

# 2nd PAN-AMERICAN INTERDISCIPLINARY

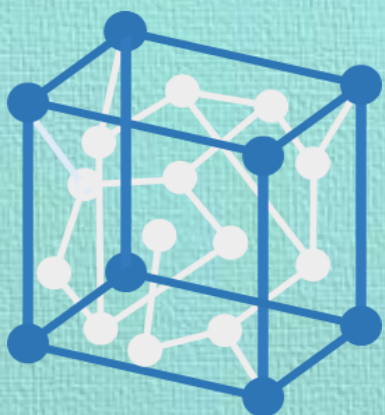
## CONFERENCE



*PIC 2016,  
24-26 February  
Buenos Aires,  
ARGENTINA*



European Scientific Institute



# ESI

**PROCEEDINGS**

**2nd PAN-AMERICAN INTERDISCIPLINARY  
CONFERENCE,  
PIC 2016  
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# Trends Of Polish Enterprises In Risk Management

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## Abstract

The beginnings of the implementation of the concept of risk management in the functioning of enterprises stretches back to the middle of the 20th century. Initially they first and foremost signified insurance protection. Subsequent to this, companies began to perceive that not all risk may be insured against and consequently implemented appropriate actions by controlling the level of risk and its impact on enterprises. At the end of the last century, the idea of a complex risk management developed, thus encompassing all types of threats existing in an enterprise (Wieterska 2011, p.11). The effect of the development of the concept of risk management is the formation of a multitude of scientific concepts relating to risk and the international standards of risk management in organizations. The problems associated with the implementation of the systems of risk management have become the subject matter of multiple research projects and works. In the herein paper, the authors at hand present the idea of risk management in Polish enterprises.

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**Keywords:** Risk, uncertainty, process of risk management

## Introduction

The progressing globalization, free flow of goods and the growing awareness of consumers are all leading to the fact whereby enterprises are devoting increasing attention to aspects associated with risk management. In conditions of the intensifying change in the market environment, the level of risk and uncertainty in the process of taking decisions is growing. Risk and the associated phenomena constitute an inseparable element of life that is subject to wide-ranging analysis by a variety of specialists. Risk has ceased

to be perceived as a threat, but rather increasingly treated in the category of opportunities.

Risk constitutes an inseparable element of every action or decision taken. Its management involves taking decisions and the realization of actions leading to attaining an acceptable level of risk. This is a constant process that involves the search for the optimal connection of two contrasting categories as follows: the maximization of profitability and the restriction of risk at the cost of reducing the predicted revenues. The process of risk management encompasses the following: planning, manipulating risk, monitoring risk, as well as its evaluation and documentation (Department of Defence...2003, p.7).

This paper has been based on the analysis of literature relating to the problematic issues of risk management. Additionally, it is aimed at the illustration of the essence of risk management in Polish enterprises.

### **Risk and uncertainty**

The genesis of the word risk is derived from the Italian word *risicare*, which means the undertaking of action in spite of the fact that its effects are uncertain. In this context, the notion of risk is frequently identified with the notion of uncertainty despite the differences that exist between them. Uncertainty exists when there are no possibilities of a prior evaluation of the future levels of parameters in terms of the actions undertaken, as well as the probability of their occurrence. However, risk occurs when on the basis of the analysis of empirical data from the past or on the basis of simulation, there is the possibility of assessing the result and probability of its occurrence.

The precursor of risk management is deemed to be Alan H. Willett, who defined risk as the objectified uncertainty of the occurrence of a future event by noting that it changes together with the uncertainty and not the degree of probability (Willett 1951, p. 6). In the following years, this aspect was further developed by F. Knight, who claimed that uncertainty and risk are presented as different elements, yet possess a common feature – the lack of absolute certainty (Knight 1921, p.17). Risk is the function of uncertainty and possesses two sides - a positive one and a negative one. The positive side arouses creativity, increased mental effort, whereas the latter is the source of aversion to risk.

Hence, risk may be understood as the possibility of the occurrence of events, both positive and negative, which may have an impact on the realization of the intended goals of the enterprise. It prevails in all types of activities and at each stage.

In accordance with the Australian / New Zealand Standard for Risk Management (AS/NZS4360 2004), risk is defined as the possibility of the

occurrence of events that have an impact on the chosen aims. These events may help or hinder the achievement of the stipulated aim. These events are defined by the gauge of effects that they may cause, or the probability of their occurrence (Risk Management...2004, p. 3).

The total elimination of risk is not possible, thus every organization agrees to it in order to, among other reasons, achieve the established goal. Simultaneously, its realization brings financial effects with it whose consequences are borne not only by the people taking the decisions, but also the whole enterprise and even their market environment. The losses that an enterprise is exposed to with relation to the business activity run, while also the losses the environment is exposed to by the enterprise, all determine the scope of the inherent risk (Kuchlewska 2003, p. 40). Thus, it is worth bearing in mind that in order to identify the scope of the defined risk, it is essential to establish the causes of its occurrence, while also assess the probability of the possible damage occurring and foresee the possible aftermath. On the one hand, such actions are to lead to the improvement of the company results, while on the other hand ensure that such conditions for running business activity in order for enterprises not to bear any costs that are greater than intended. Hence, it is essential to pursue the restriction of the risk of running business activity to a maximum extent.

### **Process of risk management**

At present, all enterprises are exposed to different types of risk to a greater or lesser extent. Enterprises should possess the ability to foresee certain events, the skill of fast reactions in order to avail of the emerging market opportunities, as well as prevent and react to the threats. It is significant that firms can manage risk efficiently, which is inextricably connected with running business.

Risk management is the process of gauging risk, or the evaluation of risk and designing of strategies aimed at achieving an acceptable level of risk. Likewise, risk management may also be defined as the widely understood managerial actions, whose task is to identify and evaluate risk, as well as fight against its causes and impact on the organization (Williams, Smith, Young 2002, p. 57).

The process of risk management involves managing the potential effects that results from the uncertainty of running business activity. Risk should be taken into account in every type and area of activities of enterprises. Particularly employees, as well as lower and higher level managers should understand that risk is not a phenomenon that may be managed sporadically or periodically. Threats constantly emerge and it is necessary to deal with them in a complex and systematic manner. They must

be included in the routine process of taking decisions, establishing strategies and effective management of enterprises.

The approximate elements that compose the process of risk management in an enterprise are presented below:

1. Definition of aims – this requires coordination of risk management with the principles of the enterprise.
2. Evaluation of risk. This consists of three actions that are inter-connected:
  - Identification of risk – the aim of this action is to recognise the types of risk and accumulate information on the issue of threats, factors of risk and the susceptibility of enterprises to the existence of losses,
  - Analysis of risk, or the way of perceiving risk. At this stage, the nature of the factors of risk are characterized, what evokes it is defined and the manner of its impact on the existence of losses is analysed,
  - Measurement of risk – this signifies the definition of the probability of incurring losses, as well as estimating their value depending on the frequency and intensity of occurrence.
3. Control of risk – this refers to all actions in the sphere of monitoring the frequency and/or scale of risk, among others, techniques, tools, strategies and processes that are all aimed to avoid, prevent and restrict risk. Control of risk also encompasses methods whose aim is to have a better understanding of the actions which have an impact on the potential risk. The effective control thus reduces the susceptibility of an organization to risk (Williams, Smith, Young 2002).
4. Financing risk – this involves providing the means to insure against all the losses incurred, as well as financing other programs aimed at mitigating risk (Kościelniak 2008, pp.63-115).
5. Administering the program. Knowledge of the issue of the functioning of a company is required, as well as the aims and factors of production at their disposal. This encompasses the establishment of the procedures that are applied in everyday operations in the sphere of risk management. Likewise, it is also necessary for the firm to have the procedures of informing the market environment of their efforts on behalf of creating the programs of risk management and the results attained (Mrozik 2015, p. 152).

Contemporary enterprises functioning in conditions of new economics must be able to manage risk. Particular stages of risk management are becoming an integral part of the business activities run, while controlling skills in this sphere is becoming a key factor that determines the success of each enterprise operating in conditions of change in the closer and more distant environment.

Depending on the assessment of the magnitude of risk, the possibilities of exposing the enterprises to risk and the potential period of



exposure to risk are distinguishable as the following methods of mitigating risk:

- Avoidance of risk – actions are not implemented whereby excessively high risk is attached;
- Acceptance of risk – conscious increase of risk by the enterprise. In this method, the definition of the period of acceptance in which the enterprise is capable of accepting possible losses as permissible;
- Compensation for risk – preparation of such structures of activities in order for the possible loss to formulate as a result of the realization of singular actions and be able to cover this with the profits achieved from other operations;
- Reduction of risk – implementation of managerial action, whose effect shall be the lower probability of realization of a given risk. Such actions include, among others: the correct selection of business partners, defining the necessary contractual clauses;
- Transfer of risk – transferring risk to another entity.

The most frequent methods of transfer are as follows:

- Transfer of liability for the possible losses incurred. This method is exemplified by insurance, or in the case of contracts – stipulating a special clause excluding one of the parties from liability for possible losses that occurred as a result of the execution of a given contract;
- Transfer of activities creating the potential losses – another entity executes the risky part of activities;
- Hedging – the application of the derivative instruments with the aim of mitigating risk.

Implementation of managerial actions and new solutions require the constant monitoring of risk. If it is established that risk is not minimized, it is necessary to carry out a modification of the chosen strategy in order for the recognised risk to be limited to an acceptable level.

### **Risk management in Polish enterprises<sup>1</sup>**

The report entitled “Risk and insurance management in firms in Poland” (Zarządzanie ryzykiem i ubezpieczeniami w firmach w Polsce)<sup>2</sup>,

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<sup>1</sup> This chapter has been based on the report entitled “Risk and insurance management in firms in Poland 2013/14”, prepared by Aon Polska, whose division of Aon plc (NYSE:AON) is a leading service provider in the sphere of building the strategy of risk management, brokerage of insurance and reinsurance services, as well as advisory services and outsourcing solutions in the sphere of the management of human capital. If the authors do not refer to any literary position in the footnotes, this signifies that they are referring to the afore-mentioned report.

<sup>2</sup> The research was carried out at the end of 2012 and at the beginning of 2013 on the basis of surveys and face-to-face interviews with respondents.

has been prepared by the company Aon Polska Sp. z o.o. since 2009. The cyclical realization of this report facilitates the comparison of the trends in risk management prevailing in Poland with the best practices in this sphere worldwide as Polish research is based on the global research presented in “Aon Global Risk Management Survey”. This research facilitates the observation of the most significant trends and tendencies that characterize the Polish market of risk and insurance management – in this paper, the attention of the authors has been narrowed down to merely risk with the deliberate omission of the issues associated with insurance.

A total of 230 respondents took part in the Polish research project, who in their business practices dealt with issues associated with risk management. In global research, this number amounted to 1,400 who represented companies operating in over 70 countries worldwide.

The main group of participants in the Polish research project constituted professionals dealing with company finances, including members of the board relating to financial management, financial directors, treasurers and chief accountants. The chairmen of boards and managing directors constituted 13% respondents.

Table 1. Respondents to research by Aon in Poland and in the world

Respondent	Polish edition			Global edition		
	2013	2011	2009	2013	2011	2009
CFO / Financial Director / Board Member re. Finance	21%	37%	34%	13%	12%	5%
Risk Manager / Manager of Risk Management and/or Insurance / Director of Risk Management and/or Insurance	14%	21%	11%	33%	51%	54%
CEO / Chairman of Board / General Director / Managing Director	13%	32%	3%	8%	4%	2%
Treasurer / Paymaster / Manager of Settlements	10%	5%	3%	5%	2%	6%
Chief Administration Officer / Director of Administration, Chief Accountant	14%	10%	37%	8%	1%	1%
Company Secretary / Director / Head Office Manager	4%	26%	4%	2%	2%	1%
COO / Operational Director	3%	N/A	5%	2%	2%	1%
Others	21%	N/A	4%	13%	10%	14%

Source: Zarządzanie ryzykiem i ubezpieczeniami w firmach w Polsce, Raport Aon Polska 2013/14, p. 13.

Attention should be drawn to the fact that the people occupying the managerial positions directly in the sphere of risk management, namely risk managers, constituted approximately 14% of the respondents participating in the research in Poland. Within the framework of identical research of Aon of a global scale, the participation of risk managers was over twice higher,

which may certify to the fact of the relatively low popularization of the profession of a risk manager in Poland.

The aim of this research is to define the key risks that may be encountered by enterprises in the forthcoming years. In the current edition of the research, the economic slowdown has returned to the top of the list of threats, which is also a current risk on a global scale (see Table 2).

Table 2. Key 10 risks indicated in Polish and global editions of research 2009-2013

No.	Ranking of risk 2013		Ranking of risk 2011		Ranking of risk 2009	
	Polish	Global	Polish	Global	Polish	Global
1	Economic slowdown	Economic slowdown	Fluctuations in currency rates	Economic slowdown	Economic slowdown	Economic slowdown
2	Growing competition	Changes in legislative / regulatory environment	Growing competition	Changes in legislative / regulatory environment	Fluctuations in currency rates	Changes in legislative / regulatory environment
3	Cash flows / risk of insolvency	Growing competition	Economic slowdown	Growing competition	Fluctuations in prices of raw materials	Break in activities
4	Trading partners – trading receivables	Loss of reputation	Fluctuations in prices of raw materials	Loss of reputation	Changes in legislative / regulatory environment	Growing competition
5	Changes in legislative / regulatory environment	Failure to maintain or attract talented employees	Trading partners – trading receivables	Break in activities	Growing competition	Fluctuations in prices of raw materials
6	Fluctuations in currency rates	Lack of innovativeness	Changes in legislative / regulatory environment	Lack of innovativeness	Trading partners – trading receivables	Loss of reputation
7	Fluctuations in prices of raw materials	Break in activities	Break in activities Disruption / break in supply chain	Failure to maintain or attract talented employees	Cash flows / risk of insolvency	Cash flows / risk of insolvency
8	Technological breakdowns	Fluctuations in prices of raw materials	Technological breakdowns	Fluctuations in prices of raw materials	Loss of data	Disruption / break in supply chain
9	Employee dishonesty	Cash flows / risk of insolvency	Cash flows / risk of insolvency	Technological breakdowns	Disruption / break in supply chain	Civil liability /claims
10	Civil liability /claims	Political instability	Loss of reputation Civil liability /claims	Cash flows / risk of insolvency	Loss of reputation	Failure to maintain or attract talented employees

Source: Zarządzanie ryzykiem i ubezpieczeniami w firmach w Polsce, Raport Aon Polska 2013/14, p. 33.

