal costs are generated by the accounts and administrative departments of the company. Internal staff will prepare all information and documents for the fiscal authorities and consult external advisors when necessary. External costs are generated by the services from lawyers, consultants and other advisors. These external costs are much easier to identify and quantify. Internal costs are more difficult to quantify since they involve subjective estimations of the time spent on different tax activities. Some studies have revealed that in most companies the internal compliance costs are substantially more important than the external (Tran-Nam, Evans, Walpole & Ritchie 2000; Hijattulah & Pope, 2008).

In describing tax compliance cost there is also the need to distinguish between computation costs and planning costs. The first are inevitable as for example, the costs necessary to have a proper accounting system that already prepares the necessary information and calculates the amounts due for tax purposes. They are considered as recurrent administrative costs which cannot be avoided by the company, but which management can only try to fulfil their administrative duty as efficient as possible (Hanfah, Ariff & Kasipillai, 2002). Planning costs, on the other hand, occur when a company tries to lower or avoid tax payments in a legal manner. This activity is part of good management practices designed to optimise the profitability of the company (as long as the avoidable planning costs are less than the obtained tax savings) (Tran-Nam et al., 2000). According to Bhatnagar et al (2002), these avoidance costs contain planning and research costs and are considered as voluntary costs. They are considered as additional expenditures to increase the opportunities for avoidance. Mills (1996) proves the hypothesis that firms, who are spending more on tax research and planning, pay less tax than other firms.

## **Tax Complexity and Tax Compliance Level**

Tax complexity arises due to the increased sophistication in the tax law (Richardson & Sawyer, 2001). Tax complexity can take many forms such as computational complexity, form's complexity (American Institute of Certified Public Accountants, 1992), compliance complexity, rule complexity (Carnes & Cuccia, 1996), procedural complexity (Cox & Eger, 2006) and the low level of readability (Pau, Sawyer & Maples, 2007; Richardson & Sawyer, 1998; Saw & Sawyer, 2010).

In Malaysia, Mustafa (1996), who studied taxpayers' perceptions towards the self-assessment system which was to be introduced (at that time), suggested the presence of tax complexity in Malaysia, particularly in terms of record keeping, too much detail in the tax law and ambiguity. The findings were partly consistent with the six potential causes of complexity labelled as ambiguity, calculations, changes, details, forms and record keeping, identified by (Long & Swingen, 1987). Such complexity was also present in Australia, where it forces taxpayers to engage tax agents in dealing with their tax matters (McKerchar, 2001; 2003. McKerchar (2003) further identified the most common problem faced by taxpayers is to understand the instructions in the tax pack. This is followed by the problems of understanding the rules, the tax return forms and other relevant written information provided by the tax authority.

Richardson (2006), in his research on 45 countries, found that complexity is the most important determinant of non-compliance, apart from education, income source, fairness and tax morale. His findings were consistent with Cox and Eger (2006) who focused on the State Road Funds in the US State of Kentucky. The authors found that procedural tax complexity contributes to an increase in tax non-compliance.

## **Administrative Tax Equity and Tax Compliance Level**

Tax equity is the distribution of burden among taxpayers in a manner regarded as fair. Evaluation of taxes on equity grounds requires knowledge of where the tax burden falls upon individuals or taxpaying units, some criterion of taxpaying capacity, against which the burden is compared, and a judgment or consensus as to the manner in which burdens should vary with differences in such capacity. (Eldridge, 1964). Taxpaying capacity has been variously viewed in terms of wealth, income, faculty, or a general notion of ability to pay which may take into account not only the taxpayers' wealth or income but differences in circumstances with respect to family, age, and sources and uses of income. A criterion of individual taxpaying capacity widely accepted by tax students is personal income as defined by Henry C. Simons: "the algebraic sum of (1) the market value of rights exercised in consumption and (2) the change in the value of the store of property rights between the beginning and end of the period in question." This definition may serve as a point of departure. Much of the debate about tax fairness concerns the relationship of tax burdens to income. Federal income tax changes are judged according to the equity of their redistribution of the tax burden among individuals' income levels. Also, in comparisons of different forms of taxation, relative burden distributions are typically related to income, and fairness is judged by proportionality, regressivity or progressivity with respect to individual income.

## **Empirical Review**

Aladejebi (2018) examined the level of tax compliance among owners of small and medium enterprises (SMEs) in Nigeria using a sample size of 223 SME owners analyzing it with SPSS. The study found that Female SME owners are more tax compliant than the male counterparts.

Rasheed (2016) assessed tax administration and revenue generation by Ogun State Internal Revenue Service. The study employed a survey research design. The population of the study was the entire staff of the Ogun State Internal Revenue Service which total 93 in number. A sample size of 70 staff was selected using a systematic sampling technique. The research instrument adopted was the use of a structured questionnaire. The collected data was analysed by both descriptive and inferential statistics. The result revealed that, in Ogun state, tax administration did not significantly relate to the amount of revenue generated ( $r = 0.165$ ). Furthermore, the study revealed that tax evasion and avoidance significantly affected the revenue generation in Ogun State ( $t = -2.474$ ,  $sig < 0.05$ ). The study recommended that the tax administration in Ogun State should be reviewed and all possible measures should be put in place to reduce tax evasion and avoidance.

## **Theoretical Framework**

### **Theory Relevant to the Study**

Mookherjee and Png (1995) develop a theory of bribe paying and tax evading taxpayers and tax officials who accept bribes. Bribes are of two kinds. They are either beneficial to both parties (at the expense of government revenue) or are a coercive

extraction by officials. The latter is a form of harassment. Both types of bribe costs have been found in the survey of Indian income taxpayers described in Chattopadhyay and Das-Gupta (2002). In the coercive case, bribe costs have effects similar to mandatory compliance costs except that an increase in these costs need not increase the probability of detection. For the former case, Mookherjee and Png model the situation as a (simultaneous move) game between a non-compliant taxpayer and a bribe accepting tax official. Taxpayers behave as in the AS model, except that they pay a bribe if non-compliance is detected rather than getting penalised. However, the maximum bribe they are willing to pay will not exceed extra taxes and penalties they would have had to pay if they chose not to pay a bribe. Tax officials, on the other hand, will not accept a bribe that is lower than the expected cost to them if their bribe taking is detected by a "vigilance" unit.<sup>27</sup> The equilibrium bribe is a fraction of the "surplus available" or the difference between the maximum bribe the taxpayer will pay and the minimum bribe acceptable to the tax official. Given this equilibrium bribe rule, the (risk neutral) taxpayer chooses the level of evasion and the (risk neutral) tax official, who prefers not to work other thing equal, simultaneously chooses the work effort he puts in to detect evasion. The probability of detection increases with additional effort. This determines an equilibrium level of non-compliance and an equilibrium bribe. The equilibrium bribe and equilibrium non-compliance turn out to be positively related as would be expected, while tax revenue decreases if non-compliance increases

This compliance model theory is relevant to the study because the model suggested that the tax authority has the ability to influence taxpayers' behaviour through response and interaction. The theory also emphasized that so many factors account for tax compliance level and there should be put into consideration.

### Methodology

The study assesses the effect of tax administrative on taxpayers' compliance level in Kogi State. The population of the study comprises of all the registered small-scale businesses (SSB) tax payers with Kogi State Internal Revenue Service. As at 2016 they were seven thousand one hundred and two (7,102) as obtained from Kogi State Internal Revenue Service, Lokoja, Kogi State. A sample size of three hundred and seventy-eight (378) registered small scale businesses tax payers' in Kogi State was used. Out of a total of three hundred and seventy-eight (378) copies of questionnaires distributed to the respondents, three hundred and fifty-three (353) copies were returned given a response rate of 93%. This study covers the period of 2016 fiscal year. The choice of this period is principally because the autonomy for effective administration was granted to the board in the year 2016 which led to employment of skilled staff which made it easier to access information.

Primary data were collected basically for the purpose of the study. The primary data for this study was generated through structured questionnaire ranked across a four-point Likert scale of strongly agree, agree, disagree and strongly disagree.

The research instrument was subjected to content validity to ensure that the content of the instrument measures the variables under investigation in the study. The first draft of the questionnaire was given to two Ph.D. students in accounting. Based on their suggestions improvement were made, the improved copy was given to two post-graduate lecturers who also made positive inputs. Their inputs were incorporated in the final copy, which was used in carrying out the study. The reliability test of instrument performed revealed a Cronbach's Alpha of 78.9% which is highly reliable.

The study used both descriptive and inferential statistics. Descriptive statistics include both measure of central tendency such as mean and measures of dispersion such as standard deviation, minimum and maximum. The mean scores were compared with the average mean of 2.5 for decision making. The average mean is computed as  $4 + 3 + 2 + 1 = 10/4 = 2.5$ . Any mean that is equal to 2.5 and above shows respondents' agreement while any mean below 2.5 shows respondents' disagreement. Inferential statistic of one sample chi-square test was used to test all the null hypotheses formulated while Statistical Package for Social Sciences (SPSS) version 20.0 was used to analyse the data.

### Results and Discussion

The Table 1 presents the data generated on the demographic characteristics of the respondents.

**Table 4:** Demographic Characteristics of the Respondents

Category	Frequency (353)	Percentage (100)
<b>Sex</b>		
Male	199	56
Female	154	46

<b>Age</b>		
20-25	26	7
26-30	55	16
31-35	78	22
36 years and above	194	55
<b>Academic Qualification</b>		
O' Level	175	50
NCE/ND	107	30
B.Sc./HND	71	20
<b>Year of Experience</b>		
1-5 years	66	19
6-10 years	182	52
11-15 years	61	17
16 years and above	44	12

**Source:** Field Study 2017.

Table 4 shows that 199 respondents representing 56% of the total respondents are male while 154 respondents representing 46% of the total respondents are female. This shows that the majority of the respondents are male. Table 4 also shows that 26 respondents representing 7% of the total respondents are within the age bracket of 20-25 years, 55 respondents representing 16% of the total respondents are within the age bracket of 26-30 years, 78 respondents representing 22% of the total respondents are within the age bracket of 31-35 and 194 respondents representing 55% are within the bracket of 36 years and above. This shows that the majority of the respondents fall within the age of 36 years above.

Table 4 shows that 175 respondents representing 50% of the total respondents had O' Level qualifications, 107 respondents representing 30% of the total respondents had ND/NCE qualifications while 71 respondents representing 20% of the total respondents had B.Sc. /HND qualifications. This shows that majority of respondents are O 'level holders. Table 4 shows that 16 respondents representing 19% of the total respondents had 1–5 years business experience, 182 respondents representing 52% of the total respondents had 6–10 years business experience, 61 respondents representing 17% of the total respondents had 11–15 years business experience and 44 respondents representing 12% of the total respondents had 16 years and above business experience.

The Table 2 presents the responses generated with respect to the influence of administrative tax compliance and tax compliance level among SMEs.

**Table 4.2:** Descriptive Statistics on administrative tax compliance costs and tax compliance level in Kogi State

Appendix 2	N	Minimum	Maximum	Mean	Std. Deviation
Question1	353	1.00	4.00	3.1671	.69727
Question2	353	1.00	4.00	3.3938	.81231
Question3	353	1.00	4.00	3.1275	.65553
Question4	353	1.00	4.00	3.1671	.72523
Valid N (listwise)	353				

**Source:** Researcher's Computation Using SPSS 20.0 Version

Table 4.2 shows that the majority of the respondents agreed that increase in tax remittance physical stress discourages level of tax payment as indicated by the mean score of 3.1671 with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.69727. Question 2 also shows that the majority of the respondents agreed that increase in tax

computational cost discourages level of tax payment as indicated by the mean score of 3.3938 ] with the minimum scale of 1, maximum scale of 4 and standard deviation of .81231. Question 3 further shows that the majority of the respondents agreed that increase in tax planning cost discourages level of tax payment as indicated by the mean score of 3.1275 in relation with the average mean score of 2.5, with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.65553. Question 4 shows that the majority of the respondents agreed that increase in tax consultancy fee discourages level of tax payment as indicated by the mean score of 3.1671 in relation with the average mean score of 2.5, with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.72523.

**Table 4.3:** Descriptive statistics on the administrative tax complexities and tax compliance level in Kogi State

Descriptive Statistics

Appendix 2	N	Minimum	Maximum	Mean	Std. Deviation
Question5	353	1.00	4.00	3.1671	0.62871
Question6	353	1.00	4.00	3.1133	0.55766
Question7	353	1.00	4.00	3.4193	0.71896
Question8	353	1.00	4.00	2.4816	1.12074
Question9	353	1.00	4.00	3.0510	0.61024
Valid N (listwise)	353				

**Source:** Researcher's Computation Using SPSS 20.0 Version

Table 4.3 questions 5 above shows that the majority of the respondents agreed that complexity in tax procedures discourage level of tax payment as indicated by the mean score of 3.1671 with the minimum scale of 1, maximum scale of 4 and standard deviation of .62871. Question 6 also shows that the majority of the respondents agreed that complexity in tax rules discourage level of tax payment as indicated by the mean score of 3.113 with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.55766. Question 7 further shows that the majority of the respondents agreed that complexity in tax laws discourages level of tax payment as indicated by the mean score of 3.4193 with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.71896.

Question 8 shows that the majority of the respondents disagreed that complexity in tax forms does not discourage level of tax payment as indicated by the mean score of 2.4816, with the minimum scale of 1, maximum scale of 4 and standard deviation of 1.12074. Question 9 finally shows that the majority of the respondents agreed that complexity in tax computation discourages level of tax payment as indicated by the mean score of 3.0510 with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.61024.

The responses generated on administrative tax equity and SMEs tax compliance level is presented in table 4.

**Table 4.4:** Descriptive Statistics on the administrative tax equity and tax compliance level in Kogi State

Appendix 2	N	Minimum	Maximum	Mean	Std. Deviation
Question10	353	1.00	4.00	3.3966	0.69183
Question11	353	1.00	4.00	3.2805	0.69747
Question12	353	1.00	4.00	3.0878	0.89232
Question13	353	1.00	4.00	2.3994	1.09581
Valid N (listwise)	353				

**Source:** Researcher's Computation Using SPSS 20.0 Version

Table 4.4 shows that the majority of the taxpayers agree that income tax is unreasonable high and are of the view that the complexity in tax computation discourage level of tax compliance. The benefit provided by the government equally discourage the level of tax payment as indicated by the mean score of 3.3966 with the minimum scale of 1, maximum scale of 4 and standard deviation of 0.69183. Question 11 also shows that the majority of the taxpayers agreed that current tax assessment result in more payment of income tax which in turn discourages the level of tax compliance as indicated by the mean score of 3.3938 with minimum scale of 1, maximum scale of 4 and standard deviation of .81231.

Question 12 further shows that the majority of the respondents agreed that compare with other taxpayers in the same income bracket, the respondents perceived they pay more than their fair share of income tax, as indicated by the mean score of 3.0878 with the minimum scale of 1, maximum scale of 4 and standard deviation of .89232. Question 13 finally shows that compare with amount pay by wealthy taxpayers, the majority of the respondents disagreed that they do not pay

more than their fair share of income tax, as indicated by the mean score of 2.3994 with the minimum scale of 1, maximum scale of 4 and standard deviation of 1.09581.

The study hypotheses were tested using One Sample Chi-square test. The result is presented in table 5 to 7

H<sub>0</sub>1: Administrative tax compliance costs have no significant effect on tax

compliance level in Kogi State

**Hypothesis Test Summary**

	Null Hypothesis	Test	Sig.	Decision
1	The categories of Question1 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
2	The categories of Question2 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
3	The categories of Question3 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
4	The categories of Question4 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.

Asymptotic significances are displayed. The significance level is .05.

Since all the significant levels are within 1% level of significance as indicated by all the significant levels of .000, the null hypothesis one is rejected, which means that 'administrative tax compliance costs have a significant effect on tax compliance level in Kogi State.

H<sub>0</sub>2: Administrative tax complexities have no significant effect on tax compliance level in Kogi State

**Hypothesis Test Summary**

	Null Hypothesis	Test	Sig.	Decision
1	The categories of Question5 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
2	The categories of Question6 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
3	The categories of Question7 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
4	The categories of Question8 occur with equal probabilities.	One-Sample Chi-Square Test	.983	Retain the null hypothesis.
5	The categories of Question9 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.

Asymptotic significances are displayed. The significance level is .05.

Since all the significant levels are within 1% level of significance except question 8 as indicated by the significant levels of .000, the null hypothesis two is rejected, which shows that administrative tax complexities have a significant effect on tax compliance level in Kogi State.

H<sub>0</sub>3: Administrative tax equity has no significant effect on tax compliance level in Kogi State

#### Hypothesis Test Summary

	Null Hypothesis	Test	Sig.	Decision
1	The categories of Question10 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
2	The categories of Question11 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
3	The categories of Question12 occur with equal probabilities.	One-Sample Chi-Square Test	.000	Reject the null hypothesis.
4	The categories of Question13 occur with equal probabilities.	One-Sample Chi-Square Test	.149	Retain the null hypothesis.

Asymptotic significances are displayed. The significance level is .05.

Since all the significant levels are within 1% level of significance except question 13 as indicated by the significant levels of .000, the null hypothesis three is rejected, meaning that administrative tax equity has a significant effect on tax compliance level in Kogi State.

This study revealed that administrative tax compliance costs have a significant effect on tax compliance level in Kogi State. This implies that tax remittance physical stress, tax computational cost, tax planning cost and tax consultancy fee discourage level of tax payment in the State. This study further revealed that administrative tax complexities have a significant effect on tax compliance level in Kogi State. This means that complexity in tax procedures, complexity in tax rules, complexity in tax laws and complexity in tax computation discourage level of tax payment. However, the study revealed that complexity in tax forms does not discourage level of tax payment. The findings are in agreement with Richardson (2006) who found that complexity is the most important determinant of non-compliance. Cox and Eger (2006) also found that procedural tax complexity contributes to an increase in tax non-compliance. Kirchler et al. (2007), further found that taxpayers were more likely to comply when the tax law was perceived as less complex.

This study finally revealed that administrative tax equity has a significant effect on tax compliance level in Kogi State. This implies that the income tax paid by SMEs is unreasonable high considering, the benefit provided by the government, and that the current tax assessment requires tax payment more than fair share of income compared with other taxpayers in the same income bracket, the taxpayers perceived they pay more than their fair share of income tax, which has affected the level of tax payment. However, compare with amount pay by wealthy taxpayers, the taxpayers disagreed that they do not pay more than their fair share of income tax. The findings are in line with the findings of Richardson (2006) who stated that general fairness, middle-income earners tax share or burden, and exchange with the government were statistically significant in influencing the behaviour of taxpayers' tax morale. Falkinger (1995) equally argued that lack of equity in an exchange relationship creates a sense of distress, especially for the victim and tax evasion may be seen as a reaction to restore tax equity. Spicer and Becker (1980) as cited by Krause, (2000), found that the amount of tax evaded increases when people are told that their tax burden is higher than that of the rest of the group. However, the finding contradicts Cowell (1992) who found that there is no relation between perceived inequalities and compliance of the taxpayer.

## Conclusion and Recommendations

This study assesses the burden of tax administration on tax payers' compliance level in Kogi State. The following findings were arrived at:

This study revealed that administrative tax compliance costs have a significant effect on tax compliance level in Kogi State. This implies that tax remittance physical stress, tax computational cost, tax planning cost and tax consultancy fee discourage level of tax payment in the State.

This study further revealed that administrative tax complexities have a significant effect on tax compliance level in Kogi State. This means that complexity in tax procedures, complexity in tax rules, complexity in tax laws and complexity in tax computation discourage level of tax payment. However, the study revealed that complexity in tax forms does not discourage level of tax payment.

This study finally revealed that administrative tax equity has a significant effect on tax compliance level in Kogi State. This implies that the income tax is unreasonable high considering, the benefit provided by the government, the current tax assessment requires payment more than fair share of income tax and compare with other taxpayers in the same income bracket, the taxpayers perceived they pay more than their fair share of income tax, which has affected the level of tax payment. However, compare with amount pay by wealthy taxpayers, the taxpayers disagreed that they do not pay more than their fair share of income tax.

## Conclusion

The Kogi State revenue board must make tax administration easy in order to reduce tax remittance physical stress, tax computational cost tax, planning cost and tax consultancy fee which have been identified as main sources of the low level of tax payment in the State. The complexity of tax procedures, complexity in tax rules, complexity in tax laws and complexity in tax computation must be reduced to the barest minimum in order to enhance payment of taxes in the State.

## Recommendations

The Kogi State revenue board should introduce more flexible procedures in the tax administration in order to minimize tax remittance physical stress and to reduce increases in tax consultancy services by the taxpayers to enhance tax payment in the State.

The tax authority should make tax administration less complex in the area of tax procedures, tax rules and tax computation by constant enlightenment and tax advocacy to enhance the level of tax payment in the State.

The tax authority should ensure that taxpayers are provided with benefits commensurate to the actual tax paid.

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## Customer Experience as the Driving Force for Supply Chains Digital Transformation

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### Abstract

Supply chain managers constantly look for the resources that are able to enhance and improve supply chain competitiveness. This competitiveness is analysed mainly in the light of cost, time and quality of the customers' service delivered by the supply chain management. Today one of the most important resource impacting on driving business in the competitive way are the digital technologies. This is mainly due to the fact that digital technologies are strongly changing the innovation level of the company and its performance. Therefore it is worth to analyse the influence of digital technologies on supply chain competitiveness in terms of cost, time and quality. The aim of this paper is to present the most important areas that are impacted by the digital technologies in improving of supply chain competitiveness. The results of the empirical research, conducted among 120 supply chain managers in 2018, show that the aspect of quality is the weakest point in terms of digital innovation impacting on supply chain competitiveness. Thus in the second part of the paper the analyses of the role of the customers experience have been done to understand the new approach to the role of digital technologies. The digital innovation is impacting the whole customers' journey during their relation not only with the company, but with the supply chain – that is actually the organization of several independent companies. In this way digital technologies starting to be a central point of supply chain configuration for improving its competitiveness.

**Keywords:** Supply Chain Digital Transformation, Customer Experience, Customer Journey, Digital Innovation, Supply Chain Competitiveness

*Everyone wants progress, but nobody wants change.*

### Introduction

Supply chain (or better – “demand network”) is a complex organization involving different parties' engaged in the coordination of the flows of information, goods and money. Supply chain competitiveness concentrates mainly on cost, time and quality improvement. According to McKinsey, once a company sets out a vision for its supply chain, it should articulate that vision in terms of business and technical capabilities. These might include the following (Gezgin, *et. al.*, 2017):

**Better decision making.** Machine-learning systems can provide supply-chain managers with recommendations for how to deal with particular situations, such as changing material planning and scheduling in response to new customer orders.

**Automation.** Automated operations can streamline the work of supply-chain professionals and allow them to focus on more valuable tasks. For example, digital solutions can be configured to process real-time information automatically, thus eliminating the manual effort of gathering, scrubbing, and entering data.

**End-to-end customer engagement.** Digital technology can make customer experiences better by giving supply-chain managers more control and providing customers with unprecedented transparency: for example, track-and-trace systems that send detailed updates about orders throughout the lead time.

**Innovation.** A digital supply chain can help a company strengthen its business model and collaborate more effectively with both customers and suppliers.

**Talent.** Digitally enabled supply chains have talent requirements that can be quite different from those of conventional supply chains. At least some supply-chain managers will need to be able to translate their business needs into relevant digital applications.

Today competitive demand networks are the ones that are intimately connected to data sources such as the internet of things (IoT) enabled with comprehensive and fast analytics, openly collaborative through cloud-based commerce networks, conscious of cyber threats, and cognitively interwoven (IDC, 2017). At the same time, customers started to be more involved into the customers journey with the company as the technology stimulates their and companies' behaviour. These include connectivity supported by i.e. cloud computing, IoT, artificial intelligence (AI), blockchain, big data analytics, etc. that enable e-commerce development from one side and access to the information by smart phones on the other.

To gain in value from digital technologies and innovations driven by them it is worth to identify both – digital supply chains and digital customers journey to improve supply chain competitiveness by better customers' experience. This experience might be at the same time the driving force for supply chains digital transformation improving that process by meeting the customers' expectations and thus the quality of service delivered by the whole supply chain process.

The aim of the paper is to present the idea of improving the supply chain competitiveness by merging the customers experience during their journey with the organization together with digital supply chain concept. The concept is presented in the light of digital transformation process; the main supply chain complete advantage forces – namely: cost, time and service quality – supported by digital technologies; and the idea of customers experience and journey compiled with digital supply chain description. Based on the considerations made, a definition of the digital transformation of the supply chains which are customers centric and see potential of competitive advantage improvement by digital innovation implementation is proposed.

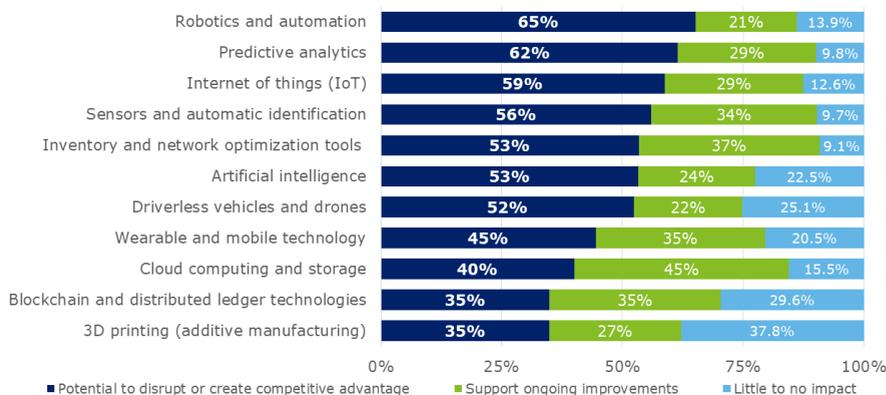
### **Digital Technologies, Digital Innovation and the Idea of Digital Transformation**

Digital technologies developed and rapidly spread as a result of using the potential and the possibilities of technology – mainly information and communication technologies (ICT) in organization's management. Digital technologies are a compilation of information, processing, communication and technology, undergoing fundamental transformations in business models and business processes, goods and services, and customer and other stakeholder relationships (Olszak & Ziemia, 2012; Susarla, et. al., 2012; Rai, et. al., 2012). Digital text and image content thanks to technical means and their software can be quickly shared, flawlessly duplicated and enable team-based, interactive work on them, they are available for devices constituting a repository of data, information and codified knowledge. In addition, hypertextual digital information can have many connections in the form of links enabling the actual use of this information by many independent users. This is possible when the computer is connected to the Internet using adequate software to search for specific data and information (Kowalczyk, 2017).

Digital technologies enable interactivity between companies, facilities, countries and people, expanding the context of their understanding from the level of ICT supporting management to the level of solutions that create a key resource, which is the basis of competition and the basis for building new ways of conducting business activities of a strategic nature. What distinguishes modern digital technologies from those that have been used in business so far is the availability of multi-task computers using operating systems separating functionality from hardware, the ability to use software functionality to solve specialized and complex problems without freezing capital in infrastructure-related assets, communication through ubiquitous internet connectivity, a multitude of relationship interfaces at various levels - with and without human intervention (Dasi, 2017).

According to Deloitte study conducted in 2018 robotics and automation, predictive analytics and internet of things are the technologies that have the highest potential to disrupt or create competitive advantages by the companies (Fig. 1).

Figure 1. Technologies with potential to disrupt or create competitive advantage



Source: "The 2018 MHI Annual Industry Report: Overcoming Barriers to NextGen Supply Chain Innovation", Deloitte Development LLC, 2018.

Nowadays, it is recognized that digital technologies are the main competitive factor by creating so-called digital innovations, which are a combination of knowledge and digital technology. Digital innovation is the creation of market offers, business processes or models (and the effecting changes) that result from the use of digital technologies. A feature of digital innovation is therefore that digital technologies and related digital transformation processes are an immanent part of a new idea, its development, diffusion or assimilation (Nowicka, 2019).

Due to continuous digital technologies implementation into the activities and business processes the digital transformation take place in the organizations. Digital transformation is a special type of organizational change (Sobczak, 2013). According to Day-Yang, Shou-Weii and Tzu-Chuan Chou digital transformation is such a transformation of an organization that results in the integration of digital technologies and business processes. This is to lead to the creation of a new model of functioning of a given unit, whose core will be digital technologies (Day-Yang, Shou-Wei & Tzu-Chuan Chou, 2011). Stolterman and Fors indicate that digital transformation can be understood as a change that causes digital technology to permeate all aspects of human life (Stolterman & Fors, 2004). Finally, in a report prepared by the MIT Center for Digital Business and Capgemini, digital transformation was defined as the use of digital technologies to radically improve the performance and effectiveness of an organization. According to the report's authors, the digital transformation affects three areas of the organization: the experience of the organization's customers (understanding customer needs, introducing multiple contact channels and elements of self-service), operational processes (internal processes of the organization and the working environment, as well as mechanisms for monitoring performance) and the organization's operating model (which products/services the organization provides and to which markets) (Westerman, *et al.*, 2011).

### Supply Chain Competitiveness

According to M. Christopher, the supply chain is a network of organizations involved, through links with suppliers and recipients, in the implementation of various processes and activities that create value in the form of goods and services provided to consumers (Christopher, 2016). This approach is closer to business practice, where there are actually networks of relationships between partners in supply chains. These networks are demand-driven, so using the term supply chain in practice reference *de facto* to demand networks. The literature on the subject also includes the concept of the supply chain business model, according to which it was assumed that it is the way a network creates and delivers value in specific environmental conditions through available resources that enable it to take advantage of emerging opportunities (Nowicka, 2017).

Supply chain management aims to get the right product in the right way, in the right quantity and the right quality, at the right place, at the right time, and at the right cost (Mangan & Lalwani, 2016). However, the increasing complexity of the supply chain (demand network), greater demand volatility, subversive technological changes, and shortening the time make supply chain processes management increasingly difficult (Christopher & Holweg, 2017). When analysing the factors of supply chain competitiveness, it is worth first underlying the areas that can be a reference point for decisions regarding the

structure of resources or the selection of instruments to compete. It is therefore important to determine the expected effect in the selected area of competition. This, however, is in direct relation to the adopted strategy of the enterprise and the subsequent supply chain strategy. To sum up, the strategy and its goals dictate certain expected results, the achievement of which allows adequate choice of resources and instruments of competition in the selected sector, i.e. in relation to certain specific conditions.

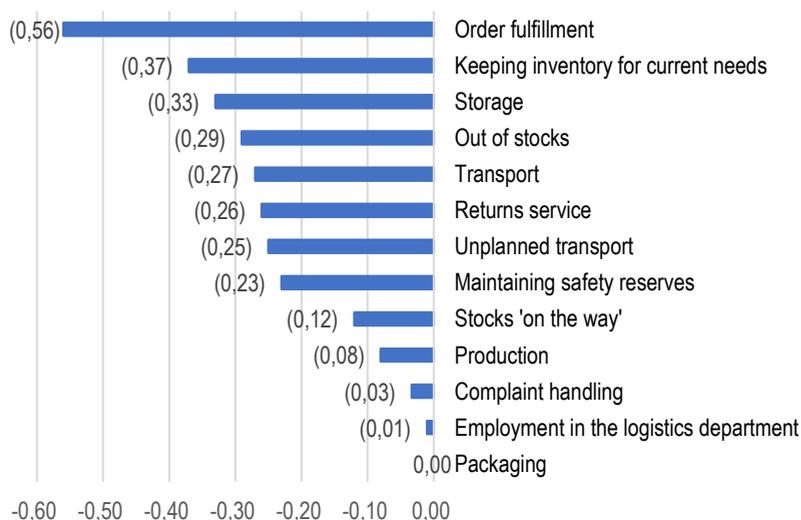
The most important determinant of achieving supply chain efficiency is the level of cost, quality and time (Szymczak, 2015) that impact the competitiveness of the supply chain. In this perspective, it is therefore worth examining digital technologies influence on particular determinant that enhances the competitiveness of the supply chains.

### Digital Technologies Impact on Supply Chain Competitiveness

To diagnose the impact of digital technologies on supply chain competitiveness the quantitative empirical research was conducted in November and December 2018 using standardized questionnaire interviews (i.e. containing questions with a strictly defined order and unchanging wording, generally closed). Computer-Assisted Telephone Interviewing (CATI) methodology was used and the sample was random. The study was conducted with representatives of supply chain management. The sampling frame consisted of micro, small, medium and large enterprises (respectively: employment: up to 9 employees, 10–49, 50–249, 250+) from the manufacturing, service, production and service sectors located in the Bisnode Polska database. Contact was established with 1397 enterprises, 120 full interviews were carried out. The response rate of completed questionnaires was 8.59%. The randomization algorithm built into the telephone testing software provided an equal chance for each of the records in the database to be in the sample.

Respondents were asked how usage of digital technologies (i.e. cloud computing, blockchain, internet of things, robotics, drones, etc.) impacted on the level of costs, quality and time in supply chain activities. In general, the use of digital technologies has reduced costs in the supply chain, as evidenced by the negative values of the obtained indicators (Fig.2). The main decrease related to the costs of order processing. It was also observed that the costs of maintaining inventories for current needs, storage, handling complaints and exhaustion of inventories were statistically significantly lower compared to the costs of employment in logistics departments. Among the pre-defined types of costs, only packaging costs have not been reduced. In addition, respondents did not indicate any increase in costs resulting from the use of digital technologies in the area of supply chain management (Nowicka, 2019a).

Figure 2. Digital technologies impact on the supply chain costs (median)

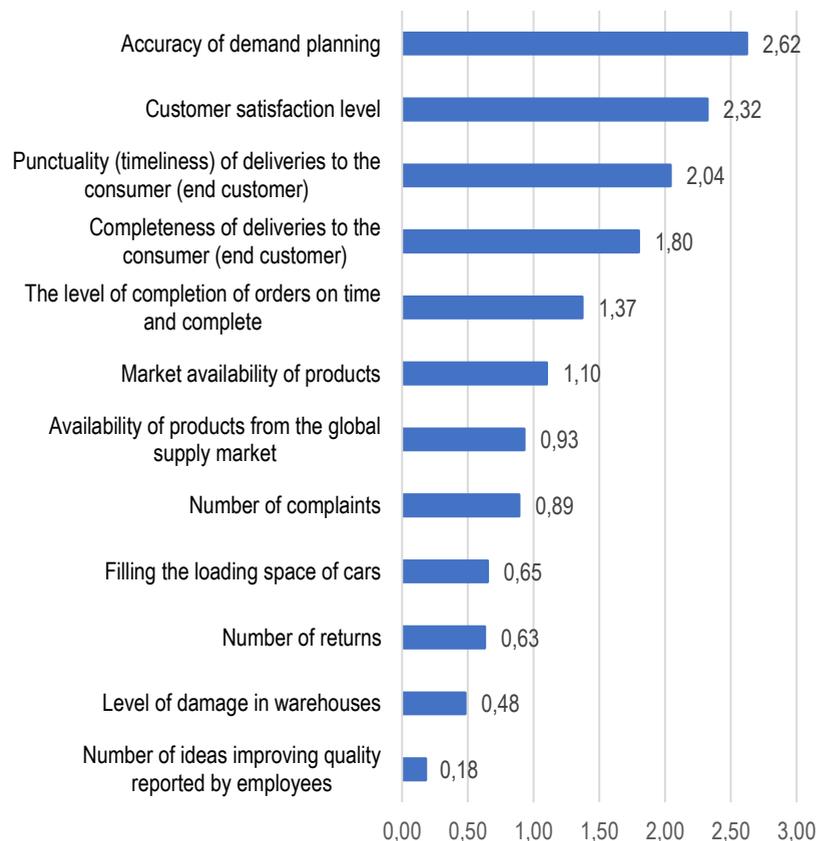


scale 5–0, where: 1 - costs increase; 0 - no impact; -1 - cost decrease

Source: own elaboration.

Next, comparative analyses of the impact of digital technology application indicators on quality in supply chain management were made. In general, according to research participants, digital technologies affect the accuracy of demand planning, customer satisfaction and punctuality of customer deliveries. However, this impact is minor. The role of digital technologies in the context of management quality in the area of completeness of deliveries to customers, punctuality of deliveries, level of customer satisfaction and accuracy of demand planning was statistically significantly higher in comparison to the level of damage, loading space filling, number of returns, global product availability, number of complaints, product availability and level of order completion on time. Areas mostly impacted by digital technologies implementation in terms of quality are presented on Fig. 3.

Figure 3. Digital technologies impact on quality (average)

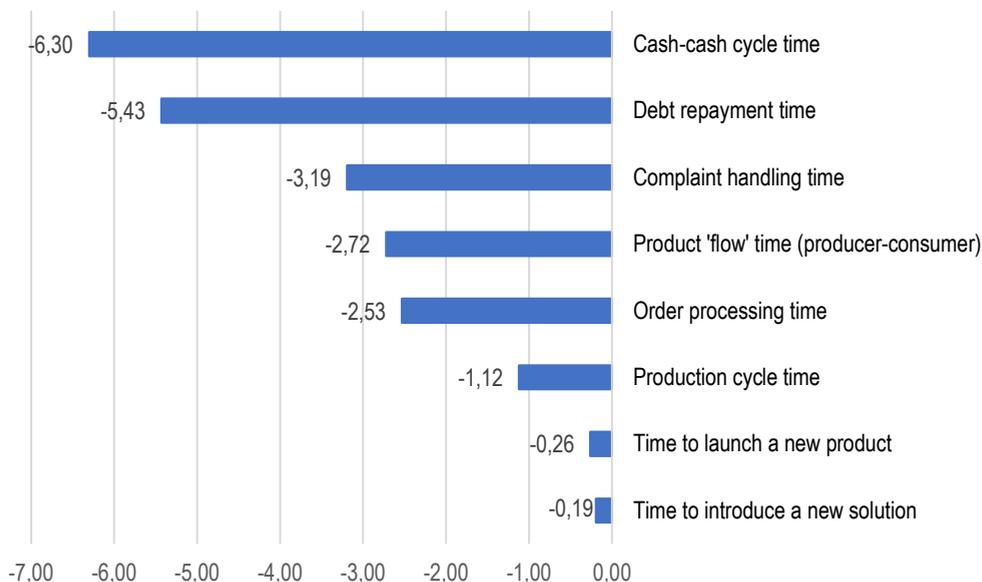


scale 5–0, where: 5 - very high growth, 4 - high growth, 3 - significant growth, 2 - slight growth, 1 - no change, 0 - decrease

Source: own elaboration.

The last researched area in this part concerned the impact of digital technologies on the duration of activities in supply chains. The indicators of the level of this impact obtained on the basis of the study carried out in all the analysed areas indicated a decrease in that time. The use of digital technologies has changed, above all, the time of the cash - cash cycle, in which the average number dropped by about 6.3 days. The second area in which the largest changes were noted was the time of repayment of liabilities, which according to respondents was reduced by an average of about 5.4 days. The third area of changes was the complaint handling time, which saw an average decrease of about 3.2 days. A slight increase in time was recorded in the implementation of activities related to the introduction of a new solution and a new product on the market (Fig. 4).

Figure 4. Digital technologies impact on time (number of days; median)



Source: own elaboration.

Analysing the importance of digital technologies for improving the efficiency of the supply chain, it should be noted that they play the most important role in reducing costs and shortening time of the duration of activities. It is worth emphasizing that these are the main areas of competition in supply chains. However, it is also important to note that the use of digital technologies has not shown a significant role in improving quality in supply chain management. This concerns the currently key aspect of the quality of customer service indicated additionally as the most important strategic goal of supply chain management in the medium term (until 3 years). In addition, according to managers, customer needs are the main stimulus for technology implementation in supply chain management (Nowicka, 2019a).

Therefore there is a need to pay more attention on how digital technologies might improve quality of activities to enhance customers experience in terms of their satisfaction and loyalty improvement.

### 5. Supply Chain Digital Transformation Driven by Customer Experience

While costs and time are relatively simple to measure, the quality of supply chain management can be understood in many ways. It is worth noting that the quality in supply chain management is influenced both by activities undertaken in the area of customer service, i.e. completeness, punctuality of deliveries, and the level of customer satisfaction, as well as the quality of activities not in direct relationship and contact with the customer, i.e. related to internal efficiency organizations (Hugos, 2011) that indirectly influence these effects. These include, for example, accuracy in demand planning, product availability, level of damage in warehouses, etc. Both these groups can be compared to sets of actions with market effects and economic effects that interact with each other and, as a consequence, constitute the entire set of actions determining the quality of supply chain management.

However those activities might still be not enough in terms of accuracy in meeting customers' needs. Therefore the specific so called "track and tracing" of customers "journey" during their relation with the whole supply chain seems to be needed. To gain in value from having such an information some digital technologies might be expected to implement in particular processes of the supply chain management. First of all it should be clarified that customer experience can be defined as customers' perceptions – both conscious and subconscious – of their relationship with brand resulting from all their interactions with brand during the customer life cycle ([www.sas.com/en\\_us/insights/marketing/customer-experience-management.html](http://www.sas.com/en_us/insights/marketing/customer-experience-management.html)). But customers' journey and the experience from that "journey" seems to be more important since it

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covers experience from many stages of the process of order fulfilment and enables supply chain personalization for particular customer (Nowicka, 2019b).

According to Deloitte analysis, marketers will not “be seating behind the wheel” anymore but the customer. And therefore, during the next 18 to 24 months, we should expect more companies to launch their own *beyond marketing* journeys. Organizations are exploring opportunities to integrate different parties’ data, cognitive analytics, machine learning, and real-time/right-time touchpoint delivery into their data management stacks. The experience creation process is a dynamic feedback loop that turns interactions into insights. This interaction is based on digital technology and covers the following steps of customer experience creation (Briggs & Buchholz, 2019):

Marketers develop strategies and metrics for improving customer experience and work with IT to set up technical enablers.

The customer interacts with brand across various channels (Web, mobile apps, social media, store, call centre, etc.).

Customer interactions are transformed into data and tied to a unique customer ID through data ingestion, integration and hygiene processes.

Marketers and IT build self-learning model that predict outputs by analysing historical data.

The models determine which content, offers and interactions resonate most with consumers at specific times.

The system decides which action to take and delivers the experience.

The system analyses customer responses to improve the next experience, and marketers use augmented intelligence to optimize strategy.

Based on the above steps the best in class customer experience can be recognized that is characterised by real-time dynamic, outcome orientation, data-driven processing, across channels development and customization based on customers’ needs (Briggs & Buchholz, 2019).

However it must be underlined that today’s technology features make customers being able i.e. to identify and track place of production, stock level for particular SKU (stock keeping unit) in different localizations, time and speed of delivery, compare the results between different competitors and share their opinions with other customers and non-customers online in real time. Thus digital technologies are a tool, which is changing the level of customers’ expectations and at the same time it is the strongest accelerator for improving customers’ service within whole supply chain activities. This is also the reason why marketing activities leading to build best in class customer experience seem to be not enough when seeking competitive advantages through the use of digital technologies or innovations driven by them.

In reply to new customers’ demand and power, supply chains are developing in the direction of the digital supply chains. The digital supply chain is a new supply chain business model based on the properties of digital technologies that aims to deliver higher values than before (Nowicka, 2019a). Digital supply chain results from digital transformation that can be understood as a transformation of the supply chain business model that provides new value based on digital technologies in order to reach higher efficiency as part of achieving the strategic goals set for supply chains (Nowicka, 2019a).

The concept of digital supply chains changes the current way of organizing flows - by reconfiguring them - and adds value to them in a diverse way. New supply chain business models are emerging, and the quality of implemented processes is significantly improved, additionally costs and risks associated with supply chain management are reduced (Chui, *et. al.*, 2010), as well as the problem of trade-off choices (“The 2017 MHI Annual Industry Report. Next-Generation Supply Chains: Digital, On-Demand and Always-On”, 2017). One of the example of digital supply chain can be the self-thinking supply chain developed by Calatayud, Mangan and Christopher (Fig. 5). This supply chain is based on IoT, AI and cloud computing. Increased connectivity amongst supply chain partners enabled by IoT, together with AI, allows i.e. for more accurate demand forecasting, predictive maintenance and continuous optimization (Calatayud, *et. al.*, 2018). Those factors impact directly on supply chain costs, but also on time and quality delivered.



Developing the concept of supply chain digital transformation driven by the customers extends the current view on the scope of customer service provided by the supply chains today. It enables involving customers on very early stage of supply chain flows and decide not only on the "last mile" of the supply chain but also on other activities (i.e. "first mile") impacting on whole process of order fulfilment and its design. However this concept could only be developed when digital technologies are implemented within supply chain – which means involvement of many companies is supply chain digital transformation – and the customer wants to engage (interact) in the development of the quality of his/her customer journey experienced during the relation with the particular supply chain process.

## 6. Conclusions

Today supply chains starting to be more and more digitalised and are undergoing the digital transformation. Digital technologies that are impacting on digital innovation might clearly improve supply chain competitiveness in terms of time, costs and service quality. This competitiveness is developed in light of improving customers' satisfaction and experience. However, it is worth to pay attention on supply chain digital transformation in the perspective of customers view. This means that this is a customer how might decide not only on where to pick up his order, but also on how and where it is produced. This solution, namely – supply chain digital transformation driven by the customer – enables companies to design whole supply chain in the way that meets all the customers' needs and to accomplish the customers' centric supply chain goals.

Engaging customers on very early stage of supply chain configuration might be difficult and costly for most of the companies and their supply chain organization. Therefore to gain in value and improve competitiveness the digital supply chain that is already implemented in the organization would be the most adequate environment since it is characterised by flexibility, adaptability and quick response to the market.

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## Multiple Regression Analysis used in Analysis of Private Consumption and Public Final Consumption Evolution, case of Albanian Economy

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### Abstract

This paper approaches the evolution of the final consumption recorded at the level of Albanian economy. According to statistical methodology the public and private consumption are two of the components of the final consumption. The main variable of our study is final consumption, which is set to be influenced by at least two independent variables, such as public and private consumption. Lately, Albanian economy has been presented with a new and different macro economic policy, a new form of partnership of investments between public and private sector. We are highly interested in the impact of these changes on final consumption. The correlation between the main parameter and its influence factors is analyzed through a regression model. Eviews is the software that the data will be processed under standard methods. The model and the results are part of the paper. To be emphasized is that the reliability of the multiple regression model does not exclude the possibility to analyze the single correlation between the parameters, in parallel.

**Keywords** Consumption, fiscal policies, private consumption, public consumption, private to public partnership

### Introduction

Some of the factors that contribute to the calculation and the evolution of Gross Domestic Product are private consumption and public consumption. Private and public consumption are two of the components of final consumption. We have used previous studies and economic analysis by applying econometric methods to realize our study for the correlation between main factor, that is final consumption and its two independent factors, private and public consumption. Anghelache (coord.,2014) approached the use of econometric models in macroeconomic analysis in calculating and forecasting macroeconomic indicators. The basis of statistical and econometric instruments and concepts were provided by Anghelache (2008), Voineagu et al (2007). Multiple regression analysis is a great statistical technique able to estimate the relationship among two or more variables. (Anghelache et al. 2014) offers a number of advantages compared to unifactorial alternative because it is conducted under the assumption of the simultaneous action of several important factors and it generates information on the structure of the process by quantifying causal links thus increasing determination ratio, numerically expressed by its proximity to 1 (or 100%) and offers a more accurate description of the economic process.

According to Anghelache et al 2014 a significant argument in using multiple linear regression can be considered to be the high enough value of free that could be specific to be encountered in single factor approaches, where the main indicator keeps its role as dependent variable and the influence factors become, in turn, independent variables in distinct, dedicate models. In this paper, we give a model of the multiple linear regression to make a prescription of economic development in Albanian economy. The data have been derived from World Bank, Eurostat and INSTAT for a period approximately for ten years. Lami.E, Kächelein.H, Imami. D (2014) have been conducting previous studies related to consumers' expectations before elections, the main factors underlying expectations, and the way in which these expectations influence their behavior toward spending, and consequently the macroeconomic outcomes, deploying standard

econometric methods widely applied in PBC related research. According to their research results, households' consumption spending decreases before elections because of the higher uncertainty about their future economic situation due to the highly politicized public employment. Çakerri.L ,Petanaj.M, Muharremi.O (2014) took under the study one of the most important factors the role and size of public spending, where his positive link between economic growth is a undisputed fact .So, the role and size of public spending is considered as an element key development and economic growth. They concluded that government spending positively affect economic growth, unlike reportedly mostly in theory. This conclusion is because Albanian economy is a transition economy where the public sector is very important in the progress of economic reform, private sector development, etc.. Productive expenditures also positively affect economic growth, as predicted in theory. Merko.F, Kalaj.E, Zisi.A (2017) empirically investigate the relationship between the private consumption and fiscal policy in Albania by using the static multiple regressions for data over the period 2000–2016. Their findings have an important implication in terms of policy recommendations. Private consumption is positively affected by the government spending, income growth, and deficit. Second, policy-makers also need to anticipate the country's demographic structure and income level. However, they recommend that further research of the issue of how private consumption promotes economic growth in Albania should be on the focus of researchers. Curcija. M (2018) found that the analysis on GDP per capita, credit to private sector and investment ratio to GDP in Albania for the period from 1993 to 2015 shows similar results with those of other works in this field of study. In this paper it is noted that contracting institutions have a limited impact (enforcing contracts on gross capital formation) or no impact on the economic outcomes considered. A possible explanation is that individuals have different instruments to reduce the risks of loss following failure to comply with the contractual terms by the counterparty.

Our attention has been mostly attracted by publications and economic development of Rumanian Economy, because Albania has had very similar steps toward its economic development as a transitory economy and has faced similar challenges to Rumanian economy. For these reasons in conducting this search will take into the consideration the studies conducted by Censolo and Colombo (2008) where they study the composition of the public consumption in a growing economy, as they consider that the Romanian economy is generally perceived as growing. The households' consumptions and the correlation between private and public consumption was studied by Bastagli and Hills (2013) . Scutaru et al. (2009) focus on the study of the two components of the consumption from the perspective of the GDP. Various aspects of public and private consumption were also approached in the works of Wolff et al. (2003), Mir Nahid and Mansur (2012), and Bachman (2011). Anghelache.C, Anghel M.G, Popovici.M (2015) designed a model that was representative for the purpose of their research and it accurately described the relationship between the final consumption and its factors such as household consumption and public consumption. They concluded that the indicator of final consumption was significantly influenced by private and public consumption indicators. The author stated that the reliability of the multiple regression model designed in this paper does not exclude the possibility to analyze, in parallel, the single correlations between the indicators.

### Research methodology. Dataset

MRA multiple linear regression is a significant method in macroeconomic studies in Albanian economy. MRA is the statistical method that expresses the attitude or variation of a definite number of factors otherwise known as independent variables with the only purpose to express the influence they have on the other factor; otherwise known as dependent variable. This is a technique or method that requires relatively a satisfactory number of data. A sufficient dataset helps to have a higher level of confidence. To analyze the correlation among the selected variables we have selected a dataset from a period of 10 years.

Years	PrivateConsumption	Publicconsumption	FinalConsumption
2008	10393900000	13669312300	24063212300
2009	9508449000	13263751174	22772200174
2010	9436425000	13200038170	22636463170
2011	10357530000	13272270782	23629800782
2012	9789527000	13666446062	23455973062
2013	10070900000	18159405940	28230305940
2014	10973450000	13813434771	24786884771
2015	9038930000	12638382236	21677312236
2016	9315567000	12887766990	22203333990

After we have created the table with all the data taken, we proceed with the econometric analysis of multilinear regression using Data Analysis Tool pack in Microsoft or Eviews. The regression analysis is realized through the least square method that can enable to fit a line through a set of observations. Method of the least square is the most common to use to define the regression equation by solving a system of simultaneous linear equations in which the unknowns are the constants of the regression equation ()

In our case, MRA is developed according:

Finding a correlation among the values of final consumption expenditure that is dependent variable  $y$  and two independent variables  $x_1$  and  $x_2$ ; that are private consumption expenditure and public consumption expenditure.

For this reason we will create a simple regression model between these variables:

A linear regression model between final consumption and private consumption that explains the variation among these two factors in Albanian economy.

A simple linear regression model that explains the correlation between final consumption and the level of public consumption in Albanian economy.

And last, a multi regression model, MRA that is based in the coherent role of two common factors of multi regression analysis.

Based on the previous assumptions on the variables that are part of this analyses we could present the following mathematical model of multi regression analysis:

$$Y_1 = b_1 + \alpha_{1j} * x_1 + \alpha_{2j} * x_2 + \epsilon_j$$

Research model. Results

First we check and see the correlation that exists between private consumption and Final public- consumption. Here we look for any type of correlation among an independent variable and Dependent Variable: FINAL\_CONSUMPTION

Method: Least Squares Date: 10/16/19 Time: 11:31 Sample: 2008 2019 Included observations: 12

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-5.31E+09	6.25E+09	-0.849885	0.4153
PRIVATE_CONSUMPTION	3.002219	0.668738	4.489382	0.0012
R-squared	0.668375	Mean dependent var		2.24E+10
Adjusted R-squared	0.635213	S.D. dependent var		5.37E+09
S.E. of regression	3.24E+09	Akaike info criterion		46.78928
Sum squared resid	1.05E+20	Schwarz criterion		46.87010
Log likelihood	-278.7357	Hannan-Quinn criter.		46.75936
F-statistic	20.15455	Durbin-Watson stat		1.857242
Prob(F-statistic)	0.001162			

Then as previously done we check for the correlation and the variable of significance for public consumption and its impact on final consumption.

Dependent Variable: FINAL\_CONSUMPTION Method: Least Squares

Date: 10/16/19 Time: 11:32 Sample: 2008 2019 Included observations: 12

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Variable Coefficient Std. Error t-Statistic Prob.

C 6.13E+09 1.09E+09 5.627890 0.0002  
 PUBLIC\_CONSUMPTION 1.236083 0.078851 15.67610 0.0000

squared 0.960898 Mean dependent var 2.24E+10 Adjusted R-squared 0.956988 S.D. dependent var 5.37E+09

E. of regression 1.11E+09 Akaike info criterion 44.65145 Sum squared resid 1.24E+19  
 Schwarz criterion 44.73227 Log likelihood -265.9087 Hannan-Quinn criter. 44.62153 F-statistic 245.7402 Durbin-Watson stat 1.240166

Prob(F-statistic) 0.000000

Then we continue using a different statistical software, SPSS and we run a regression model and we check for the correlation between variables.

Variables Entered/Removed

Model	Variables Entered	Variables Removed	Method
1	CPL, CP <sup>a</sup>	.	Enter

a. All requested variables entered.

Model Summary

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	1,000 <sup>a</sup>	1,000	1,000	,00000

a. Predictors: (Constant), CPL, CP

**ANOVA<sup>b</sup>**

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	3,174E20	2	1,587E20	.	a
	Residual	,000	9	,000		
	Total	3,174E20	11			

Predictors: (Constant), CPL, CP

Dependent Variable: CF

**Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients		Sig.
		B	Std. Error	Beta	t	
1	(Constant)	-	,000		.	.
	CP	1,000	,000	,272	.	.
	CPL	1,000	,000	,793	.	.

a. Dependent Variable: CF

Based on the acquired data of last 11 years on SPSS 7, to do the evaluation of model MRA on which three variables that are part of the model are in correlation with each other. The Final Consumption (CF) is the dependent variable product of correlation of two independent variable: private consumption and public consumption.

We can see another free term that expresses the influence of other factors, which is expressed in the traits of an error.

Equation that express regression:

$$CF = -0.001907 + 1.000272 CP + 1.000793 CPL$$

As it can clearly be stated by the equation, keeping a constant variable tells the norm of increase or decrease on the other variable.

We can say that Albanian economy for the period 2008-2019 there exists a linear correlation between Final Consumption and Public and Private Consumption. As we judge from statistical point of view, as we have used the least square method we can say that the values of R and  $R^2$  are near maximum, so the build up model is significant. Its significance can easily be stated by the value of F statistics = 0.

**Conclusions**

Based on all information gathered from the analysis of Albania's final consumption using the regression model described above, we conclude that this indicator is significantly influenced by changes in private and public consumption.

The authors wish to state that the reliability of the multiple regression model designed in this paper does not exclude the possibility to analyze, in parallel, the single correlations between the indicators, as described above.

The model is representative for the purpose of this research, and it accurately describes the relationship between the final consumption and its factors: household consumption and public consumption.

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## Identification of the Tourism Risks for Z-Value Based Risk Assessment

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### Abstract

The growing importance of the tourism sector to the global economy contributes to the increase of research in tourism risks assessment. In view of this tendency, the results of research in the field of the risk analysis on tourists' travels in various countries during the last decades have been analyzed. Commonly used in these studies statistical methods allow to reveal and identify country-specific tourism risks and threats. But it is necessary to underline that relevant statistical data on risks are available not in all cases and countries. Moreover, in most cases, the reliability of the information available is questionable. In order to improve the reliability and quality of the tourist risk assessment, it is proposed to consider tourist travel as a project. The proposed project approach to tourist risk analysis provides an opportunity to go beyond assessment based on available country-specific inferior statistical data and allows to develop a more flexible and versatile method for risk evaluation. Common risk factors and sub-factors for tourists were identified for further risk assessment using suggested by L. Zadeh Z-number. A bi-component Z-number  $Z = (A, B)$  with perception-based and imprecise parts A and B, allows taking into account the reliability of the information. Risk experts deal with the prediction like this one "very likely that the level of threat N is medium" or "extremely likely that this factor is very important". This prediction can be formalized as a Z-number based evaluation and a pack of Z-valuations is considered as Z-information. Experts evaluate identified risk factors and sub-factors and their importance weight using Z-numbers.

**Keywords:** project approach, travel risk factors, tourism risk assessment, Z-number-based evaluation

### Introduction

Humanity is surrounded by a large number of potential threats and uncertain events. Absolute security and safety do not exist in nature and cannot be achieved in any activity. Risk, being the most comprehensive integrating concept, actually serves as a measure of the threat/danger perceived by a person or existed in his life and activity.

Traveling like any other human activity is potentially dangerous and despite the protective measures taken, there is always some level of risk.

In literature risk assessment study in tourism first of all related to the activity of tourism firm. Much fewer research papers related to the journey risk analysis. However, single tourism is becoming increasingly popular in the world, especially such types as extreme, leisure, etc. Moreover, the development of digital technologies does not preclude the organization of tourist trips in the future through the use of products similar to Uber, E-tourism etc.

Regardless of the way travel is organized, risk analysis, especially for security, will always be relevant. Studies of recent years are aimed at improving the methodology for analyzing tourism risks.

It should be noted that questionnaires are widely used for risk analysis in the tourism sector (Ragavan, Subramonian & Sharif, 2014; Chew & Jahari, 2014; Chahal & Devi, 2015; Yağmur & Doğan, 2017). At the same time, researchers give less consideration to the issues of compiling the questionnaires (questions, sub-question, etc.).

In our work, we have studied the threats to tourists, identified the travel risks and have compiled a register of risk factor son ground of expediency (suitability) of application a project approach and Z-information for the tourist trip risks analysis and assessment.

### Risks in tourism sector: literature review

According to Wilks, Jeff & Moore (2004) and COMCEC (2017) the World Tourism Organization identifies risks to the safety and security of visitors, host communities and tourism employees from four sources: *the human and institutional environment* – when visitors fall victim to common delinquency, terrorism, wars, social unrest and a lack of public and institutional protection services; *tourism and sectors related to tourism* such as transport, sports and retail trade, can endanger visitors' personal security, physical integrity and economic interests; *individual travelers or visitors* can endanger their own safety and security (practicing unsafe activities, inadequate conflict behavior, losing personal documents and money through carelessness); *physical and environmental risks* – travelers are unaware of the natural characteristics of the destination's flora and fauna, have not vaccinations, prophylaxis, do not take the necessary precautions in their personal hygiene, etc.

The effectiveness of institutions related to safety and security sectors (police, medical, emergency, etc.) does not mean absolute security and safety for travelers. Many problems related to safety have weather and nature conditions. For example, many countries with effective security sector have inappropriate or insecure nature conditions (for many reasons it is not suitable to note the names of countries). But it does not mean that these countries are insecure for travelers. Many problems of travelers are related with themselves. Travelers can have bad habits/health problem can reduce the level of personal security.

In (Abukhattab, Al-Maslamani & Al-Khal, 2018) the example of tourists from Qatar the pre-travel assessment risks of acquiring infectious diseases associated with food and water, arthropod bites, environmental conditions, sexual behavior is conducted. During research the patient demographics (gender, age, nationality), travel characteristics (timing of pre-travel consultation, travel destination, number of countries to be visited, departure date, travel duration, reason for travel, and type of accommodation) and medical conditions (chronic diseases, treatments, and pregnancy) and travel purposes were taken into account.

In other work (Nair, 2013) research focuses on the Risk Assessment Factors (RAF) to be considered in tourism with specific context to Qatar. For the tourism industry among risk assessment factors the tourist-based, relationship (interaction between participants) and general risk factors play a major role and have a significant influence on tourism performance. Each type of factors may be in several forms (for example tourist-based factors of risks - environmental, financial, security and etc.)

The importance of climate and weather conditions for the tourism industry and tourists is studied by Scotta & Lemieux (2010). Conducted research shows that climate is important limiting factor that generate risks to be managed. Moreover, in paper underlined that "climate also has an important influence on environmental conditions that can deter tourists, including infectious disease, wildfires, insect or water-borne pests and extreme events such as tropical cyclones. Many outdoor events are held at certain times of the year in order to take advantage of certain climatic conditions or reduce climate risk". Researches underline that in the destination choice the image of destination is a key determinant (among other macro scale influencing factors, such as travel distance, time, holiday cost, travel motivation etc.) and that climate is dominant attribute of destination image along with scenery and cost. Coastal flood risks are analyzed in (Kellens et al, 2012). In paper mentioned that coastal tourism has variations according to climate, holiday seasons and seasonal traditions. The relationship between tourist behavior and weather conditions is not straightforward and for example, storms may not necessarily keep tourists away. This occurrence often attracts "storm watchers" or "storm chasers".

In (Herron et al, 2016) disaster and climate change risks assessment process focuses on the direct and indirect risks to different types of projects from three climate-induced hazards: sea-level rise, hurricanes (including storm surge), and flooding (both coastal and riverain) because these hazards are considered to pose the greatest threat to the Caribbean region.

In order to determine the factors affecting on the risk management of the travel agencies, exploratory factor analysis has been used and crime, cost of transport, airline safety, airport safety and security, natural disasters, political instability in neighboring countries, lack of proper financial systems, too high prices in tourism industry and etc. are mentioned as commonalities of risk factors (Nayebzadeh & Harandi, 2014)

Disasters can cause serious property and safety loss to tourists (Sun, Yang & Chen, 2018). A disaster risk evaluation model is suggested by authors use selected 17 economic and social indicators (for example - age ratio of visitors, number of

shelters, insurance completeness) from tourist destinations in Jilin Province based on the four-factor (hazard, exposure, vulnerability, recover capacity) theory of natural disaster risk formation.

Hazard for tourism such as atmospheric (frosts, floods, storms and etc.), geological (earthquakes, tsunamis, erosion and etc.), biologic (epidemics, fires), human (crime, terrorism, traffic accidents and etc.) are presented in (Fotiou, 2013). Among risks for tourists the environmental, diseases, financial, socio-cultural, product liability, property damage, security are outlined.

Based on the weights and scores of tourism safety risk indicators such as hazard (*slope altitude and precipitation levels, type of surface vegetation cover, management standard indicator, visitor behavior variability indicator*), exposure (*visitor ratio, facility ratio, tourism income ratio, tourism resource amount*), vulnerability of the hazard-bearing body (*visitor vulnerability indicator, tourism capacity, tourism resource level*), and the ability of disaster prevention and reduction (*visitor safety awareness, safety management ability, medical rescue ability, general rescue ability, convenience of transportation*) the level of risks of Changbai Mountain scenic areas are evaluated (Zhou & Liu, 2017)

Environmental risk, business and human resource risk are the most important and the influencing factors on resort business and operation (Puteh Salin, 2017)

The article (Ruan, Li & Liu, 2017) indicates that the perception of the tourist destination consists of the accumulated travel experience, information from print sources and media. Perceptions change over time. Individual's mental representation of knowledge, feelings, and impressions will influence their destination choice and their order of priorities when planning to promote tourism destination. Factors such as certain disease control measures in the airport, culture, and tradition, the accuracy of travel information affect the choice of travel destinations. Moreover, the quality of service may improve the original negative images of destination.

Presented in (Chang TY et al., 2018) the literature review indicates risk factors for travelers. Studied risks for tourist guides related to travel should be taken into consideration - natural disaster risk, traffic safety, food safety, accommodation safety, personal health problems, infectious diseases, dietary irregularity. Moreover, operation problems of travel agencies, the quality problems of local service agencies, and even the neglect of service by suppliers, such as cars, ships, hotels, restaurants, scenic spots and so on, it is easy will lead to risk situations.

According to the literature review presented in (Biswakarma, 2017) we can conclude that the travel risks include diseases, crime, natural disasters, problems with hygiene, transportation, culture/language barriers, uncertainty related to destination-specific laws and regulations, terrorism, epidemics and health, political instability, crimes against tourists. The perceived risk by the tourist (Nepal example) calculated from perceived risk, health risk, terrorism, violence.

Factors (socio-psychological risk, physical risk, financial risk, health risk, disaster risk, and radiation risk) of perceived risk are studied in (Chew & Jahari, 2014). In the paper mentioned that the tourism industry has the intangible nature of its product. Images of destination are formed according to the perception rather than reality. So, the relationship between perceived risks and destination image is significant. In the next paper of these researchers (Chew & Jahari, 2014) the analysis of perceived risks and destination images in relation to revisit intention are presented. The target population of this study was Malaysian tourists who had been to Japan prior to this study. Data collected from the questionnaire. The survey instrument comprised of scales measuring perceived physical risk, socio-psychological risk, financial risk, cognitive image, affective image, and intention to revisit.

The impact of tourist perceptions, destination image and tourist satisfaction on tourist loyalty was studied and perceived risks were mentioned as attributes and determinants of tourist satisfaction and loyalty in (Rajesh, 2013).

In (Yağmur & Doğan, 2017) mentioned that tourists often prefer destinations with low cost and low-security risk. Despite absolute (real) risk which is objective assessment the perceived risk can be described as a subjective expectation of potential loss. In study the destination risk perceptions scale (DRS) was used and questionnaire included 29 items based on physical (*food, diseases, disasters, car accident, crime, terrorism, political unrest, tourist behavior*), financial (*money, extra expenses and etc.*), performance (*hotel, site, food, attitude of locals*), socio-psychological (*personal satisfaction, thinks and etc.*), time (*vacation time, trip time*) risk factors was implemented.

Risk influence, tourist behavior and tourism is an intangible service that is exposed to potential risks and threats (Hashim et al., 2018). Differences among tourists in their risk perception exist and the importance of every risk factor differs according

to the person and their particular situation. Moreover, in the paper, the 13 types (crime, cultural, physical and etc.) of perceived risk related to tourism are shown and a framework of 6 types of risk for travel intention is proposed.

Travelers have limited knowledge about the new destinations and make choice based on information from media and social groups (Ragavan, Subramonian & Sharif, 2014). The travel destination is described by a set of attributes named travel attributes. Tourists evaluate travel attributes and different demographic groups of travelers have different perceptions of these attributes.

It should be noted that the types of risks associated with tourist trips are reflected in detail in works devoted to perceived travel risk. However, since the threats for tourists are common, the results of the literature review of perceived risks of travel destinations were also taken into account during the study.

## **2. Project approach to tourist trip risk assessment**

Today project management has moved from narrow professional spheres to all areas of business. Every day all of us carry out projects in our daily life: travelling, shopping, construction, etc. All these activities have a number of common features specific to projects. They are aimed at achieving specific goals; include coordination of related activities; have a limited time, with a certain beginning and end; unique and not repeatable.

Any tourist trip is aimed at achieving goals - adventure, excursions, treatment, etc. To achieve the goals, coordinated implementation of interrelated actions is necessary - preparation, solving the travel documents problem, temporary absence issues, etc? Travel has terms of departure and return. Each journey is different from the other, even if the same country was committed (different years, changing circumstances, etc.).

Therefore, it is advisable to use the project risk analysis methodology for risk analysis of a tourist trip/travel.

Project management always occurs under the influence of many factors that are changing in the process of project implementation. These factors may be the result of internal and external project processes. Uncertainty is the integral feature of the project and refers to the incompleteness or inaccuracy of information about the internal and external environment of the project. Consequently, one of the main processes in project management is the management of project risks, which present at all stages of the project life cycle.

The application of the project approach allows us to expand the scope of research. In the project approach, threat analysis does not have critical significance. Only the risks are important. When taking into account project risks, not only the absolute losses or benefits themselves are important, but also the consideration of their influence on the final result of the project.

Using a project approach to risk analysis allows to go beyond the framework of the researcher's own country-oriented assessment and allows to develop more flexible and universal methods for assessing tourism risks.

## **Tourism (travel) risks identification and analysis**

### **3.1. Travel risk factors and threats for tourists**

Risk assessment in the tourism sector is used for evaluation of the level of danger to human life and activity. People, involved in the tourism business and responsible for the prevention of adverse outcomes, need a detailed and clear structuring of the possible undesired outcomes. The problem of classifying tourism risks has not been resolved completely due to the variety of conditions and factors leading to situations of different levels of risk. Risks in the tourism sector can conditionally be divided into two groups: risks to the life/health of tourists and business risks. Since the business in the tourism sector is based on travel and the risks to life/health are primary, then in our work, we will consider the safety risks of travelers.

The conditions for the occurrence of risks to the life/health of travelers are the existence of risk sources and emergency of a risk factor at a level that is dangerous to humans.

In most research publications the term a perceived risk is used. In the case of perceived risk analysis, studies are usually carried out among tourists who have visited a particular country (object of study). This is possible for researchers conducting an analysis of the situation in their home country/partner country or when it is possible to work with tourists who have visited/are visiting the country - the object of the study. To do this, there must be an appropriate flow of tourists to the country under study (Björk & Kauppinen-Räsänen, 2013; Chew & Jahari, 2014) and only after that statistical processing of

information is possible - examples of Nepal, Malaysia, Turkey, India (Biswakarma, 2017; Hashim et al., 2018; Ragavan, Subramonian & Sharif, 2014; Yang, Sharif & Khoo-Lattimore, 2015; Yağmur & Doğan, 2017; Gupta, Gupta & Arora, 2010)

But how to assess the risks of visiting a country located on another continent, or if the flow of tourists to the studied country for one reason or another is very small? In practice, situations often arise when it is necessary to assess the risks of traveling to a particular country, based on insufficient information (Internet data, impressions of individual tourists, etc.).

Given these circumstances, in this paper it is proposed to consider a tourist trip as a project and, accordingly, to assess risks as risks of the project.

When considering a trip as a project, the specific types of risks themselves are not as important as the mechanism and methods for assessing them and calculating risks. At the initial stage of risk identification, the main threats to travelers have been identified.

After the detailed study of the subject area, the following groups of threats to the personal safety of the tourist have been identified:

Threats at the planning stage of a tourist trip

Threats during the journey

Threats associated with inappropriate activities of tourism service providers

Threats related to the incorrect tourist behavior or non-compliance with safety rules

Transport threats when traveling to / returning from the country of destination (travel/transportation)

Based on this grouping, the register of threats has been compiled.

### 3.2. Risk analysis

It is necessary to take into account that the threat registry, in contrast to the risk registry, is to a certain extent more extensive. It includes almost all potential (real and imaginary) threats. The authors do not claim that the compiled register is the most complete or perfect. Into the presented register of threats were included those threats which, in our opinion, deserved attention.

At the next stage, for the final identification of risks and compiling a register of risks, determining the main risk factors and their sub-factors, a Delphi analysis was carried out with the involvement of both local and foreign experts. We do not go into details of Delphi analysis rounds because this method is widely used in the tourism sector research (Kaynak&Marandy, 2006; Chang, Shen&Li, 2018; Knowles, 2019). After two rounds of the Delphi analysis, in order to avoid unnecessary complexity, the factors with relatively small likelihood and factors, impractical for other reasons, were excluded from the list of threats. So, when assessing the security risks of the trip, it should be taken into account that the likelihood of realizing threats, associated with the inability to travel due to force majeure circumstances, is negligible.

In the case of emergency events related to a potential tourist, the trip becomes impossible and further analysis becomes meaningless because losses from travel abroad and losses associated with force majeure circumstances are not comparable. When analyzing the risks of camping trips, the risks associated with transport accidents/accidents are not of practical importance. This area belongs to the competence of the management of transport companies. Tourism experts do not have key information for risk analysis of the activities of transport companies (for example, the level of training of the airline's flight personnel, the degree of preparedness of the airport controllers of the destination country, etc.) and will not be able to conduct it. In addition, from further consideration, the dangers of occurrence risks that bear a pronounced country-oriented specificity - (for example, radiation risk - since it is not very relevant for most tourist routes) were excluded.

The resulting risk register can be used to select a safe trip among several alternatives, as well as to assess the risks of a safe trip to a specific country. It should be noted that the question of whether it is safe or not to travel to a particular country should be considered as a more psychological one, because, in most cases selection of a specific country with an extreme risk environment is adventure driven.

After conducting a detailed study of potential threats/factors main risk factors and risk sub-factors that should be taken into account when assessing the generalized risk of travel safety in a given country have been identified. Table 1 lists the main tourist travel risk factors.

Table 1. Tourist travel risk factors

Risk factors	
1	Destination country's risks
2	Natural environment's risks
3	Tour operator's risks
4	Transportation risks
5	Traveler's risks (personality based)

The compiled list of risk factors for a tourist trip is not complete and universal. Necessary changes can be made to it, it can be expanded or shortened, other subfactors can be added. It is necessary to underline one specific feature of Delphi analysis as applied to the framework of our study. Since in the future research we are intending to use not only statistical information but also fuzzy estimates for risk assessment, the resulting list of factors allows using the Z-number based approach. The compiled list of factors was used to assess risks in (Nuriyev&Jabbarova, 2019)

### Z-number based travel risk assessment

Various mathematical tools such as probability theory, the theory of possibilities, fuzzy approach, etc are used for risk assessment. The first tool of formalization of the uncertainties was a probability. Among other tools, it should be noted the 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). A lot of literature has been devoted to the application of these methods for risk analysis, and we will not dwell on them.

Tools of risk assessment 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. The reliability of relevant information unaccounted in mentioned approaches and this circumstance limits their power of description.

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". Zadeh suggested a bi-component Z-number  $Z=(A,B)$  to represent a restriction on the values of the uncertain variable (A) and its certainty. Z-number  $Z = (A, B)$  allows to take into account the reliability of the information. Usually, A and B are sense-based and in effect are imprecise. 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 restrictions on the value of the uncertain variable and reliability of the value.

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. 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).

The work of Zadeh (2012) discusses different methods, applications, and systems based on the Z-number concept. Zadeh (2013) indicated risk assessment as one of the main areas of application of Z numbers.

It should be noted than in many areas, risk experts deal with the prediction like this one “*very likely that the level of threat N is medium*” or “*extremely likely that this factor is very important*”. This prediction can be formalized as a Z-number based evaluation X is Z (A, B) (Aliev, Alizadeh&Huseynov, 2015). A pack of Z-valuations is considered as Z-information. In suggested approach experts evaluate risk factors and sub-factors (Table 1) and their importance weight using Z-numbers. So we have **Z-value based risk** or risk factors for each alternative (country). Using Z-numbers to calculate the level of risk or risk factors for project risk assessment in case of tourist travel shown in (Nuriyev&Jabbarova, 2019). Arithmetic operations on Z-numbers as well as the ranking of Z-numbers (Aliev, Huseynov&Serdaroglu, 2016) and aggregation of Z-information allow using Multi-Criteria Decision Analysis (MCDA) for the solving decision-making problem which can be utilized for risk factors estimation (Nuriyev, 2019). And as for next step the (MCDA) can be used for the solving decision-making problem of choosing a safe travel destination. The example of tourist travel risk Z-evaluation using risk factors and sub-factors given in Table 2.

Table 2. Tourist travel risk Z-evaluation

Item	Country A1 evaluation of threats	evaluation of importance weights	Country A2 evaluation of threats	evaluation of importance weights
1 Destination country's risks				
1.1 Terrorist threats	(Low, Very Likely)	(High,Very Likely)	(Low,Very Likely)	(High,Very Likely)
1.2 Crime situation	(Medium, Extremely Likely)	(High,Very Likely)	(Medium,Likely)	(High,Very Likely)
1.3 Cultural/mental differences	(Low, Very Likely)	(Low,Very Likely)	(Medium,Likely)	(High,Very Likely)
1.4 Level of local sanitation	(Medium,Very Likely)	(Medium,Likel y)	(Medium,Very Likely)	(Medium,Likely)
1.5 Level of local emergency services	(Medium,Very Likely)	(Medium,Likel y)	(Medium,Likely)	(Medium,Likely)
1.6 mobile communications / Internet	(Very Low, Likely)	(Medium,Likel y)	(Low, Very Likely)	(Medium,Very Likely)

### Conclusion and further researches

Potential risks of traveling to various countries have been studied and based on analysis most common risks that travelers can encounter (almost in all countries, in any season, on any means of travel, etc.) are identified.

Tourist trip is studied as a project and based on the project approach travel risks have been identified and a generalized risks register for the tourist trip is developed. Identified risk factors are independent of the data processing tools (statistical, expert opinion study, fuzzy approach, etc.) and can be used for the comparative analysis of the trip risks in various countries.

The use of Z-value based risk assessment in combination with the project approach allows us to develop a more universal methodology for assessing tourism risks. Such assessment methods are not directly dependent on the country being studied. Application of the project approach allows establishing more general risk factors for a tourist trip, which are independent of the country and the amount of statistical information. In some cases, in addition, comparative analysis can be carried out and, based on the results of the study, country-specific factors can be added.

Based on the Z-Value Based Risk Assessment, it is possible to more effectively compare the risks of tourist trips to a particular country using perception-based predictions of risk experts. The results obtained creates necessary prerequisites for the use of the Z-number in future studies not only for assessment of the tourism risks but also for assessment of project risks in other areas of human activity. The provided methodology allows compiling a register of project risk factors and sub-factors for further Z-Value Based Risk Assessment.

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## The Influence of Incentive Schemes on Innovation of South Korean Companies: The Mediation Effects of Perception of Fairness

In Seog Seo

### Abstract

South Korean companies need a lot of innovations to compete globally. This study investigates whether the several levels of incentive schemes contributes to the innovation in Korean firms. In addition, this study investigates whether employees' perceptions of fairness of incentives mediate the effects of incentives on innovation. In order to achieve research objectives, this study analyzed the 6th wave data of the Human Capital Corporate Panel (HCCP) surveyed by the Korean Research Institute for Vocational Educational & Training in 2016. The number of cases analyzed in this study was 250 companies and 7,617 employees. In the results of this study, it has been found that individual level incentive schemes implemented in Korean companies can promote corporate innovation. It is also found that the perception of wage and evaluation fairness plays a mediator role in this process. However, group level incentives schemes do not promote the corporate innovation and the perception of wage and evaluation fairness.

**Keywords:** innovation, individual incentive, group incentive, fairness, individualism

### Introduction

Korean firms have traditionally used seniority and fixed wage systems. In 1997, the Korean economy was financed by the IMF to overcome the foreign exchange crisis. Companies have also made various changes to overcome the crisis. One of the new schemes at the time was incentive schemes. According to a survey on annual salary system, which are representative forms of incentive schemes, for companies with 100 or more employees, the ratio of companies that introduced the annual salary system was 3.6% in 1997 and reached 74.7% in 2017 (Ministry of Employment and Labor, 2019). In previous researches, incentive schemes in Korean firms were found to had a significant positive effect on corporate financial performance and employee satisfaction (Kim, Cho, and Lee, 2017; Shin and Ahn, 2014). The dependent variables of these previous studies were mostly the financial performance of the company or the job satisfaction of the workers. This study sets the innovation as dependent variable.

Currently South Korean companies are constantly trying to innovate to stand in the leading position in the world market. Innovation occurs when organizations and workers explore new products and services and new ways of doing business while at the risk of failure. This is different from maximizing efficiency by exploiting the logic and methods that have already been developed and validated (March, 1991; Amabile, 1996). This study is to examine whether the incentive schemes implemented by Korean companies has a positive effect on the innovation of Korean companies.

One consideration in the implementation of incentive scheme is whether the incentives will be implemented at the individual level or at the group level. In Korean firms with collectivist culture, workers are known to prefer group incentives rather than individual incentives (Shin and Ahn, 2014; Moon et al., 2014). The result of Shin and Ahn (2014) study shows group incentives will improve firm performance more significantly compared to individual incentive do in Korea. The result of Moon et al. (2014) study shows individual incentive system may could not provide pay satisfaction to the employees who have high level collectivism in Korea.

However, when the dependent variable of research is innovation, the result may be different. Taylor and Wilson (2012) in nation level study found that most measures of individualism had a strong, significant, and positive effect on innovation, even when controlling for major policy variables. Creative ideas are basically from the ordinary, and deviant thought (Moscovici, 1976), therefore pressure to conform to a group majority in collectivistic culture may suppress creative ideas (Woodman, Sawyer & Griffin, 1993). In Korean firms, the collectivistic tendency is high, so the occurrence of creative ideas is likely to be suppressed. In such a situation, group incentives would be more likely to cause collectivistic behavior in employees, which would make innovation and creative ideas more likely to be suppressed.

Another consideration in the implementation of incentive schemes is fairness of evaluation. Incentive payments must be based on the results of the evaluation. If the evaluation is not fair, the effects of the incentive schemes on innovation cannot be expected (Wang et al., 2015). For this reason, fairness should be considered as an important factor in the design of incentive schemes. When group incentives are implemented, there is a high possibility that they will not be fair because of free riding (Curran & Walsworth, 2014). Once employees do not perceive fairness within the organization, they do not actively participate in innovation activities (Ramamoorthy, Flood, Slattery and Sardesai, 2005).

This study investigates whether the several levels of incentive schemes contributes to the innovation in Korean firms. In addition, this study investigates whether employees' perceptions of fairness of incentives mediate the effects of incentives on innovation.

## Data and Variables

### Data

In order to achieve research objectives, this study analyzed the 6th wave data of the Human Capital Corporate Panel (HCCP) surveyed by the Korean Research Institute for Vocational Educational & Training in 2016. This data includes survey of companies and of employees of those companies. The number of cases analyzed in this study was 250 companies and 7,617 employees after excluding cases with missing variables from the original cases.

### Variables

For the empirical study, variables of this study were set. As independent variables, incentives levels were divided into individual level, team level, division level, and company level according to levels of organization. These variables were surveyed with questionnaires about companies in HCCP.

As a mediating variable of this study, the perceptions of wage and evaluation fairness were measured. The value of this variable was extracted from the employee questionnaire. The content of the questionnaire is "My Company recognizes and compensates performance fairly." The responses of employees were averaged for each company and considered as variables of company level. By the way, it is difficult to accurately reflect the distribution of worker characteristics for each company with too few survey samples. Therefore, companies with fewer than five survey samples are excluded from the analysis.

To determine if this average could be used as a company-level variable, three analyses were conducted. ICC value ( $ICC(1)=0.129701$ ,  $ICC(2)=0.815554$ ) and  $r_{wg}$  median value (0.656731) were calculated. Among these statistics, two statistics of the ICC meet the criteria, 0.1 and 0.7. However,  $r_{wg}$  median is slightly lower than the criteria 0.7 (Bliese, 2000; Kozlowski & Hatrup, 1992; James et al., 1984). Judging from the three statistics, we can conclude that this variable can be used as an enterprise level variable, but it should be used with caution.

As a dependent variable, innovation was calculated by averaging the responses to the four-point scale questionnaires on the degree of new product development and new technology in each company.

Also, the control variables of this study were as follows: Industry (Manufacturing), Company age (logged), Company size, Union, Percentage of regular workers, Change-driven market strategy, Pay level (logged).

The industry (manufacturing) was measured as a dummy variable, giving 1 to the manufacturing industry and 0 to the service industry. The company age was calculated in 'year 2015 - the year of establishment', and the value was logged. Year 2015 was the year the data for this study were surveyed. The company size was measured as dummy variables, and dummy variables were measured for the companies of 300 ~ 999 employees and over 1000 employees. The union variable was measured as a dummy variable, 1 for unionized firms, and 0 for non-unionized firms. The percentage of regular workers was measured as the percentage of regular workers in 2014 in the surveyed companies. The change-driven market strategy was measured as a dummy variable. In the questionnaire for companies on market strategy, 1 was given to companies using change-driven market strategies in the questionnaire for companies, and 0 for other companies. The wage level was measured as the average of each company wage. This variable was logged after averaging the annual salary for the first year of employee, manager, and director of each company.

## Results of Analysis

As a result of the analysis (Table 1), it is found that among the four incentive levels in Model 1, individual level incentive

affects innovation ( $\beta=.141^*$ ), while the remaining three level incentives have no significant effects (Team incentive:  $\beta=.067$ , Division incentive:  $\beta=.045$ , Company incentive:  $\beta=-.040$ ).

Model 2 is a regression model in which the perception of wage and evaluation fairness is a dependent variable. The result of the analysis shows that among the four incentive levels, individual level incentive affects the perception of wage and evaluation fairness ( $\beta=.185^{**}$ ), while the remaining three level incentives have no significant effects ( $\beta=-.008, .081, -.052$ ).

Model 3 is a regression model in which innovation is a dependent variable. The result of the analysis shows that the four incentive levels including individual level do not affect the innovation ( $\beta=.104, .068, .029, -.051$ ), while the perception of wage and evaluation fairness effects on innovation ( $\beta=.197^{**}$ ).

The mediating effects were analyzed for these results. First, it was analyzed according to the method of Baron & Kenny (1986). The individual incentive among independent variables were analyzed. In model (1), the individual incentive affects the innovation, dependent variable ( $\beta=.141^*$ ). In model (2), the individual incentive affects the perception of wage and evaluation fairness, mediating variable. In model (3), the individual incentive does not affect the innovation ( $\beta=.104$ ), but the perception of wage and evaluation fairness affect the innovation ( $\beta=.197^{**}$ ). These results show that the perception of wage and evaluation fairness play mediating role in the effect of individual incentive on innovation.

In addition, in order to grasp these mediating role by Sobel's (1982) test, unstandardized coefficients and standard errors in the regression analysis were used. The unstandardized coefficient and standard error of the individual incentives of model (2) are 0.141 and 0.050, respectively. In model (3), those of the perception of wage and evaluation fairness are 0.418 and 0.129. The Sobel test statistic calculated by these values was 2.12722705 ( $p = 0.03340122$ ).

The results of the above two analysis suggest that mediating effect exists between these variables. In South Korea, although collectivist culture has been established, individual incentives can be seen as having a positive impact on innovation. Also, the perception of wage and evaluation fairness mediates the process of individual incentives affecting the innovation.

Table1: The Result of Regression Analysis on Innovation

(Standardized regression coefficient, 250companies)

	Model 1	Model 2	Model 3
Dependent Variables	Innovation	Perception of wage and evaluation fairness	Innovation
Industry (Manufacturing)	.141	-.013	.144
Company age(logged)	-.074	.029	-.080
Company size -300-999 employee	.098	-.009	.099
Company size -more than 1000 employee	.156*	.000	.156*
Union	-.007	-.101	.013
Percentage of regular workers	-.081	-.026	-.076
Change-driven market strategy	.379***	.203**	.339***
Pay level (logged)	.078	.253***	.028
Individual incentive	.141*	.185**	.104
Team incentive	.067	-.008	.068
Division incentive	.045	.081	.029
Company incentive	-.040	.052	-.051
Perception of wage and evaluation fairness			.197**
R <sup>2</sup>	.263	.189	.294
adjusted R <sup>2</sup>	.225	.148	.255
F	7.040***	4.610***	7.570***

\* $p<0.05$ , \*\* $p<0.01$ ,  $p<0.001$ .

## Discussion

Culture of Korean companies is known to have tendency of collectivism. Therefore, Korean employees tend to prefer group incentives more than individual incentives, so that group incentives have a positive effect on the company's financial performance and job satisfaction (Shin and Ahn, 2014; Moon et al., 2014). However, this study shows that corporate innovation in Korea is not affected positively by group incentives.

Some researches also argue that group-level or organizational-level incentives do not promote innovation (Shipton et al., 2006). When group incentives are paid, collectivist norms are likely to become common in groups (Curran & Walsworth, 2014). However, workers who perform collectivistic behaviors are not good at creativity, because they are difficult to express their unique ideas (Goncalo and Staw, 2006). Also, Taylor and Wilson (2012) found that most measures of individualism have a strong, significant, and positive effect on innovation. From this point of view, it can be said that workers with a tendency toward individualism are suitable for innovative activities. Therefore, encouraging individualistic norm by giving individual incentive in Korean firms can promote the innovative activities. And if individualistic culture is weakened by providing group incentives, workers do less innovative activity.

In this process, individual incentives have a positive impact on perception of wage and evaluation fairness, but group incentives did not. And the perception of wage and evaluation fairness also has an important positive influence on innovation. In general, group incentives are likely to be less fair due to free rider issues. According to previous study in Korea (Jung et al., 2015), workers' credibility on the performance evaluation system in Korean companies is not high. It is more difficult for workers to trust the evaluation for group incentives. Therefore, group incentives are less likely to affect innovation.

The results of this study show that companies or departments in Korea which want to promote innovation need to implement individual incentives rather than group incentives.

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## A critical appraisal of al-Masudi's perception of northern India: A special study on Multan

Dr. Yousef Bennaji

### Abstract

Arab writers contributed significantly in the development of Indian historiography during the early medieval period. Among these Arab historiographers were historians, travellers, visitors, administrators, businessmen and warriors who came to India between 9<sup>th</sup> and 12<sup>th</sup> centuries. These individuals provided important information about the socio-political and religious life of Indians. This record has paramount importance for understanding India, especially from Arab perspectives. Al-Masudi (d. 345/956) is a central Arab historiographer of India who personally visited India. His historiography is based on his personal observation and first-hand reports of his visit to Multan and all that he witnessed. This paper aims to provide a critical appraisal of al-Masudi's perception of Northern India. A careful study of *Muruj al-Dhahab* has been conducted to determine al-Masudi's understanding of Northern India, with particular reference to Multan.

**Keywords:** Arab historiography, Al-Masudi, Indian History, Multan, Islam in Sindh, *Muruj al-Dhahab*.

### Introduction

Abu al-Hasan Ali b. Husayn al-Masudi was descended from Abd Allah b. Masud – a companion of the Prophet Muhammad. Al-Masudi was born in Baghdad and became one of the most important historiographers to travel to India and China and across the Muslim world and record significant information (cf. Ibn al-Nadim 1398/1978, p. 219; Yaqt al-Hamwi 1922, vol. 13, p. 90; al-Kitbi 1951, vol. 2, p. 94; Ibn Taghribirdi, n.d, vol. 3, p. 315). He was prolific historian and composed a voluminous works in various fields, including history, genealogy, geography, astronomy, mathematics and religion. Among more than thirty-five books written by al-Masudi, only two have survived: *Muruj al-Dhahab* and *Tanbih wa-al-Ishraf*. On the basis of his historiography, Alfred Von Kremer called al-Masudi the Arab Herodotus (al-Zirikli 1980, p. 7/2; Maluf 1978, p. 736).

Al-Masudi's historical writings on India are considered unbiased and objective, even by Indian historians. He evaluated divergent ideas and conflicting reports regarding important event in Indian history. Al-Masudi visited Multan after 300/912, during the reign of Abu al-Luhab al-Munabih b. Asad al-Qurashi (al-Masudi 1385/1865, 189/1) and recorded that Multan remained under the rule of the Qurayshis who were descendants of Sama b. Lul b. Ghalib during the third century of hijrah. There was also a cantonment for armed forces in Multan – and a great Muslim army resided there equipped with necessary ammunition – because the city was situated at one of the most important frontiers of the Muslim dynasty. Al-Masudi recorded first-hand information based on his personal observations. Srivastav notes that al-Masudi was not simply an enlightened thinker, but was also much ahead by his contemporaries:

He enumerates a series of ancient kings of India starting from Brahma who, according to him, reigned for 366 years. Al-Masudi, personally, visited many places of India and gave clear account of the political and social customs of the Hindus. The main feature of his work is that he also mentions about the tongue and language of the Indian people of the various places. Al-Masudi greatly admires the kings of Balhara for their greater respect for and protection of Islam. (Srivastav 1980, p. 6)

Al-Masudi depended mostly on the Shi'ite reports regarding the Umayyad assessment, while his presentation of Multan is based on his personal observations without evidence from other historical sources. He portrays Multan as the centre of Hindu civilisation and religious activities. In his attempts to depict the social and intellectual conduct of Hindu society, al-Masudi's elaboration of history in *Muruj al-Dhahab* is anecdotal. *Muruj* is also an important source for the study of Hindu culture and civilisation. These accounts are vital for establishing an authentic and reliable understanding of the nature of Hindu-Muslim relationships in the Multan and Sindh regions particularly. According to al-Masudi, Raja Bhuj Rai- king of Qunuj was considered a great danger to Muslim rule in Multan and Sindh, while the relationship between Balhara – a general title of the rulers of Deccan – and Muslims was cordial, as both had to cope with a general common enemy. Such narratives

greatly assist our understanding of the nature of internal conflicts among Hindu rulers and the formation of political development during the early medieval period.

The Arab travelers were unanimous in describing the religious importance of Multan. According to these travellers, Multan was one of the most celebrated places of Hindu worship to which people would come on pilgrimages from the great distances. Al-Masudi also records that there was a famous statue of a deity/idol that known as Moltan. Thousands of people from across India and Sindh used to go on pilgrimage to the statue and paid homage to the idol. They also presented precious stones, aloe-wood and all sorts of perfumes to fulfill their vows (Elliot and Downson 1952, p. 23/1). This idol was the main source of income for the people of Multan, as the visitors brought aloe-wood, a kind of costly wood – twenty kilogrammes of aloe-wood cost one hundred *dinar* – that was very soft and easily engraved. According to al-Masudi, presents offered to this idol-temple were the greatest source of income to the local king, so the idol had great significance in the socio-religious and political life of the area. Whenever Indian rulers attacked Multan, Muslim rulers used to threaten to destroy the idol, so the Indian attackers would retreat without damaging Multan (Muhammad Nasr, 2014, pp. 32, 86, 90, 98, 126).

Other Arab historians such as al-Istakhri (d. 328/957) described in detail the grandeur and religious significance of Multan. Al-Istakhri wrote that the temple of Multan was the most important centre of worship for all who idol-worshippers across Sindh and Hind. Moreover, Ibn Haukal (d. 367/977) visited India in the middle of the 10th century, and he also recorded the significance of Multan and the centrality of the temple for idol-worshippers in the region. Al-Idrisi (d. 559/ 1166) also considered the idol of Multan to be the most venerated idol in India. Visitors came from the most distant regions of India and Sindh, believing that the idol of Multan was superior, so the pilgrims highly respected and obeyed it (Elliot and Downson 1952, pp. 28, 81–82).

The early sources also confirm that the idol temple of Multan was the most celebrated in India at the time the Arab travellers visited India. Al-Baladhuri in *Futuh al-Buldan* and the Indian source Chach-Nama indicate that Multan was the centre of culture and civilisation and the key factor of its centrality was its temple (Al-Baladhuri, vol. 1, 123-205). Muhammad b. Qasim had to face great challenges in the conquest of Multan in 713 C.E. because the Indians fought against Qasim to defend and safeguard the sanctity of the temple. However, he successfully defeated the Indians and obtained great wealth from the temple (Elliot and Downson 1952, pp. 123, 206; Srivastav 1980, p. 61).

### Multan's Geography

Al-Masudi describes the geographical location of Multan. He records that the frontier of India was attached to Khurasan and Sindh, and Multan and Mansura are cities of Sindh. Multan is situated on the border of Sindh and there are many towns and villages surrounding Multan (al-Masudi 1385/1865, pp. 178, 190–1). Al-Masudi records that there was a city called Buwara named after the title of the King of the Qunuj, that was then under Muslim rule in the jurisdiction of Multan. From this city a river flows through to connect to another river (the Mehran al-Sind).

The early Arab historians made significant errors in their geographical descriptions of India.<sup>1</sup> For instance, Jahiz (d. 255/868) claimed that Mehran comes out from River Nile of Africa, while other geographers thought that it was a branch of Khurasanian River Jayhun (al-Masudi 1385/1865, p. 186). Perhaps, on the basis of these accounts, Srivastav argues that 'since Arab Geographers did not stay in India for a long period and could not travel the whole of India, they mostly gathered their information from the hearsay narrations of recitals. They also, had no knowledge of the Indian topography, social structure and the religion of the people. Similarly, they were not aware of the many facts which were quite in vogue at the time they made their visits' (Srivastav 1980, p. 2) However, it has been observed that al-Masudi's understanding was objective, as he had visited India and stayed there. Thus, al-Masudi rectifies the errors of earlier geographers regarding the Sindh River. He writes that the River Sindh comes from the highlands of Sind that are the land of Qannuj of Bawura Kingdom, Kashmir, Qandhar and Tafir. It flows from these highlands to Multan, where its name is Mehran al-Dhahab (House of Gold). The river Sindh goes from Multan to Mansura and then to Daybal, where it ends up in the Indian Ocean. He further writes that the branches of the River Sindh met with each other between Multan and Mansura on the place of Dushaab that was at a distance of three days' journey from Multan. The River Sind then reached the city of Ruz in the west of Dushaab where it was named Mehran. The river thence again flowed in two branches to the city of Sharika, where it reached the

<sup>1</sup>Elliot refers to these writers as "Early Arab Geographers", who travelled India several times, and left an account of their own. It is also significant to note that a few of them never visited India. But they seem to have derived their information from those who visited India. (Elliot and Dowson 1952, f.n. 1/1.)

Indian Ocean. Sharika was at distance of two days journey from city of Daybal (al-Masudi 1385/1865, p. 114/1). The distance between Multan and Mansura was 75 Sindi Farsakh, where one Farsakh was equal to eight miles (al-Masudi 1385/1865, p. 119/1).

Both Multan and Mansura were under the Qurayshis at that time. Al-Masudi records that Multan was under the rule of a Qurayshi descended from Lui b. Ghalib. All travellers going to Khurasan travelled via Multan. Similarly, the king of Mansura was also a Qurayshi descended from Hubar b. al-Aswad. Multan and Mansura always remained successively under the Qurayshis since early period of Islam (al-Masudi 1385/1865, p. 114/1). Al-Masudi also described the socio-political and geographical conditions of India; according to him, India extended from the mountains to Khurasan and Sindh as far as Tibet. There were a variety of languages and religions in the region. Similarly, there were many kingdoms in India that were often at war with each other (al-Masudi 1385/1865, p. 92/1). This suggests that al-Masudi's descriptions of the geographical conditions of India were comprehensive and objective; indeed, Srivastav conducted a critical study of Arab historiography, comparing them with Hindu sources. He writes: 'for this purpose, the contemporary literary works of the Hindu authors, inscriptions, coins, epigraphic evidences and various other sources, have to be utilized fully and they should be compared with that of the Arab Travelers. This can help us to arrive at a fair conclusion. However, in spite of many accompanying defects and shortcomings, the accounts of these travelers cannot be ignored. Rather they are very valuable informants from the Indian point of view' (1980, p. 3).

### House of Gold and Meetings of Philosophers

Describing the historical significance of Multan, al-Masudi records the details regarding the House of Gold in Multan. He noted that Hindu scholars prepared a calendar from the beginning of universe to the present that was placed in the House of Gold. The Indians scheduled their events according to that calendar, but it was not used beyond the boundaries of India (al-Masudi 1385/1865, p. 92/1).

Al-Masudi records that the House of Gold had been a famous centre for dialogue and academic discussions, as well as a meeting point for intellectuals since the rule of Brahmins from antiquity. He also describes the details from such a meeting, where seven intellectual gathered and discussed the nature of life and universe. They identified the following fundamental questions for their discussion: What is the reality of the world and the secret behind it? Whence did we come and what is our destiny? What is the wisdom behind our existence and how are we brought from nothingness to this physical world? What is the benefit in our creation for our creator? What kind of benefit may God have in our destruction? Does God want to get away from imperfection by our destruction? Does the Creator have desires like we have, and is he afflicted by the loss of his intensions? Or does the creator not care at all about these things? Why does the creator create and destroy us?

All intellectuals responded to these questions according to their own understanding. The first philosopher asserted that no one could understand the reality of all seen and unseen things, and he did not see anyone who succeeded in it. The second replied that if a human being could understand the wisdom behind the acts of the Creator, then there must have been some deficiency in the acts of Lord. The third philosopher argued that we should understand the reality of our inner self before we explore the reality of other things, because our self and ego is closer than anything else so we ought to explore it first. The fourth stated that it was erroneous that a person could reach the point where he needed to know his own personality. The fifth philosopher asserted that this matter could not be resolved without proper investigation, so consistent philosophical discourse was required to resolve the issue. The sixth philosopher said that the person who wanted his happiness should not be ignorant about his own self, particularly when we know that our life is short and not eternal. The seventh philosopher replied that he did not have any strong argument regarding the topic under discussion, but they were living under a particular pre-determinism; that is, he knew that he came to this world without desire and he was living against his own desires and would have to leave the world that he vehemently liked. Al-Masudi writes that the Indians had a difference of opinion regarding the life and nature of universe but that, by-and-large, they followed the opinions of these thinkers and there were about seventy religious sects among the Hindus (al-Masudi 1385/1865, pp. 93–4/1).

### Multan and Bhuj Rai

Al-Masudi visited northern India when Maharaja Bhoja ruled Kannauj during the 9th century C.E. His accounts give significant information about the region during that period. He records that Raja Bhoja Rai was considered a great danger to Multan because he possessed a great army consisting of four wings, with 70,000 or 90,000 soldiers in wing, or perhaps

even nine million soldiers in the army as a whole. The northern wing fought against the king of Multan and other Muslim rulers on the frontiers, while the southern wing fought against King Balhara (Walhab Rai) of Mahangir, and the other two wings fought as needed with the other forces (al-Masudi 1385/1865, p. 188/1).

It seems that Balhara was the general title of the rulers of the Deccan with Malkhed, while their capital was south of Gulbarga. Arab historians praised Balhara and considered him the noblest of all the kings of India because he intensely admired the Arabs (Muslims), as did the inhabitants of his kingdom. His kingdom extended as far as Cambay in the northwest and Konkan to the west. During his visit to Cambay, al-Masudi mentions that the ruler of that region was a local Brahman whose name, according to him, was Baniya (probably Vaniya in Gujrati) who ruled in the name of Balhara. Again, when he visited Chaul in the Kolaba district of Bombay, he said that the region was ruled by a person called Jang (probably the Arabic form of Ganga) (al-Masudi 1385/1865, p. 188/1). Srivastav writes:

The Arab traveler's praise for the state of Balhara seems to be lopsided. As a matter of fact Balhara was always at war with the rulers of Kanauj who were the greatest enemies of the Arabs. Hence, prompted by the desire of gaining the favour of the Arabs, the ruler of Balhara accorded generous treatment towards them in propagating their religion freely. Moreover, when Northern India suffered most inhuman molestations at the hands of the Muslims, the South West India had already come in contact with them through trade and commerce. Hence, it was not unnatural for the Arabs to give lopsided statement in the praise of this state of Balhara. (1980, p. 69).

Besides Balhara, al-Masudi mentioned other kings as well, including Kanauj. Al-Masudi notes that one of the important Indian kings was 'Bauura', who ruled over the city of Kanauj, situated far from the sea. Bauura is the title given to all the sovereigns on the north and on the south, on the east and on the west, for he is surrounded on all sides by warlike kings. He was also an enemy of Balhara (Elliot and Downson 1952, pp. 21–2), with great military strength as mentioned above; al-Masudi's observations are supported by those of Merchant Sulaiman, who notes that 'this king maintains numerous forces, and not other Indian prince has so fine a cavalry' (al-Masudi 1385/1865, p. 187–8/1).

As the ruler of Kanauj did not have good relations with other ruling dynasties of India, the rulers of Kanauj rightly used to post an army in each direction. In the west, the empire was chiefly confronted by the Arabs in Sindh and Multan, which necessitated the posting of a strong army in that direction. The army of the south was posted against Balhara, who was a friend of the Arabs. The Arabs also recorded that the armies in the east and north constantly moved from place to place, probably to protect the frontiers from the enemies (Elliot and Downson 1952, pp. 4, 34). Srivastav (1980, p. 79) has suggested that Arab historians exaggerated the strength of the army and the number of elephants and logistics, but the discrepancy may have been due to the fact that some historians recorded the strength of the Pala Army when it was in its zenith, while others revealed the weakness of the armed forces during its decadence and decline. In either case, Arab historiography provides vital information regarding the strength of the armed forces of various kings, as well as the state of their relations with each other.

### Elephants in Multan

Al-Masudi also recorded interesting information about Arabs in Multan. He noted that the Indians raised elephants and trained them for the battlefield, just as they also nurtured and trained cows and camels for fighting. It was revealed that Haroon b. Musa – a liberated slave from the Azar Tribe, as well as a poet – lived in a concrete castle in Multan. Once a Hindu King attacked him with a strong army on elephants, and when Haroon b. Musa approached the front of the army, he threw a cat on them and they were frightened into retreat. This led to disorder in the ranks of the Indian army, and the Muslims won the battle without fighting (al-Masudi 1385/1865, p. 427–9/1). This report shows the intelligence of the Arabs living in India, who reacted effectively to the Hindu army despite having comparatively weak armed forces.

### Languages

The Arab travellers frequently referred to the language of the Indians. Al-Masudi wrote that the language of Sindh was different from the other languages of northern India. The reason for this difference, according to him, was due to its nearness to the dominions of the Arabs. It is obvious that when al-Masudi visited India, Sindh and Multan formed part of the vast Muslim empire in the east, and due to this political annexation of Sindh and Multan, the Arabs settled there in large numbers, which not only affected the religious, social and political life of the people, but also made a lasting impression upon the language of the people. Arabic became their official language, which naturally differed from the rest of India. Ibn Haukal also confirms this testimony from al-Masudi and clearly states that the language of the people of Mansura, Multan and its environs was both Arabic and Sindhi (Elliot and Dowson 1952, pp. 39).

## Food and Drink

Al-Masudi also made observations concerning the eating and drinking habits of the Indians, noting that Hindus abstained from drinking wine because of its dangers. They believed that intoxicating liquors prevented people from rational thinking and a drunken person could not properly perform his duties. It was not, however, prohibited in their religion, although it was prohibited for the king or ruler. If the king was inebriated, he had to forfeit his crown because of his inability to govern the empire (al-Masudi 1385/1865, p. 427–9/1). Similarly, al-Idrisi remarks that the Brahmans never drank wine or fermented liquors, but according to the same traveller, Kshatriyas were allowed to drink as much as three *rattls* (goblets) of wine, but not more, lest they should lose their reason (Al-Idrisi 1960, vol. 1. p.76). However, the Indians sometimes on occasions of joyousness and jubilation made girls drunk so that the beholder would be inspired with joviality by their jollity. On such occasions, drinks were served to the guests and invitees. Nainar notes that al-Masudi thought that Indian people abstained from liquors not in obedience to religious precepts, but because they did not choose to consume intoxicants and destroy the supremacy that reason should exercise over men (Nainar 2011, pp. 89–90). Contemporary historians such as Srivastav note that, contrary to the observation of Muslim historians who admired the Indian habit of sobriety, the common people of India as well as the aristocracy and royalty used to drink wine on the occasion of jubilation, observing that:

It is quite clear that most of the Muslim travelers record and praise the Indians for not being fond of drinking wine. But it is not always true because our contemporary literary evidences show that drinking was partially used by the Indians-men, women and even by the kings. (Srivastav 1980, p. 26)

Srivastav argues that al-Masudi also confirms that Indians made girls drunk on the occasions of delight, based on events recoded when he personally visited Cambay in 943–955 C.E. This certainly corroborates the fact that, at least on some occasions, Indians made girls drink to excite them to show their joviality to their beholders to inspire them with mirth and fine spirits (Nainar 2011, p. 90). This statement also finds support from Bana, who describes similar escapades at Harsha. Although Bana was not present on the occasion, it must have been a usual feature during his time, and no doubt the same custom prevailed with some modifications until the time of al-Masudi. It is also evident from the statements of the Arab travellers that, though not completely, the Brahmans were generally abstainers from flesh, as Al-Masudi observed. Srivastav thinks that al-Masudi's observations may be treated as correct, in that the eating of flesh by Brahmans was not common (Srivastav 1980, p. 27), thus suggesting the general accuracy of al-Masudi's reports regarding the eating habits of people of northern India.

## Conclusion

The present research confirms that al-Masudi's perceptions of northern India were accurate, as has been acknowledged by the medieval and even modern Hindu authors. Al-Masudi visited Multan and stayed there for about four years, so his understanding of Multan and its socio-cultural life was not superficial, but rather based on his realistic assessment of the region, without exaggeration. The Indian sources also confirm most of the events recorded by al-Masudi, so it appears that al-Masudi's knowledge of northern India is extensive, and he presented socio-political, religious and geographical information concerning Multan and its environs in an authentic and comprehensive way. His historiography provides significant information that allows our better understanding of and construction of a history about northern India and Multan.