Economic slowdown has returned to the top of the list of key risks for the business operations of companies in Poland, while simultaneously equalling the position of the results of global research in which the threat associated with economic slowdown has held first position in the ranking for the last three editions of the research. The hitherto key threats, namely the

currency rate risk has slipped to sixth place in the ranking. However, the greatest growth in significance among the first ten threats was registered by the risk of insolvency, which increased from ninth position in the previous research to third position in the current ranking. The new risk, which is to be found in the top ten of the Polish edition of research for the first time is that of employee dishonesty, which occupies ninth position. With relation to the global edition of the research, the new threat in the top ten is that of threats associated with political instability around the world. The relatively underestimated threats by Polish companies with regard to the results of global research are as follows: the risk of losing reputation, which incidentally dropped out of the top ten, the risk of the lack of innovativeness and failure to attract and keep talented employees.

Polish enterprises declare the implementation of a formal plan of action. In fact, Polish firms usually have a plan of action with relation to traditional risk, such as for instance, trade receivables, fluctuations of currency rates, or technological breakdowns. Unfortunately, they are not prepared for threats connected with economic slowdown.

Undoubtedly, economic slowdown leads to the formation of financial loss. With relation to both the Polish edition and the global edition of the research, risk associated with economic slowdown led to the formation of financial losses in the largest group of companies under analysis – 73% in Poland and 67% in the international study. In recent times, the level of financial losses as a result of the realization of key risks in Polish companies have significantly risen. With regard to the risk of economic slowdown in the previous edition of research, this percentage amounted to a mere 31%. A similar case is with the second in line in terms of the risk of growing competition, in which the proportion amounted to 62% and 20% respectively. Polish enterprises incur financial loss far more often as the result of the materialization of key risks. Over half of the firms analysed, admitted that they had incurred losses from such risks due to the fluctuation of the prices of raw materials and currency rates. The specifics of the Polish edition of research is the risk of employee dishonesty – over 1/3 of enterprises incurred financial losses arising from this fact (Table 3).

Table 3. Financial losses due to materialization of risk within the past 12 months in terms of the research results for the Polish and global editions of 2013

No.	Ranking of risk in Poland 2013		Ranking of risk in world 2013	
	Polish edition	Losses in 12 months	Global edition	Losses in 12 months
1	Economic slowdown	73%	Economic slowdown	67%
2	Growing competition	62%	Changes in legislative / regulatory environment	54%
3	Cash flows / risk of insolvency	56%	Growing competition	50%
4	Trading partners – trading receivables	55%	Loss of reputation	40%
5	Changes in legislative / regulatory environment	52%	Failure to maintain or attract talented employees	37%
6	Fluctuations in currency rates	51%	Lack of innovativeness	37%
7	Fluctuations in prices of raw materials	50%	Break in activities	36%
8	Technological breakdowns	38%	Fluctuations in prices of raw materials	35%
9	Employee dishonesty	35%	Cash flows / risk of insolvency	34%
10	Civil liability /claims	29%	Political risk	30%

Source: Zarządzanie ryzykiem i ubezpieczeniami w firmach w Polsce, Report by Aon Polska 2013/14, p. 37.

In practice, risk management is perceived to be the response to a range of challenges associated with running business activities, such as changes in the economic environment, expectations of stakeholders or the occurrence of events that have a particularly significant impact on the functioning of a given enterprise.

In the research, respondents were asked about the key premises of strengthening risk management that determine the principal directions of the development of this discipline. The most important premise for the strengthening of the process of risk management in Poland is that of economic instability that is indicated by 62% of respondents – which is a result of 16 percentage points higher than that achieved in the previous edition of the research. Economic instability also constitutes the most important premise in terms of investments in risk management among the companies participating in the global edition of the research (47%). Over 1/3 of the participants in the research indicated the requirements of investors in the sphere of transparency and liability with relation to taking decisions as one of the main premises for strengthening the system of risk management. This result is over 10% higher than in the case of the global research. Third place, in terms of the most significant external premises encouraging those in

managerial positions to invest in the systems of risk management in Poland was occupied by pressure from clients and trading partners – 33%, which also noted the biggest growth in comparison with the research results of the previous years. In comparison with the results of the global research, such premises as the requirements of regulators, extreme natural events, or political instability are of lesser importance (Table 4).

Table 4. Most significant external premises of strengthening of risk management in terms of the research results for the Polish and global editions of 2013

<b>Polish edition 2013</b>	<b>Percentage of indications in Polish edition 2013</b>	<b>Percentage of indications in global edition 2013</b>
Economic instability	62%	47%
Requirements of investors in the sphere of greater transparency and liability	34%	22%
Pressure from clients	33%	20%
Increase in interest from regulators	22%	34%
Extreme natural events	10%	18%
Political instability	6%	15%
Others	9%	9%

Source: Zarządzanie ryzykiem i ubezpieczeniami w firmach w Polsce, Report by Aon Polska 2013/14, p. 41.

In the vast majority of companies that are not financial institutions, they did not shape the organizational structures dedicated for serving the process of risk management to the same degree as their foreign counterparts. The obligations in the sphere of risk management in such a situation are most frequently deployed in the structures of the management of company finances as the most equipped for the complex accumulation of cross-sectional information on all the activities within the framework of their competences of the established techniques of managing financial risk or purchasing insurance. In the cases of the existence of a separate department of risk management, it is most frequently positioned in the structures subject to the CFO. Rare cases of an autonomous department are most often the result of the adoption of the model of organization of risk management that is currently dominant and is based on the so-called “three lines of defence”. This model assumes that the particular organizational units manage the risk that prevails there, while the department of risk management coordinates and supervises the process and the internal audit ensure a reasonable degree of certainty in terms of achieving the intended results. In other words, liability for risk and the current identification, evaluation and reactions remain within the framework of the particular linear sections, while the basic elements of the activity of the function of risk management are the designing and coordination of the process, ensuring uniform standards and reporting on risk. Thus, in the afore-mentioned model, even large scale activities or the

complexity of the organizational structure do not have a significant impact on the scope of tasks in the sphere of risk management attributed to the coordinating entity.

## **Conclusion**

Risk management constitutes one of the key elements of managing an enterprise, which significantly influences the business efficiency. Indeed, risk management has taken on great significance in the midst of the global economic crisis that we have been facing over the past decade. Up to this point, the methods and standards of risk management had not been commonplace in Poland. As indicated by the research carried out by Aon Polska in Poland, an increasing level of awareness is being observed among the owners and chairmen of companies with relation to the utilization of the standards of risk management.

Appropriate risk management in business activities, as well as the appropriate formation of ties with the immediate environment are among the fundamental prerequisites for ensuring a stable position on the market and the perspectives of further development in a highly competitive market.

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# **Alcances De La Psicología Del Deporte Y La Actividad Física: Casos Realizados Por Los Alumnos De Psicología De La Universidad De Flores De La Ciudad De Cipolletti De La Provincia De Río Negro**

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## **Abstract**

Starting the program being taught in the field of sports psychology, it led us to reflect on the need to identify the significative role of the sport psychologist in educational and sporting institutions of the Cipolletti City, Province of Río Negro. While all work done by the students was evaluated and considered as relevant when it comes to delve into the subject and its importance, we tried to guide the students, coaches, athletes, psychologists and sport institutions about the value of in psychological intervention and its relations to mental health.

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**Keywords:** Psychology, sports educational and sporting institutions, physical activity

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## **Resumen**

El programa y dictado de la materia de Psicología del Deporte, nos llevó a reflexionar sobre las necesidades de identificar la importancia del rol del psicólogo del deporte en los ámbitos educativos y deportivos de la ciudad de Cipolletti, provincia de Río Negro. Si bien todos los trabajos realizados por los alumnos fueron evaluados y tomados como relevantes a la hora de profundizar en el tema e interés del mismo, intentamos aproximarnos a orientar a los alumnos, entrenadores, deportistas, psicólogos e instituciones deportivas sobre la importancia a la hora de intervención psicológica en los deportes y la actividad física y su relación con la salud mental.

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**Palabras claves:** Psicología, deporte, ámbitos educativos y deportivos, actividad física

### **Objetivos generales**

- Proporcionar el conocimiento y los alcances de la Psicología del Deporte en los ámbitos educativos y organizaciones deportivas, potenciando el desarrollo integral del alumno.

### **Objetivos específicos**

- Obtener información relevante de la Psicología del Deporte en diferentes instituciones deportivas de la ciudad de Cipolletti;
- Conocer y describir el rol del psicólogo del deporte y sus intervenciones en las organizaciones deportivas;
- Determinar los beneficios de la Psicología del Deporte en la salud mental;
- Reconocer las características psicológicas en los deportes grupales e individuales;
- Exponer posibles intervenciones desde la Psicología del Deporte construido por los alumnos.

### **Metodología**

El modelo de investigación para este trabajo fue no experimental, transversal, explicativo y descriptivo. Tiene un enfoque cualitativo. Se realizaron trabajos prácticos con entrevistas y observaciones en clubes de Cipolletti, en deportes grupales e individuales.

### **Introducción**

En la actualidad, es de suma importancia a la hora de proyectar acciones en el campo del deporte, el conocimiento de las características de la población en aquellas variables que mejor y con mayor fidelidad identifiquen a un futuro talento. Esto propicia conocer las fortalezas y debilidades para afrontar el desafío en el campo de la Psicología del Deporte. Por otra parte, cuando en el mundo se habla de promoción de la salud, se asocia entre los otros aspectos al futuro deportista y a la formación ideal para él.

Este tema pretende dar una aproximación a la visión de las diferentes áreas de aplicación de la Psicología del Deporte, en distintos deportes y actividades físicas grupales e individuales, a través de trabajos llevados a cabo por los alumnos de Psicología de la Universidad de Flores de la ciudad de Cipolletti en la provincia de Río Negro.

Es por ello que se analizarán los alcances y factores psicológicos que puedan afectar el rendimiento en diferentes actividades relacionadas con el deporte y la actividad física.

Como psicólogas interesadas en esta temática nos hemos preguntado, durante mucho tiempo, si el alumno puede llegar a comprender

la importancia de dicha materia para la aplicación en el ámbito del deporte y la actividad física, y sus beneficios en la salud mental.

A través del mismo, se intentó recopilar una serie de trabajos realizados por los alumnos, y, de esta manera, poder proporcionar ciertos casos relevantes con sus hipótesis y respectivas intervenciones, para corroborar la importancia del rol del psicólogo del deporte en los ámbitos educativos y deportivos.

A modo de ampliar la información, tomamos como ejemplos los deportes grupales e individuales de los alumnos con su promedio sobresaliente.

### **Material humano**

Treinta (30) alumnos de la Universidad de Flores de la ciudad de Cipolletti, provincia de Río Negro. Se evaluaron los trabajos de nueve (9) alumnos específicamente en deporte grupal e individual de la cátedra de Psicología del Deporte.

### **Resultados**

Dividimos esta sección en dos grupos: 1) Deportes y Actividad Física Individual y 2) Deportes y Actividad Física Grupal. En cada grupo se exponen hipótesis e intervenciones de los trabajos de los alumnos.

#### **• Deportes y Actividad Física Individual:**

##### 1. Patín – Acuña, Yoana

**Hipótesis:** *“El estilo democrático de liderazgo de la entrenadora aumenta la motivación y participación del grupo de patinadores”.*

**Intervención/Conclusión:** *“... debemos resaltar la importancia y el papel del deporte recreativo en el desarrollo de la vida de una persona, y por ende, de su salud; el mismo, mediante su práctica, ayudará al deportista a que pueda desarrollar mayor capacidad de diversión, intercambio con otro y liberación de las tensiones generadas en la vida cotidiana, posibilitando a su vez una mejora en la calidad de vida”.*

##### 2. Enduro – Antonino, Bárbara

**Hipótesis:** *“Los corredores de enduro son propensos a sufrir accidentes que ponen en riesgo tanto su vida como la de los demás corredores, porque no tienen la concentración puesta en el terreno, sino que se enfocan más en llegar primeros y bajar sus tiempos provocando accidentes innecesarios”.*

**Intervención/Conclusión:** *“Para evitar esto es necesario que los corredores entiendan que, si se concentran en los diferentes obstáculos del camino, los van a poder sortear con mayor facilidad, logrando así un mejor*

desempeño en toda la carrera, llegando a mejorar el tiempo final. Esto no es solo para un beneficio propio, sino también para evitar damnificar al resto de los corredores”.

3. Tenis –Grimoldi, Melina

**Hipótesis:** “*Promover y optimizar tanto los recursos de los deportistas como los rendimientos deportivos a través de entrenamiento psicológico mejora el resultado del tenista*”.

**Intervención/Conclusión:** “... la intervención se deberá a un proceso que se compone de tres partes: la fase educativa, para comprender mejor las técnicas y estrategias, la fase adquisitiva y la fase práctica, que busca automatizar destrezas psicológicas e integrarlas al entrenamiento para luego aplicarlas a las competiciones”.

4. Danza – Zvitan, Catalina

**Hipótesis:** “*Es necesario que, tanto las alumnas como las profesoras, aprendan técnicas para el aumento de la autoconfianza para poder trabajar las expresiones, emociones y sentimientos negativos alcanzando una mejor performance*”.

**Intervención/Conclusión:** “El acompañamiento del deportista, de parte de padres, entrenadores y del psicólogo deportivo es fundamental en las niñas que practican danzas, para aumentar su autoconfianza, controlar su frustración y su rendimiento, incrementando su concentración y atención, de acuerdo a sus etapas evolutivas”.

• **Deportes y Actividad Física Grupal:**

1. Hockey – López, Mariana

**Hipótesis:** “*Si el entrenador tiene un perfil autoritario, su relación y comunicación con sus jugadoras será desmotivadora y negativa*”.

**Intervención/Conclusión:** “No solo se trata de intervenir en los deportistas, sino también es necesario que se realicen intercepciones en los preparadores físicos y entrenadores. El plan de mediación consta de una fase educativa, una fase adquisitiva y una fase práctica”.

2. Fútbol – Montenegro, Antonella

**Hipótesis:** “*Los niños de nueve años no se encuentran en una etapa evolutiva que los prepare para la competición*”.

**Intervención/Conclusión:** “En el caso abordado en este trabajo, y luego del análisis de la bibliografía anteriormente expuesta, considero que una posible intervención estaría en orientación y psicoeducación a los profesores de dicha escuela, no para suprimir la competición en estas edades tempranas, sino para modificar la misma, conduciendo a un cambio en el

sistema enseñanza-aprendizaje y en los objetivos a desarrollar para estos grupos, donde los mismos estén dirigidos a la actividad motriz y al juego en sí mismo, a la actividad lúdica, respetando las necesidades propias de cada etapa evolutiva. De esta forma, contribuye con su actuación a que la práctica deportiva sea vista y sentida por los niños como gratificante y formativa, de carácter lúdico-recreativo, sin grandes exigencias técnicas, donde lo cooperativo prime sobre lo competitivo, y la participación sobre la selección”.