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## The Creation of NATO and the Western Alliance

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### Abstract

Stalin's actions in eastern Europe evoked fear and uncertainty in the West. The Red Army's fear of a Soviet invasion of the free part of the continent continued to be a major nightmare for post-war Europe. The coup d'état in Czechoslovakia had the same effect as Stalin's military intervention in Poland. Stalin had ordered to intervene against a country that had great international sympathy for resistance to Hitler in the late 1930s. Whatever Stalin's goal was, he was completely unjustified. The Western Europeans were very afraid. If the Communists did not find it difficult to organize a coup in Prague, what would stop them from doing so in Rome or Paris? And if they tried to do something like that, who would stop them?

**Keywords:** East, Europe, West, Alliance, Reaction, NATO

### Establishing a Western alliance against Soviet military danger

British Foreign Minister Ernest Bevin had the great idea to establish a new military alliance that would strongly link Western Europe and the United States. Even French minister Bido agreed half-jokingly saying that he no longer wished to be at the top of a secret resistance in the event of an aggressor invading his country. France and Britain agreed to establish a new military alliance with the aim of appeasing European public opinion and showing that communism could not march as it pleased on this part of the continent. As they could not do without the United States of America, Washington was invited to participate.

British Foreign Minister Bevin argued that the survival of the West depended on the strong alliance with the United States of America with Great Britain and British dominance. With the Prague coup, he told Marshall not to lose time, but to create an alliance between the US and Western Europe. Seeing Marshall's reluctance, Bevin invited in 1948 the foreign ministers of Benelux and France to join a Western European military pact. Seeing the Soviet advance in central Europe, the US Senate voted for the Vandenberg Resolution, which urged President Truman to progressively pursue regional development for self-defense.

### 2. Creation of the North Atlantic Alliance

The process of treaty creation to include the North Atlantic countries began to expand even further. Talks on such an alliance began in 1948 with the participation of Britain, France, the US, Canada and the Benelux countries. At the meeting of September 9, 1948, they agreed that it was necessary to create a military alliance to restore European confidence.

In order to have a much broader scope, representatives of Italy, Denmark, Iceland, Norway and Portugal were also invited to the talks. All these states, on April 4, 1949, signed in Washington the treaty, establishing the North Atlantic Alliance. (NATO).

Like any alliance, NATO had its problems from the beginning. France insisted that the alliance equally determined to act against Germany as it did against the Soviet Union if it would endanger peace and stability. But it was soon realized that without Germany we could not walk. France and Italy were paralyzed by the strength of the respective Communist parties. The defense of Germany entered in the orbit of geostrategic interests of the time.

The most difficult test of the North Atlantic Alliance's defense system was NATO itself. This alliance is a union of values of a common history and culture. Of all the alliances that history has known this is the most powerful alliance. Western Europe accounted for nearly half of US investment in the world. In the broad sense of the word, the ability of Western allies is shown to successfully cope with possible aggression. Here's why, at this very point even the biggest mistakes have been made that have in many cases led to deep crises within NATO.

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In the Cold War years it was said that Americans had to keep up with Western Europe because it had the largest US bases there and it was necessary to have them there. In fact it is quite the opposite. It was Europe that had to keep up with America because American investments in every area of life made it possible to protect and operate half of the continent as a democracy. The United States of America had and has a strategic interest in Europe related to the possibility of American interests spreading into Euro-Asia.

With the change of geostrategic realities the survival of security is no longer in Europe, but it has shifted to Asia where all the Western Alliance's efforts are focused on power changes and above all one tyranny is not replaced by another. If Euro-Asia were ruled by a hostile force or a group of extremists, the threat to world peace and security would be constant. The key to controlling Euro-Asia is undoubtedly Western Europe, in close contact with US.

If the alliance between the US and Europe would break up, it would bring about a severe collapse of Euro-Atlantic values and lead to the loss of the Middle East and above all to violent overthrow in Africa. If all this were to happen, the states that would benefit most would be the Soviet Union and China. From a military point of view, this was unlikely to happen. It should not be forgotten that sometime in 1941, Germany almost did not sink Soviet Russia, and in 1954 a German-American alliance made Russian aggression impossible even when the latter was called the Soviet Union. The industrial resources possessed by Western Hemisphere countries are powerful. The Soviet Union was much in need for Europe's money, but without the opportunity to have the continent as its own property. This is because American troops did not leave Europe. The end of World War II did not bring Americans withdrawal from the old continent, on the contrary, it brought the growth of US investments in western Europe. The establishment of NATO also brought the first difficulties in American-European relations. That's because the Europeans headed by the French were faced with the dilemma offered by American strategic doctrines. Without a clear concept of the nature of the coming war and how to deal with it, even an alliance formed on the basis of the most honorable principles would lose out in finding an understanding of why it should exist.

In the absence of a comprehensive strategy for all partners, the announcement of a formally alliance, found no support. Even after its creation, NATO found it difficult to explain the nature of the protection that would provide to its allies. Whenever a war happens, a state initially decides to always resist as the degree of destruction will be very large. In the atomic age, the rate of destruction is at an unimaginable level.

Since its creation by the US, NATO has had many problems. The primary problem came after the Americans initially refused to share the secret of the nuclear bomb with their European allies. On the other hand, even the European allies were not willing to make the economic sacrifices necessary to have meaningful protection. Some of them even went so far as they preferred to detach from reality by denying the existence of danger. As long as the doctrine of the United States identified Europe's defense with the general war, the contribution of the Allies had to be inclusive. But the western European states did not have the resources to do a total war and their territorial proximity to the Soviet Union made these states even more vulnerable. So, their support for the United States seems to be non-existent. The country that understood the US strategic and leadership position better than anyone else was undoubtedly the UK. That is why America's help in defending Europe during the Cold War was indispensable. But if the United States was responsible for many inconsistencies in NATO policies with the exception of Britain, other European countries did not help overcome these difficulties as they were very eager to recover from the wounds of war and this was used as an excuse to avoid responsibilities.

However, NATO was and remains the key to the effectiveness of an effective alliance in the early days and during the nuclear era. If it were possible to devise an all-encompassing concept of protection for all partners, then the world would have spared all technological horrors. If NATO insisted on maintaining a doctrine with strategic differences between the partners then it would turn into a worthless alliance and all its efforts for world stability would be a waste. As a political organization, it could have validity, but as a military group would be ineffective. In any crisis that may occur, the risk of a gun blast especially in Asia would not save Europe from "pollution". Over time, the impression of powerlessness on European allies would lead to neutrality rather than action. In order to give an assessment to NATO at the beginning of the Cold War, it would be more appropriate to analyze the defense policies of the member states and above all of America's most powerful partners, Great Britain, West Germany and France.

Everyone in these countries had a personal dilemma regarding the nuclear age. UK was considering to apply a policy of restraint based on reprisals that were similar to the American idea. Germany intended to focus only on the complexity of

a local defense. France intended to draw a line between nuclear technology and conventional technology. At a time when European states were divided with these dilemmas, communism threw to the West, the next challenge, in Asia.

### 3. The creation of Western Europe by Monone, Schumann and Adenauer

The prospect of a German rearmament would certainly not be seen in France. French citizens had suffered greatly from armed Germany since the year 1870. French public opinion would not accept the fact that they would have to do it again with a capable state to militarily intervene in France for the fourth time in 80 years. In the early 1950s, France did not have a clear policy on how to deal with Germany. De Gaulle was the only French politician to devise two concepts associated with Franco-German relations. The first concept was about the final division of Germany and the second one was about the Franco-German cooperation within Europe. Since the beginning, the foreign Minister Bido had wanted the Germany division, but has rejected by being afraid by the Soviet danger. France was a member of NATO with the conviction that the United States of America and Great Britain would protect it from Germany and the Soviet Union. Despite these measures, France definitely needed a way to coexist with Germany. Jean Monnet gave the most accurate answer to all the French dilemmas. Monnet had lived in the United States for four years as an international economist. There, he had shaped his idea of what France and Europe should be. As early as 1944, he had spoken for the magazine 'Fortune' that US should support a united Europe.

In his idea, France, Great Britain and Germany were the key to this union. In this idea, Monnet has found the "twin soul" in Robert Schumann who saw the Franco-German coexistence as necessary to confront the Anglo-Saxon power. In April 1949, Mone told Schuman his idea of merging the Franco-German coal and steel industry.

This union would make the war between the two countries virtually impossible. This act would also accelerate European integration. Schuman, understanding Mone's mission, persuaded the French cabinet to accept the proposal without much debate. On May 9, 1950, the proposal was made public. Chancellor Adenauer had two months that had expressed the idea of France joining the FRY, but he wanted to leave the western neighbor with the pleasure of making the idea public. From this moment on, Monnet has drafted the plan for the creation of the European Coal and Steel Community (ECSC). From this moment on, Monnet and Adenauer became lifelong friends. US High Commissioner McCauley had strongly supported the project, even that he had to use little force to persuade the Barons of Ruhr to accept this project. Great Britain through Minister Bevin supported this project but did not participate in it. For Great Britain, the US relations were the main goal.

Finally, France had found its German policy. The treaty was signed on April 18, 1951 and hostile Franco-German relations ended. Instead of the policy of weakened Germany that has existed since the year 1631 (the doctrine of the "Raison d'Etat" - see vol. 1600-1899, GB), France chose the right path, that of cooperation. The battles already belonged to history and a bright future awaited both countries. Obstacles could not be overcome only with a handshake and by signing a treaty.

For most of the French, the Germans posed a permanent danger. They opposed the creation of the German army and the unification of the two Germans. The French prime minister, Rene Pleven, was aware that France alone could not withstand German rearmament. Only through cooperation with the German army they could successfully resist an eventual attack by the Soviet Union. Like Schumann, Pleven thought it better to join Germany than play old games to prevent the inevitable.

Pleven on October 24, 1950, had drafted a plan to include the new German army within the framework of the European defense system. His plan was to create the EDC (European Defense Community) in which the Germans would have their own officers and troops, but no command role. West Germany would not have its own army outside NATO.

Pleven's plan has found the support of French senior military. Aware of their weaknesses, they knew that with an uncontrolled German army they had no chance of winning. The Germans themselves were the fiercest to oppose the creation of the new German army. Their suffering during World War II justified their refusal. The most famous slogan among the Germans who refused to create an army was 'Ohne Mich' (without me). Chancellor Adenauer tried to persuade his compatriots telling them that armament was needed as only the Germans could defend the country on the Rhine border.

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The chancellor made it clear to the Germans and Western allies that Germany would not participate in the EDC as an occupied country. France had taken its security. The British supported Adenauer's arguments. At first, the Americans hesitated, but eventually accepted. Germany was returning to the families of civilized nations in record time.

#### 4. Conclusions

One year after the signing of the steel and coal treaty, FRG signed on to join EDC. The treaty was signed in Bonn on 25 May 1952 and is known in the history of international relations as the 'Deutschlandvertrag' (German Treaty) because it was the country's first international recognition after the end of World War II. In Exchange to the German recovery, the Allies asked Adenauer for loyalty. The United States and the United Kingdom have made it clear that they want an united FRY with the West. The neutrality of FRY would be unacceptable. could no longer apply Bismarckian "east-west" policy or sign a treaty like that of Rapallo in 1922 that have made German-Soviet relations special.

Adenauer had acted with the leap of time. From 1952, Western allies would view FRY as an indispensable economic, political, and military ally. The integration of the FRY into Western Europe was complete. The other half of the country could not walk into this steps. The irony of the moment was that by wanting to change Korea's map, Kim Il-sung had changed Europe's map for better. East German leader Walter Ulbricht has understood the importance of the situation. Feeling the danger of emptying the country, he ordered the construction of a well-observed line across FRY border. No one could get through it, not even through death. Police-built towers served precisely East German isolation. West Germans were beginning to enjoy the first fruits of freedom and consequently the economic prosperity. Eastern Europeans would go deeper into poverty.

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## Comparing Different Equipment and Applications in Pavement Data Collection as Part of Road Management System

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### Abstract

National roads are the main arteries in road transport infrastructure. Therefore, all agencies or authorities responsible of road infrastructure, pay attention to road management systems. Albania is experiencing an increase in road infrastructure investments and maintenance of this road network. There have been some attempts to establish national and secondary road management systems. These systems attempt to achieve different objectives, such as the provision of an adequate level of service, the preservation of the road infrastructure, etc. A good **Road Asset Management System (RAMS)**, helps to carry out all the actions of inventory, storage and maintenance of road assets as well as, supports the decision-making process. At present, there are several data collection devices and applications that carry out the job efficiently. The purpose of this paper is to present the analysis of the use and comparison of some equipment and Cell Phone Based Systems (MiniROMDAS, PaveProf-V2 and RoadLab\_Pro) used for the road pavement data collection, necessary in the calculation of the International Roughness Index (IRI), along the national road network in Albania. The comparison is made, by analyzing the data and results obtained along a 20 km long road segment in Albania, using the various above-mentioned technologies. Also, an overview of the currently available technologies providing information that could assist managers in establishing an appropriate data collection program is given.

**Keywords:** MiniROMDAS, PaveProf-V2, Road Lab\_Pro, IRI.

### Introduction

The national road network in Albania is about 4,000 km length and maintained by Albania Road Authority. The secondary and local road network is about 9500 km length and maintained by 61 municipalities of Albania. In Albania, too, there have been some attempts to establish both national and secondary road management systems. These systems combine several objectives, such as provision of an adequate level of service, preservation of the facility etc. At present, there are several data collection equipment and systems that carry out the job efficiently. ROMDAS, PaveProf-V2 and RoadLab\_Pro are some of those systems, which are widely used to collect pavement data with different cost and quality. Different systems are used to evaluate pavement quality. All methods of evaluation are based on IRI (The International Roughness Index). The International Roughness Index (IRI) is the roughness index most commonly obtained from measured longitudinal road profiles [1]. This study aims to assess the pavement road conditions in the Maminas – Shen Pjeter road, using different tools and system of data collection and to make a comparison between the results obtained.

### METHODOLOGY

The pavement road conditions are assessed by the use of International Roughness Index (IRI) via different systems, such as ROMDAS, PaveProf-V2 and RoadLab\_Pro. These systems are used in the pavement data collection in several important projects in Albania. The results are compared with the purpose of providing some recommendations regarding the tools to be used as function of the established evaluation requirements.

## Raw Data Collection and Data Processing

Data collection in this study was carried out in Maminas – Shen Pjeter national road in Albania region with 21km length. Roughness data was recorded with 100 meters interval using ROMDAS, Pave Prof-V2 and RoadLab\_Pro systems. Raw data collections are processed by each software to get the final product of this survey. In order to have the same data collection conditions, an almost constant velocity of 40 km/h was maintained.

### MiniROMDAS

ROMDAS is a cost effective and modular system designed to collect road and pavement data using any vehicle. The MiniROMDAS, was used in road pavement data collection on about 385 km of the Albanian national road network in the frame of the Project "Output and Performance based Road Maintenance Contracts (OPRMC)", funded by Government of Albania and the World Bank. A schematic presentation of data collection process using the Mini ROMDAS is shown in the Figure 1.

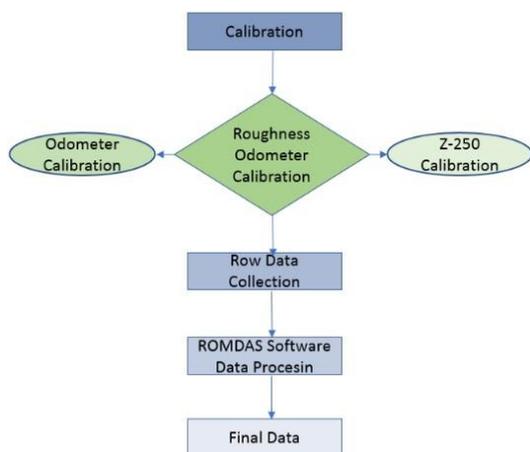


Figure 1. Framework of Data Collection Process

Before performing the data collection, the system needs to be calibrated. The MiniROMDAS calibration system is divided into three parts, as follows: 1) Z-250 reference profiler calibration, 2) odometer calibration and 3) roughness meter calibration.

Z-250 reference profiler was calibrated at the beginning in office, while odometer and roughness meter calibration were carried out in the certified service of the deliverer. Table 1 lists the data entered, necessary for providing the Z-250 calibration equation shown in Figure 2. Therefore, the slope adjustment factor (1,039) found from the analysis is entered into the profiler tab of data logger.

Z-250 Start Elevation: -0.09					
Shim Placements		Elevation (mm)			
Foot A	Foot B	Shim	Mean Elevation	Test 1 Display	Corrected
2	-	2	1.92	1.83	1.83
10	6	4	3.73	3.64	3.64
6	-	6	5.92	5.83	5.83
8	-	8	8.06	7.97	7.97
10	-	10	10.10	10.01	10.01
15	-	15	14.88	14.79	14.79
-	2	-2	-2.07	-2.16	-2.16
6	10	-4	-3.82	-3.91	-3.91
-	6	-6	-5.47	-5.56	-5.56
-	8	-8	-7.22	-7.31	-7.31
-	10	-10	-9.41	-9.50	-9.50
-	15	-15	-13.88	-13.97	-13.97

Table 1. Data Entry Component of Z-250 Calibration

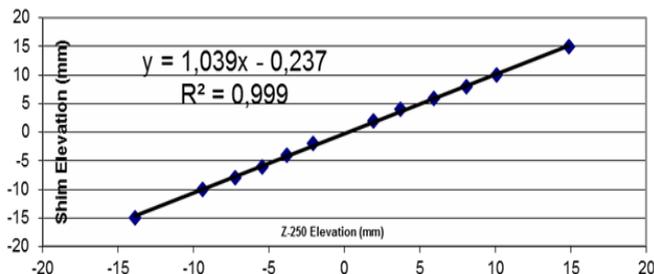


Figure 2. Regression Analysis for the Determination of Slope Adjustment Factor

Installation and calibration of the odometer are also necessary for the roughness meter calibration. The odometer, used for the accurate determination of the length and the speed, was calibrated in a 200-meter section using four runs as shown in the Table 2.

Table 2. Lists the data entry component of Odometer Calibration

Odometer Calibration Factor							Error Tolerance:		0.10%			
Run Number		Sample	Mean	Sdev	S.Error	S. Error	Beta	Beta	Pass/Fail	Pass/Fail		
1	2	3	4				(%)	90%	95%	90%	95%	
930	930	931	930	4	930.250	0.50	0.25	0.03	0.59	0.80	Pass	Pass

The Bumper Integrator BI, was installed in a vehicle having a Solid Rear Axle, measuring the so-called the 'Half-Car' roughness as shown in figure 3. [2]

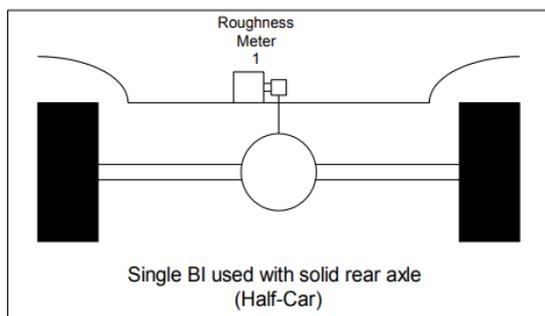


Figure 3 Single BI used with Solid Rear Axle (Source: ROMDAS user guide)

The roughness meter calibration in ROMDAS system was done using the calibrated Z-250 reference profiler. Seven different sections of 300 m length were used to measure the reference profiles. The output of BI is generated in terms of count per km, representing the cumulative number of bumps in one kilometer, as shown in table 3.

Table 3 Roughness of the seven Different Sections Roughness

Calibration Site Number	Site IRI (m/km)	Site Length (m)	Calibration Speed (km/h)	ROMDAS Raw BI Run Number			Number of Runs	Mean Raw BI Count	Raw BI count /km	Sdev	S.Err	S. Error (%)	Beta 90%	Beta 95%	Pass/Fail 90%	Pass/Fail 95%
				1	2	3										
1	4.09	300	40	1273	1355	1136	3	1255	4182	111	64	1.5	186.5	274.88	Pass	Pass
2	4.5	300	40	1173	1170	1179	3	1174	3913	5	3	0.1	7.73	11.38	Pass	Pass
3	3.75	300	40	980	939	962	3	960	3201	21	12	0.4	34.65	51.06	Pass	Pass
4	3.09	300	40	866	882	889	3	879	2930	12	7	0.2	19.88	29.29	Pass	Pass
5	1.92	300	40	607	591	618	3	605	2018	14	8	0.4	22.89	33.73	Pass	Pass
6	2.25	300	40	708	699	709	3	705	2351	6	3	0.1	9.29	13.68	Pass	Pass
7	5.11	300	40	1491	1485	1490	3	1489	4962	3	2	0.0	5.42	7.99	Pass	Pass
1	4.09	300	60	1282	1342	1342	3	1322	4407	35	20	0.5	58.40	86.06	Pass	Pass

The ROMDAS software was used for the calculation of the Roughness Calibration Equation Coefficients, shown in figure 4. The R-squared value is above 0.9, showing a good repeatability and therefore good reliability of the BI results. The slope and the intercept respectively the coefficients a1 and a2 of the Calibration Equation are used in the calculation of IRI of the road segment under study.

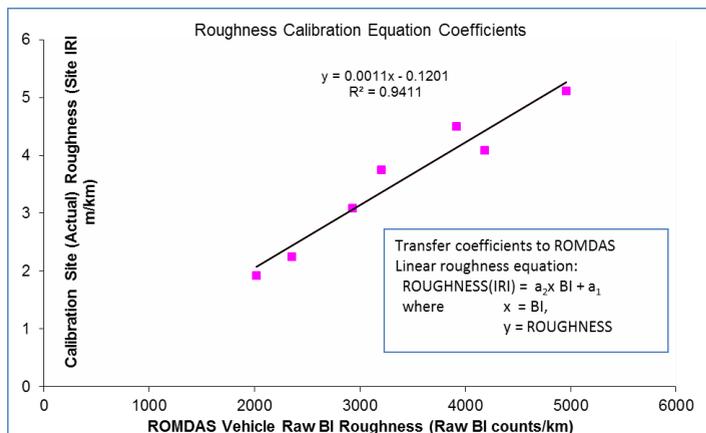


Figure 4 Calibration Equation Coefficients Worksheet

The miniROMDAS assembly is given in pictures of the figure 5.



Figure 5 Assemble and calibrate the ROMDAS equipment

#### PaveProf-V2

PaveProf-V2 is a modular system that uses laser sensors to measure pavement profiles for applications such as highways and runways [3]. A single laser and accelerometer system were used to collect road data on the Albanian road network in the frame of "Output and Performance based Road Contracts (OPRC)" Project. We had the opportunity by the contractor to use this system for collecting pavement data for Maminas-Shen Pjeter Road.

#### RoadLab\_Pro

RoadLab\_Pro, is designed as a data collection tool for engineer by the World Bank in collaboration with Beldor Center, SoftTeco and Progress Analytics LLC [4]. With accelerometers on Smartphone's, this app evaluates road conditions, map road networks, detects major road bumps, and reports road safety hazards [4].

The Road lab Pro is used on data collection in two important Projects in Albania, the "Technical Assistance for monitoring, communication and visibility of Transport Sector with Focus on Roads" and "Regional and Local Roads Connectivity". The RoadLab\_Pro app was downloaded on the Smartphone, mounted in a vertical position. The data collected was emailed and the IRI values for every 100 m length are obtained. Accompanied by the coordinates of each point the app allows the mapping of the IRI values and consequently the road conditions.

#### RESULTS AND DISCUSSION

The average every 100 m IRI values obtained using three different data collection systems (PaveProf-V2, ROMDAS and RoadLab\_Pro), for Maminas – ShenPjeter road, are presented in the figure 6 and figure 7.

PavePr of inas- Pjeter	BI_ROM_Mamin_Shen r	RoadLab_ro pjeete Mamina											
Distance/Distance/Speed/IRI L1/GPS	CHAINA LRP_FR LRP_T SPEED C_ROUG	latitude longitude lengt speed roughne condition											
m m/d	GE OM O	P h d ss n											
0+000 0+100 44.053.365 41.378575N:19.606010E	100 0 100 38.7 3.08	41.53383 19.516491 110.13 39.62 2.8											
0+100 0+200 44.161.263 41.379123N:19.604657E	200 100 200 42.1 1.32	41.53303 19.517023 112.13 49.69 1.38											
0+200 0+300 44.321.487 41.379512N:19.603562E	300 200 300 42 1.41	41.53204 19.517225 117.41 39.98 1.34											
0+300 0+400 39.2 1.822 41.379898N:19.602393E	400 300 400 41.5 1.59	41.53114 19.517878 100.15 40.07 1.35											
0+400 0+500 38.6 1.646 41.380618N:19.601680E	500 400 500 41.2 1.57	41.53035 19.518488 107.57 40.54 1.5											
0+500 0+600 37.7 1.721 41.381428N:19.601367E	600 500 600 41.6 1.47	41.52958 19.51907 104.12 40.62 1.21											
0+600 0+700 39.3 2.068 41.382363N:19.601030E	700 600 700 40.9 1.75	41.52858 19.51945 106.65 44.05 1.44											
0+700 0+800 37.05 1.353 41.383198N:19.600595E	800 700 800 42.5 1.31	41.52771 19.519913 111.36 44.16 1.26											
0+800 0+900 35.12 1.635 41.384042N:19.600175E	900 800 900 42.6 1.56	41.52676 19.520368 112.52 44.32 1.48											
0+900 1+000 35.27 2.589 41.384898N:19.599903E	1000 900 1000 41.9 2.19	41.52579 19.520796 108.55 46.85 3.97											
1+000 1+100 42.76 1.071 41.385798N:19.599670E	1100 1000 1100 41.6 1.31	41.52423 19.521903 107.68 40.54 1.55											
1+100 1+200 43.91 1.343 41.386907N:19.599433E	1200 1100 1200 41.1 1.40	41.52369 19.52294 111.84 40.62 1.46											
1+200 1+300 43.94 2.694 41.387602N:19.599302E	1300 1200 1300 39.5 2.12	41.52323 19.524151 112.67 44.05 1.55											

Figure 6. Processed Roughness Data

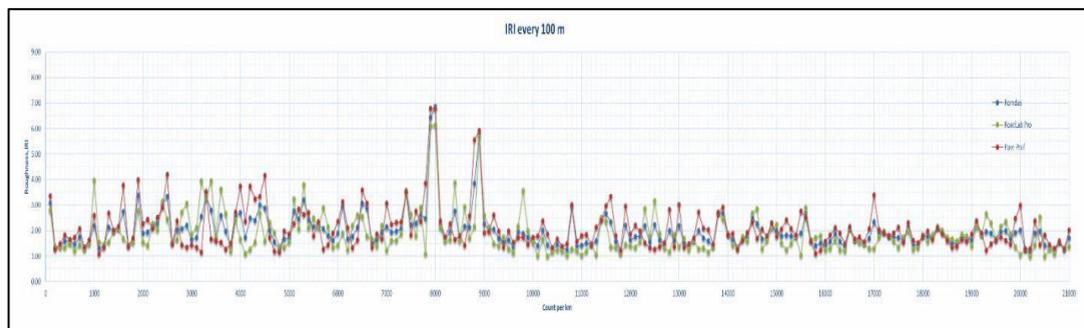


Figure 7. Chart of IRI every 100m for each system

The quality of the road pavement, for all systems used, was evaluated by the use of IRI (International Roughness Index), using the same scale of road conditions classification. The road pavement conditions are qualified as Very Good if the IRI are less than 2 m/km; Good if the IRI values are between 2 m/km and 4 m/km; Fair if the IRI values are between 4 m/km and 6 m/km; Poor if the IRI values are between 6 m/km and 8 m/km and Very Poor if the IRI values is larger than 8 m/km.

In the table 4 are summarized the road conditions based on IRI, related to the data collection system used in the survey.

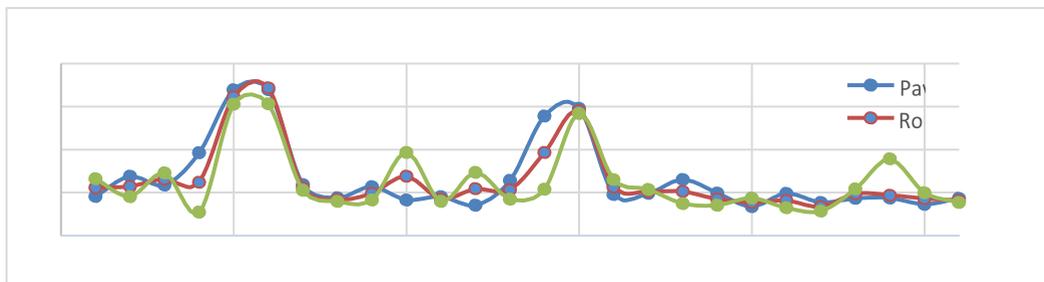
Table 4. Road pavement classes based on IRI values in Maminas-ShenPjeter road based on different systems of data collection

Road pavement quality	Number of IRI values relative to road classes			Road class percentage		
	PaveProf	ROMDAS	RoadLab_Pro	PaveProf	ROMDAS	RoadLab_Pro
Very good (IRI<2)	125	134	144	59.52	63.81	68.57
Good (2<=IRI<4)	79	72	63	37.62	34.29	30.00
Fair (4<=IRI<6)	4	2	1	1.90	0.95	0.48
Poor (6<=IRI<8)	2	2	2	0.95	0.95	0.95
Very poor (IRI>=8)	0	0	0	0.00	0.00	0.00
Total	210	210	210	100	100	100

Based on the above table, regardless of the data collection tools or system used, the Maminas-Shenpjeter road pavement conditions are generally good. Taking into account the IRI scale chosen, about 60% of the road segment under study are classified as very good conditions, 35% as good and the rest as fair condition.

Differences between data collection tools are observed for IRI values less than 2 m/km, corresponding to very good road pavement conditions. In this case the PaveProf-V2 system is the most rigorous. The differences decrease with the increase of the IRI values, becoming equal for IRI values greater than 6 m/km, corresponding to poor road conditions.

In the following figure 8 is enlarged a segment which reflects the same degree of road condition classification for all three data collection systems used. The figure shows that for IRI values larger than 4 the results are similar.



IRI for section from 7.500 to 10.000

8  
6  
4

Prof mdas

2

0

7400 7900 8400 8900 9400 9900

Figure 8. Chart of IRI from km 7+500 to km 10+000 for each system

The results of the study are also mapped showing the geographic location of each road condition class in GIS environment as shown in the figure 9, below.



Figure 9. Map of road Maminas – Shen Pjeter for each system

### Conclusion

The road pavement conditions in Maminas-Shenpjeter road are generally good, with small exceptions representing about 1.5-3 % of the total length, depending on the data collection system or tool used.

For good and very good conditions the use of PaveProf gives better results, while for IRI values higher than 4 the results are similar. In these terms the data collection system selection to be used depends on the road conditions to be assessed. In case of poor road conditions, a most convenient economic system can be used depending also in the project requirements. The RoadLab\_Pro, representing the most economically convenient system, can be used in the assessment of roads in poor pavement conditions in Albania.

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## Existence and Uniqueness Results for Two-Dimensional Stochastic Linearised Boussinesq Equation

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### Abstract

The water flow in saturated zones of the soil is described by two-dimensional Boussinesq equation. This paper is devoted to investigating the linearised stochastic Boussinesq problem in the presence of randomness in hydraulic conductivity, drainable porosity, recharge, evapotranspiration, initial condition and boundary condition. We use the Sobolev spaces and Galerkin method. Under some suitable assumptions, we prove the existence and uniqueness results, as well as, the continuous dependence on the data for the solution of linearised stochastic Boussinesq problem. Keywords: linearised stochastic Boussinesq equation, Galerkin method, existence and uniqueness results, and continuous dependence on the data.

**Keywords:** existence and uniqueness results for two-dimensional stochastic linearised Boussinesq equation

### 1. Introduction

The water flow for an unconfined aquifer of the soil is described by Boussinesq equation (1904). The equation results from the application of the mass conservation principle, Darcy's law, and the Dupuit-Forchheimer hypothesis (Bear, 1972). The two-dimensional Boussinesq equation is:

$$\frac{\partial u}{\partial t} = \sum_{i=1}^2 \frac{\partial}{\partial x_i} \left[ \frac{k_i}{s} (u + d) \frac{\partial}{\partial x_i} (u + d) \right] + \frac{r - ET}{s}, \quad (1)$$

$(x, t) \in D \times (0, T]$ ,

where  $x = (x_1, x_2) \in D \subset R^2$  denote the space coordinates (variables),  $t$  is the time variable,  $D$  denotes a bounded spatial domain with smooth boundary  $\partial D$ ,  $T > 0$  is a constant,

$x = (x_1, x_2)$ ,  $|x|^2 = x_1^2 + x_2^2$ ,  $dx = dx_1 * dx_2$ ,  $u = u(x, t)$  represents the elevation of the free surface (or hydraulic head) above the impervious layer,  $d$  denotes aquifer's depth (measured from the impervious layer),  $k_i$  denotes the saturated hydraulic conductivity of the soils along  $i$  direction,  $ET$  denotes the evapotranspiration,  $r$  denotes the recharge,  $s$  denotes the drainable porosity.

The Boussinesq equation associated with initial condition:

$$u(x, 0) = u_0(x), \quad x \in D, \quad (2)$$

and with Dirichlet boundary condition

$$u(x, t) = H(x, t), \quad (x, t) \in \partial D \times (0, T) \quad (3)$$

where  $u_0(x)$  and  $H(x, t)$  are given function. Similarly, we can consider the Neumann boundary condition.

$$\frac{\partial u(x, t)}{\partial u(x)} = H_1(x, t), \quad (x, t) \in \partial D \times (0, T]$$

The linearised Boussinesq equation is

$$\frac{\partial u}{\partial t} = \sum_{i=1}^2 \frac{\partial}{\partial x_i} \left[ \frac{k_i}{s} H_0 \frac{\partial}{\partial x_i} (u + d) \right] + \frac{r-ET}{s}, \quad (x, t) \in D \times (0, T] \quad (4)$$

where  $H_0$  (constant) represent the average depth of the aquifer.

In the present study we investigate the linearised stochastic Boussinesq equation

$$\frac{\partial u(x, t, \omega)}{\partial t} = \sum_{i=1}^2 \frac{\partial}{\partial x_i} \left[ \frac{k_i(x, t, \omega)}{s(t, \omega)} H_0 \frac{\partial}{\partial x_i} (u(x, t, \omega) + d(x, \omega)) \right] + \frac{r(x, t, u, \omega) - ET(x, t, u, \omega)}{s(t, \omega)}$$

$$(x, t, \omega) \in D \times (0, T] \times \Omega \quad (5)$$

Where  $\Omega = \{\omega\}$  denotes the sample space and  $\omega$  denotes the probabilatory variable.

The equation (5) associated with initial condition

$$u(x, 0, \omega) = u_0(x, \omega), \quad (x, \omega) \in D \times \Omega \quad (6)$$

and with Dirichlet boundary condition

$$u(x, t, \omega) = H(x, t, \omega), \quad (x, t, \omega) \in \partial D \times (0, T] \times \Omega \quad (7)$$

Where  $u_0(x, \omega)$  and  $H(x, t, \omega)$  are given random function and random field, respectively.

Similarly, we can consider von Neumann boundary condition.

The Modern Soil science considers the soil as a complex dynamical system which evolves under total impact of the interactions between natural and biological factors as well as the human activity. Because these interactions are random processes, it is reasonable to assume that the water flow in soil is described by a random field. Measurement errors of hydraulic conductivity, drainable porosity, recharge and evapotranspiration are the other reason for the presence of randomness in the soil's water flow process. These arguments have a lot of supporters among the soil scientists and physicists, who are showing a greater interest for stochastic models of water flow in soil. They use the stochastic models effectively in their work (research), see Freeze (1975), Cordova and Bras (1981), Chung and Austin (1987), etc.

The experimental data from many countries, including Albania, support the hypothesis that hydraulic conductivity of the saturated soil, drainable porosity, recharge and evapotranspiration are random variables, see Averjanov (1972), Van Schilfgarde (1974-1979), Freeze (1975), Hubert (1976), Skaggs and Tang (1976), Sagar and Preller (1980), Cordova and Bras (1981), Kolaneci, Xinxo and Bica (1983), Chung and Austin (1987), etc.

Depending on how the randomness is present (introduced) in unsteady water flow in soil, there are four mathematical problems, with increasing level of complexity:

1. The problem with random initial condition.
2. The problem with random boundary condition.
3. The problem with random recharge or evapotranspiration.
4. The problem with random hydraulic conductivity or drainable porosity.

The important achievements in the study of stochastic linearised Boussinesq problem are:

The paper is organized as follows. In section 2 we formulate the problem (5), (6), (7) in an appropriate functional setting. In section 3 we give the existence and uniqueness theorem for problem (5), (6), (7). Section 4 contains conclusion.

## 2. Functional setting and formulation of the problem.

Let  $(\Omega, F, \mu)$  or  $(\Omega, F, P)$  be a complete probability space, where  $\Omega = \{\omega\}$  denotes the space of elementary events (or the space of basic outcomes),  $F$  is the  $\sigma$ -algebra associated with  $\Omega$ , and  $\mu$  (or  $P$ ) is the probability measure defined on  $F$ . The  $\sigma$ -algebra  $F$  can be interpreted as a collection of all random events  $\omega \in \Omega$  and that have a well-defined probability with respect to  $F$ . In the present study use the Theory of Sobolev Spaces, see Adams (1975), Triebel (1986).

A real-valued random variable  $X=X(\omega)$  is a mapping  $X: \Omega \rightarrow R$ .

Assume that the probability measure  $\mu$  has a numerable basis  $D \subset R^2$  denotes a bounded domain with smooth boundary  $\partial D$ ,  $0 < T < +\infty$   $Q_T = D \times (0, T]$  and  $S_T = \partial D \times (0, T]$

The separable Hilbert space  $L^2(\Omega)$  is well-known

$M = \{f(x, \omega): D \rightarrow L^2(\Omega)\}$  denotes the set of second order random functions  $f(x, \omega)$  over the domain  $D$ .

Define the space

$$H = L^2(D; L^2(\Omega)) = \{f = f(x, \omega) \in M,$$

$$\|f\|_{\Omega} \in L^2(D)\},$$

Equipped with scalar product

$$(f, g)_H = \int_D (f, g)_{\Omega} dx, \forall f, g \in H.$$

The induced norm from the scalar product is:

$$\|f\|_H = \left( \int_D (\|f\|_{\Omega}^2 dx) \right)^{1/2}, \forall f \in H.$$

Proved that  $H$  is separable Hilbert.

Definition of the functional spaces  $C^{\infty}(D)$ ,

$\mathcal{L}(D)$ ,  $\mathfrak{D}^1(D; L^2(\Omega))$ ,  $C^m(D; L^2(\Omega))$  for  $m \geq 0$ ,  $C_c^m(D, L^2(\Omega))$  and  $H^m = H^m(D; L^2(\Omega))$  are well known.

For  $f = f(x, \omega) \in M$  are defined generalised derivatives of order  $\alpha$  with respect to  $x$ :

$$D^{\alpha} f(\varphi) = (-1)^{|\alpha|} \int_D f D^{\alpha} \varphi dx, \varphi \in \mathfrak{D}(D), \alpha = (\alpha_1, \alpha_2), |\alpha| = \alpha_1 + \alpha_2.$$

Denotes the outward normal in an arbitrary point  $x \in \partial D$ .

if  $f \in H^m = H^m(D; L^2(\Omega))$ ,  $\ll m$ - trace of  $f$  on  $\partial D$  is defined:

$$\gamma^{(m)}(f) = \left\{ f, \frac{\partial f}{\partial n}, \dots, \frac{\partial^{m-1} f}{\partial n^{m-1}} \right\}, m=2,3,4, \dots$$

It is obvious that  $\gamma^{(m)}(f) \in (L^2(D); L^2(\Omega))^m$ , where the right-hand side denotes Cartesian product.

Consider the space.

$$H_0^m = H_0^m(D, L^2(\Omega)) = \{f \in H^m, \gamma^{(m)}(f) = 0\} \quad H_0^m \text{ is a closed subspace of } H^m.$$

The Banach space  $L^{\infty}(\Omega)$ ,  $L^{\infty}(Q_T; L^2(\Omega))$  and  $L^{\infty}(Q_T; L^{\infty}(\Omega))$  are well known.

Consider the separable Hilbert space  $V$  such that  $V \subset H$ ,  $V$  dense in  $H$ ,  $V \subset H$  ( $V$  continuously embedded in  $H$ ).

That is,  $(V, H, V')$  represent a Gelfand triplet.

$(\cdot, \cdot)_V$  denotes the scalar product in  $V$ ,

$(\cdot, \cdot)_H$  denotes the scalar product in  $H$ ,

$(\cdot, \cdot)_{V'}$  denotes the scalar product in  $V'$ ,

The induced norms are  $\|\cdot\|_V, \|\cdot\|_H, \|\cdot\|_{V'}$ ,

Respectively.

Defined the space

$$L^2(0, T, V) = \{f = f(x, t, \omega): [0, T] \rightarrow V, \int_0^T \|f\|_V^2 dt < +\infty\}$$

Equipped with scalar product

$$(f, g)_{L^2(0, T, V)} = \int_0^T (f, g)_V dt \quad \forall f, g \in L^2(0, T, V)$$

The induced norm from the scalar product is

$$\|f\|_{L^2(0, T, V)} = \left(\int_0^T \|f\|_V^2 dt\right)^{1/2}$$

$L^2(0, T, V)$  is separable Hilbert space.

Similarly defined the separable Hilbert space  $L^2(0, T, H)$ ,  $L^2(0, T, V')$ ,  $L^2(-\infty, T, V)$  and  $L^2(-\infty, T, H)$ , see Triebel (1986).

Defined the space

$$W(0, T) = \{f \in L^2(0, T, V), D_t f \in L^2(0, T, V')\}$$

Equipped with scalar product

$$(f, g)_W = \int_0^T [(f, g)_V + (D_t f, D_t g)_{V'}] dt \quad \forall f, g \in W(0, T)$$

The induced norm in  $W(0, T)$  from the scalar product is

$$\|f\|_W = \left(\int_0^T [\|f\|_V^2 + \|D_t f\|_{V'}^2] dt\right)^{1/2}$$

$W(0, T)$  is separable Hilbert space  $W(0, T) \subset C([0, T], H)$ ,

$$\langle u'(t), v \rangle = D_t(u(t), v)_H = (u'(t), v)_H,$$

$$\forall u(t) \in W(0, T) \text{ and } \forall v \in V$$

$$D_t \|u(t)\|_H^2 = 2 \langle u'(t), u(t) \rangle, \forall u(t) \in W(0, T)$$

see Dautary and Lions (1985), Triebel (1986).

The symbol  $\langle ., . \rangle$  denotes the duality between the Hilbert spaces  $V'$  and  $V$ .

Given a family  $a(t, u, v)$  of the continuous bilinear forms defined on  $V \times V$  with the parameter  $t \in (0, T)$ .

Assume that  $a(t, u, v)$  satisfy the conditions:

$\exists \alpha$  positive constant real number  $c = c(T)$  with that

$$|a(t, u, v)| \leq c \|u\|_V \|v\|_V, \forall t \in (0, T), \forall u \in V \text{ and } \forall v \in V \quad (8)$$

$\exists$  the constant real numbers  $\mu$  and  $\mu > 0$  with that

$$a(t, u, v) + \mu \|u\|_V^2 \geq \alpha \|v\|_V^2, \forall t \in (0, T), \forall v \in V \quad (9)$$

The condition (9) is  $V$ -chercivate hypothesis

The family of random operators  $A(t)$  associated with  $a(t, u, v)$  is defined by

$$a(t, u, v) = \langle A(t)u, v \rangle, \forall t \in (0, T), \forall u \in V \text{ and } \forall v \in V \quad (10)$$

Is proved that  $A(t) \in L(V, V')$  and  $A(t) \in L(L^2(0, T, V); L^2(0, T, V'))$ , see Lions (1972).

If  $A(t)u \in H, \forall t \in (0, T), \forall u \in V$  then we can prove that

$$\langle A(t)u, v \rangle = (A(t)u, v)_H, \quad \forall v \in V \quad (11)$$

Consider the random evolutionary equation:

$$D_t u(t) + A(t)u(t) = f(t) \quad (x, t, \omega) \in Q \times \Omega \quad (12)$$

With initial condition

$$u(0) = u_0, \quad (x, \omega) \in D \times \Omega \quad (13)$$

The family of random operators  $A(t)$  is defined by (10). Assume that  $f(t) \in L^2(0, T, V')$  and  $u_0 \in H$

### Problem 1

Given  $(t) \in L^2(0, T, V'), u_0 \in H$  and  $A(t)$  defined by (10). Find the random field

$$u = u(x, t, \omega) \in W(0, T) \text{ Which satisfies (12) for almost all } (x, t, \omega) \in Q \times \Omega \text{ and (13).}$$

By definition,  $u = u(x, t, \omega)$  is a solution of the problem (12), (13) if the above mentioned conditions are satisfied?

### 3. Existence and uniqueness results

In this section we will prove:

#### Theorem 1

Suppose that the assumptions (8), (9) are satisfied. Prove that the problem 1 has a unique solution  $u = u(x, t, \omega) \in W(0, T)$  which depends continuously on the data. The proof of Theorem 1 undergoes through several steps.

#### Step1. Preliminary reduction of the problem

We can assume that (9) is satisfied for  $\lambda = 0$ . Substituting  $u = z^{ekt}$  where  $k$  is an arbitrary real number, the problem 1 transformed in equivalent problem:

$$\text{Find } z = z(x, t, \omega) \text{ which satisfies the identity } a(t, z, v) + k(z, v)_H + D_t(z, v)_H = (e^{-kt}f, v)_H + (u_0, v)_H, \quad \forall v \in V,$$

With  $Z(x, t, \omega) \equiv 0$  for  $t < 0$ . In this identity,  $a(t, u, v)$  substituted by  $a(t, z, v) + k(z, v)_H$ . Choosing  $k = \lambda$  we obtain the desirable result.

#### Step II. Proving the existence of the solution

To prove the existence of the solution of stochastic problem (12), (13), we modify the Galerkin method, developed by Dautray and Lions (1985) for deterministic parabolic partial differential equations, see Dautray and Lions (1985), pp 619-627.

The Hilbert space  $V$  is separable. Therefore,  $\exists$  is the basis  $\omega_1, \omega_2, \omega_3, \dots, \omega_m, \dots$ . Of  $V$  in the following sense:  $\forall m \in N$  the elements  $\omega_1, \omega_2, \omega_3, \dots, \omega_m, \dots$  are the linearly independent and the set of the all finite linear combinations

$$\sum_n \zeta_n w_n, \quad \zeta_n \in R, n \in N \text{ is dense in } V.$$

For each  $m=1,2,3,\dots$  Define approximate solution  $u_m = u_m(x, t, \omega)$  of the problem (12), (13) by using the following method:

$$u_m = \sum_{i=1}^m g_{im}(t) w_i \quad (14)$$

$$(D_t u_m, w_j)_H + a(t, u_m, w_j) = \langle f, w_j \rangle \quad \forall j = 1, 2, 3, \dots, m \quad (15)$$

$$u_m(0) = u_{0m} \sum_{i=1}^m \zeta_{im} w_i \quad (16)$$

where  $u_{0m}$  is the orthogonal projection of  $u_0 \in H$  over the subspace spanned on

$w_1, w_2, w_3, \dots, w_m$ . More generally,  $u_{0m}$  denotes each element of the above mentioned subspace, which satisfies the condition:

$$\lim_{m \rightarrow +\infty} \|u_{0m} - u_0\|_H = 0$$

The system (15) with initial condition (16) represents the Cauchy problem for the unknown deterministic functions

$$g_m(t) = \{g_{im}(t)\}_{i=1}^m : \{w_m D_t g_m(t) + A_m(t)g_m(t) = f_m(t), \quad g_m(0) = \{\zeta_{im}\}_{1 \leq i \leq m}.$$

The matrices are:

$$W_m = \left\| (w_i, w_j)_H \right\|_{1 \leq i, j \leq m},$$

$$A_m(t) = \left\| a(t, u_i, w_j) \right\|_{1 \leq i, j \leq m},$$

$$g_m(t) = \{g_{im}(t)\}_{i=1}^m \text{ and } f_m(t) = \{f(t), w_j\}_{1 \leq i \leq m}$$

$W_m$  is a non degenerate matrix, because of  $w_1, w_2, w_3, \dots, w_m$  are linearly independent. Therefore, the system (15), (16) has unique solution  $g_m(t)$  for  $t \in (0, T)$ , see Arnold (1975).

$f(t) \in L^2(0, T, V')$  Implies that  $[g_{im}(t)]^2$  are integrable functions.

Therefore, the

$$u_m = u_m(t) = u_m(x, t, \omega) \in L^2(0, T, V') \text{ and } D_t u_m(t) \in L^2(0, T, V') \quad (17)$$

The proof of Theorem 1 continues similarly to the arguments presented by Dautray and Lions (1985), pp 619—627.

We obtain the following results:

$$D_t \|u_m\|_H^2 + 2\alpha \|u_m\|_V^2 \leq 2 \langle f, u_m \rangle \leq \alpha \|u_m\|_V^2 + \frac{1}{\alpha} \|f\|_V^2, \quad (18)$$

where  $\alpha$  denotes the cohercivity constant in (9) ,

$$\sup \|u_m(t)\|_H^2 \leq \|u_0\|_H^2 + \frac{1}{\alpha} \|f\|_{L^2(0, T, V')}^2,$$

the sequence  $\{u_m(t)\}$  is strogly bounded in the space  $L^\infty(0, T, H)$  , (19)

the sequence  $\{u_m(t)\}$  is strogly bounded in the space  $L^2(0, T, V)$  . (20)

There exist the element  $u \in L^2(0, T, V)$  and the subsequence of natural numbers  $m'$ , such that  $u_{m'} \rightarrow u$  in \* weak topology of the space  $L^\infty(0, T, H)$  as  $m' \rightarrow +\infty$ :

$\exists v \in L^1(0, T, H)$  such that

$$\lim_{m' \rightarrow +\infty} \int_0^T (u_{m'} - u, v)_H dt = 0, \quad (21)$$

There exist  $u_* \in L^2(0, T, V)$  and the subsequence  $m''$  of the sequence  $m'$ , such that  $u_{m''} \rightarrow u_*$  in weak topology of  $L^2(0, T, V)$  as  $m'' \rightarrow +\infty$

$$\lim_{m' \rightarrow +\infty} \int_0^T \langle u_{m'} - u_*, v \rangle dt = 0, \forall v \in L^2(0, T, V') \quad (22)$$

$$u_* = u \text{ and } \lim_{m' \rightarrow +\infty} \int_0^T (u_{m'} - u_*, v)_H dt = 0, \forall v \in L^2(0, T, H) , \quad (23)$$

$$u = u_* \in L^\infty(0, T, H) \cap L^2(0, T, V) \quad (24)$$

$u = u_*$  is solution of the problem (12),(13). That is, u satisfies the equation (12) and the initial condition (13)

Step III. Proving the uniqueness of the solution

Assume that  $u$  and  $\bar{u}$  are solutions of the problem (12), (13) with data  $\{f, u_0\}$  and  $\{\bar{f}, \bar{u}_0\}$ , respectively. Using Vishik-Ladizhenskaja lemma, we prove that

$$\|u - \bar{u}\|_{L^2(0,T,V)} \leq \frac{1}{\alpha} \|u_0 - \bar{u}_0\|_H^2 + \frac{1}{\alpha^2} \|f - \bar{f}\|_{L^2(0,T,V)}^2$$

Where  $\alpha$  denotes the coercivity constant, see (9). The proof of Theorem 1 is complete.

Remark 1

The appropriate boundary condition for the stochastic problem (12), (13) depends on the choice of the Hilbert space  $V$  and random field  $f = f(x, t, \omega)$

Choose  $V = H_0^1(D, L^2(\Omega))$  and suppose that  $(f, v) = \int E(f_1 v) dx + \int E(f_2 v) ds$ ,  $\forall v \in V$  where

$f_1 \in L^2(Q_T; L^2(\Omega))$  and  $f_2 \in L^2(S_T; L^2(\Omega))$

Under these conditions, the appropriate boundary condition for the problem (12), (13) is von Neumann condition

$$\frac{\partial u}{\partial \nu} = f_2(x, t, \omega), \quad (x, t, \omega) \in S_T \times \Omega, \quad S_T = \partial D \times (0, T)$$

Remark 2

We distinguish between the deterministic and stochastic Boussinesq Problems:

Galerkin method is an interior approximation of the Hilbert space  $V$ , see Team (1981). Therefore, in the stochastic Boussinesq problem are discredited the spatial variables  $x_1, x_2$  as well as the probabilistic variable  $\omega$ .

## Conclusion

In this paper we have studied the stochastic linearised two-dimensional Boussinesq problem in the Hilbert spaces. The randomness is present in hydraulic conductivity, drainable porosity, (recharge-evapotranspiration), initial condition and boundary condition. We use Sobolev spaces and Galerkin method. Under suitable assumptions, we prove the existence and uniqueness theorem for the solution of the problem (12), (13). Numerical approximations of the solution of stochastic linearised Boussinesq equation is the next step of the present study. One important application of our study is in agricultural drainage.

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## The Role of Metamorphosis in Anglo- Saxon Ballads, Albanian Ballads and Frontier Warrior Songs

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### Abstract

This article aims to point out the role of metamorphosis in Anglo- Saxon ballads, Albanian ballads and frontier warrior songs. The Anglo- Saxon ballads and Albanian frontier warrior songs and ballads came into existence a long time ago and they had a certain number of influences which as a result had their great impact on their creation, development and circumstances when and where they were composed. They were created as a consequence of some special historical, cultural and social development. It has to be emphasized that those influences were of different character and size such as human, non-human or divine ones and the compositions of songs or ballads were inspired and conditioned by a lot of circumstances. Metamorphosis is used to express that never- ending process and of course it is transforming. The changes are either positive or negative and consequently people may perceive different good or bad feelings. It is related to the magic world and the unrealistic one and sometimes it is a beautiful feeling when a human being transforms into a rose and showing a form of life continuation after death but in many cases it transforms into a non-desirable object or animal. It is a quick transformation from one thing to another and it may have either positive or negative effects on the audience.

**Keywords:** ballads, metamorphosis, epic songs, transformation, development.

### Introduction

In order to evaluate some of the motifs and realities expressed in Anglo-Saxon ballads and Albanian ballads and frontier warrior songs there are taken some examples of them and also seen their way of expressing in them in the first forms of early literature that was the oral one. The concept of metamorphosis is expressed in various ballads and frontier warrior songs and in many cases it is combined with together with some other motifs

The study aims at examining a number of ballads and frontier warrior songs Anglo- Saxon and Albanian ones and see the points they have in common or not. It tries to analyze and put into confrontation them bearing in mind the realities of each nationality and culture. As they are explored they show the concept of peculiarities each culture has, too. The concept of metamorphosis is connected with a lot of conditions that were related with the time they were created, the social background of the people whom they were dedicated to and in addition the ones that created them and the possibilities that were given to the bards to express themselves.

### Methodology

This study aims to analyze comparatively the similarities and differences expressed in ballads and frontier warrior songs. There are highlighted and contrasted motifs in ballads where they are used and there is shown their common utilization in literary master pieces.

### Objective of the study

This study aims to investigate the relationship between the Anglo- Saxon ballads and Albanian ballads together with frontier warrior songs. It studies the socio - educative factors according to the model of early literature. The social period when they were created was an important influential factor that had its consequences in early periods of literature expressed orally and transmitted by word of mouth.

## Research question

What is the relationship between Anglo- Saxon ballads and Albanian ones and frontier warrior songs from the point of view of certain motifs such as metamorphosis?

## Variables

In order to check the relationship between the Anglo- Saxon ballads and Albanian ones and frontier warrior songs there are taken some analysis of some ballads or frontier warrior songs that were either in Albanian or Anglo- Saxon literature. The materials are taken from the written versions that were collected and printed in the following years by Fransis Child; The English and Scottish popular ballads and Albanian ballads and frontier warrior songs.

## Discussion

This study found that there are significant relationships between the Anglo- Saxon ballads and Albanian ones and frontier warrior songs. In the early literary times people called bards were motivated to create ballads and frontier warrior songs in order to evocate some qualities of the people that in some cases paid or rewarded them. There exists a significant relationship between them although they were not near from the geographic position. There is present the fact that they express a similarity in the way how metamorphosis is treated in them.

The Anglo- Saxon ballads and Albanian frontier warrior songs and ballads came into existence a long time ago and they had a certain number of influences which as a result had their great impact on their creation, development and circumstances when and where they were composed. They were created as a consequence of some special historical, cultural and social development. It has to be emphasized that those influences were of different character and size such as human, non-human or divine ones and the compositions of songs or ballads were inspired and conditioned by a lot of circumstances. There were a lot of situations and things which helped their topic, course of story and character development and made them resistant to the long line of time. It is to be mentioned and also to be taken into consideration the period, place and also of great importance is the level of composers of ballads and songs. In many cases they were simple people coming either from the medium class of society or in the case of Albanian frontier warrior songs they were just people who were called bards, paid or rewarded for that job, who accompanied the heroes in their battles and whose main role was to transmit and echo the deeds of the warriors or other characters and subjects, in the majority of instances the good ones by the word of mouth, so important for the time when the written form was not developed yet. They had a really high value because they are the ones who glorified the heroes but they had the mission to transmit the first forms of literature, too. They were people who mostly were not so highly educated how to create them but they were guided by how their mind, reason and sometimes their heart perceived and they reacted towards them.

In the beginning they were transmitted and preserved orally being under the company of musical instruments in some cases, too, but later on there were some personalities such as monks and priests, publishers or writers who considered their importance and took the effort to initiate the process of their collection and documentation. With the passing of the time as they were collected different variants of the same ballad flowered sometimes with different names, places or characters but their essential main theme was in general the same in all of them. It is worth mentioning that the age when they were written was a completely different reality from the one we have nowadays and of course they had an utterly another mentality and psychology, education, development and character and as a result they were reflected on their topic, plot development and character description.

As a consequence of the above mentioned facts authors sought for different solutions to help their creation and ability to resist and not to be forgotten or disappeared and they were highly emotionally and spiritually transmitting a lot of feelings and internal states of being, too. Some of the characters which had the role of the antagonist had a huge mythological nature and the main heroes had to be really strong physically, convinced in their aim, dedicated and pure in their hearts in order to fight and win against them. Apart these in some other instances there were other means which were so helpful to the creators of these initial pieces of art. Some of them were figures of speech and themes metamorphosis, one of them, is used in poetry and prose and in many instances its use and presence was really powerful and useful to solve certain weird, difficult and complicated situations and conditions. Anglo- Saxon ballads and Albanian frontier warrior songs and ballads had a lot of important characters who in many cases were defined as the main heroes or heroines and as a result of being so they were the ones who were usually worn with important qualities and influential skills such as their wisdom and strength. Ballads and songs endings or conclusions sometimes had a closing which was not successfully, so easily accepted or liked by the large audience. Maybe common people were not satisfied by the way how their favourite

personages' fates and lives ended. Maybe they had in mind or wanted that their likeable personages had another solution and as in some ballads it was not possible to be achieved or allowed as long as the main characters were alive, it happened after their life cycle ended and they were realised when they were dead.. In the ballad 'Kostandini and Doruntina' one of the brothers gave his word of honour to allow his sister to get married but in a country that was far away from his and he promised that he would take his sister to see her family at a given time at a certain frequency. A misfortune happens he dies but his mom goes to his grave continues to ask to keep his promise and send his daughter because after the great disaster happened to their family all her 12 sons died. He arose from his grave and goes to take his sister and send her to meet her mother. When he goes to take her the tombstone turned into a stallion, while the graveyard soil became a saddle.

Constantine, my son, where are you?

What now for your word of honour?

Thus complained the widowed mother,

Longing for her distant daughter.

From the grave arose Constantine,

Tombstone turned into a stallion,

Graveyard soil became a saddle.<sup>1</sup>

Metamorphosis is that means whose function may be called as a regulator in that way as it gave a little hope of life continuation. It also gave the satisfaction that certain life decisions that were decided either by people's will or destiny were not the right ones when they were alive but after the their life cycle finished or their fate changed. Metamorphosis works hard to make wonders and whose function is to regulate some things that were impossible to be solved by the usual flow of events and so its presence intervenes to strongly regulate or compensate some of them. In some ballads it is also helped by magic transformations such as in the ballad 'Kamp Anyone' a girl called Isabel is transformed into a monster by her stepmother. This spell can be broken only if Kamp Anyone kisses her three times and Isabel tries to convince him by behaving in a way that he can do that. He offers her three magical things that will protect her such as a belt, a ring and a sword.

Metamorphosis is present also in 'The Laily Worm and the Machrel of the Sea'. Kidnapping is not only committed by men but by women too as in 'Alison Gross' a witch (the queen of the fairies) who wants to seduce a man and when she does not succeed she transforms him. So transformation is present in the ballad 'The laily worm and the Machrel of the sea' where a young boy is transformed into a worm by his stepmother and his sister into a mackerel.

I was but seven year auld

When my mither she did die

My father married the ae warst woman

The world did ever see.

For she has made me the laily worm,

That lies at the fit o the tree,

An my sister Masery she's made

The machrel of the sea.<sup>2</sup>

It may be combined with the magic as in 'The Twa Magicians'.

She turnd herself into an eel,

<sup>1</sup> Balada Shqiptare, Vladimir Zoto, Tirana Dasara 2006,pg 57- 59. Translated from the Albanian by Robert Elsie

<sup>2</sup> Fransis Child, The English and Scottish Popular ballads, volume 1 pg 315 Dover Publications, New York 1965

To swim into yon burn,  
And he a speckled trout,  
To gie the eel a turn.<sup>1</sup>

There are other motifs that accompany transformation such as continuation of human life even after death 'Biseda e Halilit me vdekjen- The talk of Halil with death', 'Varri i trazuar- The Unquiet Grave'. There are transformation from human beings to birds or flowers. There is the case of metamorphosis of Agë Hasan Aga's sister who in the end of the ballad after her brother dies turns into a cuckoo because she cannot bear the fact that he died and she prays God to transform her into a cuckoo. Another example would be that of the 'Snake boy'. A couple who did not have children for a long time prayed God so that they could become parents like all the other couples and their prayers were heard and fulfilled because after 9 months there was born their son but he was not born like the other newborn babies but like a snake. Years pass and the snake asks his family to get married and his desire was realized. After his marriage his mother asks her daughter-in-law how can she bear the fact to sleep with a snake and she stays awake all night to see him at night while he was asleep. During the night he transformed into a handsome young man and his mother sees him transforming into a handsome young man while he takes off his shirt or skin. The snake boy told his mother that he had to keep that snake skin for 6 other years and then turn into normality as a human being but he unfortunately would die because his mother burned the snake skin. Barbara Allan is another example of metamorphosis. She is a young maid, who is buried in the same church with her beloved. Their love may continue after their death because as long as they were alive they could not be together as a couple because she not answer back his love. It is said that a briar grows from her grave while a rose from his. Other examples would be 'The three ravens', 'The two corbies'. Supernatural and magic are other motifs and also means that accompany transformation and they work together to give a better understanding of the ballads. The idea of life continuation after death can be seen even in this ballad where a slain knight is lying somewhere on the ground and scavenger birds converse with one another about eating him but he is guarded by his hawk and hound and in the end a fallow doe comes to his body kisses his wounds and bears him away and so the ravens cannot eat him. Misfortune and death accompanies in many cases the main characters. They either cannot bear or resist death and they are transformed into cuckoo with their request so they can keep crying all the time or they may also be changed into stones and cannot say anything but accept the reality how it is.

Downe there comes a fallow doe,

As great with yong as she might goe.  
She lift up his bloody hed,  
And kist his wounds that were so red<sup>2</sup>

In the ballad 'The Unquiet Grave' the talk that the dead has with the living ones is similar with 'Halili në varr- Halil in the tomb'. In some songs in 'Muji and Halili Cycle' there are some fairies who have such a bad personality that if people are walking in their mountains, in the place where they stay and they happen to forget and continue speaking where and when they are sleeping they get up in a bad mood and as a punishment they transform people into stones. Even the main character in the Albanian frontier warrior songs Muj is transformed from a fellow that was weak into a strong one by just drinking milk given by the fairies as a reward of taking care of their children while they were away.

As it is seen from all the examples metamorphosis was a good means in the hand of the bards or people who sang and recited them. They were there to help the authors solve certain situations that were impossible to be in natural situations.

Metamorphosis is used to express that never-ending process and of course it is transforming. The changes are either positive or negative and consequently people may perceive different good or bad feelings. It is related to the magic world and the unrealistic one and sometimes it is a beautiful feeling when a human being transforms into a rose and showing a form of life continuation after death but in many cases it transforms into a non-desirable object or animal. It is a quick transformation from one thing to another and it may have either positive or negative effects on the audience.

<sup>1</sup> Francis Child, The English and Scottish Popular ballads, volume 1 pg 400 Dover Publications, New York 1965

<sup>2</sup> Joseph de Roche, The Heath Introduction to Poetry, D.C Heath and Company, Lexington, Massachusetts, Toronto, 1988 The Three Ravens, pg 39

## Conclusion

In conclusion naturally metamorphosis in literature is related with the magic but it sometimes may be a born deformity and in order to cease its kind of curse the person has to wait for a certain number of years until it ends. As people are transformed into a non-desirable objects or animals they have to fulfill some conditions so that they can turn back to normality. Change can be for a positive or negative ideas, people's desires or tricks. Metamorphosis is commonly found in old literature and this helps understand their reality. Transformation may occur to simple people but also to those of high social level. Its help is to unite a couple but also to isolate them in their unrealised life as long as they were alive. The main heroes or heroines had different responsibilities and their sacrifice is a national, social or family duty that made family members' personality sacrifice and overcome their desires although they wanted to have a personal life full of feelings and emotions and the main themes of that time were based on bravery, heroism, honour and duty and maybe their special loyalty. As a result metamorphosis helped literature to fulfill some duties in some cases while in other ones it was a process of life continuation.

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## Specifics of Algorithmization in Data Culture

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### Abstract

Information societies effectively transform existing cultures. New cultures are variously defined, but because of the fact that they are dominated by information, the term "data cultures" seems to be the most relevant name for them. Although, it is possible to create a single global data culture in the future and such predictions prevail in academic and non-academic reflections on this subject, so far in addition to global trends there occur local data cultures, what also dynamizes and enriches both individual and collective identities. As Kazimierz Krzysztofek aptly notes, in this situation: "The greatest contradiction of the civilization of the 21<sup>st</sup> century is drawn. On the one hand, a continuous imperative: be creative and innovative, on the other hand, an increasing pressure on prediction of people's behaviour, because unpredictability causes chaos, which cannot be managed". In other words, one of the most important social issues today is to create some order in data culture / cultures (often pictured by columnists and researchers as a "magnetic storm"), to reduce its / their infinite complexity, i.e. simply the algorithmization process. With regard to culture, it is not possible to use unequivocally a mathematical algorithm that is the most precise, or a genetic or hormonal algorithm that functions in nature, because accustoming cultural chaos is always strongly ideologized. The algorithm should be treated as a metaphor used to explain cultural phenomena, especially their developmental tendencies. For the researcher of contemporary societies, it is very important to answer the question: what proportions of structure and network are the most beneficial for the survival of data culture / cultures? This answer also directs reflection on the quality of life of individuals and societies, limiting or promoting individualism and collective intelligence in the era of hyper-digitization. These considerations are limited to the initial characterization and evaluation of the information algorithmization of man. The author of the study refers to the concepts of researchers from different countries, highlighting the specificity of today's algorithmization, among others the model of ambient perception, which facilitates participation in the networked information environment, scope and reach of the big data phenomenon, forms of data visualization, personalization of content, Isotype visual language, network custody, data journalism and others. In conclusion, it is pointed out that the information algorithmization of man is constantly growing, which proves that data management strategies weaken the phenomenon of information overload through the logic of numerical civilization, which limits diversity, seeking to count, record and globalize everything.

**Keywords:** information society, data culture, algorithmization, distraction, strategy, mobile application, authority

### Introduction

The development of every society is an extremely complex process, and therefore its description must be limited to presenting only its dominant features. Modern society is most often referred to as the information society, because information is one of its essential products of important utility and culture-forming value for it, largely determining its progression. Hence, information is the axis of our attention and the following considerations. More precisely, we will focus on high technology, which for half a century, transforming mostly into objects of everyday use (so-called soft technology), makes further breakthroughs in interpersonal communication and all spheres of life, i.e. when compared to the past it extremely speeds up production, storage, processing, sending and exchanging various types of information. In the 21<sup>st</sup> century, almost every member of society, regardless of the diversity of these societies in terms of economic and cultural development, has a sense of increasing information redundancy and experiences difficulties in solving many problems related to it.

Information societies transform, quite radically, all - small, large, highly developed, and underdeveloped - local identity cultures, making them strongly dependent on a very dynamic and expansive global culture, a non-identity culture in the

traditional sense of personal identification. Many boundaries and principles that have conditioned previous social orders are blurred. First of all - as the media sociologist aptly emphasizes –

In the modern world, hierarchical structures have become completely outdated. The “up-bottom” hierarchy of information flow gradually rots - it can be metaphorically said that it has not stood the test of time. A knowledge and information based society even forces us to function in more flexible, egalitarian structures, with a rapid circulation of information and other resources, which is ensured only by the network structure. [...] Networks, however, are not amorphous, you can determine their number of connections, orientation, reciprocity, transitivity, density, strength and other elements thanks to which we can analyze what position individual units have in the network and how the network affects interpersonal interactions. However, life in a network society is not free from disadvantages – taking into account the high complexity of the structure, there may occur problems with coordination of activities [...] (Szpunar, 2005, pp. 82-83).

The problems mentioned above, regarding not only actions, but also the coordination of thinking, have become very complicated and multiplied over the last several years for many reasons, not only those related to the expansion of technology. Referring to the classical typology of social time, by Georges Gurvitch, it can be stated that at the end of the second decade of the 21st century, information societies live in *le temps de l'incertitude* (uncertain times), in which events develop in a very variable rhythm, and the present shows a pronounced advantage over the past and which - in the common sense - are increasingly taking the form of *le temps explosive de la création* (extremely explosive time of creation), based primarily on discontinuity, instability and randomness. According to the French researcher, the uncertain time still accelerates its course, while the explosive time increases the risk and forces strenuous effort beyond one's capabilities (Gurvitch, 1961, pp. 37-39). Some tired and frightened by the pace of life members of information societies even believe that the order of time sequence embraced in the Latin sentence: *Animus meminit praetoriorum, praesentia cernit, future providet* (Mind remembers the past, sees the present, predicts the future) has already been unduly violated, while others even say about the "magnetic storm" (rapid and intense changes in the physical and symbolic parameters of the information stream) that is already underway in the communication space. Even if such a radical position is rejected, there is no doubt that one of the most important social issues is to create some order in this space.

This space, i.e. the culture produced by the information society, is today referred to as the data culture, because in the public and private sectors, both employees and decision-makers most often shape their knowledge and make decisions based on the principles of the so-called datafication, i.e. the use, mostly in the form of analysis, of an increasing number of numerical data. Datafication, already dominating in business, industry, economy and more and more often in politics, also enters colloquial communication, art and fun, it is everywhere and involves managing an enormous amount of information that on the one hand increases the sense of redundancy, but – on the other - is also a the source of the wealth of cultures that can expand the possibilities of human cognition and develop the creativity of individuals and social groups.

Researchers generally use the terms “information” and “data” interchangeably, although colloquially, “data” is treated as raw facts, and “information” as contextualized data having a specific meaning. However, in communication practices,

millions of books stored on library shelves contribute to overload in the same way as terabytes of databases on server magnetic tapes. As long as the Web user does not interact with them in a real communication situation, there is basically no difference whether we are talking about data or whether we use the concept of information (Piekarski, 2017, p. 17).

In other words, in the pragmatic approach that we are interested in this text, the idea of the data culture is the concretization of a new and higher form of culture based on the network structures of functioning of the information society. The data reinforce the hitherto endless complexity of life in contemporary individuals and societies, and cast a stronger, partly new light on the issues of the adopted principles of social orders, i.e. procedures of conduct in specific circumstances. These processes receive a powerful impulse for data production via the "Internet of Things" and the so-called smart homes, what researchers pointed out a few years ago. For example, one of them wrote:

It is estimated that there are about 40 billion devices integrated into the network, which means that there are already 5 times more devices connected to the network than people. By 2017, the ratio of devices to people will increase as 1 to 130. Their number in the long term [i.e. today - T. M.] will exceed a billion. All these objects emit an avalanche of data (Krzysztofek, 2015, p. 59).

The same researcher several years earlier pointed out

the greatest contradiction of the 21<sup>st</sup> century civilization. On the one hand, a constant imperative: be creative and innovative, on the other, an increasing emphasis on predictable human behavior, because unpredictability causes chaos that cannot be managed. This was relatively less important when the technology of the era of mechanics imposed certain procedures on human muscles and senses. However, today's technologies replace some of the brain's functions by imposing their algorithms on it (Krzysztofek, 2004-2005, p. 61).

Therefore, the purpose of this research reflection is to identify the most important algorithms that are developed by the modern information societies as well as the specific features of this algorithmization. We assume that information algorithmization of a human being is exemplary (model) for many other ways of solving current social dilemmas, which, among other things, explains why it is also worth to consider its specificity.

When one talks about different types of recipes used in a world where more and more electronic calculations need to be made, obviously a mathematical algorithm seems to be the most accurate recipe. The very term "algorithm" comes from the Latinized name of the scholar Muhammad ibn Musa al-Khwarizmi (Latin Algorismus), who in the 9<sup>th</sup> century in his treatise entitled *Al-kitab al-muchtasar fi hisab al-Jabr wa-al-mukabala* (A short book on calculating by complementing and balancing) wrote "rules for performing basic decimal arithmetic operations" (after Knuth, 1968, p. 3).

And at the beginning of our century, the famous mathematician, the creator of "A New Kind of Science", unambiguously announced that "at the beginning of everything there was an algorithm" (Wolfram, 2002), thus expressing the conviction that all scientific and man-made algorithms imitate algorithms of nature. However, the algorithms associated with the latest inventions based on high technology are not created on the basis of simple similarities, neither to mathematical programming nor to natural "recipes", e.g. genetic or hormonal algorithms, although sometimes, as in the case of ant colony optimization algorithm programs or neural networks, they imitate them a little.

In addition:

Computerization of intelligence, its algorithmization, is something that we know very little about. The very term "artificial intelligence" or [...] algorithmic intelligence seems to be contradictory. We understand intelligence as our, essentially unprogrammed, and therefore non-algorithmic, abilities. For many people, the very idea of an intelligent machine does not sound sensible (Harel, 2002, p. 163).

Regardless of how strongly and widely doubts in these matters are dispelling and deepening, one belief gains absolute certainty in every person today, namely that culture (and everything else also), despite its increasing complexity and openness at the same time, is growing more ordered, i.e. algorithmized. Therefore, it is best to treat the algorithm as the most important - at least for now - metaphor of modern culture, with the help of which one can describe, analyze and explain numerous changes that occur in our lives.

## Methodology

The short history of the data culture and research on it unambiguously confirms the need to use multi-methodology in analyses of human algorithmization. It has been proofed by the works by Geoffrey C. Bowker and Susan Leigh Star devoted to the classification and standardization of various aspects of life, both those that are self-steering and those that are subject to external control (1999) and Bowker's article on layering biodiversity processes in "local data cultures" (2000). Furthermore, information algorithms are elements of the organization of systems of all kinds and almost all spheres of human activity, as demonstrated by, among others Microsoft's 2014 incorporation of data culture into everyday life through - primarily company-oriented - services such as Office 365, Azure or SQL Server (in the scope of device and database management as well as network security, in the field of cloud calculating services and others).

The constant increase in the number of algorithms and their increasing range of functioning are factors that somehow automatically impose on researchers a broad, increasingly wider multidisciplinary perspective. The analysis of this cultural phenomenon, always strongly ideologized and politicized, which in these considerations is not the subject of attention, therefore requires parallel and comparative approaches, based on knowledge from various fields and disciplines of science, mainly sociology, anthropology, history, information systems and design.

This is indeed the logic of numerical civilization created and developed by - as Arthur Kroker and Michael A. Weinstein called its authors in the previous century - "virtual class" (1994). According to it, everything should be *ponderabilium*, *calculabilium* and *metrabilium*, which means counted, weighed, measured, recorded, and today it often means simply - globalized, i.e. mainly algorithmized. The dream of mathematization and computation, which can be derived from the

seventeenth-century philosophy of Gottfried Wilhelm Leibniz (the idea of *Calculus*) still remains just a dream, because the scale of data production and processing is constantly increasing. New spirals of complexity are constantly emerging, expanding the information spaces arranged by an increasing number of algorithms. Currently, these spirals are wound up by self-recording and self-displaying technologies as well as the machines that communicate with each other by their algorithms (Arthur, 2009).

The geometric increase in new algorithms makes the area of research we analyze extremely dynamic and forces us to engage in some kind of research games, i.e. contamination of various ideas and methods that consolidate the fairly common belief in the fluidity of the studied information reality itself and all descriptive and evaluative approaches to it. Today, basically, one can only point to certain solid elements in this reality, knowing that they will evolve quickly, becoming more perfect, or be replaced by completely new ones.

### **Algorithms, or strategies to prevent information overload**

The phenomenon of information overload has been known since antiquity and was dealt with by representatives of various sciences in each of the past eras (see e.g. Blair, 2010). That is why it is known that the most important commodity causing commonly felt communication disruptions is not information at all, but it is the human attention needed to capture its sense, and more precisely the distraction increasing along with the development of our civilization (North, 2012).

Digital technologies make – as Chad Wellmon convincingly states - the network become more accessible because it seems much smaller and easier to use than we usually have imagined. [...] the discussion about the infinity of information is rather pointless, because we do not experience information as pure data regardless of whether it is a byte or yottabyte, but as data filtered and shaped by the keyboards, screens and touchpads of our digital technologies. Regardless of how impressive the astronomical amounts of information seem to us, our bewilderment and concern about the enormity of data obscure only the image of how we actually interact with them and the world that data and we are part of (2012, p. 67).

Following this trail of thought, it can be stated that also in the networked information economy, in which multitasking currently enjoys great interest (simultaneous use of many communication devices), the most noticeable is the distraction of attention that multimedia users, that is almost all members of the modern society, are constantly trying to defeat.

Information treatment, that is, such a focus of attention, thanks to which data gains meaning, is most often referred to as filtration. The more information we have, the more we need to filter it, and therefore it is very important to have knowledge about filters and on how to use them. Algorithmization involving the use of specific information selection strategies is one of the most effective filters available to the information society. Its effectiveness largely depends on the members of society with several basic media competences, especially the basics of programming. Depending on the level of mastery of these skills, algorithms of this kind are more or less "friendly" (and useful) to humans, which somewhat jokingly, but with conviction illustrates Douglas Rushkoff's postulate: "program or be programmed" (2010).

In communication practice, we already use many strategies to prevent information overload. In this text, I will mention only those that the previously cited researcher Karol Piekarski considers fundamental and presents them in the chapter of his book devoted to Data Culture, entitled: *Algorithms to the rescue: strategies for selecting content on the Web* (2017, pp. 141-256). The author treats strategies as hybrid phenomena (combinations of technological and design solutions, as well as social content management mechanisms), arising in response to information overload, arising both in a bottom-up way and independently of the intentions of the information society's members as a necessary condition for their adaptation to real needs.

In his opinion:

The development of the World Wide Web has been a logical consequence of phenomena that have been taking place in the knowledge system since at least the beginning of the 20<sup>th</sup> century - defragmentation and globalization have forced the creation of a universal management system that would allow to reorganize dispersed knowledge using the intellectual capital of various social groups. The overriding principle of the new system was the standardization of protocols, enabling the smooth joining of various pieces of information. Due to this type of interoperability and interconnectivity, it became possible to find and create patterns and principles in a (permanently) disordered information environment (Piekarski, 2017, p. 143).

In other words, the realization in 1989 of the vision of "the potential possibility of connecting anything with anything" (Berners-Lee, 2000, p. 162), i.e. the emergence of a hypertext web, consisted in the wide availability of tools enabling quick

combining of content from various sources and developing new communication and cultural standards to maintain the open nature of the Web and to deal with the data overload.

Except for these standards of combining and receiving information, the basis of today's algorithms is also the need to accept the chaotic nature of knowledge and the use of new, much more than before, democratic information processing strategies. New knowledge systems are created thanks to a new type of taxonomy, known as folksonomy, i.e. the categorization of content by spontaneously cooperating people within unhierarchized communities by using arbitrarily selected keywords and bottom-up metadata creation, enabling information selection (Maj, 2009 & 2014, pp. 24-45). These folksonomic strategies are not intended to create a holistic and finite picture of reality, but they can effectively manage information chaos by using partial solutions. The essence of this form of social filtering is the combination of algorithmization and collective intelligence: "With the right algorithm, we are able to contextualize a disordered set of meta-information, just like search engines or tag and link management systems do" (Piekarski, 2017, p. 172).

In practice, there already exist many forms of algorithmization. The Big Data model, which is a fundamentally new approach to constantly growing information resources, is very popular and still expansive. It consists in replacing existing ways of understanding the reality, primarily in formulating hypotheses, determining - on the basis of an avalanche of information taking into account the preferences of the Web users - the degree of dependence between completely different phenomena, the degree of probability of occurrence of events, risk assessment, etc. (Mayer-Schonberger, Cukier, 2013). Algorithmization based on data visualization also becomes more and more popular, which goes far beyond the existing specialized diagrams development thanks to the use of the universal visual language Isotype. The creator of this language, based on transformation mechanisms that transform almost all figures into images, is Otto Neurath. Transformation mechanisms are creatively adapted to new technology environments, take into account the huge potential of interactivity and virtuality, personalize messages and generate completely new symbols (Neurath, 2010). The language of visualization plays an increasingly important role in the so-called data journalism, practiced by interdisciplinary teams of journalists, programmers and designers searching and using infinite databases.

Among other popular algorithms, there are two alternative ways to filter content: automatic personalization and curated web. The first is based on the automatic adjustment of messages to the preferences of multimedia users, while the second - on the strict selection of information made by network curators. The first generates overproduction of profiles, the second - intermediaries in access to information who replace former gatekeepers. Both methods of algorithmization currently strongly "compete with each other", but most researchers believe that although they have a high potential for creating order, none of them strengthens the credibility of information sources. Karol Piekarski believes that associated with them in attempts to overcome information overload limitations and threats can be reduced with the help of a new model of perception, called ambient perception (2017, pp. 257-284). As it happens in the world of everywhere, it covers with algorithmization not only traditional media products, but also everyday objects (Greenfield, 2010). Simply said, various extensions of the human perception apparatus make information easily available at the place and time required by media users, making it easier for them to make specific decisions. The ambient perception model, which is a kind of synthesis of all previously described forms of algorithmization, is a model open to new information phenomena, open to the future.

### **Algorithms, or utility software programmed for portable devices**

All the forms and methods of algorithmization mentioned so far are widely known to the participants of network communication and used by them, even if they are not very educated people and do not deal with programming. Some are primarily used for practicing various professions, arts and sciences, sports and games of all kinds and highly specialized works, but the vast majority, in addition to those profession-related associations and conditions, which rightly let us treat algorithms as tools of power (this is, however, a broad topic for a separate studies), is more or less consciously, useful and effectively used by all members of the information society. The algorithms achieved by means of mobile applications are much closer to them, especially since mobile phones have been replaced by smartphones (since 1992) and the popularity of tablets and phablets (hybrids of both devices) is increasing. We will make a brief review of their huge potential for algorithmizing modern man by following the thought path of the researcher, who defines them as "the tissue of everyday life", defining and cataloging all spheres of human life, which is "updated according to the marketing principles of survival on the market" (Orzeł, 2017, p. 13) .

Mobile applications are primarily utility software that kaleidoscopically meet the emerging needs of individuals and social groups, more and more often referred to by programmers as *Multi-Screen Consumer* (combinations of three screens: laptop, tablet and smartphone are the main matrix for obtaining information), and by sociologists as *homo mobilis*. The

increase in mobility is associated with the increase in the decision-making of the multimedia user and, therefore, each subsequent update of operating systems entails enrichment and harmonization of their experience. However:

What would a smartphone be without permanent internet access? Undoubtedly, permanent connectivity is the existential foundation of the "smart" prefix and the mobile applications that are a part of it. This system of connected vessels becomes an indicator of a new cultural order. Why not use this fact for effective (and impressive) product promotion? (Orzeł, 2017, p. 79).

Research on these forms of algorithmization conducted around the world clearly shows that the main goal of the expansion of the new mobile order is to develop new consumer behavior. Through the application, producers of various goods try to get into the consciousness of customers, and consumers try to manifest their unique "I" to force them to meet their own needs. That is why current trends on the mobile application market are extremely mobile: the words of Steve Jobs, Apple president, many years ago stating that "people do not know what they want until they are shown" often are true. However, opposite beliefs, a strong firmness expressed by consumers, seem true similarly often too. In addition, the dynamically understood principle of "one size does not suit all people" is spreading in new marketing. Of course, marketers are more effective than customers, but customers have more and more opportunities and chances to articulate their needs for which they want to pay providing they are met.

Mobile marketing still has huge development perspectives ahead, because it uses increasingly complex strategies for transforming multimedia users into potential consumers. For example, the SoLoMo trend has recently become popular (an acronym for Social, Local and Mobile), based on a combination of social media, geolocation and a rich mobile staffage, offering recipients information that steer their expectations, firmly embedded in their locality and encapsulated in additional up-to-date content (Kelly, 2014). Other trends in this area are illustrated by, among others application versions of branch online and brick-and-mortar stores, a *Brandomesticator* loyalty application, or finally application hybrids promoting famous places and institutions important for some reason.

A separate, very popular and multi-genre group of applications is associated with computer games ubiquitous in the contemporary culture, which are also used on other devices, such as portable consoles, tablets and smartphones. Telephones for new media players have been created since 2003, the pocket games segment is rapidly growing. Furthermore, the tactile trend is intensively developing due to the use of "Augmented Reality". Mobile gaming is constantly diversified and enters complex relationships with new technological inventions, social phenomena and consumption trends.

On the one hand, mobile applications satisfy and even enhance the culture of individuality, on the other, they express the strenuous pursuit of information society members to rationalize and organize their lives. Since 2013, when first selfie and later self-tracking made the smartphone a manifest of human personality, there was an invasion of mobile start-ups, widely known since 2011, which propose ways of dealing with risk through innovation. This type of algorithmization accurately reflects the nature of one of the basic directions of development of modern societies, most often referred to as "controlled destruction", about which an outstanding British sociologist wrote twenty years earlier: "The possibility of destroying the established order of things and opening new roads, and thus colonizing a new fragment of the future, is a feature of the disturbing nature of modernity" (Giddens, 1991, p. 184).

Summing up this fragment of considerations, it can be stated that many everyday devices organize our lives, because they have become ICT hybrids, screens with components of a computer connected to the internet and logged in to the appropriate "cloud". Televisions, telephones, watches, and even ovens, washing machines, refrigerators and coffee machines become "intelligent" and "cross-linked" thanks to mobile applications and effectively facilitate everyday management. Effectively, because members of the information society not only change most of their current communication behaviors, but also acquire completely new competences in the field of information production and processing. These are, among others digital reading, multitasking or recording high quality videos with the use of drones. Some of these behaviors, however, are quite controversial, e.g. according to the American Psychiatric Association, the constant desire to take pictures and post them on social networking sites can be a form of obsessive-compulsive disorder (*Selfitis* is on the list of personality disorders), and non-reflective checking of everything in mobile applications can lower the level of individual meanings and decision making.

## Conclusion

Not only researchers of the information society, but also its ordinary members are at the same time satisfied with information algorithmization, but also do not hide anxiety about the role of computer algorithms in their lives. They more often control their daily thoughts and actions and determine their future.

Algorithms, invisible pieces of code forming the construction and mechanics of the modern era of machines - writes the English mathematician, Hannah Fry - gave everything to the world - from subscribing to information channels in social media, through search engines and satellite navigation, to the systems of recommendation of musical works - and are part of our modern infrastructure on a par with bridges, buildings and factories. We installed them in hospitals, courtrooms and cars. They are used by the police, supermarkets and film studios. They got to know our likes and dislikes; they tell us what to watch, what to read and who to date. At the same time, they have hidden possibilities, **due to which they slowly change criteria of humanity**" [emphasis T.M.] (2019, pp. 12-13).

Though this diagnosis made to the modern world may resound strongly and menacingly, but it is repeatedly backed up by multidisciplinary research conducted on all continents and in the everyday life of several billion users of multimedia and other electronic devices.

H. Fry thoroughly characterizes and analyzes the mechanisms and ways of functioning of algorithms in various areas of life. First, in the chapter with an eloquent title: *Power*, she refers to a chess game played in 1997 by Grandmaster Garry Kasparov with a chess computer, Deep Blue. Man's loss became an opportunity to document the thesis that "the power of the algorithm is not a simple function of what was written in the lines of his code" (Fry, 2019, p. 17), it is "our human tendency to look zero-one - recognizing the algorithms as either all-powerful or useless – that is a serious problem in the age of advanced technologies" (2019, p. 38). The author looks at the algorithms that the police use to create silhouettes of potential criminals, judges to formulate judgments, doctors to challenge previous diagnoses (including problems of overdiagnosis and unnecessary treatment), passengers of autonomous cars to clarify their moral principles, and contemporary artists to predict popularity. Her findings accurately summarize the current state of affairs in the areas of reality we analyze, and contain clear and specific postulates for the further development of algorithmization of the information society and scientific research on it. According to H. Fry, the most important is the attempt to achieve a balance between the strengths of man and machine: "the best algorithms are those that take into account man at every stage of their operation" (2019, p. 258).

So we should never allow machines to have authority over us, to force us to adapt to them thoughtlessly. However, achieving this goal is not easy, because the algorithms enjoy numerous successes in replacing many human skills and difficult tasks. Although we know that not every aspect related to the human being can be quantified, today at the peak of the extremely explosive time of creation (this old Gurvitch's metaphor gained more and more relevance at the end of the second decade of the 20th century), when almost everyone experiences the ubiquity of high technology, most popular ideologies are based on the dogma of growth, which means that quantity is treated as a measure of the better quality of various processes and human life (Miczka, 2015, pp. 13-17). Quantity has become an obsession for individuals and social groups, and of course this also applies to algorithmization. But do biological nature and structure, today mainly network, and communication mechanisms cope with the solution of this *coincidentia oppositorum* shaping the development of the information society?

The answer to this question is (for now?) negative. Most experts on this subject, like cited earlier Kazimierz Krzysztofek, believe that there is no time perspective that would set boundaries for the growing pressure of information algorithmization of man, on the contrary, technologies producing algorithms are accelerating (2005, pp. 60-73). It is hard not to wonder when one considers the redundancy of information - after all, breaking through such reality requires increasingly better information bypasses, but the point is that adapting technology to man, which today involves the increasingly intensive algorithmization of them and their surroundings, does not dehumanize our species.

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## Strong Disagreements West-Moscow on the Future of the World After World War II

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### Abstract

The European continent after the end of World War II was completely destroyed. A destruction of such proportions was not even done in the 30-year War three hundred years ago, not even in the Napoleonic wars of the 19th century. Now the victors had to prepare the treaties. This did not turn out to be a simple task. For the first time the Council of Foreign Ministers of the victorious countries met in London from September 11 until October 2, 1945. The first problem faced by this council was the opposition of Soviet Foreign Minister Vyacheslav Molotov to accept France and China as allies. France was dissatisfied with the Soviet move and again felt excluded from major decisions. US President Harry Truman appealed directly to Stalin, but the latter did not respond. The Western allies proved determined. They would not allow any of their allies to be excluded from Soviet desires. This act was also the first disagreement between the Western foreign ministers and the Soviet foreign minister.

**Keywords:** WWII, treaties, decisions, alliance, desires.

### London`s Conference 1945

Disagreements between the West and the Soviet Union also came into conflicting views on the future of the Mediterranean and Eastern Europe, which Bevin as the representative of Great Britain has considered them as strategic areas for his country.

Molotov also considered areas of particular strategic importance to the Soviet Union. When it came to talking about Italy, Molotov demanded that the Soviet Union be given Libya in good faith, but he encountered Bevin's rejection. Molotov demanded that Yugoslavia must take the port of Trieste which was occupied by Anglo-Americans. Both Bevin and Burns (US Secretary of State) refused.

Bevin understood Stalin's game for the Mediterranean. He wanted as many safe harbors as possible in this space to play a key role in the Middle East and in Mediterranean. The UK could not easily allow it to be replaced in a strategic area for which it had invested for two centuries. But politics are relentless. The great powers have always replaced each other. British interests felt threatened from the Suez Canal to the oil fields of Arabia. While the UK sought to continue to be the first violin in the Middle East, the Soviet Union sought all of eastern Europe.

Molotov therefore rejected all Western arguments to allow a free process to choose the form of government in this area of Europe. Although coalition governments were formed in some Eastern European countries, the communists and pro-Soviet members of these governments were the real power. Even for Germany, no meaningful agreement was reached. Molotov repeated Stalin's request once again for the Ruhr area to be divided between the four occupying powers.

The Western allies rejected the demand, and in turn Molotov rejected their demand for free access to the Soviet occupation zone. The French used the Council of Foreign Ministers to request the Rhineland area to be detached from Germany and together with Saar to become part of the French economic system and Ruhr to be internationalized.

Neither with this French proposal they agreed. Being that they were unable to agree on fundamental issues, US Secretary of State Burns asked Molotov for a meeting of the three greats in Moscow in December. Molotov agreed with all of Bevin's objections. Even at the December meeting, the three foreign ministers did not find common language. The disagreements between them would culminate in the 1946 in the Paris Peace Conference.

President Truman was not liking the secretary of state. He complained that Burns had not protested long enough in order to stop the Sovietization of eastern Europe, the deployment of Soviet troops in Iran, and Stalin's refusal to sign free floats in international waters. In outrage, the president writes to Burns " *I got tired of spoiling the Soviets* ".

The secretary of state took the message and would take a tougher stance after the meetings. Peace Conference held in Paris on April 15-May 16 and June 15-July 12, 1946, produced a series of peace agreements. This conference "allowed" Soviet troops to stay in Bulgaria, Hungary and Romania, recognizing Moscow as a dominant role in this part of Europe. For Germany it was discussed on 29 April, 15-16 May and 9-12 July 1946. With difficulties was agreed on the Essentials. Burns attempted to reach an agreement that would keep Germany unarmed for twenty-five years and thereafter under the guarantee of four powers. Bevin and French Foreign Minister George Bidoult backed their counterpart's proposal. But the Soviet foreign minister dismissed it as saying that Germany was already demilitarized. Seeing the refusal stubbornness of Minister Molotov, Burns was convinced that the Soviet foreign minister would reject any Western proposal. He suspected that Stalin was simply waiting for the Americans to leave Europe to take over the rest of the continent.

## 2. Further aggravation of disputes

Burns and Bevin rejected Molotov's proposals for a division between the four Ruhr powers because they did not want any part of Germany to be economically separated. Bevin feared a Soviet control of the Ruhr because if allowed, Stalin would get his hands on the whole area and economically control Germany and the rest of Europe. In order to withstand Soviet pressure, Burns and Bevin agreed to unite their German economic zones in accordance with the Potsdam agreement. Although Molotov was in principle for a German union, he rejected the proposal. Bido also rejected the Anglo-American proposal. Moreover, France was opposed to any kind of German unification after being attacked four times in 80 years. The United Kingdom and the United States required the Soviet Union to send food to its occupation zone which it had not done so far. They also accused Molotov that the BS had received reparations from Silesia and Königsberg. Disputes over reparations have continued since the Yalta meeting. Molotov spoke as if Stalin did not want long-term peace with Germany. At the July 10, 1946 meeting, Molotov argued that the Soviet Union would not be able to sign a peace treaty with Germany until the latter paid the remaining penny for years. Burns countered that such an ultimatum would make it possible that peace would never be reached with Germany and that the Soviet position would lead to a revision of US plans to leave Europe.

At the meetings of the four foreign ministers held after the close of the peace conference, political incompatibilities between the Soviet Union and the Western allies were once again highlighted. British Foreign Minister Bevin knew that words would achieve no results. He sought to reach an agreement.

He had complete freedom of action from Prime Minister Etili, but British power was no longer the same of the 19th century. Bevin was an anti-Communist. He disliked Molotov and called him "Mowlotov-Mullartov" (mow). From these offensive positions, Stalin declared that Bevin was not noble. The British foreign minister was convinced that the Soviet Union at the London and Moscow meetings had simply gained time to consolidate its occupations in eastern Europe. Bevin also feared that the Soviet Union would sign the peace treaty with Germany.

Although in principle he agreed with Bidos' position on the partition of Germany, he demanded that Western allies united into economic zones outside the Soviet influence. He saw this as the only way to keep American forces on the continent engaged. Bevin tried to persuade Burns to find an alternative to unifying Germany with Stalin. Soviet attempts to spy on the secret of the atomic bomb further reinforced Bevin's suspicions. It was clear that with the Soviet Union, co-operation would no longer be on the agenda. The world was de facto divided into two camps.

## 3. Dividing Europe into two ideological parts

Winston Churchill was, as always, the first to denounce the division of the world and especially of Europe into two camps with opposing ideologies. His famous speech in Fulton, Missouri, USA, in early March 1946, was harsh and overly fatal to the future of the world. He has stated that:

*"From Stetin to the Baltic up to Trieste in the Adriatic, an iron curtain has descended on the continent. Police governments will take power in a large number of countries. Communist parties or the fifth columns will pose a growing challenge to Christian civilization. I do not believe that Soviet Russia requires war. What it wants are the fruits of war and the never-ending expansion of its power and doctrine."*

Stalin was outraged and accused Mitchell of being a "warrior" who preached "racial theory" to which only English-speaking peoples had the right to decide the fate of the world. In fact, it was the Soviet Union that opposed any form of colonialism and was now seeking to establish its own ideological hegemony with the power of the bayonet. This harsh speech by Churchill was not welcomed by many US senators. They even went so far as they accused the former British prime minister of being an aide to Nazism after helping with his and the Conservative Party's policies to strengthen the Hitlerian regime. The fear of a new collision was being felt all over Europe. Would there be a war again?

#### 4. Stalin takes control of his occupation area

The effort to decide together for the future of Germany was becoming more and more difficult. Political elections were obscuring diplomatic options. On the map, Germany no longer existed. The Nazi political and military apparatus had been wiped out. German society was destroyed. The winning allies helped. The three greats had not evenly divided the country. The US and Soviet areas had an area of 66,340 km with 17 million Germans each including millions of refugees. The British occupation zone covered an area of 97,000 km, but possessed the entire Ruhr region which was also the economic heart of Germany with a population of 22 million. The French occupation zone occupied an area of 40,000 km<sup>2</sup> with 5 million inhabitants and very few refugees.

The real Achilles heel for Germany was in the Soviet occupation zone. This was due to the fact that Stalin and his German associates had immediately started the revolution of the area and its gradual return to the communist system, a model that would serve all of Germany. The Soviet leader knew that one day he would have to deal with a resurrected Germany and he needed to be sure that the country had a social, economic and political system aligned with the Soviet Union. Stalin did not look at Germany with the eyes of Churchill and Roosevelt

or Etlli with Truman. Like the Soviet Union, Germany was also part of the European continent. Poland could have served as a division between the two states, but history has shown how easily the two countries could cross this divide to one another. Stalin loved and even demanded a united Germany. With the partition of Germany, he would remain the most undesirable part of the country. The Soviet occupation zone had very few assets. Geostrategically, it was connected only with Poland and a small part of the Baltic Sea. There was no need to tell the Soviet leader that his part did not exert any influence on the rest of Germany. This also naturally led to the lack of Soviet influence in Western Europe. Stalin's hope was to achieve German unity under the authority of the German Communist Party. His plan was simple, but it would be a great achievement. Initially, Germany had to become a state, even a bourgeois state, as it was in the era of the Weimar Republic. Socialist and Communist parties would exert their influence until the whole country became a leftist extremist. He began instructing Communist politicians to work closely with the Socialists and have the patience that with the time Germany would become Marxist.

#### 5. Dilemmas for the Germany unification

Stalin saw the unification of Germany as a strategic necessity for the Soviet Union. Even a bourgeois Germany would be too good for him to pave the way for Stalin to influence all over Europe. At a meeting of the Political Bureau held at the end of May 1945, Stalin stated that: "*It would be an utopia if we were hoping for the peasantry of German society*".

He wanted Germany to have good relations with the Soviet Union. For this reason he sent to Germany, Anastas Mikojan, his most loyal economic affairs man, to make a specification of the situation in post-war Germany and to recommend which economic path Germany should pursue to help the Soviet Union. With the issue of unity, the Soviet occupation zone had to serve as a base for the spread of Soviet influence by the Germans Communists. In the summer of the year 1943, Stalin had founded the National Committee for the Free Germany, which immediately after the war turned into Moscow's political spokesman. The leader of this group was Walter Ulbricht. On April 30, 1945, two and a half months before the Potsdam conference, this committee had entered in Germany. Ulbricht was directly Stalin's man for Germany. Based on the guidelines of the Soviet Foreign Ministry, Ulbricht began doing a study of post-war Germany. Some other groups of German communists were distributed to other areas of the Soviet administration. As they had planned, they immediately began working to print a newspaper, set up a radio and a publishing house. With the authorization of the Soviet authorities, they were transformed into trade unions and immediately began working the next day as administrators of the country.

The Soviets and Ulbricht made sure that all the staff of this union were made up of Germans who had lived in the Soviet Union or were his sympathizers. The contacts Ulbricht had in Germany greatly helped to select people and expose Nazi collaborators. Ulbricht's motto was:

*" Everything must look democratic, until we have all the things in our hand ".*

On July 14, 1945, under the orders of General Georgiy Zhukov, the members of this union began to exert strong influence to unite all the German people around them. In the choice of Walter Ulbricht as his man to run Germany, Stalin had chosen a man like himself. Ulbricht was missing the popular support, but he knew how to take power. He was not a prominent speaker, but he knew how to organize the work. German policy was not unknown to him. During the years of the Weimar Republic, he had been a member of parliament as a member of the Communist Party. When Stalin had tried to shape the idea of the German Communist Party in the 1920s, he had relied on Ulbricht's allegiance. Ulbricht had left Germany when Hitler came to power. Initially, he had gone to France and then briefly participated in the Spanish Civil War. The Soviet apparatus had identified it as a potential leader for German communism. The Soviet Secret Service brought him to the Soviet Union where he spent the entire period of World War II. There he became a member of the Comintern. No one knew the German Communist Party better than Ulbricht. He was Stalin's right man. Stalin and Ulbricht began working immediately as soon as Germany surrendered. They launched a wide-ranging plan for the nationalization of industry in the Soviet occupation zone with the claim that everything that belongs to the Nazis had been taken. In mid-1946, a private property no longer existed in the Soviet occupation area. From his area, Stalin took what he could to bring it to the Soviet Union. More than a thousand factories were dismantled and all German technology shipped to the Soviet Union. The technological capability of the Germanic area under Soviet occupation had ceased to exist. Ulbricht had hoped that the Germans would support this reform, but it was quite the opposite. When it is related to the interest, nobody forgives. Seeing the savagery with which the Soviets were dealing (mass rapes and expropriations), thousands of Germans in the Soviet zone were migrating to areas administered by Western allies. Under Stalin's pressure, Ulbricht had to take vigorous measures to stop emigration.

Despite the great help, Ulbricht realized that communism could not triumph in Germany. Even in Austria and Hungary, the Communists performed poorly. Stalin was not happy with the situation. Many Social Democrats refused to merge with the Communist Party. The respected Social Democrat leader Kurt Schumacher came out against it. But under Stalin's pressure, the social-democratic leader of the Soviet occupation zone Otto Grotewohl did not resist. Despite President Schumacher's objections, Grotewohl declared the merger of the Social Democratic forces with the Communist Party in the Soviet occupation zone. According to German commentator Wolfgang Leonhard who was a communist himself, this merger had dictatorial tendencies.

For the Western Social Democrats of the Allied occupation zones, it was easy to identify Grotewohl as a traitor. They did not take into account the terrible pressure the area's social-democratic leader was facing. On September 20-24, 1947, the second union convention (the first convened in April 1946) was called where out of the twenty-two speakers, only two belonged to the Social Democratic Party. Officially the SPD in the Soviet occupation zone no longer existed.

## 6. Conclusions

It was impossible for the Soviet and German Communists to win the people's sympathy. The Soviet army had entered in Germany from eastern Prussia and Silesia. The terror campaign had been terrible. Soviet soldiers were inspired by the words of Marshal Zhukov:

*" We will take revenge in a terrible way for everything ".*

Rape became the most widespread crime of Soviet soldiers in their area of occupation. Although there were Soviet officers who tried to stop this thing, even firing soldiers, they gave up as the hatred of the Soviets towards the Germans could not be stopped. Seeing the importance of the situation, Pravda newspaper recalled a Stalin article on February 23, 1942:

*" It would be ridiculous to identify the German people with Hitler. Historical experiences have shown that the Hitlers come and go, the German people and the German state remains ".*

Marshal Zhukov gave a firm order to maintain discipline, but the damage had already been done. According to statistics in the following years, more than two million German women of all ages were raped by Soviet soldiers. Despite these growing problems, Stalin and Ulbricht began to disagree on political issues. Stalin wanted to exert fear on the German population and could remove Ulbricht's authority with a swipe of his finger, but strangely he never discharged his trustee. Ulbricht too had mastered the art of deception to such a degree that he could throw it at Stalin, but again the Soviet leader did not dismiss it. Ulbricht's ability to pursue policies, somewhat independent of his boss remains one of the biggest mysteries of international relations and post-war German history.

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## Electoral Campaign Financing and Criminal Policy

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### Abstract

In a democratic state, power is exercised by elected bodies through free and fair elections. The choice of the political class that will exercise political, economic, etc. power by the sovereign (the people) is one of the most important moments in the way how a state works. The sovereign and the expression of his will by voting for those to be elected to the governing or governing bodies. The first part will address and analyze the election campaign, the day of voting until the moment of the results, is the period when the sovereign exercises his power directly by voting which political class will lead the state. Political classes seeking to govern and govern governing bodies disclose their programs, their policies during the election campaign. Election campaigns in modern and capitalist society require funding as they are associated with costs, expenses. Election campaigns cannot be done without capital, without money. The second part will analyze the power of money in election campaigns is related to the expenses political parties or candidates make to their program, to disseminate their political and governing ideas, so money power is used to influence the sovereign to be informed on election day. who to vote for and who to choose in the governing bodies. The use of money in election campaigns forces a democratic state to set rules on how to finance, spend, etc., so setting rules such as how the power of money will affect election campaigns and their control by the responsible bodies. In a country with a fragile and transitional democracy such as the Albanian state, the control of money power during election campaigns is extremely difficult, however the manner of controlling election campaign financing is clearly defined in legislation. In this paper I will contribute by analyzing the impact of money on the Albanian state policy, first in terms of electoral financing, financing of political parties and individuals in electoral campaigns. In this paper I will address and analyze how money affects constitutional principles during election campaigns, how it affects the principles of free and fair elections. The third part will address and analyze how entities participating in electoral campaigns are financed. The use of illegal money during campaigns affects the violation of constitutional principles for free and fair elections. I will address and analyze the criminal policies in the field of illegal financing of electoral campaigns. The Criminal Code of the Republic of Albania in relation to free and fair elections. Illegal financing of election campaigns is a current phenomenon of the Albanian society, bringing about the incrimination of Albanian politics. Illegal financing of entities participating in electoral campaigns comes from organized crime or suspects in criminal activities, and this brings about the establishment of those persons who protect the latter's interests and not the interests of the constituents or democratic interests of a state. Intensify the fight against illicit financing of electoral campaigns by creating not only a complete legal framework for preventing illicit financing but also creating practical mechanisms for not only law enforcement but also the practical prevention of uncontrolled funding of electoral subjects. Setting criminal penalties for illegal financing of electoral campaigns and revising the Criminal Code in incriminating all illegal financing actions that violate free and fair elections may be the most important step in the fight against illegal financing of electoral campaigns. Illegal financing of electoral campaigns in Albania calls for free and fair elections and questions the basic principles of the representation of political entities in governing institutions and therefore the interference in law and penal policy is current and immediate.

**Keywords:** Money, electoral campaigns, unlawful financing, criminal policy, legal mechanisms.

### Introduction

The word “democracy” derives from the Greek word demos-people and kratos-rule which means the rule of the people by themselves. The Albanian state is a parliamentary democracy.

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The actual situation of Albanian politics has highlighted a very important problematic of the fundamental principle of democracy: that of the governing of the people by the people through the representatives elected by the people in the governing institutions through free and fair elections.

In an Albanian society where democracy and society are still in transition and where democratic principles are not yet consolidated, the representation of the people through its elected representatives in the governing institutions is put into question; because the right to vote is directly influenced by the money power used in the electoral campaigns.

Political power, which is linked to the collective decisions, legal acts and concrete behaviors in the function of a state, is called government or governance. Political power (governance) stems from the right of people to vote in the local or central elections. When the right to vote in the elections is influenced by the power of money and by illegal financing, the political power taken in this way, gets the nuances of an illegal power, which as a source no longer has the free and honest vote of the people, but it has as its source illegal money and protects the interests of a small group of people who enjoy the power of money.