3. Rugby – Batistelli, Mauricio

**Hipótesis:** *“Se hace necesaria la interdisciplinariedad, más específicamente la del psicólogo del deporte, en los equipos deportivos.”*

**Intervención/Conclusión:** “Planteo de una serie de técnicas, con un tinte dinámico, para trabajar con los equipos y poder salvaguardar las dificultades, y hacer frente a situaciones que tiene que atravesar el grupo”.

4. Fútbol - Paillalef, Mercedes

**Hipótesis:** *“Los problemas de índole familiar y escolar de los jugadores de la categoría '98 de la Academia Pillmatun influyen en su propia concentración y en la de los líderes del equipo (DT y Capitán), haciendo que la categoría no tenga una identidad definida”.*

**Intervención/Conclusión:** “Las intervenciones se deben hacer desde un marco macro (el club como organización), hasta lo micro, pasando por las categorías y por el personal que las compone. Trabajando en conjunto dirigentes jugadores y padres. Asesorándolos para el equilibrio entre el club y el colegio”.

5. Básquet:

**Hipótesis:** *“...el entrenador cumple las funciones de psicólogo, nutricionista y de preparador”.*

**Intervención/Conclusión:** “conformar la incorporación de un equipo multidisciplinario a la hora de poder competir, y que se evalúe el rendimiento del equipo”.

### Conclusión

De cara a mejorar futuras intervenciones en el ámbito deportivo, se pueden destacar los siguientes aspectos a tener en cuenta por los psicólogos del deporte:

- Los programas de entrenamientos psicológicos se deben adaptar a las demandas psicológicas de cada deporte o situación deportiva, y a las necesidades de los diferentes deportistas;

- El rendimiento deportivo depende de múltiples factores: físicos, técnicos, tácticos, psicológicos y, por lo tanto, el psicólogo del deporte debe realizar un trabajo interdisciplinario colaborando con el equipo técnico;
- La aplicación de la Psicología del Deporte no solo implica el conocimiento de las técnicas y programas de entrenamiento psicológico, sino también un buen conocimiento del deporte en el que se trabaja para saber cuándo, cómo y dónde hay que realizar las intervenciones;
- Los psicólogos del deporte debemos preocuparnos por la evaluación de la efectividad de nuestras intervenciones, en términos de bienestar psicológico y de mejora del rendimiento deportivo de nuestros clientes;
- Las aplicaciones de la Psicología del Deporte no pueden reducirse al deportista de alto rendimiento, sino que han de abarcar también a los niños que se inician en el deporte y a los directivos y los aficionados;
- Las intervenciones del psicólogo del deporte, asimismo, se deben dirigir a incrementar las pautas de actividad y ejercicio físico de la población, para evitar el sedentarismo y mejorar la calidad de vida.

Para realizar con efectividad todas las aplicaciones anteriores se requiere mejorar la formación teórica y práctica de los psicólogos del deporte y alumnos de psicología, definir su perfil profesional y encontrar unos criterios de acreditación profesional que garanticen el correcto desarrollo de las funciones del psicólogo del deporte.

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# New Old Stock Products' Distribution

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## Abstract

Both new and used products get to sell on the market. The third group consists of products that can be called: new, old stock. One can defined them as new and unused products, which at the same time hit the market later than manufacturer planed and through different channels than were prepared for them. In this article the authors examine how, and under what circumstances a transformation of new products into the old stock happens. Further they consider specific methods for their distribution in the market. An introduction to the discussion is to present the conceptual framework in the field of supply chains' output side.

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**Keywords:** Distribution, NOS products, distribution channels

„You can sell everyone everything you want”.  
Joe Girard<sup>3</sup>

## Introduction

In European Union only, more than 5 million companies are engaged in production activities (Gagliardi et. al., 2014). They supply market with what they have produced in order to sell it at a profit, achievement of which is *de facto* the main operational objective of each managing entity (Żemigła, 2007). Old products, which were being used for a long time but at the same time haven't lost (or have lost to a certain extent only) the ability to fulfill the function they were designed to, also get to sell. Another group of products are used, defective, that however can be still useful for a particular group of buyers (e.g. can serve as a source of spare parts / spares). On the market goes also products that can be described as new old stock (NOS). They are new and unused but hit the market later than manufacturer planed and through different channels that were prepared for them.

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<sup>3</sup> Business practitioner who has perfected the art of trading. Over fifteen years of activity he has managed to sell over thirteen thousand cars in the retail system, which allowed him to be recognized as the best seller in the world. Has been signed into the Guinness Book of Records.

In the sentence that constitutes an introduction to the work, the famous American salesman expresses thought that it is possible to achieve full success in sale. Market experience of many companies, however, show that in practice not all the companies manage to sell the whole of their production. Often a significant part of it is stopped at a certain stage of the distribution process. Sometimes it never becomes an object of market exchange (e.g. is destroyed). In the reverse situation, when goes on sale again, one should include it to the category of NOS goods (Strohl, 2009).

In this article the author examines how and on which section of the distribution channel stocks of such goods are formed. Further he describes in which way they are re- distributed to the market. An introduction to the discussion is an approximation of the conceptual framework of supply chains' output side (Kot, Starostka- Patyk, Krzywda, 2009).

Theoretical basis for the considerations is query library and an analysis of secondary sources related to the discussed matters. Empirical part is presented in the form of case study and is elaborated on the basis of research conducted within selected polish entrepreneurs who deal with the trade of NOS products as well as with people who have already purchased them.

### **Distribution - conceptual apparatus**

Production is not the principal purpose of a manufacturer. It is only the starting point of distribution - phase to attain the ultimate success considered in terms of sale of manufactured goods. In its fundamental meaning it is about the movement of products from the place of production to the final purchaser, therefore the location where the consumer or production usage appears (Dębski, 2006).

Distribution is done using a specific number of intermediaries. They form so-called: distribution channel - a certain number of interrelated distributors who allow and encourage to get the product from the beginning of the channel (place of production) to its end (final consumer) (Iacobucci, 2001).

The creation of the chain of intermediaries is a chance for the manufacturer to get his product to a group of potential customers. It is often that he doesn't own significant financial resources to create its own distribution network. In this case the only way to enter the market is to entrust the sale of products to the existing market intermediaries.

Intermediaries are referred to different names depending on the functions they perform. The most common are as follows:

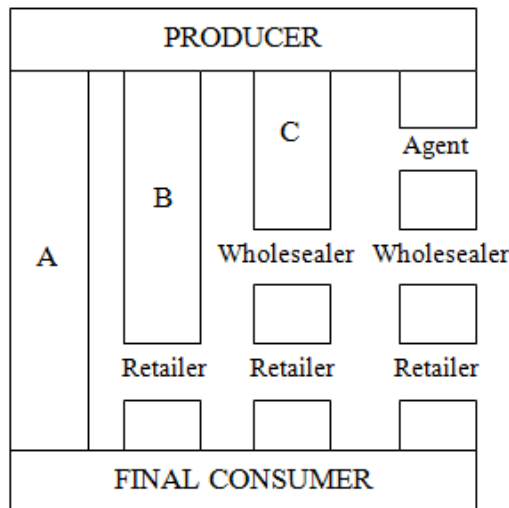
- agent, broker - any intermediary who does not have the ownership of the goods produced but is authorized to dispose them in the name of the manufacturer. Its primary purpose is to negotiate the most

favorable conditions of the goods' resale to further participant of channel, for what he is rewarded in the form of commission.

- Wholesaler - buys goods from the manufacturer, include it in the physical possession and claims ownership title to it. He does this with the intention of reselling it further, usually to the retailer.
- Retailer - middleman involved in the sale to the final consumer. Depending on the purchasing power and the size of volume, he may purchase goods from a wholesaler or directly from the manufacturer (Pride, Hughes, Kapoor, 2012).

Distribution channels are distinguished from each other, taking into account their length (number of intermediaries in the channel). Based on this criterion mentioned basic types of channels can be distinguished (figure 1).

Figure 1. Distribution channel variants.



**Source:** own elaboration on a basis of: M. C. Cant, J. W. Strydom, C. J. Jooste, P. J. du Plessis. *Marketing management*. Juta & Co., Ltd. Cape Town 2007, s. 407- 410.

Channel symbolically called A is the shortest one, has the simplest structure and is called: direct. Parties to the transaction in this case are two extreme sides of the chain: the producer and the final purchaser of the product. The sale is not mediated by an external independent entity, not associated directly with the manufacturer (Kapoor, Kansal, 2005).

This channel is characteristic for the industrial goods market (B2B), where the final consumer, often looking for specific customized solutions, consults them and ordered directly from the manufacturer, e.g. dedicated IT tools (Wright, 2004). An example of a company using this solution on a consumption market is a tailor sewing for the order placed directly by the client, a manufacturer of cosmetics selling them to customers with the usage

of salesmen employed by him as well as any company offering products through its online store.

Three, further variants are indirect - in order to get final product to consumers manufacturer uses the services of external institutions or individuals. Channel B illustrates a situation in which there is one middleman - retailer. Channels C and D illustrate a further increase in the number of cells.

The manufacturer must decide which channel will be the most appropriate from the point of view of maximizing the volume of its products' sale (Paley, 1999). He may choose only one of the options. Usually, however, nothing prevent to make use of two or even more solutions at the same time. It is called: multi – channel distribution (Fernandez' 2007). For instance, a manufacturer of regional cheeses can sell them in his own factory shop (channel A), which does not exclude the possibility of offering them simultaneously through retailers (channel B).

### **Specificity of NOS products distribution**

By NOS products (acronym from new, old stock) the author understand any items which are either:

- I discontinued from the current line of products,
  - II not produced any more,
  - III have been stored in warehouse for a long time,
- or there appears any combination of these conditions.

The only constant here is that the products appear on the market for sale and are unused. This kind of products can be found in everything from electronic devices by auto parts to the clothes.

In certain circumstances, at any stage of the logistics chain (both in the factory and in each participant in the chain of distribution) a stock of unsold products can be created. This can happen when the entity does not have time to get rid of them, e.g. in following circumstances (just to name a few):

- sudden liquidation of the company,
- change of industry/ core business,
- acquisition by another company, which e.g. takes up decision to change the logo that products will be marked with.

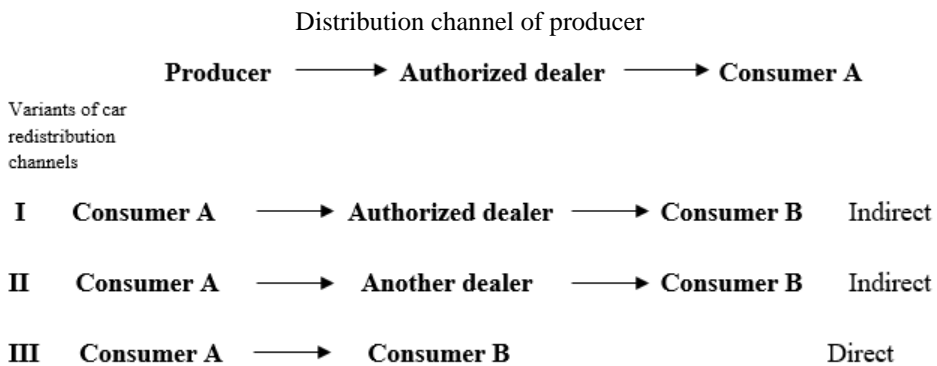
Inventories of new, old stock are also often created by the final buyers on their own. This is done in four ways:

- person buys a product for investment purposes, treating it as an investment. Does not intend to use it, rather hold until a moment it will be profitable or necessary to resell it. An example of products purchased for this purpose may be jewelry whose value does not decrease dramatically even in the long term because of the materials

they are made of (ore, precious stones). The situation is similar in the case of manufactured in small quantities, luxury watches or cars, the price of which stay over time (and even sometimes increases) due to their unique character.

- Person buys a product for collectible purposes. In this case the fan of a certain category of products, for example shoes, acquires another pair of them not for the practical purposes but as an embellishment to his collection.
- The ultimate consumer of the product is a person who came into his possession by accident and does not use it. An example would be a situation in which not justified gift that doesn't gain an excessive enthusiasm of recipient, is stored with the hope that will be useful later.

Case 1. Redistribution options of new, old Stock products on the example of vehicle.



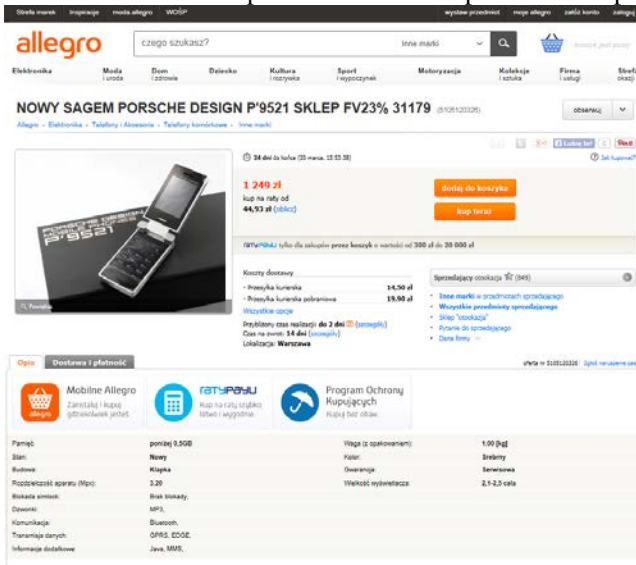
New, collectible car goes through the traditional channel of distribution (consisting of one agent) to the client. After 5 years, this decides to resell it as new, old stock. With this intention he can visit authorized dealer from whom he purchased the vehicle. Also nothing prevent him from visiting intermediary specialized in the sale of luxury vehicles. The third variant shows a situation where the owner sells the car for example to a friend.

Source: own studies.

- Person has bought the product but does not use it because of appearance of one from variety, random circumstances. From live taken is situation when during foreign trip a tourist purchases carpet with the intention of using it in apartment that is just being decorated. After his return, however, he comes to the conclusion that he will not use acquisition because its color does not match the furniture he decided to place into the room.

If stocks created in such way will not be destroyed / damaged over the time and nobody started to use them they can be got to be sold again as new, old stock. The person or institution that has ownership of these products can resell them to any wholesaler or retailer who wishes to purchase them with the intention of resale (as such, which was included in the distribution programme specified by the manufacturer of the product). Another possibility is to resign for the middlemen services in the way of direct channel usage (personal sale to the final consumer) - case no. 1.

Fig. 1. Direct sale of NOS product on the example of mobile phone.



Source: <http://allegro.pl/nowy-sagem-porsche-design-p-9521-sklep-fv23-31179-i5105120326.html> (reading: 23.02.2015).

It should be noted that in practice the personal sale of NOS products is often done using e-commerce platforms (auction sites type: e-Bay). Economic calculation leads to the choice of such solution – it offers the opportunity to present the offer to a large number of potential customers while not having to incur significant costs to reach them. Figure no. 1 shows an example of NOS product sold using the biggest polish auction platform. It is a mobile phone Sagem offered for sale as a new one after 6 years of its official launch on the Polish market (and more than 4 from the end of its production).

## Summary

Recently NOS products are beginning to play an increasingly important role in the process of market exchange. Primarily it is because of the development of Internet trading platforms, where anyone without much difficulty can offer to sell almost any product (even if it is inherited from a

relative never used lighter). Such products should be considered in terms of competition to the other merchandise available on the market. They are often offered at a relatively low price as that their present owners often want to simply get rid of them. In this case many of the customers who face a dilemma: to purchase a new product from the official distribution network and NOS, decide to choose the second option, tempted by the lower price. What's more many of them just do not have anything against such products but even prefer it (and looking for them) because of their unique character.

Awareness of the presence of new, old stock products as well as knowledge about how they arise and in what way can get back on the market seems therefore very important to the business sector. Researchers, however, do not succumb to doubt the fact that knowledge of the factors present in the competitive environment is extremely important from the success in sale point of view. Knowledge of the competitors would assist management in planning the organization's future course of action (Choo, 2001). With all this in mind the author is aware of the fact that the considerations made in the article does not exhaust the subject of new, old stock products. Undoubtedly, however, constitute a source of inspiration and a starting point for further, in-depth studies and research.

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## **Un Estudio Descriptivo De Las Creencias Docentes Acerca Del Fenómeno *Bullying***

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### **Abstract**

We present an ex post facto prospective single study group (Leon & Montero, 2007). Participants are 316 adults, primary school teachers of the Autonomous City of Buenos Aires of both sexes, with an age range between 18 and 42 years ( $M = 23.17$ ,  $SD = 3.1$ ). The main objective of the project is to analyze beliefs of teachers in primary and secondary schools about the causes of the bullying phenomenon, preventive measures and contingent actions for resolution. How teachers perceive students and their behaviors, is related to the strategies they use to manage their classrooms (Valdez Cuervo Estévez, Nenninger et al., 2013). A medium-term goal in an upcoming project is the design of prevention programs to change the way teachers perceive and act on the mentioned phenomenon. Partial results are described.

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**Keywords:** Teachers, beliefs, causes, bullying, prevention

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### **Resumen**

Se presenta un estudio ex post facto prospectivo de grupo único (León & Montero, 2007). Participan en él 316 adultos, docentes de escuela primaria de la Ciudad Autónoma de Buenos Aires de ambos sexos, con un rango etario entre 18 y 42 años ( $M = 23,17$ ;  $DT = 3,1$ ). El objetivo general del proyecto es analizar las creencias de docentes de Nivel Primario y Secundario acerca de las causas del fenómeno Bullying y medidas preventivas y contingentes para su resolución, dado que la manera en que los docentes perciben a los estudiantes y sus comportamientos se relaciona con las estrategias que utilizan para administrar sus salones de clase (Valdéz Cuervo Estévez, Nenninger et al., 2013). Un objetivo a mediano plazo en un próximo proyecto es el diseño de programas de prevención para cambiar la forma en que los docentes perciben y actúan con respecto al fenómeno Bullying. Se describen algunos resultados parciales.

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**Palabras clave:** Docentes, creencias, causas, Bullying, prevención

### **Objetivo/s o propósito/s del estudio**

- Analizar las creencias de docentes de Nivel Primario y Secundario acerca de las causas del fenómeno Bullying, medidas preventivas y contingentes para su resolución;
- Necesidad de impulsar estrategias y acciones que fortalezcan a las instituciones educativas y sus equipos docentes, para la prevención y abordaje de situaciones de violencia;
- En un mediano plazo, diseño de programas de prevención para cambiar la forma en que los docentes perciben y actúan con respecto al fenómeno Bullying.

### **Introducción**

La ley 26.892, publicada en el Boletín Oficial el 4 de octubre de 2013 en la República Argentina, ha visto, por una parte, la necesidad de garantizar el derecho a una convivencia pacífica, integrada y libre de violencia física y psicológica, y por otra la de orientar la educación hacia criterios que eviten la discriminación, fomenten la cultura de la paz y la ausencia de maltrato físico o psicológico. La necesidad de impulsar estrategias y acciones que fortalezcan a las instituciones educativas y sus equipos docentes, para la prevención y abordaje de situaciones de violencia en las mismas.

A su vez la ley N°3285/09, emitida por la Legislatura de la Ciudad Autónoma de Buenos Aires, promueve la obligatoriedad de realización de jornadas de formación, actualización y capacitación sobre derechos humanos, discriminación y resolución pacífica de conflictos.

Dada la importancia de los procesos de socialización que se desarrollan en la escuela primaria y secundaria, es necesario el estudio de factores que interfieren en los mismos; entre ellos, las experiencias de maltrato y hostigamiento. Es trascendente su detección y las variables que las generan para elaborar, en un segundo tiempo, planes de acción que permitan tanto su resolución como su prevención.

### **Marco teórico**

La importancia del “hostigamiento entre pares”, objeto del presente trabajo, radica en las graves consecuencias a corto, mediano y largo plazo, que aun en sus formas menos traumáticas genera en los alumnos, más específicamente en los que resultan las víctimas del acoso. Entre ellas: la disminución de la autoestima, trastornos de ansiedad e incluso trastornos depresivos, dificultad en la capacidad para generar y mantener relaciones interpersonales y en la integración en el medio escolar y trastornos de aprendizaje.

Se define entonces este “hostigamiento de pares” o “bullying” como:

- Comportamiento prolongado de insulto verbal, rechazo social, intimidación psicológica y/o agresión física de un niño hacia otro que se convierte en víctima. Subcategoría de la agresión (Espelage & Swearer, 2003);
- Una forma de maltrato, normalmente intencionado y perjudicial de un estudiante hacia otro compañero, generalmente más débil, al que convierte en su víctima habitual; suele ser persistente, puede durar semanas, meses e incluso años. La mayoría de los agresores actúan de esa forma, movidos por un abuso de poder y un deseo de intimidar y dominar (Cerezo Ramírez, 2006).

El bullying es un fenómeno social, siendo su concepción de tipo sistémica. En el sistema participan hostigadores, hostigados, observadores o testigos, docentes y familias (Olweus, 1978, 1998). Así se priorizan las interacciones entre los diferentes actores y los efectos sobre la conducta de los hostigados. Los hostigadores suelen tener un grupo de apoyo que refuerza su conducta, mientras que el hostigado se encuentra aislado, incluso ignorado y hasta rechazado abiertamente. Es importante, entonces, destacar la incidencia de la posición sociométrica, del estatus de cada sujeto en el grupo, en la percepción de la violencia entre pares (Cerezo Ramírez, 2006).

De acuerdo con Cerezo Ramírez (2008), la incidencia actual del hostigamiento de pares está en torno al 23% y el rango de edad más implicado en torno a los 10 años en educación primaria y a los 13 años en educación secundaria, todo ello en investigaciones realizadas con muestras aleatorias de centros públicos y privados del territorio español.

Además, un 5,5% de alumnos hostigados identifica las nuevas tecnologías como medio para el maltrato. Kowalski & Limber (2007) lo denominan “Bullying electrónico”, comúnmente llamado “Cyberbullying”. Es una manera para hacer el hostigamiento más ofensivo. Suele manifestarse en forma anónima, lo cual dificulta aún más la posibilidad de ser afrontado. Se realiza vía e-mail, mensajes de texto por celular, “chateo”, redes sociales u otras alternativas electrónicas. Sus mensajes, tanto escritos como en imágenes, suelen distribuirse en lo inmediato a una gran audiencia, superando el ámbito escolar y afectando la realidad cotidiana de la víctima en múltiples contextos.

Los actores del sistema Bullying, según Trautman y Cerezo Ramírez (2008), son:

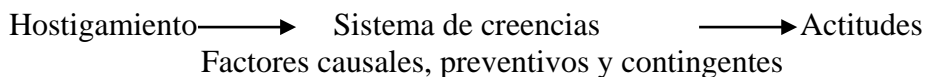
- Hostigadores activos: estudiantes que planean, dan ideas o bien ejecutan conductas de acoso a otros niños;
- Seguidores activos: no actúan directamente sobre el hostigado, pero participan del sistema bullying como barra, alentando a los que hostigan;
- Seguidores pasivos: testigos no neutros que avalan la situación, en general, por razones ideológicas;

- Seguidores ocultos: testigos no neutros que avalan la situación internamente, nunca explícitamente, y no participan ni dan la cara como parte del grupo de los hostigadores;
- Testigos no implicados: neutros, pero testigos al fin, a veces temerosos de ser los siguientes acosados;
- Defensores: salen en forma abierta a defender a los hostigados. En general su actitud, más que remediar el hostigamiento, refuerza el proceso produciendo mayor irritación de los hostigadores activos;
- Hostigados activos: sufren en forma directa el hostigamiento de otro;
- Hostigados pasivos: sufren en forma indirecta el hostigamiento de otros;
- Adultos: docentes, directivos, padres. Son parte del sistema bullying registren o no el fenómeno.

Por otra parte, es relevante trabajar sobre las conductas docentes para el abordaje del bullying. La manera en que los docentes perciben a los estudiantes y sus comportamientos se relaciona con las estrategias que utilizan para administrar sus salones de clase (Valdéz Cuervo, Estévez, Nenninger y otros, 2013). Por ello es de vital importancia detectar sus creencias asociadas al fenómeno. Las creencias son ideas, generalizaciones para interpretar la realidad, basadas en referencias como: experiencias personales, información proveniente de otras personas, imaginación y deducciones. (Kerman, 2015).

Por ende, la concepción que los docentes poseen acerca de las causas, las medidas preventivas y las estrategias de resolución (medidas contingentes), influye sobre sus actitudes al respecto.

Gráficamente:



Por ello se procede en este estudio al análisis de las creencias docentes.

### **Material (humano o de otro tipo) y métodos aplicados**

Diseño:

- Ex post facto prospectivo de grupo único (León & Montero, 2007).

Participantes:

- 316 docentes adultos de colegios primarios y secundarios de la Ciudad Autónoma de Buenos Aires de ambos sexos, con un rango etario entre 18 y 42 años ( $M = 23,17$ ;  $DT = 3,1$ ).

Instrumento de evaluación:

Inventario de hostigamiento, 30 afirmaciones tales como:

1. *Los alumnos con padres separados son más propensos al hostigamiento (factor causal);*

2. *Los alumnos de todos los niveles deben participar de una serie de talleres que traten sobre discriminación, resolución de conflictos y la convivencia en la escuela y fuera de ella (acción preventiva);*
3. *Los alumnos que han vivido situaciones de violencia o burlas deberían ser reubicados en un ámbito diferente en las escuelas para evitar nuevos incidentes (acción contingente).*

Respuestas posibles:

1. Totalmente de acuerdo
2. Algo de acuerdo
3. Ni de acuerdo ni en desacuerdo
4. Algo en desacuerdo
5. Totalmente en desacuerdo

El instrumento ha sido validado.

Resultados parciales estadísticos descriptivos de algunas respuestas del inventario

<b>Causas (<math>\alpha = .73</math>)</b>	<b>M</b>	<b>DT</b>	<b>Asimetría</b>	<b>Curtosis</b>
2. Los alumnos con padres separados son más propensos al hostigamiento	4,46	1,001	-1,759	1,958
5. Los alumnos de familias ensambladas son más propensos al hostigamiento	4,38	,998	-1,453	1,070
8. Los alumnos competitivos en la actividad deportiva son más propensos al fenómeno del hostigamiento	3,89	1,217	-,631	-,961
11. Los alumnos que hostigan en la escuela provienen de familia numerosa	4,32	1,013	-1,242	,627
14. El hostigamiento de pares se debe a la falta de valores transmitidos desde el preescolar	3,51	1,336	-,428	-1,051

Factores Preventivos

<b>Medidas Preventivas (<math>\alpha = .75</math>)</b>	<b>M</b>	<b>DT</b>	<b>Asimetría</b>	<b>Curtosis</b>
3. El hostigamiento se podría prevenir si desde el Estado se invirtieran más fondos para las ayudas sociales	3,08	1,347	-,012	-1,092
6. Debería haber en la sociedad castigos ejemplares frente a la discriminación	2,68	1,440	,353	-1,193
9. La Escuela debe separar a los alumnos indisciplinados para así evitar el hostigamiento entre ellos	3,99	1,304	-,875	-,710
12. Ante la primera expresión de discriminación debería haber acciones punitivas sobre el hostigador	2,77	1,372	,317	-1,204
15. Corresponde a los padres tomar las medidas preventivas ante una conducta de hostigamiento	1,96	1,074	,917	-,076

## Factores Contingentes

Medidas contingentes ( $\alpha = .67$ )	<i>M</i>	<i>DT</i>	Asimetría	Curtosis
1. Los alumnos que han vivido situaciones de violencia o burlas deberían ser reubicados en un ámbito diferente en las escuelas para evitar nuevos incidentes	4,08	1,180	-1,210	,474
4. Se debe expulsar de la escuela a los chicos que hostigan a sus pares	3,95	1,304	-,867	-,662
7. Los niños deben resolver sus problemas entre ellos	3,59	1,249	-,357	-1,161
10. La Ley debería penar de alguna manera a los padres de los hostigadores	3,44	1,402	-,325	-1,180
13. Se debe buscar otra escuela para que el hostigado pueda comenzar nuevamente desde cero	4,10	1,138	-1,038	,026

### Discusión / Conclusiones

A partir de los datos obtenidos se pueden extraer algunas conclusiones parciales. Igualmente, es de destacar que es necesario completar el análisis. A modo de ejemplo se presentan estos resultados y las inferencias iniciales:

- Los docentes no creen como factores causales del hostigamiento las familias de padres separados, familias numerosas o ensambladas;
- Los docentes no creen que la competitividad en el área deportiva tenga que ver con el hostigamiento;
- Los docentes creen que los padres son un factor muy importante en las medidas preventivas;
- Los docentes creen que las medidas punitivas frente a la discriminación pueden ser algo útiles;
- Los docentes no creen que el cambio de escuela resuelva el problema del hostigamiento.

### Recomendaciones para el futuro

Para finalizar, es de destacar que en estadísticas latinoamericanas el 64.2 % del total de alumnos de secundaria ha sido víctima de bullying (González Castro, 2015). Por ende, se podría decir que las actuales creencias de los docentes no favorecen en la actualidad la resolución del fenómeno, y sería de vital importancia el desarrollo de talleres de clarificación de las mismas que permitan el cambio de actitudes de los mismos.