#### **Constitutional rights of the right to choose. The right to vote.**

The Albanian state is based on a system of free and fair elections. Through the present system of free and fair elections, the sovereignty of the Albanian people is exercised and the democratic principle of governing by the people is applied by means of electing its representatives through local or central periodic elections.

This sovereignty is exercised by the Albanian people through the right to vote - enjoyed by every citizen entitled to vote who has reached the age of 18 with the special exceptions set forth in the Constitution for the present category. The right to vote is exercised through an electoral system that guarantees the secrecy, the freedom and equity of vote by providing citizens with their politically active being and thus forming the essence of the role that the citizens need to possess in a democratic system.

The present right is not absolute but is limited and has become subject to limitations in the Constitution. Article 45 of the Constitution defines that the right to vote comprises a certain category of persons. The restriction made to the right to vote must be minimal and within the allowed constitutional limits. It is important that the restrictions are not such as to render ineffective the exercise of this right or to affect it in its essence. The right to vote is not a privilege that the state recognizes to its citizens, but it is an instrument to choose the way and the people who will govern them.<sup>1</sup>

#### **Funding of electoral campaigns vs. constitutional principles. The right to vote.**

The right to vote is exercised during electoral elections. The vote determines the entity to be governed; therefore, the right to vote also determines the political power of a state.

The subjects of electoral campaigns are political parties or individuals who invest in demanding voters to represent the people in the governance institutions. Electoral campaigns in the Albanian state are characterized not only by the debate, the harsh language of communication among the candidates, conflicts that lead to physical conflicts, etc; but they are also characterized by the power of money used during the campaigns.

Illegal funding of electoral campaigns in Albania, of political entities or individuals is a current problem that has led to the non-representation in governmental institutions of the people's sovereignty. This has come as a result of the illegal financing of electoral campaigns, the loss of voter's power and the dominance of uncontrolled money power in electoral campaigns.

The right to vote and the principle of exercising the sovereignty of the people through its representatives or directly, is affected by the uncontrolled money power in the electoral campaigns. An example of the violation of the right to vote was the need to draft and adopt the law "On the Guaranteeing of the Integrity of Elected Persons, of the Appointed or of those who Exercise Public Functions"<sup>2</sup>.

This law in principle prohibits the persons with a criminal past or the convicted persons being elected or appointed to public offices. Analyzing the law as a whole and the practical implementation of it, it is noticed that these persons not only had a

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<sup>1</sup>See Constitutional Court Decision 40/2007

<sup>2</sup> See Law N° 138/2015.

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criminal past, but also possessed a wealth they used and invested during the electoral campaigns to get the popular vote to be representatives of the people in elected or appointed bodies.

A practical example of violating the constitutional principle of sovereignty of the people and of the right to vote is the case when a political party or an independent candidate uses the power of money in function of a goal in order to win the popular vote not by investing in an electoral program but by buying the vote. They do a luxury campaign and invest huge amounts in their advertising on television and on the written press. They spend illegal and undeclared money with the aim to do money laundering when they will have political power.

In the present case the sovereignty of the people is lost. The people's right to vote is fictitious and the state is governed by a political party or individual who comes to power from the power of money and not by the power of a free and fair vote. As a result of this political power - coming from an electoral campaign funded by illicit wealth resources - the interests of the sovereign are no longer protected and so is the rule of law; because the political power has a criminal source: that of illegal financing.

The Constitution of the Republic of Albania has made a restriction on political parties regarding their funding, property resources and their expenditures by forcing them to make them public.<sup>1</sup>

The Constitution has limited the creation of political parties and political organizations whose programs and activities rely on totalitarian methods, that promote and support racial, religious, provincial or ethnic hatreds, that use violence to take power or influence state policy, as well as those of a hidden nature which are strictly prohibited by law.

### **2.1 Funding of the subjects participating in the elections**

Political parties are the main subjects that participate in the elections through candidates established by their structures. The word party derives from the Latin word *pars-part*. They are unions of people who have a common program, shared ideas, proposals, participation in elections, who appoint candidates, etc.

A political party in the Albanian state is a party registered in accordance with Law No. 8580, dated 17.2.2000 "On Political Parties". The political party is the main subject in electoral campaigns. Through the power of the popular vote, political parties seek political power to lead the governing institutions, to provide financial resources for functioning as a union organization of individuals sharing ideas, programs and participating in electoral campaigns.

The electoral campaigns of the political parties require financial resources to cover the costs of the presentation of their program in national and private media, financial resources to cover the cost of the meetings with the electorate who has the right to vote, advertisements and other expenses that are covered by political parties or candidates during the elections.

The sources of election campaign funding for the electoral subjects are:

- I. State Funds;
- II. Funding from own source of political party as membership quota;
- III. Donations from non-public sources;
- IV. Loans<sup>2</sup>.

I. The state budget finances the electoral campaigns of political parties based on the number of votes each party has received in those elections. This constitutes a separate voice in the State Budget in the year when the elections are held and the institution charged with the right allocation of this fund is the Central Election Commission.<sup>3</sup>

The direct support of the political parties by the State Budget by financing the parties directly from the annual state budget carries a positive discrimination towards the political parties that have a greater number of votes and greater representation in the parliament by funding and taking the largest part of the fund from the State Budget assigned to the electoral campaigns. This results in the fact that the other subjects that benefit less from the public funds of the electoral campaign

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<sup>1</sup> See article 9 of the Constitution of the Republic of Albania

<sup>2</sup> See article 17 of the Law Nr.8580, date 17.2.2000 "On political parties".

<sup>3</sup> See article 87 of the Electoral Code.

funding are limited to electoral campaigns in terms of funding and they tend to use illegal financing and non-transparent funding. It turns out that these funding come from criminal activities.

On the Financing of the Electoral Campaigns and the on the Public Fundraising, The Constitutional Court in its decision 28/2012 stated that: ... Public funding of parties and campaigns can be accomplished both in the form of "strict" equality and of "proportional" equality. According to "strict" equality, political parties are treated without considering their current strength in the Assembly or the voters, and according to "proportional" equality, party treatment is done in proportion to the number of votes (see decision no. 32, date 21.06. 2010 of the Constitutional Court).

Article 87 of the Electoral Code treats the parties in a proportional way.

Does this proportional treatment affect the illegal funding of electoral campaigns? I think so. An entity that has not received public funds for the electoral campaign will find other sources of funding; one of them is unlawful financing. The source of the present funding is criminal activity, undeclared money and thus this money is introduced into civil circulation.

II. The political parties may have as source of funding, non-public funds - which is the amount each local natural or legal person can give to the electoral subject.

The control of the present funding involves limiting the non-public contribution to the amount of 1 million Albanian Lekë. For the legal entities, the funding is also limited by the fact that the law stipulates that these persons should not have benefited from public funds, public contracts etc. Electoral subjects such as political parties have the obligation to register the non-public funds. The non-public funds, as a party's way of financing, are controlled through the registration in a special register of the amount given by the natural or legal person through the statement of the natural and legal person – indicating that the present has no obstacle to contribute to the political party taking part in the elections -, through the control of the bank accounts - in cases when an amount greater than 100,000 lek is being deposited<sup>1</sup>.

The principle of transparency should lead each political party taking part in the elections. The Central Election Commission is the body responsible for monitoring and overseeing party financing. The Central Election Commission exercises the financial control through the financial auditing of political parties. The present commission also controls the financial documentation and the accounting records of the political parties. It is important to a political party in any case, keeping the documentation of the nonpublic contributions, of the contributors' statements, the bank checks, the campaign bills, or any other document accompanying the financial statement of a political party.

III. The political party as part of the funding can also use membership fees. By membership membership fee, we understand the contribution of every member of the party. The present quota is used as a source of funding during the electoral campaigns. The Statute of the Socialist Party of the Republic of Albania obliges its members to be provided with an annual membership card and to pay an annual membership fee<sup>2</sup>. The Statute of the Democratic Party of Albania as well has as a condition of membership, the payment of an annual membership fee<sup>3</sup>.

IV. The loans taken by the political parties for the electoral campaigns are the easiest way to control or audit as far as private financing of political parties during electoral campaigns is concerned - as they are taken through the banking system.

## 2.2. Electoral campaign financing mechanisms

The financial control mechanisms of the electoral campaigns in the Albanian electoral system are:

- I. State control;
- II. International Control (OSCE-ODIHR);
- III. Statutory control of political parties.

### I. State control

The Central Election Commission is the body responsible for monitoring and overseeing the financing of political parties and electoral campaigns. The Central Election Commission complies with the Electoral Code and the Law "On Political

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<sup>1</sup> See article 90 of the Electoral Code

<sup>2</sup> See article 18 and 84 of the Statute of the Socialist Party of the Republic of Albania

<sup>3</sup> See article 22 of the Statute of the Democratic Party of the Republic of Albania

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Parties", develops and approves rules on the reporting on the funds and their monitoring. It oversees and audits the financing of political parties, controls the financial documents of political parties or related entities, etc. Funding of political parties during the campaigns is controlled through the Central Election Commission by appointing an accounting expert (which is on the list of licensed private experts to conduct financial audits of political parties participating during the elections).

The financial audit of the political parties is not always fair. A licensed private accountant as a result of the interventions, may not give a precise conclusion to the financial balance used by the political party. Usually the intervention is made by the party representatives or by other persons associated with the party that is being audited. In this way, the political party may be deprived of the way of funding, some of the expenses that come from illegal sources may be hidden (they may not be reported or evaluated by the private auditing expert).

What is noticed in the political party's audit reports during the electoral campaigns, is that the accounting expert is based only on the financial statements sent by the political parties themselves. So, we cannot understand the actual costs of the political parties' electoral campaigns. Thus, the financial audit made by the Central Election Commission is based only on the financial statements sent by the political parties themselves to the present commission.

## **II. International Election Observation Mission (IEOM), (OSCE / ODIHR)**

The International Election Observation Mission is the international election's guarantee and licensing. The OSCE Office For Democratic Institutions and Human Rights (OSCE / ODIHR), the OSCE Parliamentary Assembly, the Parliamentary Assembly of the Council of Europe and the European Parliament make a preliminary assessment to determine whether the elections are in line with the OSCE, the obligations of the Council of Europe, the other international obligations and standards for democratic elections, as well as with the national legislation<sup>1</sup>.

After the elections, the International Election Observation Mission issues a statement on the preliminary findings and conclusions. In the June 2017 parliamentary elections, as far as the electoral campaign funding is concerned, the present body reported that: "The newly appointed financial experts have been authorized to monitor the campaign activities and to report to the Central Election Commission within four months from the announcement of election results. On June 16 and 23, these experts also provided interim reports for their monitoring of the electoral campaign activities, which are posted on the Central Election Commission's website. The Central Election Commission took steps to ensure the compliance with the new campaign regulations on the basis of the experts' reports. However, the lack of disclosure requirements during the campaign restricted the transparency of the campaign's own donations.

The OSCE / ODIHR Election Observation Mission in the Final Report on the financing of the Electoral Campaigns states that some OSCE / ODIHR Election Observer interlocutors expressed concern that persons with a criminal background, still played a significant role in the electoral campaigns.

What is this role of persons with criminal background in electoral campaigns? One of the roles is, among other things, the funding role of the electoral campaign with illicit financial resources coming from the world of the organized crime, from trafficking in narcotic substances, etc.

The OSCE / ODIHR Election Observation Mission recommends serious efforts to address the ongoing issue of voting, both through a civic awareness campaign and through prosecution, in order to strengthen confidence in the electoral process. Political parties can undertake a concrete and genuine commitment in order to combat vote buying practices. Also, a public refusal by politicians to receive financial support from individuals with a criminal record would help the building of public confidence in the integrity of the elections. Campaign financing rules should be harmonized and sub-legal acts should be drafted in order to provide a solid methodology and to access to complete campaign funding information for financial experts and voters before and after the election day. Attention may be paid to the deadlines for the completion of post-election audits<sup>2</sup>.

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<sup>1</sup> See International Election Observation Mission Republic of Albania - Parliamentary Elections, June 25, 2017, Statement of Preliminary Findings and Conclusions

<sup>2</sup> See International Election Observation Mission Republic of Albania - Parliamentary Elections, June 25, 2017, Final Report

### III. Statutory control of political parties.

Political parties operating in Albania and exercising political power in the country have sanctioned in their statutes the way of financing, the financial report and the financial control. The Socialist Party of Albania as the main party in Albania has sanctioned the way of its financial functioning. From Article 82 of the Statute to Article 91, the types of funding, financial reports, audits, the structures responsible for the financing and management are defined. The party's financial control mechanism is exercised by assigning an independent licensed audit under the legislation<sup>1</sup>.

The Democratic Party of Albania in the Statute has sanctioned in articles 67, 68, 69 the party finances, the financial resources and the institution within the party that is responsible for monitoring its finances<sup>2</sup>.

#### 2.3 Penalty Measures for Electoral Campaign Financing

The Electoral Code and the law "On Political Parties", depending on the breach of the campaign funding rules, has envisaged, in accordance with the law, the measures taken on the subjects and on the political parties. The measures envisaged by the Electoral Code and by the Law "On Political Parties" are administrative measures which, as punishment, provide for a fine towards the person responsible who has financed the political party, who does not cooperate with the Central Election Commission's audit, who refuses the campaign financing transparency, the violations that come from donors for not keeping the documentation of the party's non-public accounts and for violating the maximum spending limits made by the political party during the electoral campaign<sup>3</sup>. The fines provided by the Electoral Code and by the Law "On Political Parties" are administrative measures that in no case prevent the illegal financing. If the electoral campaign or a political party or entity are funded by illicit and undeclared finance or illegal money, there is no financial obstacle to paying the fines set out in the Electoral Code and in the law "On Political Parties"; the parties continue to participate in elections, to be funded illegally and to cooperate with organized crime; this is because these political parties have financial resources to cope with the fine imposed on them.

An important step as a punitive measure against the illegal financing of political parties in the electoral campaigns has been undertaken by the Socialist Party of Albania. Its Statute sanctions that the use of unlawful sources of funding for the activity of the political party is incompatible with the norms of the political party itself; in the case of the use of unlawful sources of funding, measures should be taken to exclude individuals from the party and to report them to justice bodies<sup>4</sup>.

In order to see how applicable this statutory provision is, we should take the example when the illicit financing of the electoral campaigns is done at the party leadership level. The question arises: How will this provision apply when unlawful financing comes as a result of the secretive approval of senior electoral campaign leaders?

#### 2.4 Penalties sanctioned in the Criminal Code

The Criminal Code of the Republic of Albania in Chapter X has sanctioned the protection of legal relations in order to guarantee the democratic system and the free elections. In the present chapter of the Criminal Code, a number of offenses related to the violation of free and fair elections, to the guarantee of the free vote and of its exercise have been sanctioned. With regard to the illegal financing of election campaigns, the only connection but not directly is active corruption in the electoral campaigns. The connection is indirect because the illegal source of electoral campaigns goes for the purchase of the voter's votes by offering a sum of money to them versus the vote<sup>5</sup>.

In this case the responsibility lies on the physical persons. Only if the purchase of the vote is made in the name and on behalf of the party and is done by its governing bodies, then the responsibility belongs to the legal person (political party taking part in the electoral elections).

#### 3.1 Criminal policies against the illicit financing of election campaigns

Political reality and electoral campaigns carried out in the recent years in Albania, have shown that the drafting of criminal policies is in order to combat the illegal financing of electoral campaigns. Organized crime has found political support as a

<sup>1</sup> See article 91 of the Statute and the Regulation of the Socialist Party of Albania

<sup>2</sup> See article 67 and following of the Statute of the Democratic Party of Albania

<sup>3</sup> See article 173 of the Electoral Code of the Republic of Albania

<sup>4</sup> See article 86 of the Statute of the Socialist Party of the Republic of Albania

<sup>5</sup> See article 328 of the Criminal Code of the Republic of Albania

result of the electoral campaign funding and has thus also found the way to clearing illegal money, the source of which is the criminal activity. The punitive mechanisms sanctioned in the Electoral Code and the law "On Political Parties", not only can not prevent the illegal financing of political parties, but they also influence the increase of the illegal fund of electoral campaign funding, as they use illegal funds for the payment of fine sanctions imposed by law enforcement agencies for non-compliance with the law for fair and transparent funding.

### 3.2 Discussion

Legislative bodies such as the Parliament or those of the executive power should harmonize the rules for the financing of electoral campaigns and should draft sub-legal acts in order to provide a solid methodology and the access to the complete information on the financing of electoral campaigns of political parties for the financial experts and voters - before and after election day. The present recommendation was provided by the OSCE / ODIHR Electoral Observation Mission in the Final Election Report of June 2017. It should also be closely monitored any non-public contribution made to a political party during the electoral campaign by analyzing the source of the individual who contributes to the political party in order to verify whether these sources are legal illegal.

The legislative body, such as the Parliament, should draft criminal penalties by directly sanctioning in the criminal code the actions of any individual or any legal entity that unlawfully finances the electoral campaign of a physical entity or of a political party. A criminal policy should be drafted by sanctioning in the criminal code the holding of criminal responsibility of any political entity that operates with illegal financing or that receives from other persons illegal financing and it is necessary to sanction in the criminal code the holding of criminal responsibility of any political entity for the links it may have with organized crime and the financial support it receives from organized crime.

The legislative body, such as the Parliament, should draft criminal policies where it should prepare a law on political party funding; a kind of "financial vetting" for each party – it should set up check-out procedures for the out-of-campaign period and sanction penalties in cases of violations of these rules.

The financial control of political parties during the electoral campaigns should not be left to independent private auditors "controlled" by the Central Election Commission, but should be given to a special and independent structure that will control the finances of the political parties. During the electoral campaigns, the present independent structure should have any control over the finance of a political party and the audit should be weekly, by calculating any expense and any funding that enters and goes out of the political party during the electoral campaign.

### 3.3 Conclusions

The drafting of criminal penalties as above will bring about the concrete fight of illegal financing of the electoral campaigns, the fight against the organized crime and its involvement in the electoral campaigns, and will guarantee the constitutional principles of free and fair elections. More harsh criminal policies will enable a concrete fight for illegal funding of electoral campaigns; it will legitimize the political power of a party that will govern legislative and executive institutions as it has the direct source of the right and power of the sovereign's vote.

The fight against the illicit financing of electoral campaigns should be comprehensive; not only of the legislative or executive power but of each subject; and especially the political parties that participate in the elections should be guided by the constitutional principles. They should give up any unlawful financing and any connection with criminal organizations; so, the exercise of political power would be safe, as it has as its source the power of the sovereign; it would bring about political stability and fair representation in the governing bodies.

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**“Ethno-Inclusion – Ethno-Exclusion” as a Dualistic Model of Cross-Cultural Adaptation in the University Educational Environment**

E. Pokrovskaya

M. Raitina

**Abstract**

The article is devoted to the problem of overcoming the contradiction between the requirements of society for inclusion in the ethno-social educational environment and providing comfortable intercultural communication. Therefore, the goal is to study "ethno-inclusion – ethno-exclusion" as a dual model of cross-cultural interaction. The study is presented as an area of scientific reflection describing the situation of interethnic interaction in the socio-cultural environment and revealing the behavioral vectors of the individual, allowing characterizing the current communicative situation in terms of the impact of extremism and negative socio-cultural transformations. The empirical base is the research conducted by the method of questioning of Tomsk state University of Control Systems and Radioelectronics (TUSUR) students in 2017. As a methodological basis adapted by the authors' version of the method "Types of ethnic identity" G. U. Soldatova, S. V. Ryzhova was chosen. The dominant type, according to the results of surveys, was the type of "norm", suggesting an optimal balance of tolerance towards their own and other ethnic groups. The article presents the models of behavioral vectors correlating with the stages of cross-cultural adaptation process according to M. J. Bennett, that allows us to consider in detail the structure of positive ethnic identity (norm). Positive ethnic identity (norm), represented by the successive development of ethno-relativistic stages of perception of another culture, in its maximum value is defined as the stage of "integration", which is fixed among senior students. The functional stages of "recognition" and "adaptation" is of a transit nature and has fluctuating properties. In the analysis of ethnic identity, it is necessary to focus on the conceptual difference between them, integration as a normative form of cultural existence implies the presence of multiculturalism, a polyvariant image of the world and the multidimensionality of personal experience. The authors rely on their own system of indicators of the quality of the ethno-social educational environment. The materials of this article lay the foundations of interdisciplinary approaches to the formation of theoretical and methodological support of "ethno-inclusion" in the University environment and can be used in the educational process in the preparation of courses on intercultural communication, cultural studies, psychology, philosophy and other fields of knowledge related to the construction of a comfortable environment of cross-cultural interaction.<sup>1</sup>

**Keywords:** ethno-inclusion, cross-cultural interaction, educational environment, ethno-norm

**Introduction**

Understanding the current socio-cultural situation is associated with the need for a theoretical and methodological substantiation of the formation of ethno-social space. In the context of global ethno-communication processes, the task of identifying optimal approaches to the regulation of interethnic, interethnic relations and ethno-social processes is the determination of the methodological aspects of the sustainable development of a barrier-free international environment in the university educational environment.

The relevance of the work is due to the need for scientific development and the search for theoretical constructs for the ethnic identity study formation, namely state identity, national-civic identity and cultural identity as a whole, which allows to overcome the contradiction between the need to be in constant cross-cultural interaction and the inability to carry it out

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permanently positively, affecting consciousness of people in the modern information and communication environment (Suslova et al., 2017).

**Literature review.** Over the years, there has been a permanent interest in the number of publications concerning with methodological bases of diversity and the inclusive educational university environment: "Diversity as a tool to promote cultural understanding and tolerance", "Intercultural (mis)communication in teacher-student interaction" (Hicks & Marin, 1998), "How University Lecturers' Display of Emotion Affects Students' Emotions, Failure Attributions, and Behavioral Tendencies in Germany, Russia, and the United States" (Hansen & Mendzheritskaya, 2017), "Enhancing Learners' Cross-Cultural Understanding in Language and Culture Class Using In-Circle" (Uosaki, Yonekawa & Yin, 2017), "Developing global citizenship: tools for measuring the impact of academic study abroad programs" (Matheus et al., 2017), "International Students' Disconnecting from and Reconnecting with Diverse" (Machart, 2017).

Most of them focus on the necessity of complex system of intergenerational cultural assimilation in the context of economic effects: "Immigration restrictions and second-generation cultural assimilation: Theory and quasi-experimental evidence" (Galli & Russo, 2019), "The network of migrants and international trade", "Ethnic drift and white flight: A gravity model of neighborhood formation" (Metulini et al., 2018).

There are articles noting different migration models as a part of communication context and existing base: "Migrants' self-realization features in a polycultural city" (Meshcheryakova, Larionova, & Pokrovskaya, 2015), "Contributing Factors to Migration Growth Among Iranian Students: Drivers of Migration to Malaysia" (Kazemi et al., 2018), "Attitudes towards highly skilled and low-skilled immigration in Europe: A survey experiment in 15 european countries" (Naumann, Stoetzer & Pietrantuono, 2018), etc.

However, authors mark the lack of articles devoted to the interdisciplinary ethno-inclusive methodology formation in the educational university environment.

**Methods and Results.** In the context of Russia's modernization, when in the field of education, the interests of practically any Russian citizen are overlapped, there is a need for breakthrough events aimed at shaping a world view that is resistant to all sorts of extreme types of ethnic identity, such as ethno-centric ones (Chmeyrkova, Jelinek, & Krchmova, 2006; Shpet, 2010).

The scientific significance lies in the fact that the complex of applied research aimed at identifying the types of students' youth's ethnic identity (using the example of Tomsk State University of Control Systems and Radioelectronics, then TUSUR), among which may be represented ethnocentric identity groups, inclined to exposure the influence of extremist ideology, allows us to speak about the emergence of negative sociocultural transformations today (Pokrovskaya & Raitina, 2017). Knowledge of the above parameters allows you to determine the bifurcation points and set stable operating modes, one of which will go the development of the system.

The complex of studies conducted in 2017 on the basis of TUSUR lays the foundation for the creation of the theory of national security of modern society.

Since the problem lies in resolving the contradiction described above, we denote the purpose and objectives of the work.

The aim of the study is to identify the correlation (interrelations) in the formation of the ethno-social educational environment of the university through the identification of a dualistic model of "ethno-inclusion – ethno-exclusion".

To achieve this goal, the following tasks were identified:

- to consider the concept of "ethno-social environment of the university";
- to identify and analyze the types of ethnic identity in the educational environment on the example of TUSUR;
- to establish the relationship between types of ethnic identity and the stages of cross-cultural adaptation (according to M. J. Bennet) (Bennett, 1986; Bennett, 1993);
- to formulate models of behavioral vectors as correlated types of ethnic identity and stages of cross-cultural adaptation;
- develop a system of quality indicators (suggesting a barrier-free comfortable interaction) of the formation of an ethno-social educational environment.

The methodological basis of the research is developed as a field of cultural-philosophical reflection, describing the situation of interethnic interaction in the sociocultural environment, and revealing groups of people inclined to exposure to the influence of extremist ideology and negative sociocultural transformations.

The chosen research approach is that the context of cross-cultural interactions is considered as an area for the existence of communicative threats, and, therefore, in this field it is advisable to establish complex and stable organizational forms of counteracting these threats.

During the study, the most relevant objectives were used to collect and analyze empirical data, namely the survey method and the method of mathematical statistics. An adapted version of the method "Types of ethnic identity" Soldatova G. (Soldatova, 1998), Ryzhova S. (Ryzhova, 2011).

We operationalize the basic concepts - types of ethnic identity: the norm (positive ethnic identity), which is a combination of a positive attitude towards one's own people and a positive attitude towards other people (Monakov, 2008). In a multi-ethnic society, a positive ethnic identity has the character of a norm peculiar to the overwhelming majority and sets such an optimal balance of tolerance towards one's own and other ethnic groups, which allows considering it, on the one hand, as a condition of independence (autonomy) and stable existence of an ethnic group, with the other, as a condition for comfortable barrier-free cross-cultural interaction in a multi-ethnic world. Ethnic indifference is considered as erosion of ethnic identity, expressed in the uncertainty of ethnicity and poorly actualized ethnicity. Ethno-egoism predominantly has an expression of a leveling nature in response to the challenges of the social environment in the perception of the construct "my people". However, according to Soldatova G.U., for example, when activating a defense mechanism, there occur tensions and irritation in communicating with representatives of other ethnic groups or we may suggest recognizing the right of their people to solve problems at someone "foreign" expense. Ethno-isolationism is characterized by a position suggesting a supreme significance in relation to its own ethnic group, a manifestation of negative intentions towards inter-ethnic marriage unions, xenophobia.

In the proposed author's adapted version of the "Types of Ethnic Identity" methodology, four of the above mentioned speakers are leading types of ethnic identity, since ethno-nihilism and national fanaticism are also presented in the original methodology "Types of Ethnic Identity" by Soldatova G.U., Ryzhova S.V., as behavioral vectors are irrelevant to educational discourse, and mostly they can be characteristic of labor and forced migrants.

In the development of the research task, we consider the dominant types of ethnic identity in comparison with the stages of the process of cross-cultural adaptation according to Milton J. Bennet, suggested by the authors as models of behavioral vectors, in which the ethno-isolationism correlates with the denial, the ethno-egoism – with the protection, the ethno-indifference – with depreciation and the ethno-norm, in its turn, correlates with the following stages: recognition, adaptation, integration (Raitina, M.Yu. & Pokrovskaya, 2018).

The proposed stages of the process of cross-cultural adaptation by Milton J. Bennet are consistently unfolded through the dominant type of ethnic identity. Thus, the first stage of "denial" can manifest itself through isolation, which consists in the unwillingness of an individual to encounter representatives of a different culture, which is correlated with ethno-isolationism, which is one of the destructive types of identity, because when the behavioral model assumes the possibility of raising physical and social barriers to distance from everything else, different from its own.

The recognition of differences triggers the transition to the next stage of cross-cultural adaptation - "protection". One of the forms of protection is a sense of pride and superiority, emphasizing the high status of our own cultural group, which corresponds to ethno-egoism. When evaluating differences, this type of identity forms negative stereotypes in relation to a different culture, which, subject to a positive behavioral strategy, leads to the implementation of the third "derogation" stage. This stage presupposes the biological and cultural universalism of individuals, which is correlated with the dominant type of ethno-indifference as a form of minimizing the issues of one's own ethnicity.

The above stages characterize the ethnocentric position and cannot serve as sufficient grounds for building a barrier-free, comfortable, cross-cultural, educational environment. For its formation a transition and a paradigm shift to an ethno-relativistic position of cross-cultural adaptation, including the stages of "recognition", "adaptation" and "integration" are necessary. In the context of the complex of the conducted research, the above stages correlate with the dominant type of ethnic identity "ethno-norm", considered as a positive ethnic identity. Thus, at the "recognition" stage, there is an acceptance and approval of cultural differences in behavior and values. The development and improvement of cross-cultural communication skills, self-actualization of the personality contributes to the inclusion of empathic mechanisms of

intercultural interaction and suggests a transition to the next stage of "adaptation" (Gleditsch, Skrede & Wucherpennig, 2016).

We agree with M.J. Bennet that the adaptation phase, starting with empathy, "ends with the formation of pluralism ... is the result of living in a foreign culture for at least two years" (Smolina & Mel'nikova, 2017). Full adaptation to a foreign culture - the final stage of "integration" results in the highest point of development, the ideal of personal growth is a multicultural personality (Smolina & Mel'nikova, 2017).

The empirical base of the study is the results of survey conducted on the basis of TUSUR in 2017 (Figure 1).

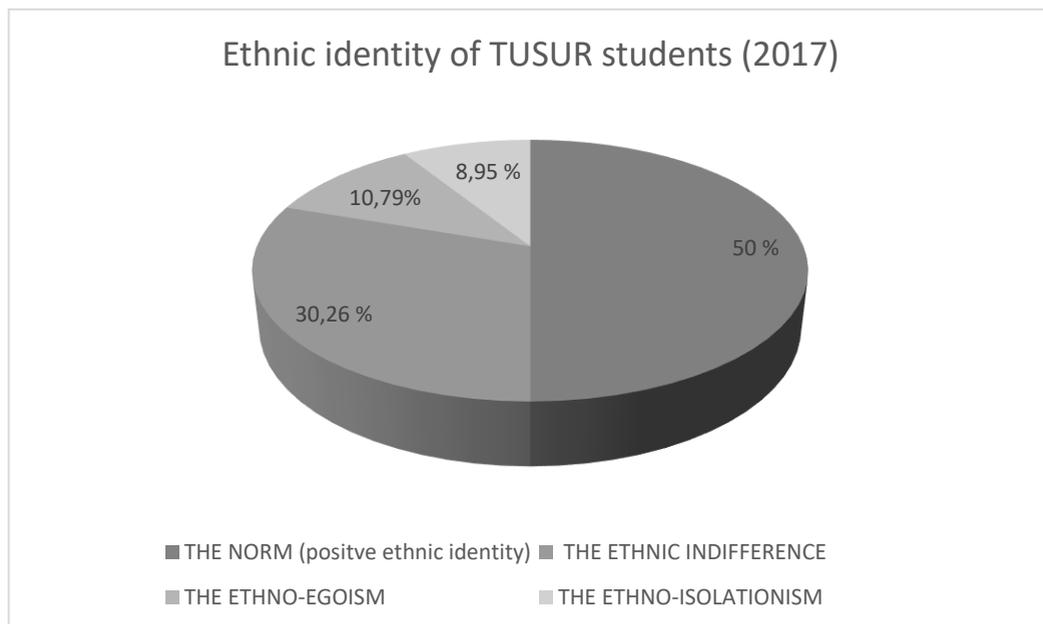


Figure 1. Ethnic identity of TUSUR students (2017)

In total, 3544 students took part in the survey of students of TUSUR 2061 men, which is 58.2% and 1483 women, which is 41.8 %. Analysis of the results of a survey of students of TUSUR showed that 50% (1772 people) of students determined the norm (positive ethnic identity), 30.26% (1072 people) – the ethnic indifference, 10.79% (382 people) – the ethnic egoism, and 8.95% determined the ethnic isolationism (318 people).

Let us consider in more detail the structure of the norm (recognition- adaptation-integration) as a context of effective ethno-social interaction on the basis of comparative analysis of the data of the survey of students of the Radio Engineering Faculty (RKF) of TUSUR received in 2017 (Figure 2).

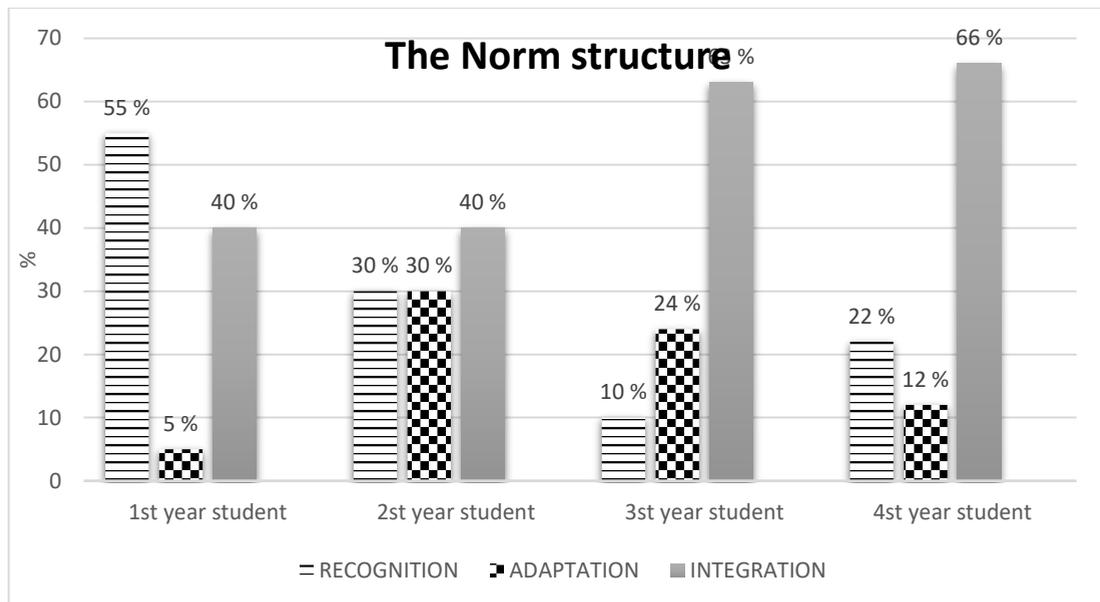


Figure 2. "The Norm" structure

Positive ethnic identity, represented by the successive development of ethno-relativistic stages of perception of a different culture, in its maximum value is defined as a stage of "integration", which is fixed among senior students. This conclusion is natural, because during the training in TUSUR there is an "inclusion" of students in the context of the barrier-free ethno-social environment formation.

Redistribution of the specific weight of the stages of "recognition" and "adaptation" seems natural due to the fact that their functional has a transit character and has fluctuating properties. Thus, for example, it is assumed that at the stage of "recognition" it can be shown a benevolent attitude to another culture without active penetration into its environment. This behavioral model can move towards the stage of the ethno-indifference or the ethno-egoism, in the case of negative personal experience. The stage of "adaptation" is the closest to the stage of "integration" and in some communicative contexts can act as a substitute. At the same time, when analyzing ethnic identity, it is necessary to focus on the conceptual difference between them, integration as a normative form of cultural existence implies the presence of multiculturalism, a polyvariant picture of the world and the multidimensionality of personal experience.

For the deployment of cross-cultural adaptation, the authors propose the allocation of a dualistic model of "ethno-inclusion – ethno-exclusion". These constructs correlate respectively with the ethno-relativistic and ethno-centrist stages. The previously mentioned models of behavioral vectors, namely, recognition, adaptation, integration, combined with the type of ethnic identity "the norm", are descriptive characteristics of the ethno-inclusive model, which involves the inclusion of subjects of ethno-social environment in the process of cross-cultural interaction without obvious distortions and destruction. In turn, the ethno-exclusion is characterized by such models of behavioral vectors as denial (with the dominant type of ethnic identity "the ethno-isolationism"), protection (with the dominant type of ethnic identity "the ethno-egoism"), derogation (with the dominant type of ethnic identity "the ethno-indifference"). From the authors' point of view, "derogation" has a transitional property and is most affected by environmental factors.

The above models of behavioral vectors are used to describe the system of quality indicators (suggesting a barrier-free comfortable interaction) of the ethno-social educational environment formation, such as: the ethno-norm that increases barrier-free comfortable interaction of subjects of the educational space; ethno-indifference that means decline or no change dominant of cultural and biological universalism, etc.

**Conclusion.** Thus, the scientific and practical result is a system of quality indicators (suggesting barrier-free comfortable interaction) of the ethno-social educational environment formation, taking into account the realities of sociocultural

transformations that have taken place in the society, and setting a new comfortable barrier-free interethnic environment that is being formed at the interface of interdisciplinary convergence.

As part of the implementation of the above-mentioned educational task, we note a number of measures that contribute to the positive development of the ethno-social factor in education:

- cross-cultural Forum with international participation "Ethno-Cultural Mosaic";
- International scientific and practical conference "Modern education: new methods and technologies in the organization of the educational process;
- student Festival of National Cultures;
- scientific and methodological seminar on a regular basis for graduate students, applicants and teachers;
- activities of an educational nature to promote national cultures and traditions (public lectures, discussion platforms, film clubs, tours of the city of Tomsk, including for foreign students).

The activities of integral interaction held at the University are connected with the need to build a purposeful educational strategy, the formation of tolerant positive interethnic relations in society and, above all, in the youth environment.

The obtained research data convincingly testify that a comfortable barrier-free inter-ethnic environment has been created in TUSUR, which makes it possible to successfully counteract the influence of the ideology of extremism and terrorism.

In conclusion, according to the proposed logic, ethno-inclusion substantiates a barrier-free environment, dynamic in its essence, modeled by behavioral vectors and implying both external regulation of the resources of the education system and internal work of the personality associated with its self-actualization.

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## VECM Analysis to House Price Index. Case of Tirana

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### Abstract

This paper analyzes long-run equilibrium of "house price index" in Tirana (the capital city of Albania) achieved by the long-run performance of macroeconomic factors. We have used the techniques and analysis of linear multiple regression by VECM (vector error correction model), to identify endogenous factors, that effect the stability of "house price index". The analyze is based on data series 2010-2018 (with 3-month frequency), with independent variables: mortgage loan, interest rate on long-term loans, construction cost index, EUR/ALL exchange rate, house price index with lag(1). We conclude that all these independent variable (except EUR/ALL exchange rate) are statistically significant, in long-run equilibrium and in the elasticity assessment of "house price index".

**Keywords:** Real Estate, VECM model, house price index.

### Introduction

Real estate is nowadays in the focus of several academic studies all over the world. Although, it is commonly known that real estate markets are rather illiquid, the majority of academics assume that these markets are efficient; it is assumed that participants act in accordance with rationality.

The dynamics of house prices is closely related to the performance of macroeconomic variables, housing market conditions and financing characteristics for home purchase. The factors are so many that we can group them into: economic factors; government factors; geo - climate factors; and socio-demographic factors. The following are extensively explained in the literature of this paper.

Due to the role housing plays in modern societies, the focus of this paper is on housing prices. Transactions in the housing market constitute an important part of a country's GDP and household spending. The performance of house prices affects the well-being of families and their ability to borrow mortgages, which can have significant macroeconomic consequences. Housing market analysis today faces several challenges:

- the housing market is regarded as a market of highly heterogeneous and illiquid products, where the cost of obtaining information is high;
- the specific nature of the real estate market product itself is contingent on a rigid supply and periodic blossoming, creating opportunities for wrong decision making.
- the housing market is one of the markets with high government intervention, mainly in terms of territory management or social policies. Consequently, developments in this market, and especially the supply of this product, are significantly influenced by the institutional and legal framework of a country.

Based on the official publications of a house price index in Tirana (capital of Albania), as well as a review of the literature on the main factors affecting the performance of house prices, in this paper we have applied the econometric technique

VECM to identify exogenous factors in determining the price of housing. The housing market in Albania has followed the trend of the construction sector, which has been associated with a major development phase a decade ago, while the last decade we have seen a marked deterioration. This trend is also observed in the market price of housing with a progressive growth phase (before 2010) and a very volatile price phase (after 2010).

The housing market in the last decade has been in frequent imbalance (as well as having the effects of the 2008 financial crisis). This is one of the main reasons why we have decided to study this market after 2010. Our study aims to assess the long-term equilibrium and resilience of the key economic factors that determine this equilibrium. Official data on the housing market in Albania are missing, they are recorded in the form of time series (with 3-month frequency) for the housing market index, only for the city of Tirana. The study therefore analyzes this city. However, seeing the degree of concentration of the economy, population, level of housing construction, etc Tirana Housing Price Index is a very good representative of this market nationally. It is difficult to study "house price index" in Albania, due to the following reasons:

- The buying of a house is mainly the highest expenditure of a family, so the transactions of this type are timely rare.
- It is very difficult to find two identical houses in a time difference.
- If a "group" of houses will be fixed in a certain time, further changes in a house, such changes as the building of another public or private facility near the house or any qualitative change, will direct to a variability of the price.

#### **Literature Review: Determination factors REGARDING real estate market**

Theoretical and empirical studies have resulted that a high increased level of credit portfolio, accompanied with a sensitive increase of dwelling prices is one of the most consistent and warning indicator of future financial crisis (Borio and Lowe, 2002). Some comparative studies among countries with different economical and financial development (Tsatsaronis and Zhu, 2004; Annt2005; Egert and Mihaljek, 2007), concludes that the elasticity coefficients of changes in dwelling prices toward main factors sensitively varies according to country's measure, its financial markets development and the period of the study as well. Egert and Mihaljek (2007), while comparing Central East European Countries and OECD ones, analyzed that besides the abovementioned factors, the dynamic of the dwelling' prices is affected by some specific ones such as: the lack of the institutionalization of the dwelling markets; the limited supply of the new dwellings in the moment of the market liberalization; the improvement of the qualitative of the dwellings; the increased demand of nonresidents etc. Some other studies in the field of real market estates, such as Hilbert et.al. (2008); FTI Consulting (2012) mention 4 main group factors that affect the demand and supply of the market:

- a) Economic Factors
- b) Governmental factors
- c) Geo – Climate factors
- d) Socio-demographic factors

**Economic Factors:** Main economic factors are (Minsk, 1982; Kindlerberger, 1978; Valverde and Fernandez 2010; Suljoti, 2014; Ibrahimaj and Mattarocci, 2014):

*The Unemployment level or the employment one*, (in a local of national context) indicates the potential of a country to generate the individual income, affecting this way the demand for real estate.

*The personal income level* shows the ability of the individuals to invest in real estates, measured mainly by the average level of wage, and is considered as a key element of the real estate demand.

*Construction costs* are considered as the main factor of determining the real estate supply. This factor is considered in determining the initial price of these real estates and in Albania this is measured by the "Construction cost index" published by INSTAT. This index is focused on the direct costs of the construction (material costs, wages expenditures, machinery costs, transport costs, electricity costs etc.) and indirect ones.

*Credits*, is another supply factor (when credits is demanded by the construction companies) and demand factor (when credits is asked by individuals, as a financial tool to buy his/her real estate). Kindlerberger (1978) and Minsky (1982) have

analyzed the role that credits have in the price of dwellings history. So, if the credits are in terms of cheap conditions, this will affect the behavior of real estate markets in these countries. In Albania, this can be measured either due to the value of the credits dedicated to buying dwelling estates or business estate, or due to the multiplication of the real estate credits published by the Bank of Albania or Statistical Reports. Measured as well by analyzing the facilitated or limited conditions published by the second level banks in the country.

*Interest rate:* the same as the credits is the factor of demand as well as the factor of the supply. Interest rates are an important factor of residential investments decision, sensitively influencing the demand for real estate. The measurement of the effects that interest rate have, can be analyzed through crediting rates of the economy. In Albanian case, the financing of the real estate for dwelling or services intentions has the lowest credit rates, compared with other credit rates for other intentions. (Bank of Albania, Statistical report, 2005-2015).

*Treasure bonds rates.* In Albania the interest rates of treasure bonds, 12months' maturity terms, represent the essential quota, from which it is indexed each credits rates or other deposits in second level banks. This means that this rate is considered as the initiation phase of every change in interest rates even for the long term individual credits, which in 90% of the cases is destined for buying dwelling estate. Since in the beginning 2012 and ongoing, this rate has been considerably deduced, while the interest rate of credits in banking sector has not reflected this kind of deduction, this one has remained in the almost sustainable situation (Bank of Albania, Statistical Reports 2005-2015).

*Remittances:* In Albania, the remittances are a key factor as far as domestic demand is concerning. Since 2013 and ongoing, the remittances level has decreased compared to its level in GDP (Bank of Albania, Statistical Reports 2005-2015). Even though, it doesn't exist any statistical indicator to show us which part of remittances that enters Albania is destined to the real estate market and which portion of it goes to consumption. Considering this explanation, it is not clear enough to judge for the correlation of this variable with real estate market trend, for all the post-communist period in Albania.

*Exchange rate* is another important demand factor (domestic currency is ALL) and supply factor; due to the fact that the majority of construction materials are imported in Albania. (General Custom Directorate, Albania 2002-2015). Referring to the internal reports of second level banks in Albania, such as: Raiffeisen Bank, National Commercial Bank, Credins Bank etc, the currency of the credits issued for real estate issues is not in national currency ALL, but mainly it is in Euro (Manjani, 2014). As Euro, is the main currency used for exchange in real market estate in Albania, the exchange rate Euro/ALL, is considered to have an important impact in the real income level for all those buyers, whose monthly income are in ALL. During 2006-2010, the exchange rate Euro/ALL, has been considerably increased, but ongoing it has remained in a sustainable level within the interval 138-140, which means that the Albanian currency is constantly devaluated comparing with Euro, which means that Euro has become more expensive for Albanian buyers, whose income are in ALL (Bank of Albania, 2015).

*Inflation:* as an indicator of decreasing buying power, it affects the disposable income of individuals, so far the demand for real estate. Although, the investments in real estate, are considered as investments which deduct the effects of inflation either in the estate of individuals or businesses. In Albania, the inflation rate is kept stable with the parameters of 2-4% (Bank of Albania, Statistical Reports 2005-2015).

*Financial services:* are those services linked with: initial credit commissions for real estates, other commissions and tariffs, which refers to the payment for notary services due to buying –selling process.

**Governmental factors:** The governmental factors are very complex, but still affective, such as:

*Fiscal Policies:* Fiscal policies are treated as factors, in the contexts of their evaluation process, the legalization etc. In Albanian contexts, these have been accompanied with so many changes and high level of informality (General Taxation Directorate in Albania, 2015).

*The literate impact of Government in real estate market.* This has to do with the governmental policies toward the decrease of costs of credits for buying dwelling estate.

*Educational development,* the quality of education is directly linked with the buying of real estate for living purposes.

*Development of unions:* this is an indicator which reduces the risk of undo for the employment contracts by the employee's side, so it affects the employment markets and as a result, the stability of the disposable income of the employers.

*The quality of public services:* there are included here many different public services, but those which counts more are: Health public service, security issues, firefighters services, public transport etc. Many studies have classified these services as very influential toward the real estate demand, especially for living purposes.

**Geo – Climate factors:** These factors have a convincing importance in real estate market, such as:

*Locality:* local position of real estate markets, such as different geographic or regional areas. Capital cities, main trade centers (customs), port cities, airport cities, big industrial cities, touristic areas etc. has a higher demand regarding real estate, comparing with other city types.

*Transport:* This factor impacts the demand for real estate and has to do with many types of transport such as: the nearby location with the highways, trade centers, working centers etc.(Smersh, Smith and Schwarts, 2003).

*Topography:* This factor has to do with the topographic position of the area where the real estate is located and is a factor that impacts the demand. Such areas may be: seaside areas, or under the sea level, lake –side areas, river-side areas, mountain areas etc.

*Climate conditions:* even this factor is a demand one. Climate conditions are linked with the cost for a normal life, transport problems, energy. Internet etc. So these issues will affect the living costs or costs of doing business.

**Socio-Demographic factors:** Lastly, within the factors that affect the price of real estates are the ones of socio-demographic nature (Miles et al, 2000), such as:

*Population:* This refers to the population number in a certain area, the density per square kilometers, average age etc. This factor impacts the demand in a real estate market, mainly for the estates used for living purposes. Albania is a country with young age population and the average age is 35.5 years old (INSTAT, Census 2011), this shows for the high potential need for dwelling estates and services ones.

*Family composition:* is another incentive or inhibitor demand factor in real estate markets. In reality, families with one or two children may inherit estates from their parents or grandparents; in this case they were not obliged to buy other estates.

*Conceptual changes of living and work conditions:* As the post-communist period is going on in Albania, the concept of the dwelling space for household is changing, so far, the measures of a house has begun to extend its limits 2-3 time more than before, now we can talk for studio, or office space within the house etc. This influences the demand for real estate.

*The holidays' culture.* This is a new culture, especially for big cities, and has potential impacts to increase the demand and needs for more living space. While, in the context of business purpose, even the office's culture has begun to adopt the European standards, the companies have established their own campuses, many businesses, even small ones, are adopting themselves with the conceptual changes of the spaces, evaluating the architectural aspects and so on.

*The perception of life and property security:* facilitated by the insurance companies, the level of security for private properties of individuals in Albania, is one of the most fragile in the Europe, as far as insurance culture is concerning. Although, the idea that an area is percept as one with high level of risks and criminality, holds back the buying of estates for living or business purposes as well as the development of business, especially the small and medium business.

*Being friendly with the environment:* This is a recent time phenomenon and is expected to be part of the Albanian culture, even though in some cities it is already settled. We are speaking here for the friendly constructions, using sunny energy etc., often, these kind of buildings are accompanied with additional costs compared with traditional constructions, so that, they impact the supply and demand of real estate.

## Methodology of study

In this study are used the techniques and analysis of linear multiple regression by VECM (vector error correction model), with some macroeconomic independent variables and one specify dependent variable "house price index". The data are taken from official statistics published in statistical reports and institutional studies. These data represent a 3-month time series, for 2010 - 2018. The analysis will begin with finding significant statistical relationships of the unit root, co integration, and VECM estimate.

**ADF Test of Unit Root:** ADF Test of Unit Root. This test is the fundamental of testing the series and return to a stationary series. To realize this, we have used the Augmented Dickey-Fuller test (ADF). According to this test, we test whether a time series of data is influenced by its initial value, by the trend of time or by both simultaneously. The basic equation of ADF test linked with the constant and the trend is:

$$\Delta X_t = \lambda_0 + \lambda_{1t} + \lambda_{2t}X_{t-1} + \sum_{i=1}^{n-1} \lambda_i \Delta X_{t-1} + \varepsilon_t$$

This equation shows a time series (variable in the study) in the form of the first difference  $\Delta X_t = X_t - X_{t-1}$  in the period  $t$ , where  $\lambda_0$  is the constant and  $t$  is the trend, with the null hypothesis,  $H_0: \lambda_2 = 0$  (time series data is non stationary).

**Johansen Test for Co-integration:** After addressing the issue of unit root, the co-integration test can be applied in order to establish the long run relationship among the variables. To identify these long-run relationship we will use the trace test for co integration and its maximum eigenvalue statistic (Johansen, 1991). Theoretically, the Johansen test is based on matrix theory and the theory of its eigenvalue. Let  $k > 2$  be the number of non stationary and integral first order series  $I(1)$  included in the model, and  $r$  the number of vectors that co integrate with each-other, where  $r \in [0; k - 1]$ , then the co integration hypothesis is:  $r \geq 1$  (there is at least one cointegrating pair). Trace test and Max-Eigen values are lower than the critical values and p-values for them are also insignificant which asserts that Vector Error Correction Model (VECM) is not applicable in this specific case.

**Vector Error Correction Model (VECM):** VECM limits the long-run behavior of endogenous variables to converge towards their co integration relations. If there is a single relation for two time series  $X_t$  and  $Y_t$  such that:  $u_t = Y_t - a_0 - a_1 X_t$  and the series are stationary with first difference  $I(1)$  and these series  $I(1)$  cointegrate with each-other. The dependent variable is  $Y_t$  series and the endogenous independent variable  $X_t$ , create a VECM model with lag =  $p$  and  $k$  dimensions:

$$\Delta Y_t = c + \underbrace{\sum_{i=0}^p \beta_i \Delta X_{t-i}}_{\text{short-run}} + \underbrace{\sum_{j=1}^k \delta_j \Delta Y_{t-j} + \{(-1) * \lambda\} [Y_{t-1} - \alpha_0 - \alpha_1 X_{t-1}]}_{\text{long-run}} + \varepsilon_t$$

The most important coefficient of the equation is  $\lambda$  which we can define as the coefficient of adjustment and explanatory of the long-run relationships between variables only under conditions where this coefficient is statistically significant.

## Empirical analysis and results

The analysis of this study are based on quarterly frequency of time series from 2010 to 2018.

Based on the literature review we have selected the following variables in table 1. We think that these variables represent the specifict of Albanian real estate market.

The meaning of the variables in the model and their description and the source of information is shown, as well in table 1:

Table 1. Meaning and description of variables of the VECM model.

The variable code	Description of the variable	Source of information
Dependent variable:		
CMIM	Housing Price Index in Tirana (Capital of Albania), measured in base index, year 2002 = 100.	Bank of Albania
Independent variables:		
IKN	Construction Cost Index (measured in % change, includes all types of direct and additional costs for construction).	INSTAT
KURS	Currency exchange rate EUR/ALL (the housing market has the price in Euros and the Albanian income in ALL).	Bank of Albania

INT	Interest rate on long-run loans (measured in %, loans with maturities greater than 5 years).	Bank of Albania
HUA	National Mortgage Loan (measured in million Euros, measures the source of funding for individuals, where 90% of mortgage loan).	Bank of Albania

Source: Author's summary

To create a VECM model, some steps need to be followed correctly. These steps will be detailed below, and we will have an effective VECM model at the end. The table 2 below shows the unit root test results for each variable of the model. The Dickey-Fuller approach is used to apply the unit root tests.

Table 2. ADF unit root test results.

Time series	Levels (prob.)			First differences (prob.)		
	with constant	with trend constant	without constant and trend	with constant	with trend constant	without constant and trend
CMIM	0.5903	0.1280	0.5205	0.0118	0.0058	0.0007
HUA	0.9662	0.0252	0.0044	0.0000	0.0000	0.0024
KURS	0.9882	0.9914	0.4192	0.0003	0.0000	0.0000
IKN	0.9742	0.1150	1.0000	0.0000	0.0000	0.0000
INT	0.8932	0.0178	0.2326	0.0000	0.0000	0.0000

Source: authors' calculation in Eviews 9. If probability is less than 0.05 (percent significance level), the time series is stationary.

According to ADF test all of the variables are found out to be non-stationary for level form, however their first difference turns these series into stationary ones.