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## **Calidad De Vida E Inclusión Social En Centros De Desarrollo Infantil Del Ministerio De Desarrollo Social Del Gobierno De La Ciudad De Buenos Aires**

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### **Abstract**

The study of the quality of life of a population is essential to understand the psychosocial factors involved and to develop specific intervention policies. According to this idea, an exploratory and descriptive study on the perception of adults attending Child Development Centers about their quality of life and their own families social inclusion is performed. In order to do this we work on a sample of 600 people on three scales that allow evaluation:

1. Quality of life. Well-being Index, WBI International Well being group. (Translation by Tonon & Aguirre (Argentina, 2009)
2. Resilience: Resilience Scale of Wagnild & Young
3. Well being: Well being Scale (Keyes). The scales denote subjective perceptions that participants have about their situation in the cultural context and the value system in which they live, in relation to their achievements, expectations and interests. The main goal is to determine the perception of families about their quality of life and social inclusion on the basis of the mentioned scales and indicators.

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**Keywords:** Quality of life, perception, wellness scales.

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### **Resumen**

El estudio de la Calidad de Vida de una población es fundamental para poder conocer los factores psicosociales y desarrollar políticas de intervención específicas. De acuerdo a lo expuesto, se realiza un estudio exploratorio y descriptivo sobre la percepción de los adultos de las familias concurrentes a Centros de Desarrollo Infantil, acerca de su Calidad de Vida y de su propia inclusión social. Para ello, se trabaja en una muestra de 600 personas sobre tres escalas que permiten su evaluación: a) Escala de Resiliencia de Wagnild y Young, b) Escala de Calidad de Vida (Well-being Index) WBI International Well being Group, traducción Tonon y Aguirre

(Argentina, 2009), y c) Escala de Bienestar (Adaptación de Keyes). Las escalas denotan percepciones subjetivas que poseen respecto de su situación en el contexto cultural y sistema de valores en el que vive, en relación con sus logros, expectativas e intereses. El principal objetivo es determinar cuál es la percepción de las familias acerca de su Calidad de Vida y de su inclusión social, partiendo de escalas e indicadores.

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**Palabras clave:** Calidad de Vida, percepción, Escalas de Bienestar.

### **Objetivo/s o propósito/s del estudio**

- ♦ Determinar cuál es la percepción de las familias acerca de su Calidad de Vida y su inclusión social, partiendo de escalas e indicadores;
- ♦ En una segunda etapa, evaluar modificaciones luego del proceso en los CEDIS.

### **Introducción / marco teórico**

La Calidad de Vida es un concepto al que hoy se lo concibe en forma multidimensional. Comprende diversos dominios que son considerados con distinto peso por los diferentes individuos.

Los orígenes de este constructo se remontan a los años '30, cuando el economista Pigou se refirió a cuantificar los servicios o costos sociales de las decisiones del gobierno, para poder calcular un producto social neto.

Las investigaciones sobre Calidad de Vida se inician en la década del '70. Para estudiarla se ha requerido la confluencia de varias disciplinas, tales como la Economía, la Psicología, la Sociología y la Medicina. A partir de la diversidad de factores que se conjugan en este constructo, Casas plantea: “la Calidad de Vida conforma un ámbito de estudio interdisciplinario de la realidad social con claros factores psicosociales”.

La Organización Mundial de la Salud (OMS) amplió el concepto físico de salud, incorporó otras variables y dio capital importancia a la Calidad de Vida como uno de los factores necesarios para medir niveles de salud poblacional. Por una parte, definía la salud como: “*Un estado de completo bienestar físico, mental y social y no meramente la ausencia de enfermedad o de minusvalía*” (1948). Agregaba en el documento de Ottawa: “la salud es un recurso de la vida cotidiana, no el objetivo de la vida. Es un concepto positivo que subraya los recursos sociales y personales así como las capacidades físicas” (Ottawa, 1986).

La Organización Mundial de la Salud (OMS) ha estado evaluando desde esta época la calidad de vida en contextos asistenciales, donde han participado 25 centros de todo el mundo (Orley y Saxena, 1998). De esta forma, ha consensuado una definición subjetiva sobre calidad de vida en la

cual la misma denota la percepción individual que cada sujeto tiene respecto de su situación, en el contexto cultural y sistema de valores en el que vive, en relación con sus logros, expectativas e intereses. Es un concepto amplio y complejo que tiene en cuenta la salud física, la situación psicológica, el nivel de independencia, las relaciones sociales y con el medio ambiente. Tonón (2005) la describe más ampliamente como “una forma de contribuir al estudio del bienestar de las personas, tanto desde la perspectiva del bienestar físico como del psicológico, relacionando las necesidades materiales con las socioafectivas, e integrando mediciones psicológicas y psicosociales de percepción y evaluación de las propias experiencias de los sujetos”.

A su vez se define *bienestar* como:

- ♦ Conjunción de ciertas condiciones físicas y mentales que proporcionan un sentimiento de satisfacción o placer en el sujeto, al alcanzarse un deseo, expectativa o necesidad. (R.A.E.);
- ♦ Se divide en dos clases: psicológico o subjetivo y social.

Se han estado utilizando una serie de evaluaciones genéricas para medir la Calidad de Vida, algunas de ellas metodológicamente válidas y confiables (Kerman, 2011).

Entre las más empleadas se encuentran:

1. Índice de actividades de la vida diaria (ADL) (Katz et al., 1970).
2. Inventario de síntomas de Derogatis (Derogatis, 1977).
3. Perfil de impacto de enfermedad (Bergner et al. 1981).
4. Escala de calidad de bienestar (Kaplan y Bus, 1982).
5. Estatus de actuación de Karnofsky (Grieco y Long, 1984).
6. Cuestionario de Calidad de Vida (Evans et al., 1985).
7. Perfil de salud de Nottingham (Hunt et al., 1986).
8. Índice de Calidad de Vida de Spitzer (Spitzer, 1987).
9. Inventario de Calidad de Vida (Frish, 1988).
10. Cuestionario de salud de McMaster (MHIQ) (Chambers, 1988).
11. Índice europeo de Calidad de Vida (EuroQol-5D) (EuroQol Group, 1990).
12. Medical Outcomes Study 36 –Item Short form Health Survey (Ware y Sherbourne, 1992).
13. Cuestionario de Calidad de Vida (Ruiz y Baca, 1993).
14. Índice de Calidad de Vida (multicultural) (Mezzich, J. E., Ruipérez, M. A., Pérez, C., Yoon, G., Liu, J., Mahmud, S. 2000).
15. Escala analógica visual (Serrano et al., 2001).

En el marco macrosocial, se han desarrollado diferentes instrumentos para la evaluación de los aspectos de la realidad social vinculados a la Calidad de Vida. Los que tienen compatibilidad internacional son Hábitat y el Índice de Desarrollo Humano del Programa de las Naciones Unidas para el Desarrollo (PNUD). En la Argentina ha sido aplicado el Índice de Calidad de Vida (Well Being Index) y fue traducido al español con

preguntas acerca de cuán satisfecha se siente la persona en diferentes dominios (Tonón y Aguirre, 2009):

1. Vida en general;
2. Bienestar personal (nivel económico, salud, logros, relaciones personales, seguridad, pertenencia a la comunidad, seguridad futura, creencias espirituales y religiosas);
3. Vida en Argentina;
4. Bienestar nacional en la Argentina (situación económica, situación del medio ambiente, condiciones sociales, el gobierno, posibilidad que tienen las empresas y uno mismo, seguridad nacional);
5. Eventos en la vida (felicidades o tristezas);
6. Datos sociodemográficos (sexo, edad, con quién vive, estado civil, ocupación, si está buscando trabajo e ingresos económicos en el último año).

El bienestar puede, a su vez, medirse a través de escalas como la de Keyes (1988) que contempla los siguientes factores:

- ✓ Aceptación social: El sujeto tiene una actitud positiva hacia los otros, en general, aunque a veces la conducta sea compleja o incomprensible, por ejemplo: “creo que las personas son amables”. Se asocia a percibir que las relaciones con otros permiten aceptarse a uno mismo y obtener autoestima;
- ✓ Actualización social: Creer que el mundo social se desarrolla o puede desarrollarse para mejor, por ejemplo: “el mundo es cada vez un lugar mejor para la gente”. Se asocia a percibir que el entorno permite el crecimiento personal;
- ✓ Contribución social: Sentimiento de tener algo positivo que ofrecer a la sociedad. Las actividades de la persona son valoradas, lo que facilita la motivación y el propósito en la vida, por ejemplo: “creo que puedo aportar algo al mundo”. Se percibe que la relación con el entorno social facilita el hecho de tener metas y propósitos en la vida;
- ✓ Coherencia social: Creer que el mundo es predecible, inteligible y lógico y, por ende, controlable. Preocuparse y estar interesado por la comunidad, por ejemplo: “me resulta fácil predecir lo que puede suceder en el futuro”. Se percibe que la relación con el entorno social facilita el manejo y dominio del medio;
- ✓ Integración social: El individuo se siente parte de la comunidad, que pertenece a ella, está apoyado y se comparten cosas con el colectivo, por ejemplo: “la sociedad en la que vivo es una fuente de bienestar”.

La relación con el entorno social facilita la satisfacción de las necesidades de apego, filiación y pertenencia.

A su vez, la *Resiliencia* se define como:

- ♦ “Capacidad humana universal para hacer frente a las adversidades de la vida, superarlas o, incluso, ser transformado por ellas. La resiliencia es parte del proceso evolutivo”. (Grotberg, 1995).

- ◆ Conjunto de procesos sociales e intrapsíquicos que posibilitan tener una vida sana, viviendo en un medio insano.

Para su medición se utiliza en general la escala de Wagnild & Young (1993) que contempla los siguientes factores:

- Factor I *Competencia personal*: autoconfianza, independencia, decisión, invencibilidad, poderío, ingenio y perseverancia. Contiene 17 ítems.
- Factor II *Aceptación de uno mismo y de la vida*: representa adaptabilidad, balance, flexibilidad y una perspectiva de vida estable. Contiene 8 ítems.

La inclusión social es un concepto relativamente nuevo promovido, especialmente, por la Unión Europea (UE). La Unión Europea define a la inclusión social como un proceso que asegura que los individuos en riesgo de pobreza y exclusión social tengan las oportunidades y recursos necesarios para participar íntegramente en la vida económica, social y cultural, disfrutando un nivel de vida y bienestar que se considere normal en la sociedad en la que los mismos habitan. Por lo tanto se concibe por inclusión social:

- a) un concepto relativo donde la exclusión puede ser atribuida solamente comparando las circunstancias de algunos individuos, o grupos, o comunidades en relación a otras, en un determinado espacio y momento y
- b) como un concepto normativo que pone énfasis al derecho de los seres humanos de poseer una vida asociada siendo un miembro de una comunidad.

Por otra parte y más ampliamente, podríamos enunciar que existe exclusión social cuando los menos favorecidos:

- sufren desventajas generalizadas en cuanto a educación, formación profesional, empleo, recursos de financiación de vivienda, etc.;
- sus posibilidades de acceder a las principales instituciones sociales que distribuyen estas oportunidades de vida son sustancialmente inferiores a las del resto de la población.

Estas desventajas se mantienen en el tiempo (Comisión Europea en el marco del Tercer programa de pobreza, 1990-1994).

Se define *inclusión social* al reconocimiento de los valores, creencias e identidades culturales de todos, al respeto y la aceptación de las diferencias y el rechazo a toda forma de discriminación. Para la evaluación de la percepción del individuo se tiene en cuenta la conjunción de la calidad de vida, el bienestar y la resiliencia, y a partir de la medición de estos factores se valora cuán incluida se percibe la persona.

### **Material y Métodos aplicados**

- ◆ Investigación de carácter descriptiva y exploratoria.
- ◆ Equipo interinstitucional e interdisciplinario.
- ◆ Muestra de 600 personas concurrentes a los Centros de Desarrollo Infantil.

### **Instrumento de evaluación**

1. Calidad de vida. Escala de Calidad de Vida. (Well-being Index), WBI International Well being Group. Traducción Tonon y Aguirre (Argentina, 2009).
2. Resiliencia. Escala de Resiliencia de Wagnild & Young.
3. Bienestar. Escala de Bienestar (Keyes).

### **Resultados**

El proyecto se encuentra en la etapa de realización de encuestas.

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# **Infraestructuras Críticas: Sectores Necesitados De Un Modelo De Ciberseguridad**

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## **Abstract**

The proposed research aims to address the implementation and management of cyber security practices associated with information technology and operational technology regarding network environments of industrial production (SCADA-ICS). Not intended to replace other activities related to cybersecurity, programs, processes, or approaches that organizations of downstream petroleum and natural gas have implemented or intend to implement, including cybersecurity activities associated with legislation, regulations, policies, private initiatives, or the requirements for the business mission. The guidance in this research program is to complement a comprehensive cybersecurity specific areas and industries of oil and gas.

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**Keywords:** Cyber security, Information Technology

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## **Resumen**

La investigación propuesta tiene como objetivo tratar la aplicación y la gestión de las prácticas de seguridad cibernética asociados con la tecnología de la información y la tecnología operativa en relación con los entornos de redes de producción industrial (SCADA-ICS). No pretende sustituir otras actividades relacionadas con la ciberseguridad, programas, procesos, o enfoques que las organizaciones del subsector del petróleo y el gas natural han implementado o tienen intención de poner en práctica, incluyendo las actividades de ciberseguridad asociados con la legislación, los reglamentos, las políticas, iniciativas particulares, o los requisitos propios de la misión del negocio. La orientación en esta investigación es complementar un programa integral de seguridad cibernética de las áreas específicas y en las industrias del petróleo y del gas.



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## **Palabras claves:** SCADA, ICS, Ciberseguridad, Infraestructuras Críticas

### **Introducción**

La industria del petróleo y la del gas son dos industrias con características similares y también individuales. Estos incluyen la exploración, recolección, producción, transformación, almacenamiento y transporte de petróleo y gas natural. El petróleo y el gas natural son almacenados en diversas partes, y se transporta a través de miles de kilómetros, por medio de tuberías, canales, ferrocarriles y rutas.

Aquellos que trabajan con SCADA (Supervisory Control and Data Acquisition) o sistemas de control industrial (ICS, Industrial Control Systems) en la industria de petróleo y gas son conscientes de la presión para aumentar la productividad y reducir costos a través de la integración de redes.

Por ejemplo, el intercambio de datos en tiempo real de las operaciones de campo con los grupos de gestión es una práctica estándar para la mayoría de las empresas. Del mismo modo, la demanda de servicios de asistencia técnica a distancia ha hecho que muchos de los sistemas de control de las tuberías se tornen accesibles a través de tecnologías basadas en Internet.

Al mismo tiempo, los propios sistemas SCADA han cambiado radicalmente. Redes propietarias han sido reemplazadas con equipos que utilizan tecnología Ethernet.

Estaciones de operador asignadas históricamente a un destino específico han sido reemplazados con equipos que ejecutan Windows™ y el software de TI, tales como lectores de PDF y navegadores web. Estos están hoy instalados en cada centro de estación o de control.

Esto tiene un costo - muchos de los mismos problemas de seguridad que han afectado a los sistemas de negocios ahora aparecen en los sistemas SCADA.

Los sistemas de control están expuestos a amenazas de seguridad cibernética para los cuales nunca fueron diseñados.

Los ataques cibernéticos en los sistemas de automatización fueron considerados por muchos como un problema teórico hasta el descubrimiento de Stuxnet en julio de 2010. En ese momento, el mundo cambió para los proveedores de automatización, hackers, delincuentes e incluso los gobiernos.

Stuxnet fue diseñado específicamente para atacar a los productos de automatización. Es capaz de descargar la información del proceso, de realizar cambios en la lógica de los PLC, y luego cubrir sus pistas.

Empleó vulnerabilidades previamente desconocidas para difundirse. Lo suficientemente potente como para evadir las tecnologías de seguridad de última generación.

El objetivo previsto de Stuxnet fueron las centrifugadoras de enriquecimiento de uranio utilizados por Irán en su programa de armamento nuclear. Tomado el control del sistema de automatización, el malware es capaz de volver a configurar los controladores de la centrífuga, haciendo que el equipo se destruya lentamente a sí mismo.

El impacto real de Stuxnet comenzó a aparecer después de que el propio malware era historia.

Gracias a la publicidad de Stuxnet, hackers y criminales descubrieron que los productos SCADA / ICS son objetivos atractivos. Estos sistemas pronto se convirtieron en blanco de elección para las divulgaciones de seguridad pública.

En 2011 ICS-CERT liberaron 104 avisos de seguridad para los productos SCADA / ICS, de 39 proveedores diferentes. Antes de Stuxnet, se habían informado sólo cinco 5 vulnerabilidades SCADA.

Lo que fue particularmente preocupante es que el código de ataque publicado para el 40% de estas vulnerabilidades. Esto significaba que los ciber-terroristas sabían dónde encontrar vulnerabilidades en SCADA/productos ICS, y tenían además el software para explotarlos.

Stuxnet también mostró al mundo el poder de un 'malware' ICS bien diseñado. Podría destruir el equipo y apagar los sistemas críticos.

En Febrero de 2011, un nuevo ataque contra la industria fue expuesto. En un documento titulado "Global Energy ciberataques: Noche del Dragón", se describe una actividad de amenaza cibernética que estaba robando datos confidenciales, como las ofertas de campos petroleros y datos de las operaciones SCADA de las empresas de energía y petroquímica.

A principios de Octubre de 2011, se anunció el descubrimiento de un nuevo troyano llamado "Duqu". Este malware dirigido utiliza en gran parte el mismo código fuente de Stuxnet.

A decir de Symantec: "El propósito de Duqu es reunir datos de inteligencia y los activos de entidades tales como: infraestructura y sistemas de empresas industriales."

A finales de octubre, Symantec dio a conocer detalles de un tercer ataque dirigido a 25 empresas que participan en la fabricación de productos químicos y materiales avanzados.

Se llamaron a estos ataques los "ataques Nitro".

Una de las vulnerabilidades más importantes de una red ICS / SCADA son los protocolos: OPC-UA, OPC-DA, ICCP, MODBUS, DNP3 entre otros.

## **Texto principal**

La industria del petróleo y la del gas son dos industrias con características similares y también individuales. Estos incluyen la exploración, recolección, producción, transformación, almacenamiento y transporte de petróleo y gas natural. El petróleo y el gas natural son importados, así como de producción nacional, almacenados en diversas partes de la Nación, y se transporta a través de miles de kilómetros, a través de tuberías, canales, ferrocarriles y rutas.

El petróleo y gas natural están hechos de compuestos de hidrocarburos que se originan en depósitos subterráneos. El petróleo crudo es un líquido que debe ser llevado a la superficie, eliminados los gases, agua y otras impurezas, y luego transportado a las instalaciones de procesamiento (refinerías de petróleo), en los que se derivan los productos terminados.

Productos derivados del petróleo crudo incluyen gasolina, querosén, combustible de aviación, combustible diésel, combustible para calefacción, el aceite pesado, lubricantes, ceras, asfalto y gas licuado de petróleo, así como una serie de precursores petroquímicos.

Similar al petróleo crudo, el gas natural se produce, se eliminan los líquidos y otras impurezas y, a continuación, se transporta a través de oleoductos a las instalaciones de procesamiento de gas que separan los componentes más pesados del gas, dejando un producto compuesto casi enteramente de metano. A continuación, el metano se transporta como gas natural limpio para el almacenamiento a granel, los consumidores industriales y viviendas individuales.

La licuefacción del gas natural hace que una concentración más densa del gas natural y permite que el gas natural licuado (GNL) sea transportado económicamente a través de camiones/buques cisterna, en lugar de tuberías.

Aquellos que trabajan con SCADA o sistemas de control industrial (ICS) en la industria de petróleo y gas son conscientes de la presión para aumentar la productividad y reducir costos a través de la integración de redes.

Por ejemplo, el intercambio de datos en tiempo real de las operaciones de campo con los grupos de gestión es una práctica estándar para la mayoría de las empresas. Del mismo modo, la demanda de servicios de asistencia técnica a distancia ha hecho que muchos de los sistemas de control de las tuberías se tornen accesibles a través de tecnologías basadas en Internet.

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software de TI, tales como lectores de PDF y navegadores web. Estos están hoy instalados en cada centro de estación o de control.

Estas nuevas tecnologías están permitiendo a las empresas implementar prácticas ágiles y rentables de negocios. Desafortunadamente, también tienen un costo - muchos de los mismos problemas de seguridad que han afectado a los sistemas de negocios ahora aparecen en los sistemas SCADA.

Los sistemas de control de la tubería están expuestos a amenazas de seguridad cibernética para los cuales nunca fueron diseñados.

### **Stuxnet – un generador de cambios**

Los ataques cibernéticos en los sistemas de automatización fueron considerados por muchos como un problema teórico hasta el descubrimiento de Stuxnet en julio de 2010. En ese momento, el mundo cambió, no sólo para las empresas de petróleo y gas, sino también para los proveedores de automatización, hackers, delincuentes e incluso los gobiernos.

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Stuxnet tenía un objetivo específico, pero al igual que todos los ataques, cibernéticos o convencionales hubo daños colaterales.

Varias empresas en los EE.UU. tenían los PLC que fueron reconfigurados por Stuxnet, probablemente por accidente. Ningún daño real ocurrió, pero una gran cantidad de mano y detenciones de servicios ocurrieron por esto.

Estos problemas se detuvieron; ‘soluciones’ al software y firmas de antivirus pronto condujeron Stuxnet a la extinción. Pero, el problema no termina ahí.

### **Stuxnet – un generador de cambios**

El impacto real de Stuxnet comenzó a aparecer después de que el propio malware era historia.

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En 2011 ICS-CERT liberaron 104 avisos de seguridad para los productos SCADA / ICS, de 39 proveedores diferentes. Antes de Stuxnet, se habían informado sólo cinco 5 vulnerabilidades SCADA.

Lo que fue particularmente preocupante es que el código de ataque publicado para el 40% de estas vulnerabilidades. Esto significaba que los ciber-terroristas sabían dónde encontrar vulnerabilidades en SCADA/productos ICS, y tenían además el software para explotarlos.

Stuxnet también mostró al mundo el poder de un 'malware' ICS bien diseñado. Podría robar secretos corporativos, destruir el equipo y apagar los sistemas críticos. Y mientras Stuxnet parecía haber sido creada por razones políticas, las oportunidades para la explotación empresarial eran evidentes tanto para los gobiernos como para los delincuentes.

Era cuestión de tiempo antes de que alguien decidiera reutilizar las técnicas de Stuxnet para ir tras otras víctimas.

En Febrero de 2011, un nuevo ataque contra la industria fue expuesto. En un documento titulado "Global Energy ciberataques: Noche del Dragón", se describe una actividad de amenaza cibernética que estaba robando datos confidenciales, como las ofertas de campos petroleros y datos de las operaciones SCADA de las empresas de energía y petroquímica.

A principios de Octubre de 2011, se anunció el descubrimiento de un nuevo troyano llamado "Duqu". Este malware dirigido utiliza en gran parte el mismo código fuente de Stuxnet.

A diferencia de Stuxnet, es un ladrón de información y no parece apuntar directamente a los sistemas de PLC. Sin embargo, de acuerdo con Symantec: "El propósito de Duqu es reunir datos de inteligencia y los activos de entidades tales como: infraestructura y sistemas de empresas industriales ... Los atacantes están buscando información, tales como documentos de diseño que podrían ayudarles a montar un ataque futuro en diversas industrias, incluyendo los sistemas de control e instalaciones de las industrias".

A finales de octubre, Symantec dio a conocer detalles de un tercer ataque dirigido a 25 empresas que participan en la fabricación de productos químicos y materiales avanzados.

Se llamaron a estos ataques los "ataques Nitro", Symantec reportó: "El propósito de los ataques parece ser el espionaje industrial, la recolección de propiedad intelectual para obtener ventaja competitiva."

Una de las vulnerabilidades más importantes de una red ICS / SCADA: los **protocolos**.

- **OPC-UA**
- **OPC-DA**
- **ICCP**
- **MODBUS**
- **DNP3**

Qué podemos intentar hacer?

- Incluir evaluaciones de seguridad como parte de los procesos de mantenimiento periódico. (Estas evaluaciones deben ser específicas para la industria, y es el objetivo de esta propuesta de investigación)
  - La implementación de estos cambios mejorará la postura de "defensa en profundidad" para cualquier tubería ICS / SCADA y ayudará a proteger las operaciones contra el espionaje cibernético.
  - Se necesita una mejor seguridad SCADA con urgencia; esperar el próximo 'malware' puede ser demasiado tarde.

### **Propuesta de investigación**

La investigación propuesta tiene como objetivo tratar la aplicación y la gestión de las prácticas de seguridad cibernética asociados con la tecnología de la información y la tecnología operativa en relación con los entornos en los que operan .

No pretende sustituir otras actividades relacionadas con la ciberseguridad , programas , procesos , o enfoques que las organizaciones del subsector del petróleo y el gas natural han implementado o tienen intención de poner en práctica, incluyendo las actividades de ciberseguridad asociados con la legislación, los reglamentos , las políticas, iniciativas particulares, o los requisitos propios de la misión del negocio.

La orientación en esta investigación es complementar un programa integral de seguridad cibernética de las áreas específicas.

### **Planteo de la investigación**

Repetidas intrusiones cibernéticas en organizaciones de todo tipo ponen de manifiesto la necesidad de mejorar la seguridad cibernética. Las amenazas cibernéticas siguen creciendo y representan uno de los riesgos operativos más serios que enfrentan las organizaciones modernas. La seguridad de la sociedad y económica depende del funcionamiento confiable de la infraestructura crítica frente a esas amenazas.

No solo es una cuestión de protección de la infraestructura crítica (como concepto abstracto), la economía depende de la operación sustentable de organizaciones de todo tipo. Un modelo de ciberseguridad específico para la industria del Petróleo y Gas puede ayudar las organizaciones de dicha categoría a evaluar y mejorar sus programas de seguridad cibernética.

Lo enunciado nos hace presumir la existencia de características diferenciales y/o únicas para las mencionadas industrias.

El modelo propuesto debe poder utilizarse para:

- Fortalecer las capacidades de ciberseguridad en el subsector del gas y el petróleo.
- Permitir a las organizaciones evaluar y comparar de manera consistente y repetitiva sus capacidades de ciberseguridad.
- Compartir conocimientos, mejores prácticas y referencias, como un medio para mejorar las capacidades de ciberseguridad.
- Permitir a las organizaciones dar prioridad a las acciones e inversiones para mejorar la ciberseguridad.

El modelo debe ser desarrollado para proporcionar una conducta descriptiva, no prescriptivo, orientación para ayudar a las organizaciones a desarrollar y mejorar sus capacidades en términos de ciberseguridad.

Como resultado, las prácticas sugeridas en el modelo deben estar en un nivel de abstracción de modo que pueden ser interpretados por las organizaciones de diversas estructuras, funciones y tamaños.

El modelo debe probarse con entidades del sector privado, público o mixto, para validar que proporcionaría información valiosa para la evaluación y para recoger retroalimentación que permita su mejora, y en un posterior estadio, autocorrección.

Los **Dominios** específicos que deberían ser atendidos por el programa de Gestión de la Ciberseguridad (orientado a las industrias del gas y el petróleo) son:

- Gestión de Riesgos.
- Identificación de Activos y Gestión de la Configuración.
- Gestión de las Identidades y Administración de Accesos.
- Gestión de las Amenazas y Vulnerabilidades.
- Análisis del Contexto y su Gestión.
- Gestión del Intercambio de Información y las Comunicaciones.
- Eventos y Respuesta a Incidentes, Continuidad de la Operación.
- Cadena de Suministro y Gestión de las Dependencias Externas.
- Gestión de la Fuerza Laboral.
- Gestión del Programa de Ciberseguridad.

Cada dominio debe entenderse como una agrupación lógica de las prácticas de seguridad cibernética.

Cada uno de los dominios del modelo debería contener un conjunto estructurado de prácticas de seguridad cibernética.

Cada conjunto de prácticas representa las actividades que una organización puede llevar a cabo para establecer la capacidad y madurez en el dominio.

Por ejemplo, el dominio de Gestión de Riesgos es un conjunto de prácticas que una organización puede llevar a cabo para establecer y madurar su capacidad de gestión del riesgo de la seguridad cibernética.

**Trataremos los aspectos que proponemos incluir en el ‘framework’ o marco de referencia para la ‘Gestión de Riesgos’ en ciberseguridad, aplicada a las industrias en cuestión (petróleo y gas)**

- Desarrollo de una estrategia de gestión del riesgo empresarial que identifica su tolerancia y la estrategia para la evaluación, respuesta y seguimiento de los riesgos de ciberseguridad.

- Determinación de un consejo de administración el cual revisa esta estrategia con una determinada frecuencia (o ante la aparición de amenazas, vulnerabilidades no previstas y de potencial alto impacto) para asegurarse de que permanece alineada con los objetivos referidos a la ciberseguridad, de la organización.