The second step of VECM model is the Johansen and Juselius (1990) approach. Using this test we have only two possibilities: co integrating relationship or no co integration. This approach suggests two kind of statistical tests: trace test and maximum eigenvalue test. Firstly we have to determine the optimum lag (time retrospective of the variable). The results of optimum lag are in table 3 below:

Table 3. Lag Order Selection Criteria

Endogenous variables: CMIM, INT, KURS, IKN, HUA						
Lag	LogL	LR	FPE	AIC	SC	HQ
0	-439.6802	NA	5158147.	29.64535	29.87888	29.72006
1	-308.5202	209.8561*	4473.623	22.56801	23.96921*	23.01627
2	-283.5320	31.65171	5210.412	22.56880	25.13766	23.39060
3	-243.7460	37.13362	3005.706	21.58307	25.31959	22.77841
4	-189.9255	32.29231	1268.155*	19.66170*	24.56589	21.23059*

\* indicates lag order selected by the criterion

Source: authors' calculation in Eviews 9.

We have decided to choose the "lag" equal 4 because the most of criterions suggest it. This lag is the best according to economics meaning (the data are quarter of year). Now we need to identify co integration pairs, and the results are shown in the table 4 below:

Table 4. Cointegration test

Hypothesized/ No. of CE(s)	Trace		Maximum Eigenvalue	
	Trace Statistic	Prob.	Max-Eigen Statistic	Prob.
None *	203.4329	0.0000	93.97013	0.0000
At most 1 *	109.4628	0.0000	52.00393	0.0000
At most 2 *	57.45887	0.0000	34.80985	0.0004
At most 3 *	22.64902	0.0035	22.04342	0.0024
At most 4	0.605602	0.4364	0.605602	0.4364

Source: authors' calculation in Eviews 9.

Based on the above results, we can find four co integrating relationship between variables. This fact shows us that we can build the VECM model for the long-run variables relationships between them. Using estimation method "Least Squares" in Eviews, we can find the coefficients of VECM model. The model has 4 co integration pairs, four coefficients of long-term links will be found. After processing the data in Eviews 9, (the time series was transformed into stationary by the first differences) using the VECM technique in identifying endogenous factors in explaining the dynamics of the housing price index in the city of Tirana (the capital of Albania) in long-run, the results are as in the table 5, below:

Table 5. VECM model.

System: VECM				
Estimation Method: Least Squares				
Sample: 2010Q2 2018Q4				
Included observations: 35				
Total system (balanced) observations 35				
	Coefficient	Std. Error	t-Statistic	Prob.
C(1)	-0.655673	0.244567	-2.680950	0.0231
C(2)	-10803.28	4228.527	-2.554856	0.0286
C(3)	3.912146	7.644301	0.511773	0.6199
C(4)	-196.4402	74.35231	-2.642019	0.0246
C(5)	0.523694	0.270716	1.934476	0.0818
C(6)	8121.495	4718.743	1.721114	0.1160
C(7)	-5.079796	15.62860	-0.325032	0.7519
C(8)	98.10432	80.44481	1.219523	0.2506
C(9)	-0.023651	0.016485	-1.434755	0.1819
C(10)	-0.240361	0.212503	-1.131090	0.2844

C(11)	3286.754	4015.241	0.818569	0.4321
C(12)	-26.96906	17.43568	-1.546774	0.1530
C(13)	66.61706	78.25166	0.851318	0.4145
C(14)	-0.006031	0.017605	-0.342571	0.7390
C(15)	0.037457	0.207247	0.180736	0.8602
C(16)	3733.466	3087.112	1.209372	0.2543
C(17)	-3.270062	14.21971	-0.229967	0.8228
C(18)	63.92001	61.81467	1.034059	0.3255
C(19)	0.006731	0.016745	0.401953	0.6962
C(20)	-0.400024	0.174920	-2.286900	0.0453
C(21)	428.6888	1825.886	0.234784	0.8191
C(22)	-15.81584	15.20398	-1.040244	0.3227
C(23)	22.39680	45.29795	0.494433	0.6317
C(24)	-0.008454	0.016387	-0.515902	0.6171
C(25)	-52.20464	33.01013	-1.581473	0.1449
Determinant residual covariance 377.3274				
R-squared	0.873547	Mean dependent var	-15.02052	
Adjusted R-squared	0.570061	S.D. dependent var	55.42294	
S.E. of regression	36.34069	Sum squared resid	13206.46	
Durbin-Watson stat	2.315663			

Source: authors' calculation in Eviews 9.

The general equation of the VECM model is:

$$\Delta CMIM_t = -52.2 + \left[ \begin{array}{c} \overbrace{\lambda_1 \cdot (1; 0.5808) \cdot \left( \begin{array}{c} CMIM_{t-1} \\ HUA_{t-1} \end{array} \right)}^{\text{long-run}} \\ \lambda_2 \cdot (1; -2.72E - 06) \cdot \left( \begin{array}{c} INT_{t-1} \\ HUA_{t-1} \end{array} \right) \\ \lambda_3 \cdot (1; -0.000667) \cdot \left( \begin{array}{c} KURS_{t-1} \\ HUA_{t-1} \end{array} \right) \\ \lambda_4 \cdot (1; -0.0018) \cdot \left( \begin{array}{c} IKN_{t-1} \\ HUA_{t-1} \end{array} \right) \end{array} \right] +$$

**short – run**

$$+ \begin{pmatrix} 0.5237 & 8121.5 & -5.0798 & 98.1043 & -0.0237 \\ -0.2404 & 3286.7 & -26.9691 & 66.61706 & -0.0060 \\ 0.0375 & 3733.5 & -3.2701 & 63.9200 & 0.0067 \\ -0.4000 & 428.69 & -15.8158 & 22.3968 & -0.0085 \end{pmatrix} \cdot \begin{pmatrix} \Delta CMIM_{t-1} & \Delta CMIM_{t-2} & \Delta CMIM_{t-3} & \Delta CMIM_{t-4} \\ \Delta INT_{t-1} & \Delta INT_{t-2} & \Delta INT_{t-3} & \Delta INT_{t-4} \\ \Delta KURS_{t-1} & \Delta KURS_{t-2} & \Delta KURS_{t-3} & \Delta KURS_{t-4} \\ \Delta IKN_{t-1} & \Delta IKN_{t-2} & \Delta IKN_{t-3} & \Delta IKN_{t-4} \\ \Delta HUA_{t-1} & \Delta HUA_{t-2} & \Delta HUA_{t-3} & \Delta HUA_{t-4} \end{pmatrix}$$

The model co integration terms are  $\lambda_1$ ,  $\lambda_2$ ,  $\lambda_3$  and  $\lambda_4$ . Only  $\lambda_3$  is not statistically significant (with  $p < 5\%$ ), while the other three terms ( $\lambda_1$ ,  $\lambda_2$  and  $\lambda_4$ ) are statistically significant (with  $p < 5\%$ ), and explain the long-run relationships of our model. In the general equation of the VECM model are specified variables with long-term and short-term relationships (according to time delays). This equation of the VECM model confirms the basic working hypothesis:

*Working hypothesis: Long-term equilibrium price index of Tirana housing is achieved by the long-term performance of macroeconomic factors (mortgage loan, interest rate on long-term loans, construction cost index, EUR / ALL exchange rate, and prior house price index): Hypothesis "at least one  $\lambda_i \neq 0$  for  $i = 1, 2, 3, 4$ ".*

Our VECM model shows us the following statistically significant long-term relationships:

**CMIM:** In equilibrium conditions, the change in CMIM in the short run will contribute to the achievement of long term equilibrium index of 65%. If the previous 3-month period has had an increase of 1% in the CMIM, it is expected that this increase will be followed by a long-term CMIM growth average of 0.65%. Short-term fluctuations (market imbalances) in the short run of housing prices have a major impact on maintaining long-term equilibrium. The change in the market price of housing that has taken place in Tirana over the last decade has been accompanied by a continuing decline in this market. The reasons for this economic situation are many, such as: many building permits at one time and construction suspension at another; numerous fiscal and bureaucratic changes in obtaining building permits; high level of corruption in the country; significant fluctuations of the business climate in the country; financial difficulties of construction companies; investing informal money in real estate; etc.

**Construction Cost Index (IKN):** If IKN rises by 1% in the long run it will result in an average increase of about 2% of the equilibrium CMIM in the long run. The increase in the construction cost index indicates an increase in the cost of production factors, which will consequently be accompanied by a decrease in the market supply, which under conditions of unchanged demand will be reflected in the increase of housing prices. This phenomenon is based on market expectations and economic principles. It is the task of policymakers to ratify more international free trade agreements and with concrete effect on domestic production, by applying construction industry's mitigating fiscal policies for production factors. Protectionist fiscal policies for the production of raw materials in the construction sector are detrimental to the housing market and should not be applied to the Albanian economy.

**Long-Term Interest Rate (INT):** If INT increases by 1% over the long-term, this will result in an average increase of about 108 points of the equilibrium CMIM index in the long-term, or an average increase of 13%. Housing price has the highest elasticity against the variable INT. The absolute value of resilience was expected to be higher than all other variables taken into account, but the direction of the link leaves us in doubt. There are two explanations for this phenomenon: firstly, an increase in the market interest rate on loans would discourage individuals to borrow, bringing about a decrease in demand for housing (hence lowering the quantity and price in equilibrium bidding conditions *ceteris paribus*). Secondly, an increase in the market interest rate on loans will lead to an increase in the cost for construction companies, leading to a decrease in the supply of residential real estate (consequently lower quantity and lower price, in terms of demand *paribus*). The net effect of these two phenomena at the same time has resulted in a stagnant economic situation of the Tirana housing market (a trend of decreasing residential built areas and rising housing prices). By the economic nature of the market, the interest rate will reflect a faster impact on demand than supply, so supply is less flexible than demand in the short run.

In the long run the opposite happens, supply is more flexible than demand. Construction companies in Tirana are big business company with domestic capital and have an optimal capital structure with over 60% debt (Ll. Lleshaj, 2016), therefore they finance a construction project on loan at least 60% on average (of construction cost). Whereas individuals

under the banking system conditions in Albania can borrow up to 70-75% of the market value of the house (Bank of Albania, 2018). Referring to official publications for Tirana (for the three-month period 2016-2018) the level of lending for housing purchase is as much as 1.8 times the amount of loans granted for construction (Bank of Albania, 2016-2018 statistics). This coefficient also indicates the change in the elasticity of supply with demand coming from the lending factor. On the other hand, coefficient 1.8 indicates the large change in the cost of construction and sale price for apartments in Tirana. If Euro/m<sup>2</sup>,  $0.7 * P$  is the value borrowed from the individuals and  $(0.7 / 1.8) * P = 0.39 * P$  is the value borrowed from the construction company, where  $0.39 * P = 0.6 * K$  hence the "K" cost of construction is  $K = 0.65 * P$  and the gain is  $0.35 * P$  (such a conclusion is also supported by real estate market valuation experts). So the elasticity of supply is minimum  $1 / 0.39 = 2.56$  while the elasticity of demand is maximum  $1 / 0.7 = 1.43$ , which means that a change of one m<sup>2</sup> of residential building surface will bring a greater response to supply than demand. Under these conditions the net effect indicates an increase in price. Looking at the market interest rates, according to the official publications in Albania for the years 2010 - 2015, the interest rate was about 4-5% higher for loans to construction companies than for mortgage loans to households, while for 2015 - 2018 this difference has dropped to about 2%. This fact indicates an additional net increase in the house price as a result of the increase in the lending rates in the banking market. Under these conditions, the multiplier effect of interest rate hikes is very large on the price of housing, so credit risk supervision authorities should use an expansive monetary policy (by lowering the key interest rate). Monetary policy in Albania has not provided the required efficiency in lending as expected, two issues arise here: first, there is a need to increase the monitoring of expansive policy implementation through rigorous bank auditing; and second, there is a liquidity trap in the Albanian economy (lower interest rates and lower investment levels), this indicates excess liquidity in the economy, i.e. money outside the financial system (informal money in circulation at levels that have made expansive monetary policy ineffective for at least the last half-decade).

Euro Housing Loan (HUA): If the HUA increases by 1% in the long run, this will result in an average decrease of about 0.7% of the equilibrium CMIM index in the long run. Under normal conditions an increase in these loans would affect the increase in demand and therefore in the short run would be accompanied by an increase in the price of housing only, while in the long run the increase in the price should be lower as the housing area would increase. According to our model, in the long run there is a negative relationship, so the loan for home purchase in Tirana does not serve as the only financial instrument of repay. As long as this market exists and is present in every area of Tirana, why does the loan not serve as the main instrument of payment? The average standard of living in the city of Tirana (INSTAT, average salary and family budget 2010-2018) does not provide income for the purchase of housing as a secondary loan source. Here is the suspicion that there is a lot of informal or illegal money in this market. This argument is further supported by the INT variable. Albania, for years, has had a high level of informal money in the country. The trend has been increasing in recent years, expressed by the Basel AML Index, 2015-2018, which ranks Albania as a high risk country. Compared to the Western Balkan countries, Albania is the country with the highest level of money laundering.

Exchange rate EUR / ALL (exchange rate): The exchange rate variable has no long-term relationship with the house price index. According to the statistical technique of the least squares the reason for the discrepancy is: the COURSES variable had a steady performance during the period under study (with the exception of a significant decrease in the last year), whereas housing prices were accompanied by a volatility and increasing in recent times, the performance of these variables turns out to be independent.

## Conclusions

The analysis of the VECM model identifies statistically significant relationships for the endogenous variables relationship over the long run. The housing price index in the Albanian capital, Tirana, reaches the long-run equilibrium affected by some key variables of this paper. Macroeconomic variables in the form of time series for 2010 - 2018 (with 3-month frequency) are included in the analysis. The number of data fulfills the criteria of econometric implementation of VECM evaluation.

From the analysis we found that the short-term dynamics of this index itself contributes to the achievement of long-term equilibrium by 65%. This is the basic quantitative reason that the values of this index are volatile in the long run and often disequilibrium.

In addition to the economic reasons of market agents, there are other factors: political, legal, and other extra economic or illegal that have brought about this last decade's imbalance. Tirana Housing Price Index has a direct and statistically significant relationship with the Construction Cost Index. A facilitating fiscal policy of the construction industry for production

factors would therefore be suggested. In order for the prices to be in equilibrium and acceptable for the average living standard of the inhabitants of this city.

Also the Housing Price Index has a straight and statistically significant relationship with the interest rates on long-term loans, with the highest degree of resilience from all the variables included in the analysis.

The long-term effect of interest rates on both supply and demand (in the long run, supply is more flexible than demand), the construction sector in this city is stagnant and the multiplier of interest rates on housing prices is very high. The fact that Albania's monetary policies have been expansive in recent years, the country is heading for a liquidity trap, means that there is a high informality in this market. The house price index has a statistically significant negative relationship with the level of mortgage lending at the national level, i.e. home buying loans in the city of Tirana do not serve as the only financial instrument of payment.

As long as citizens' livelihoods are low enough to meet housing prices, there is a stream of informality and illegal money invested in this market. In our analysis, in the long run, the exchange rate is not statistically significant in relation to the equilibrium price of housing.

After considering all the albanian specific variables and the conclusion we have meet, we also think that there are some opening issues, as housing specific evaluation, the comparion of market value between the real estate in Tirana and Wester Balcans capital cities, etc.

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## Metaphors as the Cognitive Aspects of Affecting Public Thought

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### Abstract

The research covers political communication and linguistic analysis. Also the preelectional discourse analysis, namely of the lexical and rhetorical devices using them to catch the hearts of the potential voters and achieve the success in the elections. The question of language and power interrelation in the article is analyzed via the political discourse. If the public construction theory is discussed via linguistics it can be acknowledged as a means for making an icon of a modern social reality. The research of political texts is becoming more and more popular in the modern society. Different texts of different politicians are being discussed in modern world to share and activate the process for the preelectional period as well as for making a better propaganda for coming elections. The aim of these kinds of texts is to manipulate the public thought what mostly can be qualified as the means of governing the public thought in its negative context. The critical analysis gives us a chance to reveal the cases of inequality, domination and abuse of authority in the society. If we look through the works connected to the matter we will get interested in Ferclauf, Wodac and others scientific works. All the named works highlight that political marketing appears to be a vital means for gaining the power over the political processes. Within that the PR plays a major role.

**Keywords:** metaphors, cognitive, aspects, public, thought

### Introduction

Every politician as an individual actually experiments the language and thought while making a public speech to a wider audience to affect and attract. Thus the empirical material in the article has been chosen from American political life and reality. As the American way of thinking and expressing gives a wider choice for grouping differently marked political discourse for further classification.

Judging the qualitative as well as quantitative maxims I have chosen the qualitative one and have grouped the means of exposition in political discourse in utterances marked within different lexical means to achieve a prominent influence on the public thought and mastery of ideas. George Bernard Shaw writes about the elections: "An election is a moral horror, as bad as a battle except for the blood; a mud bath for every soul concerned in it". So in this mud a word plays a crucially important place to influence and master.

As it is known the most prominent characteristic for the political text is metaphor. It attracts the overwhelming interest among modern sociolinguists as well as scientists working in functional stylistics. The concept of rhetoric's has been widened today and apart from traditional oratory it has covered academic texts as well.

A metaphor is a figure of speech that describes an object or action in a way that isn't literally true, but helps to explain an idea or make a comparison.

([https://www.google.com/search?q=metaphore+is&rlz=1C1GKLB\\_enGE841GE841&oq=metaphore+is&aqs=chrome..69l57.3284j0j4&sourceid=chrome&ie=UTF-8](https://www.google.com/search?q=metaphore+is&rlz=1C1GKLB_enGE841GE841&oq=metaphore+is&aqs=chrome..69l57.3284j0j4&sourceid=chrome&ie=UTF-8))

It is well-shown in the structure and meaning of the word \_\_\_ in Greek 'meta' has a preposition meaning 'with', „pherein“ \_\_\_ wearing. Thus it helps to divert us in a different dimension of thought to judge and acknowledge. It helps us emphasize the semantic meaning of a word. Metaphore can be classified in different ways and according to different principles. They are especially sensitive to discourse. American scientists G. Lakoff and M. Johnson worked out a concept of cognitive metaphor in 1980. They think that the conceptual system on which we think and act thoroughly is metaphoric.

In a well-known work 'Metaphors we Live by' (Layoff, Jonson 1980) Johnson mentions that people have metaphoric understanding of the surrounding world and current events. Which usually reflects the culture of the language bearers, national psychology and specific nature of world vision. Our every day language reflects national psychology and specific features of world vision. This kind of language makes the communication easier as the nature of metaphor is to make the difficult things easily understandable. According to Johnson cognitive metaphor carries the already existing linguistic experience of the existing national awareness in forms of words, phrase, expressions. (Kirvaldize 2009.121) Politics is in close interrelations with family moral and qualities. Thus for example, American conservators activated their slogans with this sentiments. Liberals did not pay attention to moral ,myth and emotional sides and actively joined political debates. Finally, the family matter came closer to hearts of voters.

J . Lakoff in his work 'Metaphor we live by' a word metaphor is defined as a new or fictional ( poetic) linguistic expression in which one or the other word is used out of its traditional meaning. The main difference between the traditional and modern theories is that in 70ise of the 20-ieth century metaphor meant something new thus mentioned as novel metaphor or creative metaphor when the traditional metaphor was left uninteresting. He defines three possible groups of metaphors : 1\_\_ the traditional extended metaphors, general metaphors and image metaphors.

Charteris-black differs the following metaphors \_\_ widely excepted conventional metaphor with weaker semantical influence, new metaphors\_ experimenting the language increasing the semantic influence and the conceptual metaphor which provokes emotions and influences the audience in a more effective way. (Charteris-Black 2004)

Charteris-Black mentions that using the metaphor the speaker tries to influence listener to make him a part of an interpreted act. Creativity is very important for those who use metaphors every day and those who interpreted metaphors. Interpretation here means defining the boundaries between metaphors and cognitive-pragmatic factors which make these metaphors.

To judge the usage of metaphor is political speech acts we have applied to Boris Johnson's top 50 quotes as the Mayor of London. We take a look at a selection of his finest words.

According to Charteris-Black classification I have grouped the quotes into two semantic groups:

- a) widely excepted conventional metaphor with weaker semantic influence;
- b) b) new metaphors\_ experimenting the language increasing the sematic influence and the conceptual metaphors which provoke emotions and influences the audience in a more effective way.

widely excepted conventional metaphor	new metaphors_ experimenting the language
On School:  "I'd like thousands of schools as good as the one I went to, Eton."	1. On cake:  "My policy on cake is pro having it and pro eating it."
2. On employment:  "What I worry about is that people are losing confidence, losing energy, losing enthusiasm, and there's a real opportunity to get them into work."	2. On oratory skills:  "My speaking style was criticized by no less an authority than Arnold Schwarzenegger. It was a low moment, my friends, to have my rhetorical skills denounced by a monosyllabic Austrian cyborg."
On being Prime Minister:  "My chances of being PM are about as good as the chances of finding Elvis on Mars, or my being reincarnated as an olive."	3. On how to vote:  "Voting Tory will cause your wife to have bigger breasts and increase your chances of owning a BMW M3."
On people visiting their MP:  "The dreadful truth is that when people come to see their MP they have run out of better ideas."	4. In conversation with Bob Crow about the London Underground strikes:  "I can't sit down and negotiate with you on air when

	you're holding a gun to Londoners' head and threatening disruption to the greatest city on earth."
On blurring:  "If we judged everybody by the stupid, unguarded things they blurt out to their nearest and dearest, then we wouldn't ever get anywhere."	On sexism:  "I have not been more robust towards female rather than male assembly members and I do not believe I have been remotely sexist."
6. On why he voted for David Cameron:  "I'm backing David Cameron's campaign out of pure, cynical self-interest	6. On swimming in the City:  "But if people want to swim in the Thames, if they want to take their lives into their own hands, then they should be able to do so with all the freedom and exhilaration of our wood-painted ancestors."
6. On Margaret Thatcher:  "I realize that there may be some confusion in my prescriptions between what I would do, what Maggie would do, and what the government is about to do or is indeed already doing... I don't think it much matters, because the three are likely to turn out to be one and the same."	7. On London jobs:  "London is a fantastic creator of jobs - but many of these jobs are going to people who don't originate in this country."
7. On envy:  "There is no point in wasting any more moral or mental energy in being jealous of the very rich. They are no happier than anyone else; they just have more money. We shouldn't bother ourselves about why they want all this money, or why it is nicer to have a bath with gold taps. How does it hurt me, with my 20-year-old Toyota, if somebody else has a swish Mercedes? We both get stuck in the same traffic."	8. On commuting when Blair was Prime Minister:  "I forgot that to rely on a train, in Blair's Britain, is to engage in a crapshoot with the devil."
7. On promises:  "It is easy to make promises - it is hard work to keep them."	7. On the EU:  "First they make us pay in our taxes for Greek olive groves, many of which probably don't exist. Then they say we can't dip our bread in olive oil in restaurants. We didn't join the Common Market – betraying the New Zealanders and their butter – in order to be told when, where and how we must eat the olive oil we have been forced to subsidize."
8 On terrorism:  "I think the risks that people see of terrorism are incredibly important but we are very confident we have got the right people on it and the risks have been minimized."	8. On the "religion of peace":  "The most viciously sectarian of all religions in its heartlessness towards unbelievers."
9. I.Garibashvili ( The minister of Defense of Georgia): Whole power is in our hands, in hands of people and with a new energy we will start building and reconstructing of our country'.	9 On inequality:  "No one can ignore the harshness of that competition, or the inequality that it inevitably accentuates; and I am afraid that violent economic centrifuge is operating on

	human beings who are already very far from equal in raw ability, if not spiritual worth."
10. B. Ivanishvili: "Today we are starting our fight for getting village on feet. Today country is broken and empty. We have worked out programs to build it".	10. On the City of Portsmouth:  "Too full of drugs, obesity, underachievement and Labor MPs."
11. D. Bakradze (The Georgian opposition leader): "Today it's 25 <sup>th</sup> of October Iliia's friends and prominent patriot's Dimitri Kipiania's date of death. He was assassinated by the Russian intelligence services .... We didn't have our own state. Today we already have it and our main duty is to take care of it and never ever exchange it for anything.	11. On KIP:  "I can hardly condemn KIP as a bunch of boss-eyed, foam-flecked Euro hysterics, when I have been sometimes not far short of boss-eyed, foam-flecked hysteria myself."
12. M. Saakashvili (The former president of Georgia): "On the 1 <sup>st</sup> of October we must answer simple question; Do we want to go forward or go back?"	12. On George Bush and Iraq:  "The Americans were perfectly happy to go ahead and whack Saddam merely on the grounds that he was a bad guy, and that Iraq and the world would be better off without him; and so indeed was I."
	13. On how he was feeling after being sacked as Shadow Arts Minister:  "Nothing excites compassion, in friend and foe alike, as much as the sight of you ker-splonked on the Tarmac with your propeller buried six feet under."
	14. On Tony Blair:  "It is just flipping unbelievable. He is a mixture of Harry Houdini and a greased piglet. He is barely human in his elusiveness. Nailing Blair is like trying to pin jelly to a wall."

Thus, judging the above discussed theoretical as well as the practical material we can claim that metaphor is an important figure of speech copiously deployed in political discourse. In this study, we adopted the framework of Charteris-Black's (2004) Critical Metaphor Analysis (CMA) which derives from Critical Discourse Analysis (CDA). This framework is interested in exploring the implicit intentions of language users, the ideological configurations and the hidden power relations within socio-political and cultural contexts. It captures the ideological and conceptual nature of metaphor, and transmits truth alive into the hearts of the possible voters and supporters of politicians.

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## Taylor Rule for a Highly Dollarized Country the Case for Albania

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### Abstract

Targeting nominal interest rate as a policy rule to achieve the primary purpose of stable prices has become a standard monetary policy for Central Banks. Albania switched in 2008 from targeting money supply, M3, to targeting nominal interest rate. Taylor Rule, as defined by John Taylor in his 1992 paper, has become widely used as a means to establish the policy interest rate for Central Banks. This paper implies a conceptual framework where policy rules are a means to a more effective monetary policy. The Taylor Rule has influenced the decision of policymakers on interest rate. Taylor presented his findings at the Carnegie-Rochester Conference on Public Policy in November 1992 and can be stated as a mathematical identity:  $r = p + .5y + .5(p - 2) + 2$ . But can we use this rule universally? What about countries that are dollarized where the interest rate of loans paid in foreign currency depends on the interest rate of other countries? We expect to find that the standard Taylor Rule is not adequate and the domestic country, that is highly dollarized, should adopt an improved version that incorporates the expected interest rate, expected inflation and growth of the foreign country (ies) whose currency is present at large in the domestic economy. We propose a coefficient that puts downward pressure on the domestic nominal interest rate target when the foreign country's (the country that has "dollarized" the domestic economy) lowers its nominal interest rate target. And when the nominal interest rate differential between  $t_n$  and  $t_{n-1} > 0$  than this coefficient will have a upwards pressure. Thus we propose an adjusted Taylor Rule for foreign country interest rate and exchange rate to take the following form:

$$i_t^h = \gamma_q i_t^* + \gamma_\pi E_t \pi_{t+1}^h + \gamma_y y_t^h + \gamma_{st} q_t + u_{mt}^h$$

**Keywords:** Taylor rule, dollarized, country, Albania

### Introduction

Inflation targeting is a new policy followed mostly in the last three decades. Inflation targeting started with New Zealand, in 1990, and then spread to almost all countries. With the dawn of inflation targeting era by world central banks inflation has been maintained better under control. More freedom, through laws, given to central banks has helped to allow central banks to formulate and carry out policies to achieve its goals.

The economy can be influenced, cooled down or accelerated, by two instruments: First is the fiscal policy. This policy tool is in the control of the government. Through taxation and government spending the government can affect the national demand and GDP. The downside to using fiscal policy won't be treated here but suffice to say that the policy is widely debated.

The second tool to use is the monetary policy. This tool is in the control of the central bank. The central bank presses the pedal, i.e. pumps money into the economy through lower interest rates, repo purchases or other unconventional ways, when it feels that the economy is slowing down or sluggish. But it also can cool of the economy if growth is above potential or inflation is higher than the target.

## Literature Research

### Operational Instruments of Monetary Policy

#### Problems with using Money supply instrument

Dollarized countries tend to have lower inflation in part due to a tight money supply caused by the dollarization (see Zefi, Shehu, 2015).

In dollarized economics the transition mechanism of MP is hampered by the foreign currency widely used in the economy. In Albania dollarization of deposits is at 60%. Euro is used widely by the population for pricing and exchange. The Central Bank of Albania, or any country with similar situation, can influence only 40% of money supply. Any increase of money supply by the QTM targets with the formula:

#### Quantitative Theory of Money for a dual currency country like Albania

QTM states that: "... if a change in the quantity of (nominal) money were exogenously engineered by the monetary authority, then the long-run effect would be a change in the price level (and other nominal variables) of the same proportion as the money stock, with no change resulting in the value of any real variable." (McCallum, Nelson. 2010)

The QTM is expressed as a mathematical identity in the form of:

$$M*V = P*Q. \quad (1)$$

In other words: GDP of Albania = M\*V.

So according to this identity, by taking V as stable BoA needs to print money at the speed the GDP grows plus the targeted inflation.

If GDP grows at 3% a year and the targeted inflation is 3 percent a year than BoA needs to print 6 % more money, increasing the monetary base by 6%.

These data suggest that in excess of 50% of the money supply used to fuel the economy is already in FC.

The adjusted Phisher's identity for such country would be:

$$(DMB + FMB)*V = GDP \text{ of Albania} \quad (2)$$

Where: DMB = Domestic Monetary Base, FMB = Foreign Monetary Base, V = velocity, times money changes hands in a year.

The relationship between DMB and FMB is such that foreign currency monetary base is a percentage of the domestic monetary base.

$$FMB = x*DMB \quad (3)$$

Where x = a quotient that express the relationship between FMB and DMB.

In this case we can change in Phisher's identity as:

$$(DMB + x*DMB)*V = GDP \text{ of Albania} \quad (4)$$

This identity can be simplified to take the form as below:

$$DMB*(1+x)*V = GDP \text{ of Albania.} \quad (5)$$

This conclusion is very important for monetary policy. It states that if the GDP grows at 3% and BoA's goal is to have 3% inflation than:

$$\text{Monetary Base increase} = 6\% (1 + x). \quad (6)$$

This formula (5) implies that if money supply in Albanian Lek is equal to Foreign Currency, or x = 1, GDP growth is predicted to be 3% and targeted inflation is 3% then than BoA needs to increase monetary base by:

**Monetary Base increase =  $6\% (1 + 1) = 12\%$ .**

This is a very important conclusion and we are going to test it using the long term relationship between M2 and Inflation as well as a bivariate function of the influence of credit and deposit euroization on inflation and GDP growth.

Central Banks use mainly interest rate as an intermediate tool for achieving the targeted inflation. In the past money supply has been used but nowadays policymakers monitor money supply but don't hardly use it.

### Problems with using interest rate as instrument of monetary policy

*Real reason behind interest rate fluctuations:* Interest rate is the equilibrium rate of demand for money and supply of money. A rise in the interest rate could be due to one of them.

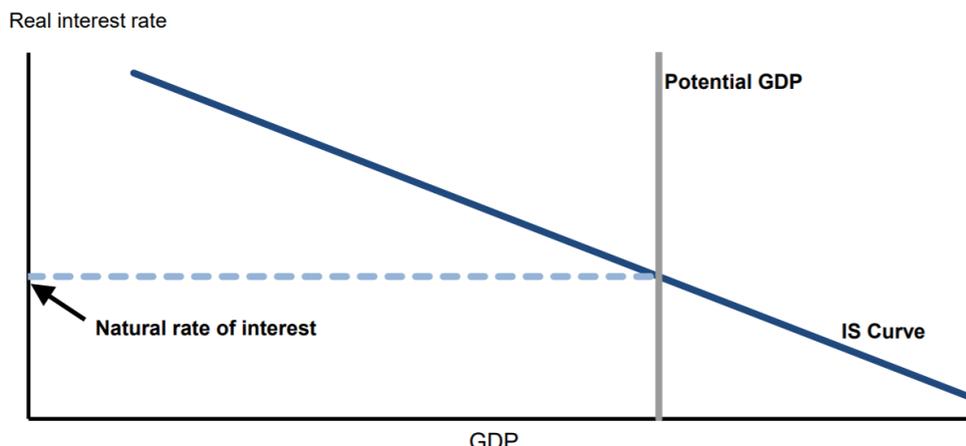


Figure 1. Determination of Interest rate

Source: Laubach&Williams (2015)

If investments rise and by doing so raise the interest rate then the Central Bank may not want to intervene to curb the growth in investments and also hamper with the corrective tool of the market, the rise in the interest rate. A rise in the interest rate may be good for the economy because it will help cool of the economy.

But if the rise in the interest rates is caused by a decline in the supply of loanable funds than the bank may want to intervene.

*Interest rate differentials:* Another problem with using interest rate as instrument to monetary policy is the inability of the central bank to control the spread between deposits and credit

*Lag of interest rate policy:* A third problem with using interest rate as instrument of monetary policy is that the interest rate effects the aggregate demand and supply of funds with a lag due to adjustments costs. According to the literature there are two aspects of this lag: its

length and variability. The former is often assessed at about six quarters to two years in the United States, Britain and Canada. While there is agreement that there is some variability in the length of the lag, there is no consensus on whether it is so long that changes in interest rates, intended to be stabilizing, can prove to be destabilizing. Within the lag, the impact effect (within the same quarter) of interest rate changes on real aggregate demand is estimated to be quite low, while the long-run effect is now believed to be very significant.

Albania changed its main instrument of Monetary policy during the Financial crises, 2008. It went from controlling money supply to setting policy "repo" interest rate in order to control inflation. Inflation, though, has been under the targeted objective and has been combined with a strong currency, vs. the euro, and moderate GDP growth. Because of these factors the Bank of Albania has continued to maintain an accommodative Monetary Policy with historically low repo rate.

### Taylor Rule

Taylor Rule was created by John Taylor in his 1993 paper famous paper "Discretion versus policy rules in practice". It was followed a another paper in 1999 that proposed a modified Taylor Rule where the coefficient of the deviation of current output from current output was given a value of 1 versus 0.5 in the original rule. Taylor Rule is a backward looking rule. It means that the interest rate is based on past inflation and past economic growth deviation from trend.

$$r_T t = r_0 + \alpha(y_t - y_f) + \beta(\pi_t - \pi_T) \quad \alpha, \beta > 0 \quad (7)$$

Taylor Rule is widely used in monetary policy to establish policy interest rate.

According to Janet Yellen (Yellen, 2015) the simple Taylor Rule can be used to establish federal funds rate. In 2015 the Taylor Rule called for the ffr to be close to zero. Yellen write then that she disagrees with the implications of the rule for two reasons: first because unemployment slack is higher than the measurement of that time and second because of the equilibrium real ffr is low by historical standards. By arguing this Yellen is implying that a corrected Taylor Rule would better express the policy of the FEDs fund rate.

Taylor (1996)<sup>1</sup> says that the effectiveness of monetary policy can be improved through better inflation measurement, understanding better the transmission mechanism of monetary policy and through regulation, or in some cases deregulation, by achieving a better management of the banking system and institutions.

Governor Janet Yellen indicated that she used the Taylor rule to provide her "a rough sense of whether or not the funds rate is at a reasonable level"<sup>2</sup> (FOMC transcripts, January 31-February 1, 1995).

According to this approach Albania's currency is faced with a challenge by the monetary Policy of ECB. With it's accommodative monetary Policy ECB is making it more attractive for Albanian immigrants to send money "home" to buy assets and consumption. This money come in through remittances and BOP

Bank of Albania (BoA) changed in 2008 the intermediate instrument of monetary policy by targeting interest rate instead of money supply.

### Data

But one fact that has been underestimated in the policy goals is the fact that our money supply, and the demand for money, is independent with the foreign currency most dominant in our economy, i.e. euro. Since over 50% of our deposits and loans are made in euros any decision on the interest rate of ALL should take into account the interest rate of loans and deposits in euro. This is because of two reasons

- i. Replacement of the product

If the interest rate on loans denominated in ALL is higher than that in Euro than we would expect the rational economic agents to demand more loans in Euro rather than ALL. This replacement offsets any objectives that BoA, or any central bank with highly dollarized economy, wishes to have.

- ii. The supply of euro

An interest rate of ALL much higher than that in euro area, as has been the case in the last 19 years since the launching of the euro, tends to raise the demand for loans in euro making euro a less good option to save and increasing the

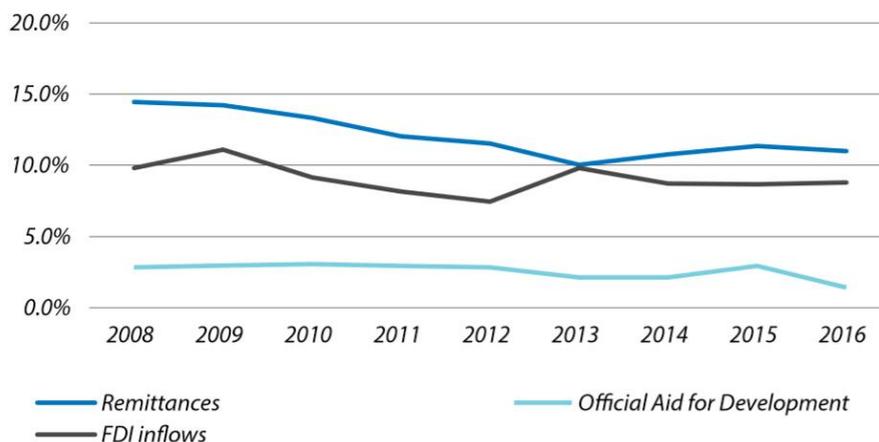
propensity of the holders of euro currency to make purchases denominated in euro. When holders of euros make purchases denominated in euros it fuels the euroization of the economy.

iii. Remittances pressure on monetary policy

Remittances fund a huge deficit in the Albania's large deficit of BOP. Remittances can

After European crises, which saw a gradual decline in remittances the amount euros immigrants bring to Albaina and invest here has increased.

*Remittances, official aid for develoment and FDIs in % to GDP*



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Source: Bank of Albania, for Remittances and FDIs

<http://data.worldbank.org/indicator/DT.ODA.ALLD.CD> for Official Aid for Development.

First, remittances have picked up in the impact in the GDP expressed as a percentage but are still much lower than that in the pre crises levels. FDI is below but close to the long term average and the aid transfers have been falling.

Despite the steady influx of euros, it is significant that ALL has become a stronger currency. It seems obvious that the monetary policy in Albania has been tighter and has not considered development of the money markets of our main economic and trading partner, EU.

According to Taylor (1996) and logic we should assume that the basic principal of policy analysis be based on a coherent theory of how policy rules affect the economy and be supported by econometric models.

Thus having this high level of euroization we can propose two additional indicators that impact the policy interest rate of the CB in the Taylor model.

i. Policy interest rate of the euro by ECB

Because banks have the free flow of capital and a low interest rate by ECB makes Albanian's market for loans in euro more attractive.

Taylor's original rule is backward looking, but several recent versions of the rule include an expectation factor. Clarida, Gali and Gertler (1998) reject the backward looking rule in favour of a forward looking rule. However, they include the lagged interest rate as a regressor, thus formally making it a hybrid rule.

## ii. Balance of payments of Albania

A strong home currency adversely affects the competitiveness of our economy but putting our products at a disadvantage.

An issue actively pursued in further research on the Taylor rule has been whether or not asset prices and exchange rates should be included in this rule. The argument in favor of their inclusion is that shifts in them can change aggregate demand. However, some part of these shifts are often the result of changes in output and inflation, so that only the impact of their residual shifts on inflation and output would need to be offset through monetary policy. Doing so yields extended forms of the Taylor rule. Many empirical studies report that using some form of an augmented Taylor rule, such as incorporating changes in wealth or house prices or exchange rates, leads to greater stabilization of the economy.

### Economic Model

Albania is highly dollarized with Euro being using in more than 50% of the economy. Thus the interest rate of ECB influences our economy. Taylor rule will perform better to economic conditions when We use a two-country model, with most variables defined as the difference between a home country Albania and a foreign country, the US.

The "h" identifies the home country, and "\*" the foreign country. The monetary rules in the foreign and home countries are:

$$i_t^* = \gamma_{\pi} E_t \pi_{t+1}^* + \gamma_y y_t^* + u_{mt}^* \quad (8)$$

$$i_t^h = \gamma_q i_t^* + \gamma_{\pi} E_t \pi_{t+1}^h + \gamma_y y_t^h + \gamma_{st} q_t + u_{mt}^h \quad (9)$$

In Equations (8) and (9),  $i_t^*$  is the interest rate in the foreign country,  $i_t^h$  the interest rate in the home country, and the variable  $i_t$  is defined as:  $i_t = i_t^h - i_t^*$

Where:

$i_t$ : difference between home and foreign interest rates; for  $i_t$  and other variables, an increase indicates a rise in home relative to foreign rates; all interest rates are expressed at annual rates;

$y_t$ : difference between home and foreign deviation of log output from trend;

$p_t$ : difference between home and foreign log price levels;

$\pi_t$ : difference between home and foreign inflation (with inflation first difference of log consumer price level [CPI]);

$u_{mt}$ : difference between home and foreign shocks to monetary policy rule;

$s_t$ : log nominal exchange rate (e.g., ALL/Euro, when Albania is the home country);

$q_t = s_t - p_t$ : log real exchange rate;

$E_t$ : mathematical expectations conditional on a period  $t$  information set.

### Conclusions

Central Bank of Albania has followed an accommodative MP following the aftereffects of the Great Recession in Albania. We conclude that dollarization of Albanian economy, by the euro, has hampered the efforts by the Central Bank to bolster economic recovery. Natural rate of interest is in the negative territory and the policy real interest rate of the Central Bank has not fallen below the natural rate of interest. A policy real interest rate below the natural rate of interest is a policy that is accommodative.

We propose an adjusted Taylor rule that includes foreign country interest rate differentials and exchange rate. This would model would:

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*When foreign interest rate differential:* In this case we would have a negative effect on the home interest rate. When the foreign country whose currency circulates largely (Euro zone in this case) in the home country, Albania, lowers their interest rate it would have a similar downward effect on the home country policy interest rate.

*Exchange rate:* A strong home currency versus the foreign currency denotes a high demand for the local currency versus the foreign currency or a shortage of money supply. Central bank would like for the national economy to be competitive to raise exports and improve on the balance of payments. A strong home currency should have an effect on policy interest rate of the home country. A weak currency is a signal of the excess money supply denominated in ALL or a decline in the demand for money.

We recommend the adjusted Taylor Rule for Monetary Policy with foreign country interest rate and exchange rate.

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## Qualitative Research as a Tool to Carry out Architectural and Industrial Design Projects: A Vision from the Academic Perspective

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### Abstract

In recent years, qualitative research has gained ground as one of the main tools to analyze reality and propose innovation projects. This qualitative methodology has strengthened an innovative pedagogical structure, within the teaching of design disciplines. This is the specific case of our educational activity in the Modular System (UAM X), which facilitates the application of these tools in the design process. Reviewing the data in the analysis in a more qualitative way, promotes a more credible, reliable and valid vision to propose solutions to the problems detected. Thus, achieving a comprehensive understanding of the phenomenon and considering the factors involved in order to generate more relevant solutions. Within architecture, some projects that are addressed, such as the historical and cultural heritage of spaces and cities, use qualitative research techniques to discover and interpret the real vision of the inhabitant/ visitor of these spaces. It is essential to understand how the city is lived from the point of view of the different actors that interact in the space, in order to generate plans and projects that reinforce and enrich social interaction. In industrial design, the students take these tools and apply them to the first phase of their project in search of insights that will allow them to bring forward innovative products with a real impact on society. This paper addresses these two cases, highlighting the importance of these tools being internalized by our students completing their training with a research profile focused on design.

**Keywords:** qualitative research, knowledge, skills, Modular System, teaching of architecture and industrial design.

### Qualitative research as a tool for industrial design and architecture projects. A vision from the academic perspective.

Qualitative research methods have been widely developed within the social sciences since long ago, but in areas such as architecture and design, their implementation has been recent.

The professional training of architects and designers has been traditionally within the methods focused on creativity, however the new situations proposed by the context make these disciplines approach methods related to social sciences that allow them to have a qualitative vision of context and the user or inhabitant.

In the Xochimilco UAM, this condition is very frequent because the proposed pedagogical model, the Modular System, implies starting from reality itself; therefore, the involvement of the qualitative vision is not foreign, however, it has not been given much emphasis due to the paradigms of design and architecture in its traditional teaching and the free professorship that is given in the institution.

Because the Modular System is the basic teaching model at the Universidad Autónoma Metropolitana Unidad Xochimilco (from now the university will refer as UAM X), it is important we give context to this model.

### UAM Xochimilco and the Modular System

In 1974, the UAM opens its doors. One of its main purposes is the training of professionals in Mexico City. The Xochimilco unit, unlike the other four units that make up the UAM; undertakes its activities with the proposal of an innovative

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pedagogical project, with the aim of training professionals with a vision of reality and a greater social commitment to their country and its context.

The Modular System emerged, then as a pedagogical alternative that faced the student and his commitment to social problems, seeking greater sensitivity and making him the architect of his own training.

Starting from the principles of structuring and construction of Jean Piaget's knowledge, cognitive development based on the dialectic between Vygotsky's individual and society and combining it with the concepts of interdisciplinary and operational groups, the Modular System challenges the student to be himself, from his own experience, becomes a transforming subject of reality and thus his knowledge takes on a true meaning.

The Modular System, as stated in the conceptual bases, allows the formation of agents of social transformation, with "capacity for critical thinking, capacity for creative action and capacity for global understanding of the facts" (UAM, 1974-78).

As a complement to the postulates of the Modular System, the activities that guide the daily work in the institution are the three substantive functions of our University: teaching, research and service:

1. Research as knowledge production based on specific social objectives.
2. Teaching as communication and practical confrontation of knowledge.
3. Service, as the social application of such knowledge" (UAM, 1974-1978).

In general, these functions allow the university's daily work "to contribute to the attention of problems, the generation of research, development, innovation, production, commercialization and sustainability, among others" (UAM, University Legislation, p. 243).

The basic postulate for the construction of knowledge, according to the Xochimilco Document (UAM, 2012) takes as a tool the application of scientific research, this was due to the fact that the Divisions within which the academic activities began were those of Social Sciences and Humanities, and Biological and Health Sciences. In these areas, from the processes of systematic observation, measurement, experimentation and hypothesis formulation, the objective was to minimize the subjectivity of the knowledge construction process.

However, the processes in the Division of Science and Arts for the Design of this Unit, hereinafter CyAD, required a more linked method with subjective aspects such as human creation, with a different approach to address the problems that society poses.

Beyond the traditional pedagogical training by disciplines, the Modular System proposes to link the teaching-learning process to a relevant social problem to be approached in an interdisciplinary way. Currently, we are immersed in a process of resignification and updating of the Modular System, it is recognized that although it has some critical points, it has been more successful in relation to its link with reality itself.

This approach is applied in the three UAM-X Divisions, which 45 years after its foundation has 14,007 students in 18 degrees and 972 students in 29 Postgraduate plans.

Vocational training consists of 12 modules or teaching-learning units, proposed from the objects of transformation, which are socially relevant problems to solve. The educational character is concretized in the development of three fundamental concepts in the student's formation: the capacity for critical thinking, creative action and the global understanding of the facts. All focused on social transformation.

An important element is the rethinking of the objects of transformation and disciplinary and interdisciplinary fields that come to resignify and transform professional practice. The Bachelor of Architecture and Industrial Design are not foreign to this phenomenon.

Today, at UAMX, the Architecture and Industrial Design degree require a different dynamic derived from the new challenges of education and context. As Bauman (2007, p. 33) tells us: "the world, as it is lived today, seems more an artifact designed to forget than a place for learning." The challenge is to rethink the relevance and significance that academic structures have for the world as we live it.

### **Qualitative research in the Modular System**

For Taylor and Bogdan (1987) there are two theoretical positions to conduct research: the positivist who seeks "the facts or causes of social phenomena regardless of the subjective states of individuals" (p.15) and the phenomenological one that "wants to understand social phenomena from the actor's own perspective. Examine the way in which the world is experienced" (p.15) Given the fundamentals of the Modular System, the second position is the one that works most for the purpose of starting from a context and a reality of its own and thus identifying the elements and situations that they become important to that person or community that is being investigated.

For Denzin and Lincoln (2012, p. 3) qualitative research "is a situated activity that locates the observer in the world. It consists of a set of interpretive, material practices that make the world visible. These practices transform the world. They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self." The Modular System places us in concrete reality and asks us to transform reality from the deep knowledge of your problems and needs. Identifying, how, from our specific position in the world you can contribute to a reality as complex as the one we live.

According to Creswell (2013), qualitative research is based on assumptions and uses theoretical and interpretative frameworks to be able to approach studying specific problems or situations. The possible approaches, from the qualitative position (narrative research, phenomenology, grounded theory, ethnography and case study) provide a particular perspective throughout the research process, which begins with the approach itself, through the collection of data, the analysis process, until reaching the final report.

An element that stands out in this research process is "the final written report or the presentation [which] includes the voices of the participants, the researcher's reflexivity, a complex description and interpretation of the problem" (Creswell, 2013, p. 44). By linking it with the purposes of the Modular System, this type of "reports" are the ideal products for the construction of knowledge based on their own experiences.

Starting from reality to return to reality itself with relevant proposals, is the path that research proposes to travel. This means, as Denzin and Lincoln (2012) say that qualitative researchers study things in their natural environments, trying to make sense or interpret phenomena in terms of the meanings that people give them, and making sense from their own interpretative frameworks.

It is necessary that from interdisciplinarity, concept raised early in the teaching model of the Modular System, and with the knowledge and the possibility of implementing "a wide range of interconnected interpretive practices" (Denzin and Lincoln, 2012, p.4) that facilitate the understanding of the context, making possible a different vision from each particular practice, enriching the interpretation of events.

Qualitative research is then a perfect complement within the teaching model of the Modular System. And taking place within CyAD, it is the opportunity to make our architecture and industrial design students more sensitive to the reality around us. Qualitative research offers us a variety of possibilities to walk in the framework of research. A method that has strengthened the path of the different teaching-learning processes in the different disciplines that are related to design, specifically in CyAD.

The great challenge and value in the transformation objects proposed for the teaching of design and architecture in our unit, is to work with real problems or situations, which demands actions different from those proposed by traditional design methods.

### **The training of architects and designers in CyAD**

In response to the multiple visions that occur within our academy, the freedom of professorship allows each teacher to choose the design method they prefer to share with their students and with which they intend to approach to solve the problems of reality.

This includes traditional design methods where the approach is given by the same teacher and the student only has to "be inspired" to generate a large number of possibilities to solve the specific problem bounded by the teacher. Two situations are obvious: the first has to do with the process that the teacher has followed to identify the same problems, needs and problems to solve, the second has to do with giving the student the questions and not allowing him to distrust of that approach.

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In this situation, the research phase of the design process is limited to inquiring about production technologies, and existing references, preventing seeing beyond the approach previously established by the teacher.

Other design methods contemplate research as a starting point to be able to frame the problem statement. It is here that qualitative research becomes the ideal tool to place the teaching-learning process in reality itself.

The direct approach of the student with reality leads him to question his value judgments and prejudices around the topics and contexts addressed, to try to understand in an empathic way the specific situations. Once the realities are lived and experienced, the student is more sensitive to ask questions and explore possible solutions.

Approaching reality allows the student to identify more needs than the same user or inhabitant is aware of. These needs are called implicit, latent or non-articulated needs, which are the result of detailed observation and in-depth analysis.

When the user articulates the need, the project remains to please the user, when the designer identifies the unarticulated need, the project can scale the limits of the proposals and reach true objects or systems that solve that need.

It is in this sense that qualitative research methods provide those perspectives that allow identifying true needs, or latent needs and allow them to propose innovative objects and / or spaces.

### **Qualitative research in the teaching of Architecture in CyAD**

In the training of architecture students at UAM X, integration is considered as a fundamental element for their analysis and study. In this sense qualitative research, ethnography, psychology and many other disciplines have a great acceptance among this field of teaching; what has allowed us to find in these qualitative research methods a valuable instrument to approach and know the reality of society and its habitable spaces.

In many cases, quantitative and statistical approaches are not entirely sufficient for the analysis and study of human behavior, since they exclude the subjectivity of the interaction between people and the researcher's vision to obtain situated elements and objectives.

Within the qualitative research applied to living spaces, the researcher is aware of the influence he can exert when collecting information. Being aware of this makes him sensitive to his influence on his object of study and will generate a more complex interpretation of the phenomenon.

To work with undergraduate and graduate students in architecture, it is necessary to analyze and verify directly with reality. This is being built in relation to the different problems present in the social, spatial, environmental, architectural and territorial fields. Addressing reality from this systemic perspective allows us to build a complex interpretation of everyday life and contribute to the generation of knowledge in this area.

With qualitative research methods, architects are permanently trained in the interpretation of reality through interaction. Life stories, participant observation and case studies, allow to gather the necessary information for this.

In this sense, qualitative research proposes methods and procedures that enrich the architect's vision. That is, a new paradigm, a new model that supports an operation to obtain certain results. It can be said that it is a search for knowledge that is very committed to reality and to the people who inhabit it.

The search for knowledge in this way, provides a new point of support for the search for knowledge in living spaces. This qualitative search promotes elements for the development of architectural proposals, which is constantly evolving and in the search for social innovation.

### **Qualitative research in the teaching of industrial design in CyAD**

The degree in industrial design is no stranger to the situation of the free professorship described in Architecture. Each teacher decides the method with which their students will develop their design projects. These methods range from the traditional ones that start from the approach of the problem, for example the one proposed by Munari (2004), to methods where students are asked to approach reality to understand it as the Design Thinking proposed by Brown (2008), but at the time of implementing it in the classroom it is reduced to creativity techniques.

Since the industrial design began to be formally taught, the human aspect has been fundamental, however, the approach was based on intuitions about what users did users prefer. This generated processes focused on the creative moment and

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unlinked from the deep knowledge of the user, in this way, the design process begins by posing a problem and goes on to generate solutions, resulting in an almost pre-established response.

A few years ago, when the user went from being a group of specific people with established demographic characteristics, to an individual with qualities, designers began to identify opportunities in the multidisciplinary design and work method. Here comes qualitative research because it allows us to understand the user in a more empathetic, more real way.

Finding different views on the same user helps to understand it in a more comprehensive way, identifying elements that are not obvious, allowing the questions to be framed and generating the answers in a different and innovative way.

This recovers and reorders the design practice, from another level, integrating a stage where emphasis is placed on context and user research. It is important that the designer take on the challenge of carrying out certain activities to limit the scope of the problem, understand the context and know its user.

Some techniques that have been proposed to design students to get closer to reality, have to do with techniques that involve interaction and dialogue, such as semi-structured interviews, or shading, and techniques that privilege observation, such as participant observation, visual ethnography and user footprint analysis.