- Determinación del riesgo para poder cumplir con las prestaciones de servicios esenciales. Su identificación y documentación.

- Gestionar un registro de riesgos para asegurarse de que son monitoreados y se generaron respuestas en forma oportuna; seguimiento e identificación de tendencias.

- Gestión de un diagrama de arquitectura de red que identifica los activos críticos y muestra cómo están conectados y cuáles están expuestos a Internet. Recursos como servidores Web que tienen solicitudes de Internet se consideran en mayor riesgo que aquellas que no lo hacen.

- Los activos digitales que dan soporte a los de mayor exposición (por ejemplo un servidor de base de datos detrás de un servidor Web), están en el segundo nivel de riesgo y así sucesivamente.

- El diagrama de red debería incluir activos como los firewalls y dispositivos de detección de intrusiones (IPSs, UTM, IPSs NG, etc.), por ello el riesgo básico de un activo se definiría en función de cómo está protegido basado en los controles de seguridad.

- El riesgo final para cada activo surgirá de combinación de la importancia del activo en la prestación de los servicios esenciales y su exposición sobre la base de las redes y arquitecturas de ciberseguridad.

Para todos los aspectos mencionados identificaremos las políticas, procedimientos y técnicas, para luego parametrizar y aplicar los mismos a una empresa específica.

**Veamos ahora los aspectos mínimos que debería incluir un ‘framework’ o marco de referencia para la ‘Gestión de amenazas y vulnerabilidades’ en ciberseguridad, aplicada a las industrias en cuestión (petróleo y gas)**



- Examinar los tipos de amenazas a las que normalmente responde la organización, incluyendo software malicioso, ataques de denegación de servicio, y los ataques de grupos ciber activistas.
- Desarrollar y documentar el perfil de amenaza de la organización en todas sus áreas/sectores/actividades.
- Identificar fuentes confiables de información que permitan la identificación de amenazas de forma rápida y estar en condiciones de consumir y analizar la información sobre amenazas publicadas por fuentes tales como los CERT, Centros de intercambio de información y de análisis (ISAC), Sistemas de Respuesta de Emergencia y Control de la Ciber-Industria, de forma tal de iniciar una respuesta eficaz.
- Hacer uso del Foro de Respuesta a Incidentes y Equipos de Seguridad (FIRST), el Common Vulnerability Scoring System (CVSS) para identificar los impactos potenciales de las vulnerabilidades de software conocidas. Esto permitiría a la organización priorizar las actividades de mitigación y reducción de riesgo/impacto de acuerdo con la importancia de las vulnerabilidades.

## **Metodología**

Desarrollo del modelo propuesto, el cual debe poder utilizarse para:

- Fortalecer las capacidades de ciberseguridad en el subsector del gas y el petróleo.
- Permitir a las organizaciones evaluar y comparar de manera consistente y repetitiva sus capacidades de ciberseguridad.
- Compartir conocimientos, mejores prácticas y referencias, como un medio para mejorar las capacidades de ciberseguridad.
- Permitir a las organizaciones dar prioridad a las acciones e inversiones para mejorar la ciberseguridad.

El modelo debe ser desarrollado para proporcionar una conducta descriptiva, no prescriptivo, orientación para ayudar a las organizaciones a desarrollar y mejorar sus capacidades en términos de ciberseguridad.

Como resultado, las prácticas sugeridas en el modelo deben estar en un nivel de abstracción de modo que pueden ser interpretados por las organizaciones de diversas estructuras, funciones y tamaños.

El modelo debe probarse con entidades del sector privado, público o mixto, para validar que proporcionaría información valiosa para la evaluación y para recoger retroalimentación que permita su mejora, y en un posterior estadio, autocorrección.

Deben desarrollarse las estrategias básicas para todos los dominios enumerados (hemos desarrollado brevemente en esta ponencia dos de ellos, a título de clarificar la propuesta).

## Conclusion

No es posible en el estado actual emitir conclusiones. Podemos mencionar lo siguiente (<http://www.energyglobal.com/downstream/special-reports/29052015/How-can-SCADA-security-be-improved-for-oil-and-gas-companies-089/>): **"De acuerdo con el informe recientemente lanzado, 2015 - Informe Anual de Amenazas de Seguridad - DELL, los ataques a redes SCADA están en aumento. El informe encontró que en 2014 el número de ataques contra Sistemas de Control y Adquisición de Datos (SCADA) se duplicó en comparación con el año anterior. La mayoría de estos ataques se produjeron en Finlandia, el Reino Unido y los EE.UU., probablemente debido al hecho de que en estos países los sistemas SCADA tienen más probabilidades de estar conectado a internet. El Informe de Dell se produce después de los hallazgos de los EE.UU."**

Nuestro país (Argentina) carece de un marco de seguridad para estas infraestructuras esenciales para una nación. La región latinoamericana adolece de la misma falencia. El desarrollo de un marco como el propuesto, y su aplicación en la industria es esencial hoy y crecerá su necesidad día a día en virtud de la cantidad de ataques a redes ICS-SCADA (infraestructuras críticas).

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## **Sentido De Vida En La Tercera Edad: Experiencia En Los Talleres De UPAMI En La Universidad De Flores**

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### **Abstract**

We are faced with a new demographic fact: the extension of age, and simultaneously, the increase of the quality of life of people. Regarding the expectative of life, it grew from 48 years in 1900, to 80 for women and 72 for men, in the present. Argentina and, in particular, the City of Buenos Aires, has the more “aged” demographic profile in Latin America, along with Cuba and Uruguay. Therefore, all issues concerning the elderly and the possibility of finding meaning in life based on the occupation, are and will continue to deepen in the future. Flores University and other universities in Buenos Aires, based on an agreement with PAMI (Comprehensive Medical Assistance Program), created the UPAMI or University program, providing a specific space for elders in order to promote their personal growth, improve their quality of life and affirm the equality of opportunities for the development of cultural and vocational values. The Multiple Intelligences Questionnaire, as well and the Diagram of Behavior Areas and Fundamental Roles , both created by R. Kertész are essential for working with older adults, to find their sense of life.

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**Keywords:** Multiple intelligences, sense of life, roles, senior citizens

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### **Resumen**

Estamos frente a un nuevo hecho demográfico: la prolongación de la edad e, igualmente, el aumento de la calidad de vida de la gente. Respecto a la expectativa de vida, creció de 48 años en 1900, a 80 para mujeres y 72 para hombres, en la actualidad. La Argentina y, en particular, la Ciudad de Buenos Aires, tienen el perfil demográfico más “envejecido” de América Latina, junto con Uruguay y Cuba. Por lo tanto, todas las cuestiones referentes a los adultos mayores y la posibilidad de que hallen un sentido a su vida desde la ocupación, son temas actuales que se seguirán profundizando en un futuro. La Universidad de Flores y otras universidades de la Ciudad de Buenos Aires han firmado un convenio con PAMI (Programa de Atención Médica Integral) creando el Programa integral

UPAMI que brinda un espacio universitario específico para los mayores, con el objetivo de promover el crecimiento personal, mejorar la calidad de vida y hacer efectiva la igualdad de oportunidades para el desarrollo de valores culturales y vocacionales. Las Inteligencias Múltiples junto con el Diagrama de Áreas de Conducta y Roles Fundamentales son claves en el trabajo con los Adultos Mayores para hallar ese sentido de vida.

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**Palabras Clave:** Inteligencias Múltiples, Sentido de Vida, Roles, Tercera edad.

### **Introducción**

Nos encontramos frente a un nuevo hecho demográfico: la prolongación de la edad e, igualmente, el aumento de la calidad de vida de la gente. Simultáneamente, el descenso de las tasas de natalidad genera que la proporción de adultos mayores sobre el total de la población tienda a aumentar, e incluso a igualar, a los de la población de hasta 15 años de edad. El incremento en la calidad de vida hace que los roles “puertas adentro y pasivos” de los adultos mayores, cada vez más, tiendan a ser reemplazados por roles “puertas afuera y activos”, con una vida social de recreación e, incluso, laboral más variada.

En el campo ocupacional, por ejemplo, está en gestación un mercado laboral de mayores de 60 años. Estas cuestiones, a su vez, impactan en la economía, por un lado, por la fuerza que tienen en los sistemas previsionales y de salud, y, por otro, porque una porción de la población que antes era pasiva, ahora, lentamente, se está volviendo activa. Por tal razón es que dichos temas comienzan a ser parte de nuestra reflexión y acción, buscando organizar programas, tanto académicos como de extensión, que tengan como centro dicha temática.

El **UPAMI** es un programa integral que crea un espacio universitario específico para los mayores, con el objetivo de promover el crecimiento personal, mejorar la calidad de vida y hacer efectiva la igualdad de oportunidades para el desarrollo de valores culturales y vocacionales. Además posibilita la adquisición de destrezas y habilidades para afrontar nuevas demandas, recupera y valora saberes personales y sociales, estimula el diálogo intergeneracional y facilita la inserción al medio socio comunitario.

Para realizar estos cursos no es necesario poseer estudios previos. Los talleres están planificados y coordinados por docentes de la universidad que corresponda, con experiencia de trabajo con adultos mayores acompañados por estudiantes avanzados de diferentes carreras.

## **Sentido de la vida, su significado, según Alfred Adler, creador de la “psicología individual”.**

*“El sentido de la vida ha sido una búsqueda fundamental del ser humano a lo largo de la historia de la humanidad. De esta manera, el interrogante de la existencia se convierte en una constante, en la medida en que no desaparece de la vida de ningún ser humano. Sin embargo, dicho cuestionamiento y las respuestas que se generan ante este, varían y se ven influenciadas, a su vez, por los cambios que se presentan en cada época”.*

Alfred Adler (1975) afirma que quizás el ser humano sea incapaz de responder al interrogante de “¿cuál es el significado de la vida?”, ya que la mayoría de las personas no se plantean dicha pregunta ni tratan de hallarle una respuesta. Es cierto que la pregunta es tan antigua como la historia humana y que, tanto jóvenes como adultos, también se interrogan: ¿para qué sirve la vida?, ¿qué significa la vida? Se puede afirmar, sin embargo, que solamente se hacen estas preguntas cuando han sufrido una derrota; mientras todo va bien y no surgen dificultades, no se formularán estos interrogantes. Por otro lado, de acuerdo con sus planteamientos, Frankl (1984) afirma: “el sentido de la vida se vincula con las manifestaciones de la espiritualidad (libertad, responsabilidad y conciencia). Sin dichas manifestaciones se puede presentar en la vida de una persona el vacío existencial, el cual se caracteriza por una sensación de vacío que desencadena una necesidad de llenar un faltante”.

Adler ve al hombre como una totalidad, más que como un conjunto de instintos e impulsos. Más tarde, la idea de interés social o sentimiento social (llamado originariamente como *Gemeinschaftsgefühl* o “sentimiento comunitario”), llegó a tener mucha importancia en las teorías de Adler. De acuerdo con su idea holística, es fácil ver que casi nadie puede lograr el afán de perfección sin considerar su ambiente social. Aun aquellas personas más resolutivas lo son de hecho en un contexto social. Adler creía que la preocupación social no era una cuestión simplemente adquirida o aprendida, sino que era una combinación; es decir, está basada en una disposición innata, pero debe ser alimentada para que sobreviva en el tiempo.

## **Sentido de Vida según Viktor Frankl. Prólogo del libro “El hombre en busca de sentido”**

El doctor Frankl, psiquiatra y escritor, suele preguntar a sus pacientes aquejados de múltiples padecimientos: “¿Por qué no se suicida usted?”. Muchas veces de las respuestas extrae una orientación para la Psicoterapia a aplicar: a este, lo que le ata a la vida son los hijos; al otro, un talento, una habilidad sin explotar; a un tercero, quizás, solo unos cuantos recuerdos que merece la pena rescatar del olvido. Tejer estas tenues hebras de vidas rotas en una urdimbre firme, coherente, significativa y responsable, es el objeto con que se enfrenta la Logoterapia.

En esta obra, Viktor Emil Frankl explica la experiencia que le llevó al descubrimiento de la Logoterapia. Prisionero, durante mucho tiempo, en los desalmados campos de concentración, él mismo sintió en su propio ser lo que significaba una existencia desnuda. ¿Cómo pudo él, que todo lo había perdido, que había visto destruir todo lo que valía la pena, que padeció hambre, frío, brutalidades sin fin, que tantas veces estuvo a punto del exterminio, cómo pudo aceptar que la vida fuera digna de vivirla? El psiquiatra que personalmente ha tenido que enfrentarse a tales rigores merece que se le escuche, pues nadie como él para juzgar nuestra condición humana sabía y compasivamente. Las palabras del doctor Frankl alcanzan un temple sorprendentemente esperanzador sobre la capacidad humana de trascender sus dificultades y descubrir la verdad conveniente y orientadora.

El libro *Man's searching for meaning* (El hombre en busca de sentido) aparece por primera vez en 1946. Su importancia es tal, que la Library of Congress en Washington lo ha declarado como uno de los diez libros de mayor influencia en Estados Unidos.

### **Definición de Tercera Edad**

Tercera Edad es un término antropológico que hace referencia a las últimas décadas de la vida, en la que uno se aproxima a la edad máxima que el ser humano puede vivir. En esta etapa del ciclo vital se presenta un declive de todas aquellas estructuras que se habían desarrollado en las etapas anteriores, con lo que se dan cambios a nivel físico, cognitivo, emocional y social. A pesar que esta fase tiene un punto final claro, la muerte, la edad de inicio no se encuentra establecida específicamente, puesto que no todos los individuos envejecen de la misma forma. No obstante, debido que la edad biológica es un indicador del estado real del cuerpo, se considera que se trata de un grupo de la población que tiene 65 años de edad o más.

El diario *Clarín*, en su edición del sábado 23 de enero de 2016, aclara que el Consejo Superior de Investigaciones Científicas de España debate nuevamente el concepto de “viejo”, y cuándo se inicia el vejeísmo. “Los de 65-70 años actuales son como los de 55-60 de generaciones anteriores,” dice Antonio Abellán, quien dirige el portal *Envejecimiento en red*. La esperanza de vida en la actualidad para los argentinos: las mujeres 80 años, los hombres 72. En 1914 la expectativa de vida en Argentina era de 48,5, según el Fondo de Población de las Naciones Unidas (*Clarín*, 23-1-2016).