The registration of activities to gather information is a fundamental element in this process. The designer is afraid to approach someone he does not know, to observe him, but this is understandable due to the distrust and fear that exists in societies like ours. However, one of the best ways to approach reality and users is to explain the purpose of interacting with them.

The designer is used to propose solutions, but it is very difficult for him to ask himself the questions. Qualitative research and the approach to reality promote this type of professional training, make the designer assume roles of researcher, but requires many conditions so that it can be carried out.

### **The training as researchers of the architects and industrial designers of CyAD UAMX**

Something that differentiates us from graduates of other schools of industrial design and architecture is that our professionals leave with the sensitivity and training to approach reality and identify problems and opportunities for innovation.

The new professional field implies that the designer begins to train as a researcher. Beyond transforming the environment through objects or spaces, both the architect and designer will have the ability to identify and raise pertinent questions to interact with the context.

Moving towards more complex solutions demands an interdisciplinary approach and a deep understanding of the context. It is essential, without a doubt that based on qualitative research tools, designers and architects can collect the information properly to continue with the different stages of the design processes, without losing sight of the fact that design is a tool that allows improving quality of life of beings inhabit the planet.

The importance of the researcher (architect and / or designer) in qualitative research is fundamental, since it promotes a relative perspective, where the filters granted by the researcher will allow a better understanding of the phenomena to investigate. For the analysis, this new researcher provides interpretive frameworks based on his previous knowledge and experiences, which, complemented with those of other researchers, will allow him to approach the complex interpretation of the facts.

The possibilities of this research are unlimited, because as the world continues its progress and transformation in the historical course, the phenomena are reconsidered and allow new interpretations. This research is able to adjust to the events and problems that the researcher faces day by day.

The project practice, typical of architecture and design, implies a process of reflection based on the origins of the project. Where, beyond the creative process, the designer assumes himself as a researcher and plays an important role in the interpretation of social events and events in order to achieve more complex and pertinent approaches to the reality that is happening.

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The designer, beyond his creative posture, where he only produces the answer to the questions that others have asked, assumes a much more reflective, participatory and critical posture, which allows him to integrate from the very origin of the project, identifying opportunities for Innovation in social contexts.

Beyond the traditional profession of architects and designers, the researcher profile demands a professional with specific skills and abilities, participating in systematically organized processes which increases their knowledge, obtaining better results.

According to Buchanan (1995) the characteristics that develop in the formation of design thinking are: curiosity, decision making, interaction with others, empathy and argumentation, all in relation to the development of design projects. In addition to the five characteristics Buchanan mentions as essential in the designer's thinking, his profile as a researcher must be strengthened. This implies that the investigator's own characteristics are integrated with those of the designer allowing a designer / architect profile more sensitive to reality.

There are skills and qualities that are already in the individuals and it is only to promote, encourage and induce them to achieve a higher level of development and sensitivity, as Sánchez mentions: "for man, knowing is task and undertake. It is a program of life in terms of being historical and social" (2010, p. 60).

In this sense, six operations are proposed that will encourage the growth of designers as researchers: opening operations such as observation and reading. Expression operations in reference to the exchange and production of signs. Operations of creativity and rigor, operations related to socialization, construction and conceptualization operations, and strategy operations that involve teamwork, planning and decision-making capacity (Sánchez, 2010).

The design student is called to leave his role as a formalizer and to assume a new role of researcher that develops specific skills and allows him to position himself in the current design landscape worldwide with an innovative profile. The use of tools from interdisciplinarity, contextualization of referents and arduous analysis processes are the keys to successfully linking research processes with the results of the design process.

Qualitative research then becomes a basic tool of the entire design process and interdisciplinary linking is essential to carry out design projects. Thinking becomes a basic skill and conducting analysis leads directly to the process of generating strategies for innovation.

## Conclusions

Speaking of this "new" method that allows a vision of practice integrated to the designer, neglects the responsibility of the shape of the objects that make up the artificial environment of man, to think more broadly and participate in the whole process that it involves generating a design project.

For this it is essential that the designer develops tools as a researcher, in the first phase of the design; as a designer whose skills are given in the materialization and execution of the design project, and also as a communicator to be able to enter the deliverable phase and be able to adequately transmit the results of the design process.

The designer and the architect then become more participatory and less intuitive, managing to consolidate an integrative, analytical and critical thinking in search of the best answers to concrete problems of reality. The challenge would have to be to integrate content into your training that will help you assume this new role and allow you to have a greater vision and critical thinking ability.

The teaching of design and architecture within the Modular System requires a more qualitative approach, because from a concrete reality, students must be more sensitive and receptive to the phenomena that occur in their reality. But they must also be able to analyze and synthesize these concepts in more relevant and real solutions.

The architect and designer graduated from UAM X, develops research skills that allow him to differentiate himself from graduates of other institutions that use traditional teaching methods. Some developed features have to do with the capacity for analysis and reflection, critical thinking and diversity of paradigms, models and procedures that give them a complex vision to interpret reality, in an open search for knowledge, which make the human realities better understood and its problems in context.

As Bauman would conclude in his reflection on education: "We still have to learn the art of living in an oversaturated world of information. And we must also learn the even more difficult art of preparing the next generations to live in such a world" (Bauman, 2007, p.46).

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## “Ethno-Inclusion – Ethno-Exclusion” as a Dualistic Model of Cross-Cultural Adaptation in the University Educational Environment

E. Pokrovskaya

M. Raitina

### Abstract

The article is devoted to the problem of overcoming the contradiction between the requirements of society for inclusion in the ethno-social educational environment and providing comfortable intercultural communication. Therefore, the goal is to study "ethno-inclusion – ethno-exclusion" as a dual model of cross-cultural interaction. The study is presented as an area of scientific reflection describing the situation of interethnic interaction in the socio-cultural environment and revealing the behavioral vectors of the individual, allowing characterizing the current communicative situation in terms of the impact of extremism and negative socio-cultural transformations. The empirical base is the research conducted by the method of questioning of Tomsk state University of Control Systems and Radioelectronics (TUSUR) students in 2017. As a methodological basis adapted by the authors' version of the method "Types of ethnic identity" G. U. Soldatova, S. V. Ryzhova was chosen. The dominant type, according to the results of surveys, was the type of "norm", suggesting an optimal balance of tolerance towards their own and other ethnic groups. The article presents the models of behavioral vectors correlating with the stages of cross-cultural adaptation process according to M. J. Bennett, that allows us to consider in detail the structure of positive ethnic identity (norm). Positive ethnic identity (norm), represented by the successive development of ethno-relativistic stages of perception of another culture, in its maximum value is defined as the stage of "integration", which is fixed among senior students. The functional stages of "recognition" and "adaptation" is of a transit nature and has fluctuating properties. In the analysis of ethnic identity, it is necessary to focus on the conceptual difference between them, integration as a normative form of cultural existence implies the presence of multiculturalism, a polyvariant image of the world and the multidimensionality of personal experience. The authors rely on their own system of indicators of the quality of the ethno-social educational environment. The materials of this article lay the foundations of interdisciplinary approaches to the formation of theoretical and methodological support of "ethno-inclusion" in the University environment and can be used in the educational process in the preparation of courses on intercultural communication, cultural studies, psychology, philosophy and other fields of knowledge related to the construction of a comfortable environment of cross-cultural interaction.<sup>1</sup>

**Keywords:** ethno-inclusion, cross-cultural interaction, educational environment, ethno-norm

### Introduction

Understanding the current socio-cultural situation is associated with the need for a theoretical and methodological substantiation of the formation of ethno-social space. In the context of global ethno-communication processes, the task of identifying optimal approaches to the regulation of interethnic, interethnic relations and ethno-social processes is the determination of the methodological aspects of the sustainable development of a barrier-free international environment in the university educational environment.

The relevance of the work is due to the need for scientific development and the search for theoretical constructs for the ethnic identity study formation, namely state identity, national-civic identity and cultural identity as a whole, which allows to overcome the contradiction between the need to be in constant cross-cultural interaction and the inability to carry it out permanently positively, affecting consciousness of people in the modern information and communication environment (Suslova et al., 2017).

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## Literature review

Over the years, there has been a permanent interest in the number of publications concerning with methodological bases of diversity and the inclusive educational university environment: "Diversity as a tool to promote cultural understanding and tolerance", "Intercultural (mis)communication in teacher-student interaction" (Hicks & Marin, 1998), "How University Lecturers' Display of Emotion Affects Students' Emotions, Failure Attributions, and Behavioral Tendencies in Germany, Russia, and the United States" (Hansen & Mendzheritskaya, 2017), "Enhancing Learners' Cross-Cultural Understanding in Language and Culture Class Using In-Circle" (Uosaki, Yonekawa & Yin, 2017), "Developing global citizenship: tools for measuring the impact of academic study abroad programs" (Matheus et al., 2017), "International Students' Disconnecting from and Reconnecting with Diverse" (Machart, 2017).

Most of them focus on the necessity of complex system of intergenerational cultural assimilation in the context of economic effects: "Immigration restrictions and second-generation cultural assimilation: Theory and quasi-experimental evidence" (Galli & Russo, 2019), "The network of migrants and international trade", "Ethnic drift and white flight: A gravity model of neighborhood formation" (Metulini et al., 2018).

There are articles noting different migration models as a part of communication context and existing base: "Migrants' self-realization features in a polycultural city" (Meshcheryakova, Larionova, & Pokrovskaya, 2015), "Contributing Factors to Migration Growth Among Iranian Students: Drivers of Migration to Malaysia" (Kazemi et al., 2018), "Attitudes towards highly skilled and low-skilled immigration in Europe: A survey experiment in 15 european countries" (Naumann, Stoetzer & Pietrantuono, 2018), etc.

However, authors mark the lack of articles devoted to the interdisciplinary ethno-inclusive methodology formation in the educational university environment.

## Methods and Results

In the context of Russia's modernization, when in the field of education, the interests of practically any Russian citizen are overlapped, there is a need for breakthrough events aimed at shaping a world view that is resistant to all sorts of extreme types of ethnic identity, such as ethno-centric ones (Chmeyrkova, Jelinek, & Krchmova, 2006; Shpet, 2010).

The scientific significance lies in the fact that the complex of applied research aimed at identifying the types of students' youth's ethnic identity (using the example of Tomsk State University of Control Systems and Radioelectronics, then TUSUR), among which may be represented ethnocentric identity groups, inclined to exposure the influence of extremist ideology, allows us to speak about the emergence of negative sociocultural transformations today (Pokrovskaya & Raitina, 2017). Knowledge of the above parameters allows you to determine the bifurcation points and set stable operating modes, one of which will go the development of the system.

The complex of studies conducted in 2017 on the basis of TUSUR lays the foundation for the creation of the theory of national security of modern society.

Since the problem lies in resolving the contradiction described above, we denote the purpose and objectives of the work.

The aim of the study is to identify the correlation (interrelations) in the formation of the ethno-social educational environment of the university through the identification of a dualistic model of "ethno-inclusion – ethno-exclusion".

To achieve this goal, the following tasks were identified:

- to consider the concept of "ethno-social environment of the university";
- to identify and analyze the types of ethnic identity in the educational environment on the example of TUSUR;
- to establish the relationship between types of ethnic identity and the stages of cross-cultural adaptation (according to M. J. Bennet) (Bennett, 1986; Bennett, 1993);
- to formulate models of behavioral vectors as correlated types of ethnic identity and stages of cross-cultural adaptation;
- develop a system of quality indicators (suggesting a barrier-free comfortable interaction) of the formation of an ethno-social educational environment.

The methodological basis of the research is developed as a field of cultural-philosophical reflection, describing the situation of interethnic interaction in the sociocultural environment, and revealing groups of people inclined to exposure to the influence of extremist ideology and negative sociocultural transformations.

The chosen research approach is that the context of cross-cultural interactions is considered as an area for the existence of communicative threats, and, therefore, in this field it is advisable to establish complex and stable organizational forms of counteracting these threats.

During the study, the most relevant objectives were used to collect and analyze empirical data, namely the survey method and the method of mathematical statistics. An adapted version of the method "Types of ethnic identity" Soldatova G. (Soldatova, 1998), Ryzhova S. (Ryzhova, 2011).

We operationalize the basic concepts - types of ethnic identity: the norm (positive ethnic identity), which is a combination of a positive attitude towards one's own people and a positive attitude towards other people (Monakov, 2008). In a multi-ethnic society, a positive ethnic identity has the character of a norm peculiar to the overwhelming majority and sets such an optimal balance of tolerance towards one's own and other ethnic groups, which allows considering it, on the one hand, as a condition of independence (autonomy) and stable existence of an ethnic group, with the other, as a condition for comfortable barrier-free cross-cultural interaction in a multi-ethnic world. Ethnic indifference is considered as erosion of ethnic identity, expressed in the uncertainty of ethnicity and poorly actualized ethnicity. Ethno-egoism predominantly has an expression of a leveling nature in response to the challenges of the social environment in the perception of the construct "my people". However, according to Soldatova G.U., for example, when activating a defense mechanism, there occur tensions and irritation in communicating with representatives of other ethnic groups or we may suggest recognizing the right of their people to solve problems at someone "foreign" expense. Ethno-isolationism is characterized by a position suggesting a supreme significance in relation to its own ethnic group, a manifestation of negative intentions towards inter-ethnic marriage unions, xenophobia.

In the proposed author's adapted version of the "Types of Ethnic Identity" methodology, four of the above mentioned speakers are leading types of ethnic identity, since ethno-nihilism and national fanaticism are also presented in the original methodology "Types of Ethnic Identity" by Soldatova G.U., Ryzhova S.V., as behavioral vectors are irrelevant to educational discourse, and mostly they can be characteristic of labor and forced migrants.

In the development of the research task, we consider the dominant types of ethnic identity in comparison with the stages of the process of cross-cultural adaptation according to Milton J. Bennet, suggested by the authors as models of behavioral vectors, in which the ethno-isolationism correlates with the denial, the ethno-egoism – with the protection, the ethno-indifference – with depreciation and the ethno-norm, in its turn, correlates with the following stages: recognition, adaptation, integration (Raitina, M.Yu. & Pokrovskaya, 2018).

The proposed stages of the process of cross-cultural adaptation by Milton J. Bennet are consistently unfolded through the dominant type of ethnic identity. Thus, the first stage of "denial" can manifest itself through isolation, which consists in the unwillingness of an individual to encounter representatives of a different culture, which is correlated with ethno-isolationism, which is one of the destructive types of identity, because when the behavioral model assumes the possibility of raising physical and social barriers to distance from everything else, different from its own.

The recognition of differences triggers the transition to the next stage of cross-cultural adaptation - "protection". One of the forms of protection is a sense of pride and superiority, emphasizing the high status of our own cultural group, which corresponds to ethno-egoism. When evaluating differences, this type of identity forms negative stereotypes in relation to a different culture, which, subject to a positive behavioral strategy, leads to the implementation of the third "derogation" stage. This stage presupposes the biological and cultural universalism of individuals, which is correlated with the dominant type of ethno-indifference as a form of minimizing the issues of one's own ethnicity.

The above stages characterize the ethnocentric position and cannot serve as sufficient grounds for building a barrier-free, comfortable, cross-cultural, educational environment. For its formation a transition and a paradigm shift to an ethno-relativistic position of cross-cultural adaptation, including the stages of "recognition", "adaptation" and "integration" are necessary. In the context of the complex of the conducted research, the above stages correlate with the dominant type of ethnic identity "ethno-norm", considered as a positive ethnic identity. Thus, at the "recognition" stage, there is an acceptance and approval of cultural differences in behavior and values. The development and improvement of cross-cultural communication skills, self-actualization of the personality contributes to the inclusion of empathic mechanisms of

intercultural interaction and suggests a transition to the next stage of "adaptation" (Gleditsch, Skrede & Wucherpfennig, 2016).

We agree with M.J. Bennet that the adaptation phase, starting with empathy, "ends with the formation of pluralism ... is the result of living in a foreign culture for at least two years" (Smolina & Mel'nikova, 2017). Full adaptation to a foreign culture - the final stage of "integration" results in the highest point of development, the ideal of personal growth is a multicultural personality (Smolina & Mel'nikova, 2017).

The empirical base of the study is the results of survey conducted on the basis of TUSUR in 2017 (Figure 1).

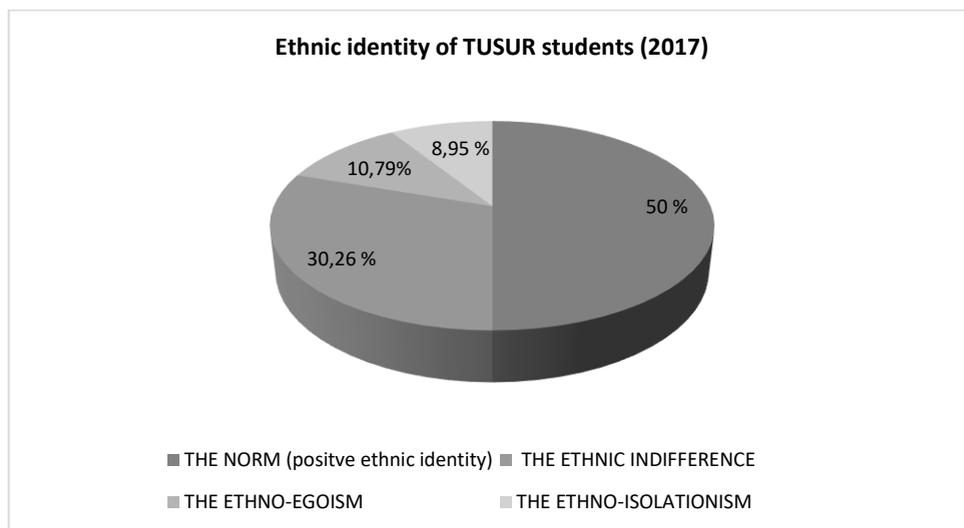


Figure 1. Ethnic identity of TUSUR students (2017)

In total, 3544 students took part in the survey of students of TUSUR 2061 men, which is 58.2% and 1483 women, which is 41.8 %. Analysis of the results of a survey of students of TUSUR showed that 50% (1772 people) of students determined the norm (positive ethnic identity), 30.26% (1072 people) – the ethnic indifference, 10.79% (382 people) – the ethnic egoism, and 8.95% determined the ethnic isolationism (318 people).

Let us consider in more detail the structure of the norm (recognition- adaptation-integration) as a context of effective ethno-social interaction on the basis of comparative analysis of the data of the survey of students of the Radio Engineering Faculty (RKF) of TUSUR received in 2017 (Figure 2).

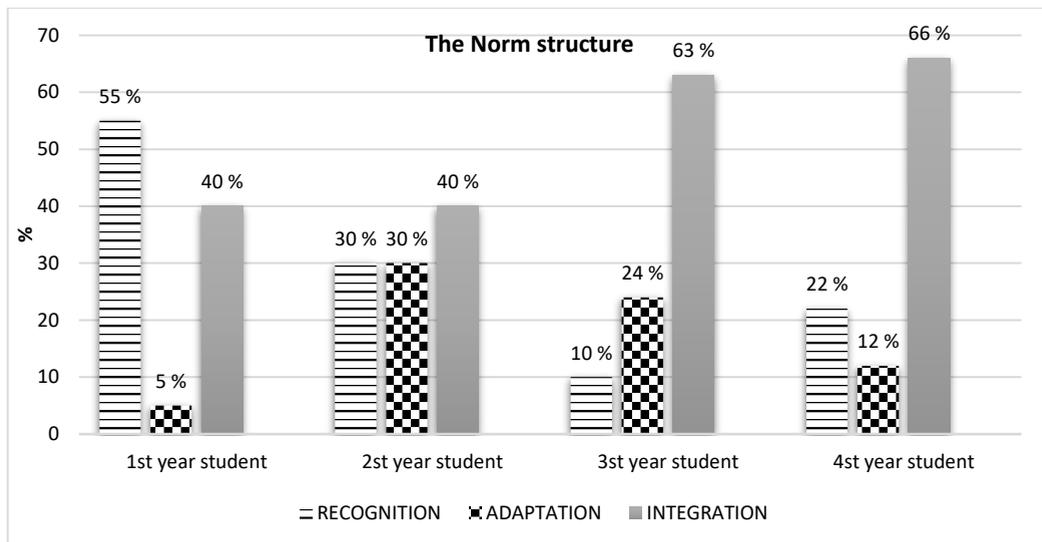


Figure 2. "The Norm" structure

Positive ethnic identity, represented by the successive development of ethno-relativistic stages of perception of a different culture, in its maximum value is defined as a stage of "integration", which is fixed among senior students. This conclusion is natural, because during the training in TUSUR there is an "inclusion" of students in the context of the barrier-free ethno-social environment formation.

Redistribution of the specific weight of the stages of "recognition" and "adaptation" seems natural due to the fact that their functional has a transit character and has fluctuating properties. Thus, for example, it is assumed that at the stage of "recognition" it can be shown a benevolent attitude to another culture without active penetration into its environment. This behavioral model can move towards the stage of the ethno-indifference or the ethno-egoism, in the case of negative personal experience. The stage of "adaptation" is the closest to the stage of "integration" and in some communicative contexts can act as a substitute. At the same time, when analyzing ethnic identity, it is necessary to focus on the conceptual difference between them, integration as a normative form of cultural existence implies the presence of multiculturalism, a polyvariant picture of the world and the multidimensionality of personal experience.

For the deployment of cross-cultural adaptation, the authors propose the allocation of a dualistic model of "ethno-inclusion – ethno-exclusion". These constructs correlate respectively with the ethno-relativistic and ethno-centrist stages. The previously mentioned models of behavioral vectors, namely, recognition, adaptation, integration, combined with the type of ethnic identity "the norm", are descriptive characteristics of the ethno-inclusive model, which involves the inclusion of subjects of ethno-social environment in the process of cross-cultural interaction without obvious distortions and destruction. In turn, the ethno-exclusion is characterized by such models of behavioral vectors as denial (with the dominant type of ethnic identity "the ethno-isolationism"), protection (with the dominant type of ethnic identity "the ethno-egoism"), derogation (with the dominant type of ethnic identity "the ethno-indifference"). From the authors' point of view, "derogation" has a transitional property and is most affected by environmental factors.

The above models of behavioral vectors are used to describe the system of quality indicators (suggesting a barrier-free comfortable interaction) of the ethno-social educational environment formation, such as: the ethno-norm that increases barrier-free comfortable interaction of subjects of the educational space; ethno-indifference that means decline or no change dominant of cultural and biological universalism, etc.

## Conclusion

Thus, the scientific and practical result is a system of quality indicators (suggesting barrier-free comfortable interaction) of the ethno-social educational environment formation, taking into account the realities of sociocultural transformations that

have taken place in the society, and setting a new comfortable barrier-free interethnic environment that is being formed at the interface of interdisciplinary convergence.

As part of the implementation of the above-mentioned educational task, we note a number of measures that contribute to the positive development of the ethno-social factor in education:

- cross-cultural Forum with international participation "Ethno-Cultural Mosaic";
- International scientific and practical conference "Modern education: new methods and technologies in the organization of the educational process;
- student Festival of National Cultures;
- scientific and methodological seminar on a regular basis for graduate students, applicants and teachers;
- activities of an educational nature to promote national cultures and traditions (public lectures, discussion platforms, film clubs, tours of the city of Tomsk, including for foreign students).

The activities of integral interaction held at the University are connected with the need to build a purposeful educational strategy, the formation of tolerant positive interethnic relations in society and, above all, in the youth environment.

The obtained research data convincingly testify that a comfortable barrier-free inter-ethnic environment has been created in TUSUR, which makes it possible to successfully counteract the influence of the ideology of extremism and terrorism.

In conclusion, according to the proposed logic, ethno-inclusion substantiates a barrier-free environment, dynamic in its essence, modeled by behavioral vectors and implying both external regulation of the resources of the education system and internal work of the personality associated with its self-actualization.

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## Judicial-Social Perspective of Albanian Women's Rights through the Years

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Drejtoria Rajonale e Shërbimit Social Shtetëror Elbasan

### Abstract

Women's rights are an integral part of human rights and freedoms. The latter represent rights that are superior to the other laws of the state including the normative acts that are issued from the government. Nowadays these rights are a priority but on previous decades these rights have not been recognized in our doctrines and customs. The content of this article consists of a legal analysis of the evolution of women's rights in Albania starting from Muslim and customary law until today. The main focus of this paper is the full coverage of women's rights starting from Muslim and customary law, with their rights reflected in the Civil Code in the Albanian Republic on 1929 and subsequent changes throughout the communist, post-communist period to the present. Finally, attention will also be given to gender equality reports in communist, post-communist period in Albania and to the changes that have taken place in the last 6 years when the current government is already in power. Today women are more present than ever with their positions, but different from what it is expected, their sensitivity to gender issues is not yet present. The paper is elaborated in the context of a theoretical, argumentative and legal approach. The method used in this paper is the empirical one, through which we have tried to investigate the reality of the subject in question, interpreting it as objectively as possible through observations and experiences gained over the years.

**Keywords:** women's rights, gender issue, customary law, communist regime, civilization

### Introduction

The woman whose origin has been Albanian has found herself discriminated in political, social, cultural and educational context. The basic cell of society under customary law in Albania was the patriarchal family. The patriarchal family was one of the types of monogamous family which prevailed in Albania until World War II. The patriarchal family was a community of people who were bloodily related from father or who were united by marriage. After the World War II in Albania, this kind of family began to disintegrate due to socio-economic changes. According to the customary law, the marriage constituted the implementation of the agreement between the boy's and the girl's family since the couple was engaged with each-other. The social function of marriage was the basis for the creation of the family, the economic function was the basis for increasing the labor force and the natural function was the basis for the reproduction of generations. The engagement was an arrangement between the boy's and the girl's family for their marriage which imposed obligations on both parties. In the Civil Code of the Albanian Republic of 1929, regarding the legal status of Albanian women, a characteristic feature was the women inequality, their inferiority and legal discrimination in different areas of social life. Specifically this code prohibits polygamy, and only recognizes civil marriage, which could be realized after a man has reached the age of 18 and a girl of 16, provided that they have obtained parental consent. This consent was not required when the spouses had reached adulthood age and such was the case when they were 20 years old (Ministria, 1957). In various historical periods, Albanian women have made constant efforts to be well positioned in society. In the period of the communist regime (1945-1990), post-World War II legislation in Albania sanctioned the formal equality of men and women. The basic principles underlying the legal status of Albanian women in this period reflected in the Constitution are as follow: Marriage and the family are protected from the state and society; the spouses and other family members do have full equality of rights and obligations; the mother and child enjoy special care and protection. In the framework of the equality of men and women, the state required a third shift for both women and men. The Albanian woman tried to obtain equal education with men, equal employment with men. Therefore, the Albanian woman gained something during this period compared to with the past. The democratic changes in Albania in the early 1990s marked the birth of an important women's movement for their rights. The first nongovernmental organizations (NGOs) began to emerge in Albania in 1991-1992, which followed modern developed models. Today, the women's movement has significantly influenced the improvement of legislation from the gender

perspective and how the women's legal rights are implemented in practice. Therefore, the marriage to be valid should have the free and unanimous consent of the two spouses or one of them, otherwise it is declared invalid. In this case, both spouses have the right to sue or the spouse whose consent has not been free has the right to sue. The age of marriage for both husband and wife is 18 years. This is based on Law No. 9970, dated 24.7.2008 "Gender Equality in Society" (International Labor Organization, 2008). Recently, with regard to gender integration through decision-making and policymaking in the last 10 years, there has been an encouraging and even impressive increase in levels of representation in administrative and political decision-making. The phenomenon that girls and women stand at the top positions of government institutions is undoubtedly not only the product of a new social and political capacity to appreciate merit but also to emphasize the need for women in decision-making. On the other hand, it is noted today that decision-making is one of the least prevalent social aspects in the lives of girls and women in rural areas. The Albanian woman has never been more educated than she is today. Only 5% of the women of our mothers' generation were highly educated. Today, there are six times more girls with a college degree whose age lies between 25-39 years old. There are more girls than boys pursuing higher education, and that would have been surprising decades ago. There are fewer women employed than men and there are twice women than men involved in unpaid work in family businesses. The first to be fired from the labor market are women largely due to maternity care while many others are still under the pressure of patriarchal mentalities, not being able to show their talents and abilities. Recently, women are more present than ever with their positions, but unlike what is expected, their sensitivity to gender issues is not yet present. It is required from the women decision makers to be key actors who fight discrimination, bullying, blackmail and discomfort in the social environment.

In addition, initiatives should be undertaken in order to guarantee employment and career support, guarantee justice to the end and guarantee protection, respect as well as should encourage the empowerment of rural women. These women decision-makers today should create new, clear and secure perspectives for women curing the health of the social environment for greater tolerance and mutual respect.

### **I. The Women's Right under Muslim and Customary Law**

The women issue is a permanent problem in society. This problem is still continuing even today which is even more complicated for many reasons. Attempts to change the role of women in society may result in the alleviation of some oppressive problems to her. The woman whose origin has been Albanian has found herself discriminated in political, social, cultural and educational context. The basic cell of society under customary law in Albania was the patriarchal family.

The patriarchal family was one of the types of monogamous family which prevailed in Albania until World War II. In previous decades within the same family several generations lived. These families were compounded from the sons of the householder, with their wives and children, grandchildren with their wives and children, and so on. The men were all co-owners of the family property. Women were considered as "foreigners" and had not share in their husband's wealth. The economic power of men was the basis of their social authority and the basis of their power over women, which is one of the essential features of the patriarchal family. <sup>1</sup>The patriarchal family was a large socio-economic unit which needed a single power exercised by the head of household (Historia e Shtetit dhe e se Drejtes ne Shqiperi, 1997). The duties of the men head of household were: to send the family members to work; to buy and sell land and to manage the family's income. He represented the family in the units of self-government. The duties toward other family members were: to take care of food, clothing, engagement of girls and boys, the householder had the right to punish family members when committing any prohibited act. In addition to the head of household, there was also the lady of the house, the spouse of the head of household. She managed the economy of the family, provided food and looked after the children after they return from school. Engagement was one of the institutes of customary family law. The engagement was an arrangement between the boy's and the girl's family for their marriage, which imposed obligations on both parties.

The most important way of realizing the engagement was through the intermediation of a third party who realizes the engagement of the couple. This relationship was made by a third person (the mediator) who realized the connection between the boy's and the girl's family for the realization of the engagement. Another way for realizing the engagement was through the method of arrangement conducted between families to give and take each other's daughters for their sons. The engagement was done at a very young age. The boy was engaged at the age of 15 while the engagement age of girls vary from 7-14 years old. Girls and boys could get engaged even in the cradle, even before birth, when their fathers

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<sup>1</sup> "The duty of the householder usually belonged to the oldest man, and in his absence it belonged to the older brother. Only men could become head of household. In the absence of men, the Canon of Skanderbeg and the Canon of Laberia accepted head of household a wife until their sons were raised."

promised each other "if my wife gave birth to a son and your wife gave birth to a daughter, we can become friends." In customary law the parties' religion was not recognized as an obstacle for marriage. Different religious affiliations were ideological barriers to marriage. As mentioned above, consenting to the engagement of the boy or girl was a right of the householder, who was obliged to take first the opinion of the father and then the opinion of the other men of the family. The opinion of mothers or wives was not required. Likewise, the consent of the girl and boy who will be engaged was not taken. They were obliged to accept the choice of their fathers. After the engagement, the girl's primary task was to maintain honor in terms of marital loyalty. She was forbidden to meet her fiancé and was even forbidden to meet the members of his family. The dissolution of the engagement was only a right of the boy and his family. The reasons for the dissolution of the marriage were as follows: the girl's illness after the marriage or the hostilities between the families. Only the boy had the right to give up the engagement while for the girl the engagement was an obligation from which she could not break. The unilateral solution by the girl led to blood feuds. The customary marriage constituted the implementation of the concluded agreement between the boy's and the girl's family.

According to the definition of marriage, the social function of marriage is the basis for the creation of the family, the economic function is the basis for increasing the labor force, and the natural function is the basis for the reproduction of generations. The term "slave" used for the woman figuratively expresses her subordinate position in the family. The most common way of marriage was marriage with a crown. It is about monogamous marriage, performed by the mediator. According to Albanian customary law, polygamy was only allowed as an exception in order to have children, especially boys when the first wife could not give birth. Polygamy was also created by marrying the wife of the deceased brother. The girl's and the boy's family agreed that the divorced girl or woman would go to the men's home and live together as a spouse, but without getting married. This was conditioned by whether or not the woman would give birth within a certain period of time which was one year. If the legal fact was proved which was the birth of the child then the parties made the marriage and the probationary marriage had all the legal effects from the moment of its connection. If the wife was unable to give birth to children, she would return to her father's family and the husband's family would not be held responsible for this thing. The man could have kept his wife in his house for mercy, but he was entitled to take another wife to have children. In all types of marriage, the boy's family was obliged to give the girl's family a sum of money as a marriage reward. This reward was a clear expression of the woman's inferior position in the field of family relations. The dissolution of marriage was a rare, extraordinary occurrence, and was seen as a misfortune for both parties. In this society, the freedom of the women was extremely limited. The dissolution of the marriage could lead to hostility and to blood feuds. The right to dissolve the marriage belonged exclusively to the husband. The decision to dissolve the marriage was usually taken jointly by the men of the house, who shared responsibility for the possible consequences, but the practical actions of expelling the woman were carried out by her husband. The main causes leading to the dissolution of the marriage were: marital infringement - the husband could terminate the marriage when he suspected that his wife had formed an extramarital relationship with another man. When the woman was caught in the act with another man, she was killed with her partner immediately.

Women who did not meet the requirement of pure virginity would return to their father's home and the marriage would be resolved immediately. This solution could lead to profound disagreements leading to blood feuds; the husband could separate the wife and when she was not able to do the housework and raise the children, when she was talkative could not cope with challenges. The Albanian customary law recognized the husband's right to raise children (boys and girls), regardless of the causes of the dissolution of marriage. When they women were divorced, they were separated from their children and had no chance meeting together anytime. As a rule the woman had no share in the common property of the family.

## **II. Women's Rights under the Civil Code of 1929**

The Civil Code ratified in 1929 marked a very positive moment for Albanian legislation at that time. This code listed the Albanian State among the countries that had a modern Civil Code, as its content was based on French Civil Code as well as Swiss and German Civil Code sanctioning the principle of equality of citizens of a state. Up to this time, as mentioned above, civil legal relations in Albania were governed by Muslim and customary law. Regarding the legal position of the Albanian woman, in the Civil Code of the Republic of 1929, the characteristic feature is the sanctioning of the inequality of the woman, her inferiority and legal discrimination in different areas of social life, but also many spaces, reliefs contrary to customary law. Specifically, the principle of the husband's power over the wife and children is clearly reflected in the fact that the wife must pursue the husband's civil position, assume his surname, and be obliged to accompany him wherever he sees fit to assign his resistance. A woman cannot exercise any profession or craft without the consent of her husband. The property relations between the spouses were defined in the marriage contract, which had to be concluded by a notary

and always before the marriage. This contract provided for the limits of the administration of the property of the wife donated by the father to the husband and the arrangement of other property relations between the spouses. This code prohibited polygamy, and only recognized civil marriage, which could be entered into after the husband had reached the age of 18 and the girl 16 years old, provided that they had obtained parental consent. This consent was not required when the spouse had reached adulthood, and such was the case when they were 20 years old. The reasons for terminating the marriage were: her relationship before the previous marriage that her husband had celebrated; its relation to the impact of severe intimidation on the plaintiff's own spouse; its relation to the influence of wits about spouse qualities; adultery; assassination attempt against the life of the spouse; leaving lawfully; the incurable mental illness of the spouse; not having children alive; even when the marriage bond was so deeply shaken that coexistence had become unbearable. Parental power belonged to the father, and only when he could not for different reasons prohibitive, belonged to the mother. The code also provided in its provisions for the institute of paternity recognition and maternity recognition for children born out of wedlock.

### III. Women's Rights during the Communist Regime

In various historical periods, Albanian women have made constant efforts to take their deserved place in society. The following will take a quick look at the period of the so-called communist regime (1945-1990). Post-World War II legislation in Albania sanctioned the formal equality of men and women. Formal equality, because, it is difficult to say and complicated to judge, to what extent sanctioning of rights by law, would mean that the Albanian woman really enjoyed these rights. The basic principles that show the legal position of Albanian women in this period and in the Constitution are:

- *Marriage and the family are in the care and protection of the state and society.* The views of bourgeois ideologues that treat the family as a purely private matter are unknown to the socialist society of the time. Personal life and family life are part of social life. It develops on the basis of relationships that develop throughout the life of society (Latifi, 2005).<sup>1</sup>

- *Full equality of rights and obligations of spouses and other family members.* Article 41 of the Constitution of the SSSR states that, "a woman enjoys equal rights with her husband at work, in remuneration, in leave, in social security, in education, in all socio-political activity and in the family" (Begeja, 1984). In reality, there was a widespread ideological struggle against any regressive force that could impede the full emancipation of women in every area of life and especially in the field of marital relations. Spouses have the same rights and duties vis-à-vis each other. They must love and respect one another, maintain marital loyalty, help one another fulfill all family and social obligations, and participate in meeting the family's cultural and family needs. They decide jointly on any issue arising out of marriage. Family members have equal rights and obligations in the family. Parental authority belonged to both mother and father equally (Sadikaj, 1982).

- *The mother and child enjoy special care and protection.* The mother is entitled to be paid before and after the birth. Maternity leave for women working directly in manufacturing is 170 calendar days and is issued 35 days before and 135 days after birth. In sectors where work is more difficult the leave is 180 days. At the time of this leave the woman is paid by Social Security at 80% of her average monthly salary. It is forbidden for women to work underground, in hard work or in places harmful to health. Also pregnant women or children up to one year are prohibited from working at night and beyond normal working hours. When a woman is pregnant, the law obliges the labor center administration, on the basis of a medical report, to transfer the woman to an easier job, supplementing the pay gap. In order to protect the mother and the child, it is foreseen in the Code to suspend the trial of a lawsuit for dissolution of marriage when the woman is pregnant until the child reaches the age of 3 years.

- *Monogamy is one of the basic principles of family law.* In Articles 15 and 21 of Family Code states "the marriage cannot be entered into between persons of whom either one is married to another person, otherwise the marriage is declared invalid by the court". For violators of the principle of monogamy prescribed criminal sanctions. The Criminal Code considers a criminal offense a man who holds at the same time marital relations with two or more women, as well as that of a married

<sup>1</sup> "Ksanthipi Begeja, "Family Law of S.P.R Albania", University of Tirana, Faculty of Political and Juridical Sciences, Tirana 1984, pp. 12-13. State and society care for family problems, interest and tactful intervention, always maintaining their intimate character, through the educational work of state bodies and social organizations such as Front, BGSB (Albanian Women's Union), Professional Unions etc. ... to create conviction for the implementation of communist morality within the family, to provide appropriate assistance through counseling when a family is in danger of breaking down, serving not only the unity of the family but also of the whole unity society. It is understood from this that all this interest does not mean the politicization of family problems, but, on the contrary, a further breakdown of the care of the socialist state and society for the safeguarding of society, the family as much as possible. Only in cases where all the remedies used to heal this cell do not produce the desired fruits, the judicial authorities, at the request of the person concerned, provide the appropriate solution."

man, who without a court proceeding and the lawsuit for the dissolution of marriage, holds marital relationship with another woman<sup>1</sup>.

#### IV. Women's Rights in the Post-Communist Period to Date

The democratic changes in Albania in the early 1990s marked the birth of an important women's movement for their rights. In the years 1991-1992 in Albania began to create non-governmental organizations, which followed the advanced contemporary models. These NGOs constitute a vital voice in the development of Albanian society. Today, the women's movement has significantly influenced the improvement of legislation from a gender perspective and how women's legal rights are implemented in practice. As a result of these efforts and the overall political and state orientation currently in place, Albania has adopted contemporary legislation reflecting international human rights and women's rights standards. Specifically:

- The *marriage* to be valid had to do with the free and unanimous consent of the two spouses or one of them, otherwise declared null and void. In this case, both spouses and/or the spouse whose consent has not been free are entitled to sue. The age of marriage for both husband and wife is 18 years. One of the last changes made to the current. Family Code, in the context of efforts to democratize legislation, was the recognition of the dissolution of marriage without guilt when this was required by both parties. In this case this marriage settlement is carried out in a speedy court process. The principle followed by the court in this proceeding is that of the highest interest of the children. In general, courts privilege the mother in leaving the child to be raised and educated, because raising and educating children is a very difficult job and it is up to the mother to bear this heavy burden.

- *Gender equality measures*. Gender equality is the equal participation of women and men in all areas of life, equal position between them, equal opportunities and opportunities, to enjoy rights and fulfill obligations in society, equally benefiting from development achievements. Law No. 9970, dated 24.7.2008 on "Gender Equality in Society" aims to: a) provide effective protection against discrimination on grounds of sex and any form of conduct that promotes discrimination on grounds of sex; b) establish measures to ensure equal opportunities for women and men to eliminate gender-based discrimination in whatever form it occurs; c) determine the responsibilities of state, central and local authorities to draft and implement normative acts and policies that support the development and promotion of gender equality in society.

- *The rights and obligations of spouses*. Husbands have the right to choose to keep their surname or keep a common surname when the marriage ties; spouses have the obligation of living together. The residence of the family is the place where the spouses choose by mutual agreement. In the event of a dispute, each of the spouses may refer the matter to the court, which may reach a mutually agreeable settlement after hearing the child; each of the spouses may perform, without the consent of the other spouse, legal actions relating to the maintenance of the family or the education of the children (Kodi i Familjes, 2009)<sup>2</sup>.

- *Sexual harassment at work*. Article 'ë' of the Labor Code of the Republic of Albania<sup>4</sup> sanctions that "the employer is prohibited from committing any act which constitutes sexual harassment against the employee and prohibits the performance of such acts by other employees" (International Labor Organization, 1995). Sexual harassment is a form of sexual discrimination at work. This sexual harassment involves requests for sexual favor and / or physical behavior, or the use of a vocabulary of a sexual nature, when exposure or opposition to such behavior / vocabulary significantly affects the individual's work, creates a humiliating, threatening work environment or simultaneously and protective. The employer is obliged to respect and protect the employee's personality in the work reports. He must prevent any attitude that violates the dignity of the employee.

<sup>1</sup> "Ksanthipi Begeja, "Family Law of S.P.R. Albania", University of Tirana, Faculty of Political and Juridical Sciences, Tirana 1984, pp. 23-24. It is claimed that, in this socialist society, the economic equality of women and their equality with men before the law make marriage effectively the voluntary union of a man and a woman, thereby preventing the development of any kind of polygamy."

The role that Enver Hoxha's dictatorship played in improving the position of women in society should be seen in the context of gross and large-scale violations of human rights in that period. In the facade of man's equality with woman, the state (meaning men) required (as mentioned above) a third shift for both, men and women, the Albanian woman sought to obtain equal education with men, equal employment with men, in conclusion, the Albanian woman gained something during this period compared to the past.

<sup>2</sup> "Family Code", Alb Juris Publishing House, Tirana 2009, article 62 "A spouse who is subjected to violence has the right to apply to the court as an urgent measure for the removal of the spouse who commits violence from co-insurance."

## V. Gender Mainstreaming through Decision-making and Policymaking in the last 10 years

Politics and decision-making are areas in which gender differences are profound and quite visible, whether at the highest levels of policymaking or down to the local and community levels. Based on Law No. 9970, dated 24.7.2008 on "Gender Equality", participation in the decision-making process should be of equal gender representation in all legislative, executive and judiciary and other public institutions. This is achieved when: a) representation is provided to the extent of 30% for each gender, including in their governing bodies; b) ensure the same respect for each gender of competition procedures and criteria, when appointing these bodies; c) ensure that more than 30% of each gender is included in the list of candidates for elections to local representative bodies; ç) ensure that no less than 30% of each gender is included in the list of candidates submitted by political parties for the proportional system for the elections of the Assembly of the Republic of Albania; d) Ensure that more than 30% of each gender is included in the central and local election administration bodies.

The Albanian woman has never been more educated than she is today. Only 5% of the women of our mothers' generation were highly educated. Today, there are six times more girls with a college degree in the 25-39 age groups. Today there are no gender gaps in compulsory education, which is reason for optimism regarding the closure in no more time to close the gender gap still exists in secondary education. Today, there are more girls than boys attending higher education and it would be unthinkable to not many decades ago. But in the labor market this potential fades. There are fewer women than employed men, twice as many as men involved in paid work in family businesses, the first to emerge from the labor market are women, largely due to maternity care being difficult at times we live, while many others are still under the pressure of patriarchal mentalities, unable to showcase their talents and abilities. Faced with this reality, there is tremendous potential that rests on a woman's perspective that is today at a whole different level than before, as well as on the levels of representation in administrative and political decision making that today are very significant and encouraging, even impressive. Statistical data show that in Albania until 2013 before the Rama government (June 2013), in the political and public decision-making process, the leading positions were dominated by men. In the Albanian Parliament out of 140 deputies, 23 or 16.4% were women. In government; of the 14 ministers, 1 was a woman or 7.14%, and of the 35 deputy ministers, 9 were women or 25.7%. Meanwhile, in the last 6 years, "30% of the deputies in the Parliament are women, 50% of the representatives in the country's municipal councils are women, 50% of the cabinet members are women, who currently run sectors that have never before were not entrusted to the woman. Energy and infrastructure today have a woman minister, as well as finance and economics. The ministers of Defense, Justice, Education, Health, Culture and Relations with Parliament are also women. The People's Advocate is a woman, the President of the High Judicial College is a woman, so is the Chair of the Independent Qualification Commission for Judges and Prosecutors, she is a woman. The women are also the President of the Special Appeals Panel the woman is also the head of the Serious Crimes Prosecution, as well as the head of the largest Prosecution Office in the country, the Tirana Judicial District. 47% of deputy ministers, 40% of central institutions and 45% of directorates-general are headed by women, adding that 30% of administrators and private business owners are women. And more than 40% of frontline management positions in private companies are women. This significant set of girls and women that stands at the pinnacle of institutional architecture is undoubtedly the product of a new social and political capacity to appreciate merit, but also to emphasize the need for women in decision-making. This new capacity has been created thanks to a long, arduous and continuous investment, in all battles of no easy development and emancipation; efforts initiated less than three decades ago, on the basis of civic activism, to introduce gender quotas into politics and to increase women's representation in public administration. On the other hand, it is also noted today that decision-making is one of the least prevalent social aspects in the lives of girls and women in rural areas. Four key priorities : 1. Equal economic independence; 2. Equal pay for the same work and employment for equal value; 3. Equality in decision making; 4. Dignity and Integrity to End Gender Based Violence) are equally inextricable and inevitable from one another, especially in rural areas (Dervishi, 2003). Lack of employment and economic independence are one of the key factors why women in rural areas are often more victimized, more violent, and more isolated. This old mentality views it as a husband's property and as a tool that he can use as he pleases. Employment in rural areas in agriculture can be very effective in mitigating these reports of gender discrimination.

There are many forms of violence that women experience because they are women. These may include domestic violence, sexual harassment, sexual violence, rape, and other painful ways associated with village or area traditions such as so-called honor killings, forced marriages, etc. Domestic violence is a "latent" form of crime. This is because violence in the Albanian family is not always seen as such, but as a private family affair. Violence is widespread, especially in more

traditionalist societies, with a high specific weight of the rural population<sup>1</sup>. Women in rural areas are much more likely to experience psychological (65.3%), physical (27.2%), and sexual (9.1%) "lifelong" violence, compared to women in urban areas (respectively 52.1%, 20.7%, and 6.8%<sup>2</sup>. This poses a great challenge to society, but also to the woman herself. However, progress is made faster by facing challenges, and I think it is worth it to go down that path (Djemte dhe Burrat Pjese e Zgjidhjes, 2018).

### Conclusions

In today's governance, as mentioned above, women are more present than ever with their positions, but unlike their expected sensitivity to gender issues, it is still to be expected. Society has no where to look for it nor does it find it except for women exercising decision-making power on a public platform, the added energy for a battle as fundamental and as difficult for its future as the battle for gender equality. . It is up to these decision-makers themselves, first and foremost, to exemplify force against any kind of blackmail, bullying and discomfort in the social environment. In addition, initiatives to facilitate motherhood, guarantee employment and career support, guarantee justice to the end, women perpetrators of violence, women's rights deniers and women's image abusers, empowerment of rural women. Albanian society expects them to impose by force of example as social standards, tolerance for the other and solidarity for the other; disobeying anyone who infringes on the other, and not negotiating the necessary respect for each other. This debt to society these women decision-makers today needs to reverse, opening up new, clear and secure perspectives for women and elegantly curing the health of the social environment for greater tolerance and mutual respect. I conclude with the word of Mrs. Linda Rama (civil society activist for women's rights in Albania, lecturer, career woman, and also the wife of the current Prime Minister, Mr. Edi Rama from 2013 onwards), at the International Women's Summit in July 2019, London (Rama, 2019). *"I believe that any woman, who feels she can make a difference in people's lives, certainly understands that after many challenges we are on the top of a 'mountain', whose peak appears far... And from here what we must do together is to walk by combining passion with consciousness free from fear and hesitation, challenging all the torments, in search of the peak we must reach as soon as possible ..."*

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<sup>2</sup> " Boys & Men, Part of the Solution". Show that you are against violence. Children's Rights Observatory, October 2018."

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## Style Leadership in American Hospital: A Reflection of Albanian National Culture

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### Abstract

Technology development and globalization have brought the interaction between people all around the world. Sharing practices and managerial models are part of an inevitable ongoing change. National cultures are at any moment in an active interrelation. Understanding the differences of national culture dimensions is crucial so that we can understand the way people think, feel and act. As we face a visible raise of globalization in organizations, it is of a great importance to learn about leadership style effectiveness in different cultures. Effective leadership style affects all mechanisms in an organization, and consequently has an important role in work outcomes. Purpose of this paper is to examine the correlation of task-oriented and people-oriented leadership style and national culture in the biggest private hospital in Albania, the American Hospital. Hypotheses of correlation of variables, raised by the author, will be answered through the analysis of structured questionnaires delivered to a convenience sampling in American Hospital in Albania. An international culture survey model is used as a reference for culture dimensions measurement. The gathered samples were measured using the non-parametric Spearman coefficient of correlation. The results indicate correlation between national culture dimensions and leadership style. The findings of this research will help to the understanding of style leadership in American Hospital in Albania and give the possibility to hospital leadership in the selection of a suitable leadership style for a given national context. Even though national culture and leadership styles respectively are widely studied in managerial science, currently there are very few researches on the topic developed in Albania. On the other hand, given the importance of the private health sector in Albania, this study is of even a greater importance. Therefore, the author is of the opinion that the findings and the discussions raised will be a contribution to future research.

**Keywords:** Leadership style, Task-oriented, People-Oriented, National Culture, Private hospitals.

### Introduction

In human history every stage of life and everything within it have shown a great evolution. If we step back and take a look from where to where human's position has moved, we may confirm that the change is incredible. Nowadays we are part of very fast changes, both in personal and in a broader social prims. Globalization is an ongoing process which by the tremendous technological developments and free mass movement has made us face new challenges. The interaction between people, societies and cultures is a daily reality. The interacting sharing practices and managerial models are parts of daily life' normality. In order for everyone that wants to successfully take steps forward and achieve more in this globalizing world the need of understanding the macro environmental factors surrounding us is crucial. Understanding the perceiving culture of people that surround us and moving accordingly by improving your position may be a step to positive result achievement. All above mentioned facts coincides with the theories of the researchers who think that the new era managers need to understand all forming parts of the people they work with, for an effective workout and optimal solutions to every upcoming problem (Schein 2010, Robbins and Judge 2013, Pires et al. 2015).

Leadership style of every organization reflects the cultural background of the organizations' human components. Effective leadership style affects all mechanisms in an organization, and consequently has an important role in work outcomes. The in depth study of style of leadership, focusing on task- and relationship-oriented style, can help us understand in a deeper way, rather than only the personal traits of leaders, the leaders behaviors as well (Northouse 2013).

The purpose of this paper is to examine the correlation of task-oriented and people-oriented leadership style and national culture in the biggest private hospital in Albania, the American Hospital.

The study's research objective is to show how do differ the perceived leadership styles within American Hospital. Taking as reference the study of national culture dimensions of Hofstede the researcher will search if there is any correlation between the dominant leadership style and Albanian cultural dimensions.

The upraising hypotheses of this work are as following:

Hypothesis number 1: Leadership style in American Hospital is more relationship oriented style than task oriented style

Hypothesis number 2. There is an effect of the Hofstede' 6 dimension matrix of cultural values and the perceived leadership style

## Theory and Background

### *Albania and Albanian healthcare sector*

Albania, a small East European country with not an easy communist past, is one of hundreds of countries in the midst of the whirlpool of globalization. Albania has opened the 'doors' to the world only when the communist regime collapsed and democracy was settled in 1990s. Finding itself in front of such huge global changes and dizzying developments outside its 'doors', was not easy for a weak, poor country experiencing a transition that was not at all smooth. The country was experiencing a profound social and economic trauma (Gjuraj 2003). An unstable political situation, a poor economy, a weak private sector, a quasi non existing management system, vacuum of qualified human resources and a very different mindset of working culture were just some of the serious challenges Albania needed to overcome.

The reflection of all the above mentioned challenges was present also in the Albania's healthcare system. Very old infrastructure, absence of modern medical equipment, outdated medical methods and a medical staff unaware of world medical developments is what the picture of healthcare sector of the country was. On the other hand patients within the country had to do long and expensive trips in order to have the possibility to have qualitative surgical interventions and find health. Only after nearly a decade or plus, from the change of regimes, new opportunities were placed in front of the country. Young Albanian people who had the opportunity to travel, study and experience the 'outside' world experience were ready to do something for the country.

In 2006 the first private hospital in the country was founded, the American Hospital. It was the first hospital offering a high quality medical staff trained or studied abroad, updated medical equipment and modern infrastructure. From that moment the Albanian people didn't have to spend money, time and effort to achieve an adequate health support. It also resolved all the problems faced during and after medical interventions, like communication and post-intervention tracking, by significantly increasing the quality of life of the Albanian patients. It also increased the money flow within the countries healthcare system, affecting the economy as well.

The above mentioned facts about Albania, Albanian healthcare system and private healthcare sector in the country, are a way for the researcher to show the importance of the chosen research sample. Not only is the healthcare sectoring an important field of economy for every country, a well-being source for the population but also a crucial future investment.

### *National culture and cultural dimensions*

Understanding the hidden forces of cultures within each individual is the key success to the understanding problematic behavior within every institution, and this is a key success to problem solving and increase of outcomes (Schein 2010, Tian and Borges 2011). Every business, operating within this globalized environment, should know itself and the organizational culture it carries. It should be aware of the national culture the individuals within the organization shelter (Ashton 1984, Barkema and Drogendijk 2007). Knowing and understanding of this important issue, is for organizational leaders an important step toward successful strategy and efficient results (Rugman and Collison 2012). The term of culture have been explained in different ways, according to the field it has been studied (Mullins 1994, Giddens 2001, Rugman and Collison 2012). The culture is the phenomenon that constructs the peoples feeling, thinking and acting. The total of parts characterizing a group, or groups of people, such as common values, beliefs and rules is what scholars pose as culture (Hoecklin 1995, Hodgetts et al. 2006, Hofstede et al. 2010, Schein 2010).

According to Hofstede et al. 2010 culture stands as 'the collective programming of the mind'.

Hofstede is a pioneer in measuring culture by means of cultural dimensions. By using a wide survey in IBM environment in 72 countries, he managed to reduce and study the national culture in 6 dimensions and give very comprehensive and

easily accessible results (Lindell and Arvonen 1996). The dimensions elaborated are as following; the Power Distance, Individualism, Masculinity, Uncertainty Avoidance, Long Term Orientation and Indulgence. All of these values have their roots and flourish in the environment someone is raised up and we see these values unfold in every stage of an individual's life (Hofstede et al. 2010, Banutu-Gomez 2002). The understanding of these dimensions is very important for the understanding of the research results.

According to what researchers declare, Power Distance expresses the way societies handle the inequalities within a country. It shows in some way the awaiting and welcoming of these inequalities from the members of the society (Mullins 1994, Hofstede et al. 2010). Individualism is the cultural dimension showing the way interpersonal interactions of society is constructed. In individualistic societies people's interactions are loose, people are self-oriented and the norm of reciprocity is expected (Hofstede et al. 2010, Ozbek et al. 2016). The other dimension that of Masculinity shows an ego booster society where masculine values such as strength, aggressiveness, material gain focuses etc. prevails over feminine values such as tenderness, modesty, quality of life focus etc. (Lindell and Arvonen 1996, Hofstede et al. 2010). The 4<sup>th</sup> cultural value dimension is Uncertainty Avoidance. As indicated from the name it measures the magnitude of confrontation and risk taking of a society in order to avoid or to face the uncertainty (Hofstede et al. 2010, Bosson et al. 2016). Long Term Orientation on the other side measures the prevalence of society's focus into the future over immediate outcomes (Pietu 2004, Hofstede et al. 2010). The last cultural dimension of the 6 dimensional cultural survey of Hofstede is Indulgence. Indulgence index measures at what extent individuals within a country allow themselves to enjoy different pleasures (Hofstede et al. 2010).

All the above dimensions are positioned in two poles, where high and low values of each cultural dimension take place according to the countries tendency.

#### *Leadership style*

Leadership is one of the topics of the study that has attracted many researchers. Different theories have risen through years willing to explain the leadership, all of which try to elaborate and shed light on how someone can become a good leader (House 1996, Yulk 2010, Northouse 2013). As everything else in human history leadership and leadership theories have shown a clear evolution. From the theories of the "Great Man" where leader's personal characteristic prevailed, to "Learning Leadership" theories where leaders are seen as change components and power relationship between followers and leaders is the focus of study (Daft 2008).

The leader is the inspiring figure that directs the masses toward the shared goals (House 1996, Yulk 2010, Northouse 2013). Through stages of evolution researchers came to the result that leadership is a multidirectional relation of influence, an exchange of power and ideas. The leadership has a significant effect on organization and processes. (Shin et al. 2015, Bennett and Murakami 2016, Barati et al. 2016, Nica 2015).

In this research we focus on style leadership approach, focusing on the way leaders behave toward followers, showing a task orientation or relation orientation. Task oriented leadership style focuses on what, in what way, who, and when something need to be done, while relationship oriented leadership style focuses in the human relations in leader-follower relations (Bass 1990, House 1996, Yulk 2010, Northouse 2013).

#### *Interaction between leadership and national culture*

Leadership styles are seen as reflection of national cultures where these styles flourish and develop. According to researchers national culture affects the leadership style in different ways and intensity (House et al. 2004, Jung and Avolio 1999, Drucker 2001, Nazarian and Atkinson 2013).

National culture shapes leaders, leaders shapes the organizational culture and structure and affects work engagement and work outcomes (Mullins 1994, Yasin et al. 2002, Yulk 2010, Robbins and Judge 2013, Belias and Koustelios 2015, Barati et al 2016).

### **Research Methodology**

#### *Time period*

The research period is summer 2019.

### Sample

These study was conducted in the leading private hospital in Albania (in terms of capacities and quality of services), the American Hospital. The selection of such a sample was made with the aim of expanding research work in the field of behavioral sciences in Albanian health sector and to shed light to the questions raised.

The sample is a total of 268 employees. 46 of which was part of the medical staff, 117 medical middle staff and 105 administrative staff. 82 of the respondents were male and 185 were female. 50 of whom were aged 20-24 years old, 92 were 25-29 years old, 57 were 30-34 years old, 32 were 35-39 years old and 27 were 40-49 years old.

### Instruments

As measuring instruments paper based, Likert scale questionnaires (Value Survey 2013-Hofstede and Leadership style questionnaire –Northouse 2013) were used. To the above questionnaires some demographic questions were added.

To statistically measure the significant styles of leadership One-Sample test was used by the author. The national cultural dimensions were elaborated by using a comparative axis, and the correlation between leadership styles and culture dimensions was measured by means of non-parametric coefficient of correlation, the Spearman coefficient.

### Analysis and Results

The following hypothesis needs to be answered;

Hypothesis number 1: Leadership style in American Hospital is more relationship oriented style than task oriented style

With the collected data from Leadership Style questionnaire, we are going to compare the perceived leadership style in the American Hospital whether it is relationship oriented or Task oriented.

#### Hypothesis 1': Managers at American Hospital are more relationship oriented than task oriented

One-Sample Statistics

	N	Mean	Std. Deviation	Std. Error Mean
Dif_OL	267	.3783	5.12725	.31378

Table 1.

One-Sample Test

Test Value = 0						
	t	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Dif_OL	1.206	266	.229	.37828	-.2395	.9961

Table 2.

From the decision rule if  $\text{sig} < 0.05$  which is the level of error at a 95% confidence interval, we reject the null hypothesis and retain the alternative one. As at American Hospital case,  $\text{Sig} = 0.229 > 0.005$  it means that we retain the null hypotheses by admitting that managers at American Hospital are as Task oriented and Relation oriented in a statistically significant way. So employees of American Hospital perceive that leadership of the institution is relation oriented as much as task Oriented.

Hypothesis number 2. There is an effect of the Hofstede' 6 dimension matrix of cultural values and the perceived leadership style

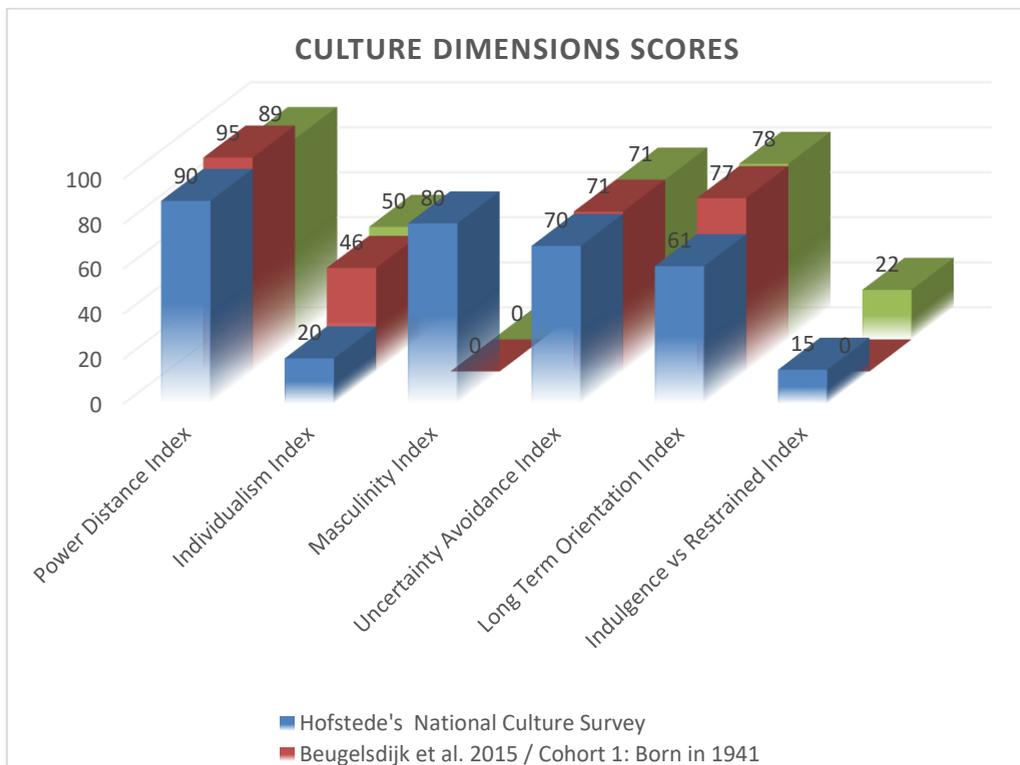
Firstly by means of Value Survey 2013 questionnaire we are going to build a comparative axis for every dimension of national culture.

Group Statistics

Cultural Dimension	Institution	N	Mean	Std. Deviation	Std. Error Mean
Power Distance Index (PDI)	American Hospital	268	-18.84	71.631	4.376
Individualism Index (IDV)	American Hospital	268	-17.76	81.928	5.005
Masculinity Index (MAS)	American Hospital	268	15.67	90.071	5.502
Uncertainty Avoidance Index (UAI)	American Hospital	268	25.41	58.231	3.557
Long Term Orientation Index (LTO)	American Hospital	268	-7.72	73.940	4.517
Indulgence versus Restraint Index (IVR)	American Hospital	268	-38.06	68.116	4.161

Table 3. Group Statistics on culture dimensions

The above results show a shift of cultural dimensions of Albania toward negative or positive values, which is foreseen by researchers (Hofstede et al.2010, Beugelsdijk et al. 2015).



Graphic 1. Culture Dimensions' Scores

The above graphic explains in a summarized way the shifting values in cultural dimensions according to Hofstede culture survey and the other plotted values are measured later by Beugelsdijk et al. in 2015 as two cohort measurements, between people born in 1941 and 1971. There are no measurements in masculinity index as World Value Survey used in this study do not comprise this dimension index in some countries.

As seen from the above graphics the researchers by values means show the culture dimensions index values' mobility for Albania.

According to the Hofstede's survey Albania ranks 90/100 as high in Power Distance Index, 20/100 as low in Individualism, 80/100 as high in Masculinity index, 70/100 high in Uncertainty Avoidance, 61/100 as high in Long-Term Orientation and 15/100 as low in Indulgence Index according to other countries. On the other hand the research of 2015 from researchers from the university of Groningen the values some kind of fluctuation of the values in the culture dimension index exactly as following: in the cohort nr.1 for the sample born in 1941, 95/100 as high in Power Distance Index, 46/100 in Individualism, 71/100 high in Uncertainty Avoidance, 77/100 as high in Long-Term Orientation and 0/100 as low in Indulgence Index according to other countries. In the Cohort 2 for sample born in 1971 values are as following: 89/100 in Power Distance Index, 50/100 in Individualism, 71/100 in Uncertainty Avoidance, 78/100 in Long-Term Orientation and 22/100 in Indulgence Index according to other countries. The overall picture show a rise and decline in power distance values, a clear increase in individualism, a stability with a very low tendency toward uprising values, an increase in Long Term orientation and an increase in Indulgence versus Restrained Index.

In our researched sample measurements the negative mean values of Power Distance Index (mean = -18.84), Individualism Index (mean = -17.76), Long Term Orientation Index values (mean = -7.72) and Indulgence versus Restrained Index (mean = -38.06) show an increase in power distance, individualism, long term orientation and indulgence index in the country's sample, and a decrease but still stable position of the country on masculinity (mean = 15.67) and uncertainty avoidance indexes (mean = 25.41).

Since all the 6 national culture dimensions set and the leadership styles had no normal distribution of values, non-parametric coefficient of correlation, like Spearman coefficient should be taken in account.

			Power Distance Index (PDI)	Individualism Index (IDV)	Masculinity Index (MAS)	Uncertainty Avoidance Index (UAI)	Long Term Orientation Index (LTO)	Indulgence versus Restraint Index (IVR)
Spearman's rho	Relation oriented leadership style	Correlation Coefficient	.196**	-.114*	-.044	.157**	.024	-.155**
	Task oriented leadership style	Correlation Coefficient	.073	-.042	-.005	.149**	-.019	-.119*

Table 4. Spearman Correlation table

From the test statistics above we can see the correlations between the analyzed variables. As we know we get stronger correlation if the coefficient is near 1 or -1 and it is statistically significant if the significance probability is smaller than 0.05.

Applying the rule of retaining hypothesis we have significant correlation between relation-oriented style of leadership and Power Distance Index, Individualism Index, Uncertainty Avoidance Index, Indulgence versus Restrained Index, and also between Task-oriented leadership and Uncertainty Avoidance and Indulgence versus Restrained Index.

From the test statistics we can see the correlation between the analyzed variables. From the rule of retaining hypothesis we have significant correlation between relation-oriented leadership style and power distance, individualism, uncertainty avoidance and indulgence. Also task-oriented leadership and uncertainty avoidance and indulgence is perceived.

Despite the significant correlation between these variables, in general we observe that these correlations are not very strong. They vary between the interval [-0.2-0.2].

## Conclusions

Analyses of the data collected from the employees of American Hospital have shown interesting results about the dominant leadership style within the institution. The results show a kind of equilibrium between relation-oriented and task-oriented leadership style. According to this we understand that employee perceive the actual leadership as much relation-oriented as task-oriented.

On the other hand the results have shown a shift on values of cultural dimensions as foreseen for the global trend in cultural dimension. The only difference is perceived in power distance index, which differently from what researchers expect (Hofstede et al. 2010), in our sample show an affirmative increase. This result may have a correlation with the countries ongoing political and economic dynamisms, which need to be researched furthermore.

On the other hand the correlation matrix between leadership style and cultural dimensions for our sample shows a significant but not a very strong correlation between relation- oriented style of leadership and Power Distance Index, Individualism Index, Uncertainty Avoidance Index, Indulgence versus Restrained Index, and also between Task-oriented leadership and Uncertainty Avoidance and Indulgence versus Restrained Index.

The sample selected by the researcher can tell a lot about the environment where the study was conducted but in order to make the study more meaningful and comprehensive a larger variety of sample can be researched, this can be the limitation of this study.

Finally, even though national culture and leadership styles respectively are widely studied in managerial science, currently there are very few researches on the topic developed in Albania. On the other hand, given the importance of the private health sector in Albania, this study is of even a greater importance. Therefore, the author is of the opinion that the findings and the discussions raised will be a contribution to future research.

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## Xenophobia, Critical Pedagogy & Acting OtherWise: From Reel to Real

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### Abstract

Critical pedagogy of caring for migrant Others, creating humanity, and practicing global empathy can take different forms and approaches. This co-authored presentation (and, eventually, an essay/article) demonstrates two different approaches and real-life examples from different fields: a) human right film festivals (ACT, case study of *Eldorado*) and b) the Congregation of the Scalabrinian Missionaries with the mission to safeguard and promote the dignity and rights of migrants, refugees, internally displaced people, and seafarers worldwide. Under the umbrella of the Congregation two entities will be taken into consideration as best practice in the care for the migrant Other and promotion of inclusive multiculturalism: the Scalabrini International Migration Institute and Casa Scalabrini 634.

**Keywords:** Critical Cultural Pedagogy, *Eldorado*, Scalabrini International Migration institute, Casa Scalabrini 634, Refugee Crisis, Italy, EU, Social Activism, Diversity and Inclusion

***Eldorado: REEL time humanity*** (presented by Dr. Julia Khrebtan-Hörhager, PhD in Intercultural Communication, University of Denver, Associated Professor of Intercultural Communication and European Studies, Colorado State University, & ACT Human Rights Film Festival programming committee member and “Eldorado’s” subject matter expert/moderator)

### Introduction & General Overview

Arguably, the most devastating intercultural and humanitarian issue of the century, the refugee crisis continues to stir the consciousness of international filmmakers around the world. Many films are heartfelt meditations on the responsibility that leaders of developed nations shoulder as an appropriate response to that crisis, in which millions of forcibly displaced people have sought asylum in the EU. Few of those works are as sensitively attuned to the uncanny parallels between past and present “immigration problems” as Markus Imhoof’s *Eldorado*. This presentation analyses *Eldorado*, an immensely powerful and very sobering film that intertwines with many aspects of human lives, as a piece of critical cultural pedagogy. It connects the past and the present, and bridges history and cultural memory with the harsh realities of the Mediterranean that gradually became the epicenter of the ongoing refugee crisis. In fact, even after escaping their home countries, temporarily settling down in transit camps, and eventually making their way to secure areas in Italy and Switzerland (Imhoof’s own place of birth), asylum seekers are often subjected to inhumane treatment and forced to kowtow to criminal organizations that exploit them for their labor (as plantation pickers and prostitutes). The situation is particularly difficult for children. The unaccompanied minors constitute a significant portion of the migrant population. Immigrant and refugee centers in Greece and Italy start resembling detention camps. Crime and abuse have drastically increased in the last two years. Racial and ethnic discrimination, as well as sexual abuses constitutes to be an undeniable component of the situation. Inhumane treatment becomes a norm in Europe – that prides itself to be a birthplace of humanity and enlightenment. And still, the tragedy continues – because the dream of reaching the golden city of *Eldorado* give people hope.... Even if not all that glitters is gold.

***Scalabrinians and Casa Scalabrini 634: REAL time humanity*** (presented by Dr. Veronica De Sanctis, PhD in History of Europe, Sapienza Università di Roma and Project Manager, Research & Communication, Scalabrini International Migration Institute)

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If *Eldorado* provides us with a **reel**-time story of harshening realities with regard to refugee crisis, integration, displacement, and humility, the mission of the Scalabrinians – “to be migrants with the

Migrants” – is an example of a **real** care for people on the move along with a special priority for the most vulnerable migrants and refugees.

Since its foundation in 1887, the Roman Catholic Religious Order of the Missionaries of Saint Charles Scalabrinians has been serving migrants and refugees in more than thirty countries worldwide. Many entities have been established under the umbrella of the religious order both academic, research and advocacy centers as well as welcoming centers. Among these, the presentation will examine the Scalabrini International Migration Institute (SIMI) and Casa Scalabrini 634.

SIMI is an international academic institute at Pontificia Università Urbaniana. Its mission is to promote pastoral and theological formation and research in the field of human mobility from an interdisciplinary perspective. SIMI promotes an integral vision of human mobility in its manifold dimensions and address the issue of human mobility through a multi-disciplinary and inter-disciplinary approach.

Scalabrinians has been serving migrants since their foundation. The message delivered by Pope Francis in 2013, in which invited the Roman Catholic Communities to open the doors of churches, monasteries and sanctuaries to refugees was also followed by Scalabrinians. In 2015 the Scalabrinians started Casa Scalabrini 634, by turning the building that used to host the seminary into a project that leads a semi-autonomy program for refugees, both young adults and families, and promotes the culture of encounter, welcoming and integration among refugees, migrants, and the local community in Rome.

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## Molecular Characterization of Goats from Saudi Arabia Using Microsatellite Markers

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### Abstract

Genetic Characterization is an important step for maintaining genetic variability of livestock populations which could help in planning for conservation strategies and genetic improvement. Therefore, the present study is undertaken to address some of the genetic parameters characterize local Saudi goat populations. Genomic DNA was extracted from blood collected from 3 goat populations namely Ardi, Hollandi and Shami. Eighteen recommended microsatellite markers were used to genotype the sampled goat. The mean values obtained for number of different alleles, effective number of alleles and private alleles were 9.389, 5.343 and 2.071, respectively. Observed and expected heterozygosities values were 0.913 and 0.757, respectively. Shannon's Information Index was 1.751 and F-statistics were -0.18, -0.115 and 0.081 for Fis, Fit and Fst, respectively. All loci deviated from Hardy-Weinburg Equilibrium and the number of migrants averaged 4.302 with the highest value (8.474) between Ardi and Hollandi and the lowest (2.518) between Ardi and Shami. Pairwise Population Matrix of Nei's Genetic Distance and of Fst values indicated a close relationship between A'rdi and Hollandi goat populations rather than between either population with the Shami population. The studied goat population showed 3 clusters at K=3 when analyzed by STRUCTURE software. Our results displayed genetic bottleneck effect in Ardi and Hollandi populations but not in Shami goat population. This richness diversity of Saudi goats is important for establishing a proper management program for sustaining the reservoirs of Saudi goat genetic variability for continuous improvement.

**Keywords:** Molecular Characterization of Goats from Saudi Arabia Using Microsatellite Markers

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## A Typology of Student-Teachers' Coping with Stressful Classroom Events

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### Abstract

In teacher education programs, student teachers gain their first autonomous teaching experiences. While students regard the teaching practicum as the most valued part of their teacher education program, they also consider it to be the most stressful. Student teachers are most concerned about daily hassles in class, mostly related to poor student discipline. Yet they also consider direct interaction with students as the main source of their job satisfaction and a reason to enter the profession in the first place. This paradox could imply that feelings of stress do not so much result from the events themselves but from inadequate responses to classroom events. Based on cluster analysis of video-taped lessons and stimulated-recall interviews with 27 student teachers, a typology has been developed of student teachers' coping with stressful classroom events in secondary education. Responses to classroom events have been grouped into four types of coping: Varying (a combination of problem-focused actions and teaching activities ignoring the problematic classroom event), Hesitating (hesitation to either approach or avoid the classroom event, arousing at the same time tension in the relationship with students), Problem-solving (a series of problem-focused actions), and Avoiding (avoiding or ignoring the problematic classroom event). These types vary along two underlying dimensions: avoidance-approach and calmness-agitation. The coping types particularly differed in the way student teachers approached, avoid or ignored the classroom event, how agitated they were and the length of the coping response. Implications for teacher education are discussed to support student teachers with more approach-coping strategies.

**Keywords:** teaching practicum; classroom events; stress; coping; student teachers

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## Factors Influencing Organizational Performance: Work Environment, Training-Development, Management and Organizational Culture

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Researcher

### Abstract

Public sector performance has attracted the attention of many researchers, because it is considered as one of the key factors for efficiency and positive results in the public sector. Various studies have identified many variables that influence performance in public organizations. Four of them were considered in this study: organizational culture, work environment, training and development, and management. A sample of 162 local government employees were surveyed to carry out this research. Statistical tests such as Cronbach Alpha, KMO and Bartlett, factor analysis, correlation and regression were used to achieve the results. The study shows that variables as: work environment, training-development and management are important determinants of organizational performance. Meanwhile, organizational culture doesn't correlate positively with organisational performance.

**Keywords:** organizational performance, organizational culture, work environment, management, training and development

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## The Image of Foreigner in Emirati's Women Novel (with an Example of *Rayḥānah*, by Maysūn Ṣaqr al-Qāsimī)

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### Abstract

This kind of research, especially in the field of comparative studies, is crucial, because it provides a better understanding of people, culture, thought, and their way of thinking, seeing and dealing with the other. Therefore, choosing to study the image of the foreigner in Emirati women's writing can help to examine the deep dimensions of relationship with the other who does not belong to family, class, and homeland, in this society. The study, hence, aims to shed a light on women awareness and their ways to articulate their own issues, and experiences after long history of isolation and suppression that women in this country and region in general had witnessed. Moreover, the study focuses on Maysūn al Qāsimī and her first narrative controversial work *Rayḥānah*, aspires to reveal how the strict upbringing and education had its impacts on women's personality and thinking, and thus their ways of looking at the stranger in their home or homeland. The expected results of this study are to demonstrate women awareness and capability to disclose, to certain extents, the depth of female agony in very complicated network of political, social, economic and cultural factors that would shape the history of the whole region in postcolonial time. In addition, the study is expected to help to reach better understanding of the different roles that the foreigners have played in this society, from the female locals' point of views, and therefore, their narration.

**Keywords:** Narration, Foreigner, Emirate, Women, Feminist.

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## Understanding Students' Resistance to Autonomous Learning in an L2 English Language Course at a University in Lebanon

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Fleonova, O.

Nicolas, M. O.

### Abstract

This qualitative research investigates students' resistance to autonomous learning activities in an English language course at a university in Lebanon. Data was gathered across four sections of English 101 based on observations of 68 students, focus group discussions and two teachers' reflective diaries. Thematic analysis yielded that students showed signs of resistance during collaborative learning, metacognitive activities, and the evaluation process. The students were also unwilling to independently use available language learning resources. The data suggested that the possible causes of resistance lay in the mismatches between students' expectations and the course design, the learning cultures that the students bring to the classroom, and students' perceptions of the place English holds both at the university and in their lives. This study reveals that expressions of resistance during classroom interactions resonate with the complex and layered nature of English language learning.

**Keywords:** learner autonomy, resistance to autonomous learning, English language teaching in Lebanon, learning cultures, second language learning

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## Social Media and E-commerce as Mechanisms to Enhance Entrepreneurship Among Graduate Students

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### Abstract

In recent years, entrepreneurship has been one of the most discussed issues among government agencies, education institutions and international organizations, given the restrictions on the labor market. The above, since entrepreneurship is considered as an important mechanism to generate direct and indirect jobs. However, the increasing participation of electronic mechanisms in society has transformed the way we carry out our activities, redefining the processes through which the various goods and services are produced and offered. Therefore, there is a consensus towards the need for entrepreneurs to adopt a profile oriented towards social media and electronic commerce. However, this topic is still in its first stages, so it is necessary to identify how much these concepts have been integrated into the university entrepreneurial ecosystem, which represents one of the main channels for promoting entrepreneurial culture. After a study among a group of students graduated from university, it was detected that they attach high importance to social networks and electronic commerce, since they allow them to increase their presence in the markets at a relatively low cost; however, its adoption process has been heterogeneous, given the lack of knowledge of many tools and the lack of financing. Finally, a series of recommendations that could improve these skills among future entrepreneurs from the university level are indicated.

**Keywords:** entrepreneurial culture, digital skills, self-employment.

## The Comparison of Some Methods in Analysis of Linear Regression Using *R* Software

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### Abstract

This article contains the OLS method, WLS method and bootstrap methods to estimate coefficients of linear regression and their standard deviation. If regression holds random errors with constant variance and if those errors are independent normally distributed we can use least squares method, which is accurate for drawing inferences with these assumptions. If the errors are heteroscedastic, meaning that their variance depends from explanatory variable, or have different weights, we can't use least squares method because this method cannot be safe for accurate results. If we know weights for each error, we can use weight least squares method. In this article we have also described bootstrap methods to evaluate regression parameters. The bootstrap methods improved quantile estimation. We simulated errors with non constant variances in a linear regression using R program and comparison results. Using this software we have found confidence interval, estimated coefficients, plots and results for any case.

**Keywords:** homoscedasticity, heteroscedasticity, studentized errors, ncvTest.

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## The Use of Creative Movement Method in Teaching Foreign Languages to Very Young Language Learners

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**Mag. Vid Lenard**

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### Abstract

The creative movement method is a holistic teaching method that enables children to develop language skills through art not just by looking and seeing, hearing and listening, speaking and talking, but also by conducting various motions and movements – experiencing while playing. Children can learn holistically only when their minds and bodies are an indivisible whole. When all their senses are engaged, children remember and recall information more effectively. The present paper describes the use of the creative movement method in teaching phonological awareness skills in a foreign language (English) to 13 Slovenian preschool children with a mean age of 5.8 years. The aim of the study was to determine children's success rates in producing words and alliteration after being given the first sound of word (vowels /æ/, /e/, /i/, /o/, /ʌ/) in English, both with and without movement support. Children participated in two 45-minute long teaching sessions (the second took place after two weeks). There was no additional training between each session and the test. The results of the test after two weeks from the last session show that creative movement support proved essential for children in recalling words and producing alliteration in English. The study also includes some guidelines for the method's use in teaching foreign languages to very young language learners.

**Keywords:** creative movement, alliteration, foreign language, phonological awareness, preschool children.

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## **Between Individual Memory and Social Memory. What Do People in Poland Remember About 1989?**

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### **Abstract**

30 years have passed since the events of 1989 that led to the collapse of communism in Central and Eastern Europe. In the paper the themes of social memory of political transformation in Poland in 1989 are discussed. The content of online statements collected from popular Polish news portals are analysed. When asking the question what events and experiences do Poles bring back when they think of 1989, I am interested in the relationship between the individual (biographical) memory and collective memory – the socially reconstructed knowledge of the past.

**Keywords:** biographical experience, social memory, transformation, collapse of communism

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## Human Rights and Social Work in the Brazilian Context: Diversified *Language Games*

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### Abstract

This article is the result of an exploratory bibliographic study that consists in provoking reflections and presenting discussions on the theme of human rights and social service in the Brazilian context, as well as on the guarantee of rights and diversified and divergent language games. The scenario of the world crisis, in Latin America and specifically in Brazil, causes social service to face a historical and structural process of social inequality, a crisis that deeply cuts across the welfare state and the ineffectiveness of public policies. The challenges faced by social work are unquestionable as the profession faces different language games in social and political contexts that diverge between human needs and ideological interests in a constant struggle for social advances and setbacks. The approach methodology is analytical and critical, part of the analysis of concepts and perspectives from theoretical frameworks on human rights, social work and language games.

**Keywords:** Human Rights; Social Work; *language games*.

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## Institutionalizing University-School Relations in Order to Strengthen the Role of Teaching Practices

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### Abstract

The formation of future teachers' professional competence necessarily goes through the development of teaching practices, which are defined and valued as activities that create opportunities to gain experience related to the profession. Every initial professional forming views work experience in real-life situations as an integral element of competence development and professional identity. Studies carried out in recent years in Albania by various institutions: MAS, IZHA etc., have highlighted the great role that teaching practices play, by valuing them as one of the most important elements in the initial teacher training, but on the other hand, teaching practice, as an integral part of the initial teacher training program, representing an important period in a teacher's professional development, has faced issues such as:

- Lack of a framework for the competences of the new teacher to enable the alignment of the initial teacher training curricula in different IALs;
- The lack of a regulatory and supervisory document for the practice and its evaluation;
- The mentoring system is present very little throughout this important process;
- Lack of links between different stages of teacher professional development: initial training, professional practice / internship, and continuous professional development (IZHA, 2016; Haxhiymeri E., Mita N., 2015).

This study aims to highlight the importance of institutionalizing university-school relations to enable the qualitative improvement of teaching practices, as well as to provide recommendations on how to achieve this relationship based on the opinions and suggestions of the specialists of this field. The study was conducted through the Delphi method by contacting scholars, practice supervisors, mentors, directors and specialists of the education department, middle school principals as well as university students. The findings of the study emphasize the necessity of institutionalizing university-school relations by crossing their present-day stage and provide concrete suggestions on how to regulate these relationships.

**Keywords:** teaching practices, university-school relationships, institutionalization, initial teacher training

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## What Psychological Type Can Do in the Organization

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### Abstract

Each one of us being either boss or subordinate approaches activities at the workplace from the perspective of the language of the Psychological type. Employees develop strategies, solve problems, reduce stress in the workplace through the perspective of the Psychological type, and the same psychological type helps us to address different situations we encounter in the workplace as effectively as possible. Once the psychological type is identified, the managers pay more attention to the employee's work style so that he can use it in the most profitable way, as well as in developing effective relations with the employees within the organization. An employee who is ready to take risks, fulfill initiatives and become effectively productive, of course involves a lot of factors but surely one could see that, workplace performance is affected by skills, dominant and specific that a person holds. If the workplace tasks are compatible with the type of personality of the individual, then the work itself can become an interesting, stimulating one. Experts in the field of human resources say that the way in which we work today is also the effect of changing tomorrow; we must achieve more using less time, less people, and fewer resources.

**Keywords:** psychological type, dominant traits, individual differences, MBTI (Myers-Briggs Type Indicator), organizational type; team

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## Islamic Microfinance Model and the Hypothesis of Poverty Alleviation

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### **Abstract:**

Efforts to alleviate poverty in the world have the most perilous impact in human history. Contrary to the prevailing paradigms in public and private policies, the erosion of poverty remains very shocking. The Islamic finance model tried to present its alternative vision and to participate in international efforts to at least help the poor in Muslim countries. This paper is an essay among others that analyzes the effectiveness of this system based on official data.

**Keywords:** Poverty, impact, Islamic microfinance, alternative, effectiveness.

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## Renewable Energy Sources Development Risk Analysis and Evaluation: the Case of Azerbaijan

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### Abstract

Steady increase in renewable energy production and supply allows gradually substitute environmentally harmful traditional energy systems. Developers of the renewable projects encounter various types of risks, inherent to these projects, and all these risks should be studied in advance and ways of their mitigation developed. In the paper risks related to the development of renewables in Azerbaijan are analyzed and assessed based on experts' opinion study. Typical for the projects on renewable energy, nine risks and risk components likelihood and their impacts have been evaluated by experts and, based on their opinion, risk levels are calculated, and a risk profile is constructed. In general, risks are sufficiently different. However, energy policy-related, grid access and financial risks are significantly influential and require more attention.

**Keywords:** renewable energy, risk analysis, risk likelihood, risk impact, risk level

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## A Comparative Analysis on the Required Commercial Competences for Women Entrepreneurship Development in Selected Countries

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Dimitar Krastev

### Abstract

The scientific report is based on a desk research and an on-line survey done within an Erasmus + project, under Key Action 2 – Cooperation for innovation and the exchange of good practices, High Education Sector, named European Partnership for Social Inclusion and Creation of Skills for Women Entrepreneurship E-learning. The project is realized by three partner countries and it is focused on the social inclusion of women wishing to develop their own business in the area of trade and logistics through integration into entrepreneurship, acquiring practical skills and competences in order to generate financial, cultural and social value. A comparative analysis of the trade competences required for the development of women's entrepreneurship in the three partner countries is done. In the analysis, a study of the necessary literature in order to establish the theoretical and methodological framework of the study was initially carried out. Via a study of the existing competency models in the field of trade, the key necessary competencies for the realization of a trader have been identified. They serve to develop a questionnaire and they are the basis for the comparative analysis between the three partner countries. <sup>1</sup>

**Keywords:** women's entrepreneurship, trade competences, comparative analysis.

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<sup>1</sup> The research was carried out within the framework of a project „European Partnership for Social Inclusion and Creation of Skills for Women Entrepreneurship E-learning“, Project 2018-1-BG01-KA203-048016 under ERASMUS + Programme, Key Action 2, Higher Education Sector

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## The Influences of Managerialism in the Professional Intervention of Social Workers

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### Abstract

Social work, like other professions, has undergone changes in its structural basis, as well as a re-dimensioning of the professional work, which cannot be dissociated from the inevitable administrative reforms of the State and of the social policies themselves. In this research we sought to understand how the state administrative reforms, namely the managerial model of New Public Management have influenced the professional intervention of social workers in the public sector. We did so through the perceptions of the social workers about the implications of managerialism in their professional practices. It is a qualitative research, with exploratory characteristics and was carried out in a municipality in a district of Portugal. It was conducted a semi-structured interview with six social workers in the public sector, from four different sectors: Justice, Local Power, Health and Social Security. After the interviews were collected, a Characterization Grid of the sample and a SWOT Analysis Grid were used for each of the participants to assist the researcher in the Content Analysis of this investigation. The data we analyzed revealed that in all services and intervention areas there was a prevalence of characteristics of managerialism influences, which necessarily induced changes in professional practices. The collected data revealed that there are characteristics of managerialism perceived as beneficial and positive for the professional exercise and other characteristics that have brought constraints.

**Keywords:** Managerialism; Social Work, New Public Management, Social Workers, Social Intervention.

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## The Effectiveness of a Leniency Program in Algerian and Comparative Competition Law: New Guidelines

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**Ouiza Chahed**

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### Abstract

Experience shows that in large cartel cases, there are often problems with proof of participation. More and more sophisticated techniques are being put in place by the conspiratorial companies in order to leave as few traces as possible. Thus, with the clemency programs, the risk of denunciation becomes a reality in the world of cartellists, so that the cartel is destabilized from within. The only way to limit the risks of denunciation is to increase controls on members and to strengthen the system of sanctions. All these measures have a cost, which is not negligible and is included in the cost / benefit calculation. The result of the calculation, negative, can dissuade companies from forming cartels. On the contrary, for the competition authorities, the financial benefits are in principle large. For this, clemency programs can effectively combat this type of behavior.

**Keywords:** leniency, competition, behavior, sanctions, controls, companies.

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## Restructuring 19<sup>th</sup> Century Students' Idea in Positivist Curriculum Using Drawings' Analogies

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### Abstract

Four students' teachers in Master Science program were subjected to instruction that aimed to master the suitable strategies in changing misconceptions. The most active and verbal student in the class had been subjected to autobiographic case study; he had been asked to write a journal including the followings: A. The most complicated idea, he believed to work as a critical barrier in understanding revolutionary type of science. B. The reason for such misunderstanding and C. The teaching strategy, he believed, to help in making successful restructuring to his concept. Student' journal shows the followings: A. The existence of empty space between particles - moving in all directions-was the most complicated idea to be difficult to grasp; there was misunderstanding that changing in atmospheric pressure by changing latitude is due to the change in the accumulated continuous air forces that are implied on the square centimeter of flexible wall (football in this case). B. It had been indicated that such misunderstanding, on behalf of students, was due to the fact that 19th century positivists assumptions about nature of matter (that had been adapted by science educators), had led to establish instruction on discovery methods to prove those historical ideas. C. It had been pointed out that using analogies' drawings rather than videos, to distinguish between alternative ideas and the scientific ones had helped in restructuring erroneous ideas. D. It had been pointed out that presenting a comprehensive view that takes into account all factors to explain a given phenomena, in which the pressure concept is linked to the gravity, and the atmospheric components theme, is of great importance in restructuring ideas

**Keywords:** case study, atmospheric pressure, positivist curriculum, misconceptions, drawings' analogies

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## Geopolitical Potential of Macaronesia as a Euro-African Maritime Region

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### Abstract

Macaronesia is a region comprised of twenty-eight islands of four archipelagos (Azores, Madeira, Canary Islands and Cape Verde) and located in the so-called Middle Atlantic (NATO border with the South Atlantic). Inhabited by more than three million people, it was institutionalized in 2010 as a cooperation area, with the support of the three countries to which the archipelagos belong (Portugal, Spain and Cape Verde), as well as the European Union (EU) and the Economic Community of West African States (ECOWAS). Macaronesia comprises an African State which has a Special Partnership with the EU (Cape Verde) and three outermost regions of the EU - one Spanish (Canary Islands) and two Portuguese (Madeira and Azores) - and is a geopolitical space with special propensity to act in the field of maritime safety. The aim of this paper is to analyze the geopolitical potential of Macaronesia in the field of regional maritime safety, considering its strategic position in the West of the Strait of Gibraltar and in the Euro-African and Euro-South American axes (including the Panama Canal), where important routes of the world trade of goods circulate, but also of the drug traffic, between South America and Europe, with passage through West Africa.

**Keywords:** geopolitical, potential, Macaronesia, Euro-African, maritime, region

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## The New Developments in The Right to Be Forgotten. The Jurisprudence of European Courts

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### Abstract

The paper aims to examine the current debate on the right to be forgotten related to the new developments in the jurisprudence of European Court of Justice. The paper will evaluate the right to be forgotten by analyzing how the ECJ created this right, and the direction of the succeeding application of it by Google, data protection authorities and national EU courts. Recently the ECJ has released a decision that the right to be forgotten online does not extend beyond the borders of European Union. The case originates on a dispute between Google and French data protection authority. The case has been viewed as a test by policymakers and companies around the world of whether the European Union can extend its laws beyond its own territory. The Court decision highlights the need to balance data privacy and protection concerns against the public's right to know. It also raises questions about how to enforce differing jurisdictions when it comes to the borderless internet. The authors will analyze the jurisprudence of European courts and the European legislation, to describe issues related to further perspective, in an age of an internet that knows no borders.

**Keywords:** the right to be forgotten, European Court of Justice, data protection, European framework, access to information

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## UbK is involved in the Resistance of *Bacillus Subtilis* to Oxidative Stress

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### Abstract

Protein phosphorylation is a key process in the regulation of many cellular pathways. Protein kinases are responsible for post-translational modification, phosphorylation of target proteins, thus allowing fine-tuning of specific cellular processes. These enzymes are involved in the regulation of metabolic processes in living organisms, empowering their adaptation to environmental modifications. Reactive oxygen species (ROS) are by-products of nutrient oxidation or cellular respiration in aerobic bacteria. In addition, bacteria can be exposed to several sources of ROS like antimicrobial agents, neutrophils, macrophages, and ionizing radiation. Oxidative stress is due to excessive production of ROS, which causes damage to macromolecules at the cellular level. Living organisms have their own antioxidant defense mechanisms. The objective of this study was to assess the role of UbK, a novel protein kinase, in the growth of *Bacillus subtilis*, especially under oxidative stress conditions. Growth profiles of wild-type and  $\Delta ubk$  mutant strains were assessed in the presence of paraquat, an *in vivo* inducer of oxidative stress. Wild-type bacteria were able to efficiently survive the stress conditions, whereas the growth profile of the deleted strain was significantly affected. Conditional complementation of  $\Delta ubk$  mutant restored wild-type growth patterns. Furthermore, we used recombinant plasmids containing the genes of the active kinase (UbK) and its inactive form (E106Aubk), cloned into two shuttle vectors (pDG148 and pSweet), to transform wild-type and  $\Delta ubk$  mutant strains. Our results proved that an active form of UbK is needed to restore a normal growth profile. These findings highlight the importance of UbK in the oxidative stress resistance in *Bacillus subtilis*.

**Keywords:** UbK, resistance, bacillus, subtilis, oxidative, stress

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## Perspectives on Integration in Sports Organizations

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### Abstract

Conceptualizations of Integration show a high level of interdisciplinarity. Furthermore there are changes in the design of the concept of integration, because the theoretical concepts have arisen in different social and historical contexts. What is set aside in the theoretical debate about integration are the perspectives of the actors between which integration takes place. Therefore the aim of this project is to identify perspectives on integration in sports organizations with a mixed-methods approach. The important role of sports organizations in integration processes is emphasized in different programs and also on the political level. For this reason the actors in sports organizations should be sensitized for the topic of integration. To answer the research questions a study using a mixed methods design combining qualitative and quantitative methods is realized. In the qualitative part of the study several interviews with members of the associations board of sports organizations were conducted. In the quantitative part of the study an online survey with members of the associations board of sports organizations, trainers and people participating in sports was realized. Preliminary results of this study will be presented.

**Keywords:** perspectives, integration, sports, organizations

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## Smart Technologies. Case study: Building Smart Home Using Echo Dot Alexa and Arduino Wi-Fi

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### Abstract

Smart technology is helping us (researchers, educators and businesses) succeed all over the world. This new trend of technology empowers teachers, students and teams to learn and collaborate in innovative ways. These technologies incorporate functions of actuating and control to analyze a situation or environment. We can make decisions based on the available data based in a predictive method. Our life in general is complicated between home, work, family, school etc. This paper aims to show the advantages of using these technologies to improve human life. Today our life is oriented to smart technologies. Smartphones are an important part of our lives. Using this device in control and surveillance work makes our life easy and comfortable. The home automation system is going to be more popular nowadays. This makes life less complicated. Home automation refers to automatic and electronic control of household appliances, features and activities. This case study enables the power to turn on/off the lights connected to a circuit with smart devices. The system consists on hardware and electronic interfaces that work to integrate devices with each other. This paper provides information on artificial intelligence, its importance in everyday life, and what is aimed for the future. Using these smart technologies in our homes we can increase system security control, making them monitored via a cloud network from our smartphone. This project is divided into two parts: hardware implementation and software implementation. We can communicate with Alexa, by giving her voice commands to turn on/off the lights, it serves as a basic structure of the Artificial Intelligence system. The serial communication sensors and equipment are incorporated and synchronized together. Once we have implemented these technologies, we wanted to show the facilities that an individual can have in his daily life.

**Keywords:** Smart Technologies, Artificial Intelligence, Internet of Things, Smart Home, Electronic Circuit, Programming.

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## Regulatory Impact on Banking Efficiency in the European Union: Post Crisis Evaluation

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### Abstract

This paper examines the impact of regulatory policies on banking market efficiency using a sample of 678 commercial banks from 21 European Union countries for the post crisis year 2010 while controlling for bank-specific and country-specific variables. Data are taken from the most recent Bank Regulation and Supervision Survey database conducted by the World Bank, published 2012. These include regulation, supervision and monitoring variables, as well as activity restrictions. In addition to these we incorporate bank size, equity, market share, government-ownership and growth of Gross Domestic Product (GDP) per capita, employing an Ordinary Least Squares method. We focus on two alternative measures of banking market efficiency: net interest margin and overhead costs (operating expenses to assets). Elevated levels of these two ratios should indicate a relatively low level of banking efficiency. Our evidence suggests that the link between capital regulation and banking efficiency as measured by net interest margin and overhead costs is not robust enough to control for other regulatory variables. The results confirm that activity restrictions have a negative and significant impact on banking efficiency. Also, policies that encourage official supervisory power do not enhance the efficiency of the banking sector. The only approach that is positively and statistically significantly associated with efficiency is private monitoring. This leads us to suggest, like others, that government regulation and supervision should be more focused on promoting transparency of information.

**Keywords:** regulatory impact on banking efficiency in the european union: post crisis evaluation

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## Knowledge Management for Employment Prospects for ESP Students

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### Abstract

The present paper proposes to make an evaluation regarding future employment perspectives for non-philologist students studying English for Specific Purposes (ESP) at the University of Bucharest, Romania on the present day dynamic labor market. The analysis has been conducted via an online survey questionnaire done with students from the Faculties of Letters, Law and Chemistry at different stages of their specialization. The results of the study have not surprisingly shown the fact that more emphasis should be placed on active learning, interactive teaching and project based activities that challenge a mixture of focused vs diffuse modes of learning. An important issue debated in the questionnaire was the fake news phenomenon and strategies to fight it – critical thinking and development of soft skills. Also, some students highlighted the need to have double specializations – English and core subject specialization as a good approach to a competitive labor market. One important aspect that was also mentioned was online citizenship which should be approached more during higher education studies in view that more and more employment perspectives regard online businesses.

**Keywords:** Knowledge management for employment prospects for ESP students

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## Local Community and Childhood Culture: A Project Proposal

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### Abstract

The paper starts with a brief introduction on the emerging modes of governance for the processes of social planning, which devolve to territorial bodies the responsibility of activating previously negotiated policies that are relevant and in line with local needs and peculiarities. Then it describes the objectives and methodology of a project proposal that may be reasonably applied to a local community in order to appreciate its organisational and management capacities implemented in defence of specific areas of competence. In particular, driven by the analysis of the concept of childhood as a social category and a historical construct, culturally susceptible of multiple meanings that are often associated with stereotyped or idealised perceptions of the childhood world, the proposed research project focuses its attention on the need to sensitise local communities to these issues. Furthermore, using the methodological suggestions of action research, it outlines an investigation path oriented towards the identification of resources to be activated and of the most appropriate intervention settings to develop participation processes for the de-institutionalisation of childhood services that are functional to the construction of an educational ecosystem proactively oriented towards the full recognition of citizenship requirements for the little ones.

**Keywords:** Childhood, Family, Community, Socialisation, Culture, Participation, Action research

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## Corporate Social Responsibility in the Security Business

Anna-Maria Markova

### Abstract

Is there a profitable market for virtues in the nowadays society and what is the added value of those virtues? Can you try to view the Security Business as a Corporate Social Responsibility: from really defending the inborn right of the people for food, shelter, water and safety to Critical Infrastructure elasticity? There are so many questions ahead of us. Let's set the ball rolling by reviewing a few terms for CSR. There is no one opinion in the finding of a working definition of CSR in the academic field. Which point is more vibrant and truthful in accordance with the business mindset of the century? Is it the more virtuous one, the Scherer and Palazzo concept of CSR as 'an additional political responsibility to contribute to the development and proper working of global governance' (Scherer and Palazzo, 2008, p. 414) or the more commercial point of view of Friedman who states that a business has the CSR to increase its profit (maybe forgetting to mention at any price) is the more adequate for nowadays, maybe both? This poster session will be aiming at contemplating on the idea that national and international security is actually the broad context of CSR and vice versa CSR is the crucial concept of making private security business. Businesses in the security field both national and international state loudly their commitment to "corporate social responsibility" principles, but their actual implementation of these principles, particularly in developing countries, may be put on question. In the last twenty year the private sector of the security business has been gradually becoming more and more important when making arrangements in the bigger questions of national security. Beforehand those functions were predominantly undertaken by the state army, though today the business handles more of it. The centralized power which such business provides in the form of control over the usage of coercive force to the functioning and identity of a modern state, and to international order, make it more appealing and put it on the top of the interest. There will always be polarized opinions towards the private and non-private security sector. Some might stand behind the idea that such businesses are used as a force for good, for example, being able to facilitate elections in Iraq. On the other hand there is the example of the actions of DynCorp contractors in Bosnia who were a major participant in the country's sex trade. Since the attack of the twin towers, the demand for private business providing security and safety is booming. The predictions are that this trend will remain and there will be no falling down. This is why it is of such immense importance that the conduction and roles of such security business shall be under great scrutiny and its CSR strategy shall be reviewed and put under precise observation more than ever before.

**Keywords:** corporate social responsibility in the security business

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## Targeted Discipline-Based Professional Experience to Enhance School Student Intervention Learning

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### Abstract

School learning of English and Mathematics provides a pathway to future academic learning. Schools are rated nationally and countries internationally on school students' performance in these disciplines (Weller, 2019). Rarely have Government schools the means to teach the curriculum and provide teachers focussed towards discipline-based skill building and learning for those in need, and for all students to advance their achievement; yet in social justice terms it is essential. Withdrawal of students from classes loses ground as an approach, whereas intervention *in situ* is preferable. Intervention teaching in professional experience (McLean, Davis et al., 2013) provides an option for student discipline knowledge building in low socio-economic schools. With this aim a project was established between a university School of Education and a local secondary school where English as an Additional Language (EAL) support was provided when pre-service teachers with these disciplines during their professional experience placement worked side-by-side with school students. Now in the third year of the project this presentation comments on early findings. It additionally discusses the expansion of the project in the discipline areas of English and Mathematics establishing a new model of professional experience. While how to teach in the areas of STEM is still strongly debated (ESA, 2018) and has been contentious, and longitudinal studies are rare to draw upon for findings (Jong & Hodges, 2015) they are pivotal in teaching. This project endeavours to capture learnings that make a difference to school student success to guide future directions of intervention teaching of these disciplines.

**Keywords:** Intervention Teaching and Learning, Targeted Professional Experience, English as an Additional Language (EAL), English, Mathematics

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## Alternative Finance Models: Do Ethics Matter?

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### Abstract

The crises can be the turning point for the whole world for setting up a more stable and a more efficient financial system with less risks. The great ethical challenge of a crisis is the risk management with a socially-responsible way. This paper focuses on three main (may be controversial) following questions: (i) whether the risk management has anything to do with ethics? (ii) if it does, what are the ethical issues in the use of risk management? (iii) and how should these ethical issues be addressed? In order to give some answers, we propose to use the framework of Law and finance theory. Then the main idea of the paper is how Law and Finance theory can help us to understand the importance of alternative finance and the divergences and convergences between the latter and conventional finance. The main results of this paper are: first, to explain the role of risk management in the recent financial crisis, second to describe the explosion in alternative finance and the explaining factors of this huge growth. Finally, the paper aims to point out the diversity of European alternative finance models and to understand how it can help business. JEL Classification: G01, G32, G30, K22

**Keywords:** Financial Crises - Financial Risk and Risk Management - Law and Finance – Alternative Finance

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## Valiant, Vital and Virtuous: A Time-Snap Review

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### Abstract

A time-snap review – moments captured pictorially – means the creation of multi-layered observation. The enquiring gaze then extends beyond the present moment: to its existential roots. However, it is not a question of presenting an historical list, a collection of topics of various types and periods. Of course, understanding the present also requires knowledge of the people and events of the past. In this way it also becomes possible to study the recurring nature of existence. Can war-related travel also count as cultural travel? Is it possible to talk about war tourism? Presumably, in many countries the answer to this will be positive. It relates to the history of ideas and also to national sentiment. This kind of cultural education may be indoctrinating in character, with the goal of insinuating into people's minds the concept of the incomparable excellence of their own nationality. The spirit of the 2010s contains shades of indoctrination. Fortunately, alongside this struggle to impress, education for democracy is also present. Photographs and poetry are powerful media, helping us to create a nostalgia for being. Then, too, a longing for the past is awakened. It is here that a philosophy of yearning or wistfulness is needed, providing an exploratory tool for analyzing the nature of the individual and the community. Modernity needs philosophical poet-travellers. They are adept at loving the wisdom of travel. English translation by Glyn Hughes.

**Keywords:** valiant, vital, virtuous, time-snap, review

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## Addressing the Educational Transition from War and Survival to Peace and Schooling: a Study on the School Reception and Recognition of Asylum-Seeking Children

Margarita Sanchez-Mazas

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University of Geneva

### Abstract

The "migrant crisis" has received a large media coverage addressing the ways to limit refugees' settlement in European countries. Although an increasing number of asylum seekers are or will be admitted in the different states, little attention is devoted to the receiving conditions in the countries of settlement. Yet, a great amount of the incomers involve families with children, so that the schooling issue should be regarded as a major challenge for the receiving countries. Indeed, according to the largely ratified Convention on the Rights of the Child (1989), primary education is compulsory and available free for all in most European countries, irrespective of the family legal status. However, since asylum policies generally converge in an effort to limit refugees' entry and prevent their settlement, little is made to deal with the educational needs of children who are often in situations of high vulnerability upon arrival at school (Sanchez-Mazas, 2015). This right to education thus remains fragile and paradoxical for a school population inherently unstable and who cannot, for political reasons, fully integrate the receiving society. In this paper, we will address some institutional, cultural and psychosocial impediments that prevent schools to fully meet the educational needs of these children. Taking the example of a Swiss establishment receiving a very heterogeneous school population comprising pupils from an asylum center, we will report an intervention implemented in order to prevent the social and educational relegation of this group of pupils. We will show that systematically evaluating these pupils' resources and the needs in their mother tongue should be regarded as a key for their adequate orientation into the new school system. We will report situations ranging from illiteracy to unexpected skills acquired through informal schooling or makeshift means. Moreover, on the basis of a series of interviews with the families of newly arrived pupils, we will highlight the schooling impairments these children have experienced in their home country or during their fleeing journey. We will contend that identifying these pupils' needs and resources is a decisive tool against their undiscriminated relegation into special structures, as a result either of stereotyping or of teachers' feeling of helplessness -which are often intertwined.

**Keywords:** education, transition, war, survival, peace, schooling