“En la actualidad, los esfuerzos por combatir la discriminación por edad conocida como “vejeísmo” (el prejuicio o discriminación por edad), rinden frutos gracias a la creciente notoriedad de adultos mayores sanos y activos. En la televisión es cada vez más inusual que se presente a los ancianos como personas decrepitas e indefensas, y, en cambio, con más

frecuencia se los describe como personas sensatas, respetadas y sabias. Es muy común asociar a la tercera edad con la pasividad, ya que los cambios biopsicosociales que la acompañan provocan un cambio en su rutina; además existe una enorme estigmatización de asociar a la tercera edad con la decadencia de la vida del ser humano. Una forma de socavar esta situación es la realización de actividades recreativas, las cuales son entendidas como “el conjunto de actividades a las que el individuo puede dedicarse de lleno, ya sea para descansar, para divertirse, para desarrollar su información y formación desinteresada, su participación social voluntaria o su libre capacidad creadora, ya que a través de estas actividades se logra romper con la rutina, con el sedentarismo y el aislamiento del que pueden ser parte”. (De *3a Edad mochileros en el tiempo*).

### **Adultos Mayores**

*Adulto Mayor* es un término usado en estos últimos años como denominador de “tercera edad”, “viejo” o “anciano”. Son aquellas personas que superaron los 70 años, fase desde la cual se van deteriorando el cuerpo y las funciones cognitivas.

### **Prejuicios frecuentes**

Adriana Servín Figueroa (2015) dice: “En una sociedad que privilegia los valores materiales y la búsqueda de una permanente juventud y belleza, el proceso natural de envejecimiento en el ser humano suele considerarse como sinónimo de decadencia, improductividad, y hasta una forma de discapacidad que coloca a las personas mayores de 60 años en una situación profundamente desventajosa y hasta discriminatoria, no solo en el ámbito laboral y social, sino hasta en el seno de su propia familia y comunidad. Esto hace imprescindible la necesidad de hacer una reflexión sobre la vejez desde una concepción humanista del ser humano, resaltando los valores y derechos inalienables que toda persona tienen en cuanto ser humano, con una dignidad que está por encima de enfermedades y condiciones de vulnerabilidad en que se pueda encontrar el adulto mayor”.

### **Jubilación inactiva**

La jubilación es el acto administrativo por el que un trabajador en activo, ya sea por cuenta propia o ajena, pasa a una situación pasiva o de inactividad laboral, tras haber alcanzado la edad máxima, o por enfermedad crónica grave o incapacidad: obtiene entonces una prestación monetaria para el resto de su vida. La legislación laboral de cada país estipula condiciones diferentes al respecto.

En la Argentina hubo, desde 1993 hasta noviembre de 2008, un sistema jubilatorio mixto con un componente privado y uno público. El

sistema creado en 1993 fue eliminado en Noviembre de 2008 bajo el gobierno de Cristina Kirchner, volviendo a un sistema estatal unificado, que ahora se llamaría Sistema Integrado Previsional Argentino (SIPA).

### ¿Qué es UPAMI?

UPAMI es un programa integral que crea un espacio universitario específico para los mayores, con el objetivo de promover el crecimiento personal, mejorar la calidad de vida y hacer efectiva la igualdad de oportunidades para el desarrollo de valores culturales y vocacionales. Además posibilita la adquisición de destrezas y habilidades para afrontar nuevas demandas, recupera y valora saberes personales y sociales, estimula el diálogo intergeneracional y facilita la inserción al medio socio comunitario.

- Para realizar estos cursos no hace falta tener estudios previos.
- Los talleres están planificados y coordinados por docentes de la universidad que corresponda, con experiencia de trabajo con adultos mayores acompañados por estudiantes avanzados de diferentes carreras.
- Oferta de Cursos del Programa Universidad para Adultos Mayores Integrados (UPAMI).
- En la edición 2015, la propuesta de talleres fue:
  - Jardinería y horticultura;
  - Filosofía y vida cotidiana;
  - Taller de los abuelos;
  - Expresión de emociones y cine;
  - Música: cuerpo y voz;
  - Música: percusión creativa y círculo de tambores;
  - Teatro.
  - Narrativas;
  - Fotografía Nivel I y II;
  - Radio;
  - Artes plásticas y creación artística colectiva;
  - Memoria (dos);
  - Idiomas extranjeros:
    - Dos talleres de inglés (niveles I a III);
    - Dos talleres de italiano (niveles I a III);
    - Dos talleres de portugués (nivel I a III);
  - Talleres de informática.



## Diagrama de Áreas de Conducta y Roles Fundamentales. Dr. Roberto Kertész.



La división en tres (mente, cuerpo y ambiente) de la existencia humana data de tiempos inmemoriales, pero la central en vez de mente, desde lo religioso se denominaba “alma” o “espíritu”, como algo separado e independiente de lo corporal. El filósofo Descartes las llamó “*res cogitans*” (cosa pensante, sin extensión) y “*res extensa*”. La primera estaba reservada a los religiosos, la segunda a los médicos. También antiguamente se consideraba al corazón como la sede de las emociones (posiblemente por sentirse las mismas frecuentemente en esa zona). Desde el punto de vista científico, el cerebro, que es parte del cuerpo, es el sustrato físico de la mente, que abarca a los tres componentes de la conciencia: armonía, integración y conflictos entre roles.

*La armonía de los roles fundamentales* (Estudio, Trabajo, Pareja, Familia, Actividad física, Hobbies, Social y Paciente) se puede lograr planeando cuidadosamente su desempeño, tomando en cuenta principalmente los valores y necesidades propios y de los participantes en dichos roles, y el manejo del tiempo destinado a cada uno de ellos.

Por ejemplo, una mujer casada y profesional que desea cursar una carrera, necesita planear el momento apropiado para tener su próximo hijo, evitando el apilamiento de roles. O una abuela socialmente aislada, que cuida a sus nietos durante buena parte del día porque su hija trabaja y estudia, requiere conciliar esta actividad con otra social que provea un grupo de pares.

### ÁREAS DE CONDUCTA Y ROLES FUNDAMENTALES

Cuestionario resumido para las diez variables  
(Mente, Cuerpo y Ocho Roles)

En general, si el terapeuta o *coach* y el cliente logran un acuerdo en cuanto al Estado Actual, se puede considerar que han avanzado un 25%, y otro tanto si concuerdan en el Estado Deseado correspondiente, formulado en términos positivos: lo que queremos obtener, en vez de lo que no queremos, los dos “qués”.

En cuanto al cómo avanzar hacia el Estado Deseado, deben fijarse los pasos o etapas, de cambios tanto internos como externos.

Iniciales:

Edad:

Sexo:

Estudios:

Ocupación:

¿Convive con una pareja? Sí ( ) No ( )

En caso afirmativo, ¿con quiénes?

Además de indicar su Estado Actual y Deseado para cada ítem, tenga a bien calificarse de 0 a 10 en cuanto a su Grado de Satisfacción (no el de eficacia sino solamente hasta qué punto está satisfecho/a con su desempeño en el mismo) en cada uno de ellos.

ÁREAS Y ROLES	ESTADO ACTUAL	ESTADO DESEADO	PASOS O ETAPAS (internos y externos)
<b>1. Mente:</b> Grado de satisfacción ( )			
<b>2. Cuerpo</b> Grado de satisfacción ( )			
<b>3. Estudio</b> Grado de satisfacción ( )			
<b>4. Trabajo</b> Grado de satisfacción ( )			
<b>5. Pareja</b> Grado de satisfacción ( )			
<b>6. Familia</b> Grado de satisfacción ( )			
<b>7. Actividad Física</b> Grado de satisfacción ( )			
<b>8. Hobbies</b> Grado de satisfacción ( )			
<b>9. Social</b> Grado de satisfacción ( )			
<b>10. Paciente</b> Grado de satisfacción ( )			
<b>Otro:</b> Grado de satisfacción ( )			

## **Inteligencias Múltiples**

### **Definición de “inteligencia” según Gardner (1993)**

En lugar de adjudicarla al puntaje logrado en un test determinado, la considera con un enfoque fuertemente pragmático y cultural:

- A. La capacidad de resolver problemas de la vida real;
- B. La capacidad de descubrir y generar nuevos problemas a ser resueltos;
- C. La capacidad de generar productos y servicios valorados en la propia cultura.

Propuso inicialmente siete clases de las “Inteligencias Múltiples”, con un enfoque transcultural:

**1. Verbal/Lingüística:** la capacidad para pensar en conceptos y palabras, y emplear el lenguaje para expresarse y comprender significados complejos. Presente en escritores, poetas, conferencistas, políticos y abogados.

**2. Lógico/Matemática:** permite abstraer, calcular, cuantificar, considerar hipótesis y propuestas, realizar operaciones matemáticas, extrapolar las consecuencias probables de nuestras decisiones. Predomina en científicos, contadores, ingenieros, licenciados en sistemas.

**3. Visual/Espacial:** habilidad para pensar en imágenes tridimensionales y operar con las mentales (internas), crear y transformar las externas, orientarse en el espacio, manejo de diseño y colores. En arquitectos, artistas plásticos, pilotos, cirujanos.

**4. Corporal/Kinestésica:** habilidad para manipular objetos y controlar al propio cuerpo en movimientos de alta exigencia y precisión. En atletas, bailarines, actores, cirujanos. No tan valorada en Occidente como lo cognitivo; sin embargo, es esencial para la supervivencia, así como para la autoexpresión.

**5. Musical/Rítmica:** necesaria para percibir, retener, reproducir y crear sonidos de todo tipo; su altura, timbre y ritmo. Presente en músicos, compositores, directores de orquesta, críticos musicales, pero también en actores y políticos.

**6. Intrapersonal:** el conocimiento de sí mismo, la autoevaluación, la percepción de los propios pensamientos, imágenes, emociones y sensaciones, y su aplicación para la planificación y control de la vida del individuo. Desarrollada en psicólogos, filósofos, teólogos, algunos escritores autobiográficos.

**7. Interpersonal:** comprensión de los demás, comunicación e interacciones efectivas. Evidente en docentes, psicólogos, líderes en general, actores, vendedores y políticos.

Así como la cultura occidental ha comenzado recientemente a aceptar la integración de mente, cuerpo y ambiente, está reconociendo cada vez más la importancia de establecer relaciones humanas satisfactorias.

### **Secuencia del empleo y combinación de los dos instrumentos:**

1. Aplicación del diagrama de áreas de la conducta y roles fundamentales, para determinar el grado de éxito y satisfacción en cada variable (los Estados Actuales) y los objetivos de cambio (Estados Deseados).

2. Aplicación del CAIM para detectar las capacidades latentes en los distintos tipos de inteligencia y buscar su expresión a través de las distintas áreas y roles.

Ejemplo: la Sra. se reconoce con potencial en la Inteligencia Visual Espacial, de lo cual podría surgir la posibilidad de iniciar el hobby de la pintura.

### **Aplicación del Diagrama de Áreas de Conducta y Roles Fundamentales, junto con el Cuestionario de Autoaplicación de las Inteligencias Múltiples**

El objetivo es conocer las capacidades, habilidades y experiencias de las personas que se hallan en la plenitud de su vida con el fin de desarrollar su compromiso con la vida y con su actividad social.

## **El Cuestionario de Autoevaluación de las Inteligencias Múltiples (CAIM)**

*Derechos reservados - Dr. Roberto Kertész*

El concepto de *Inteligencias Múltiples* fue creado por el Dr. Howard Gardner, de la Universidad de Harvard, con el objeto de ampliar la toma de conciencia sobre nuestras capacidades, tradicionalmente concentradas en solo dos de ellas: *Verbal / Lingüística* y *Lógico / Matemática*. El presente listado provee una guía sobre las mismas y otros cinco tipos adicionales de Inteligencia. Para cada una de estas siete Inteligencias hemos seleccionado una serie de diez sub-inteligencias que representan diferentes componentes de las mismas.

Apellido y nombres:

Edad:

Carrera elegida:

Estudios cursados:

Título(s) obtenido(s):

Ocupación:

E-mail:

Teléfonos:

Complete el siguiente cuestionario y relacione sus respuestas con:

1. La carrera que eligió o que decidirá: ¿existe influencia de los puntajes más altos?
  2. Su trabajo, profesión, hobbies, deportes: ¿cuáles Inteligencias o Sub-Inteligencias aplica mejor para cada rol?
  3. ¿Cuáles necesita desarrollar más para cumplir sus tareas efectivamente?
  4. Los puntajes de su pareja, socios, compañeros: ¿cuáles son sus conclusiones?
- Marque con un puntaje de 0 a 10, en el cual **1 significa nunca** y **10 significa siempre**, la forma en que se desempeña en las siguientes actividades:

<b>1. INTRAPERSONAL (lo que ocurre en mi mente)</b>	
1. Analizo y mejoro mis ideas y proyectos	
2. Puedo corregir mis ideas o creencias cuando percibo que son erróneas	
3. Sé cuando puedo arreglarme solo y cuando necesito pedir ayuda	
4. Me doy cuenta de las distintas emociones que siento (alegría, afecto, miedo, rabia, tristeza, fastidio, etc.)	
5. Reconozco tanto mis virtudes y aciertos, como mis limitaciones y errores	
6. Acepto mi responsabilidad por lo que pienso, siento y hago en vez de culpar a otros	
7. Me doy cuenta de lo que me digo a mí mismo (puedo escuchar mis diálogos internos)	
8. Cuando me equivoco, aprendo de eso para no repetirlo	
9. Cumpló los compromisos que asumo conmigo mismo y con los demás	
10. Escucho y aplico las opiniones de los demás sobre mi persona o logros, sin por ello reducir mi autoestima	
<b>TOTAL</b>	
<b>2. INTERPERSONAL (mis relaciones con los demás)</b>	
1. Al observar las conductas de otras personas, me doy cuenta de las emociones que sienten	
2. Escucho a los demás y llego a aceptarlos aunque no esté de acuerdo con ellos	
3. Puedo reflejar, como si fuera un espejo, lo que otros dicen o expresan con sus gestos y su cuerpo	
4. Obtengo los resultados deseados como líder o conductor de grupos	
5. Capto lo negativo y lo positivo de las personas, pero tiendo a reforzar lo positivo en ellas en vez de criticarlas o discutir con ellas	
6. Disfruto estando en compañía de gente que tenga valores e intereses parecidos a los míos	
7. Pido lo que necesito en forma amable, directa y verbal	
8. Puedo negociar y llegar a acuerdos flexiblemente	
9. Apoyo a las personas cuando percibo que realmente lo necesitan	
10. Defiendo mis derechos y me hago respetar, en forma firme y serena	
<b>TOTAL</b>	
<b>3. VERBAL-LINGÜÍSTICA (leer, escribir, comunicarme hablando)</b>	
1. Entiendo los diversos textos escritos y puedo comentarlos	

2. Expreso fácilmente por escrito lo que pienso y siento, en forma comprensible para otros	
3. Entiendo y empleo el buen humor, el doble sentido de los chistes y los juegos de palabras	
4. Expreso fácilmente hablando lo que pienso y siento, en forma comprensible para otros	
5. Tengo facilidad para aprender idiomas	
6. Lo que digo coincide con la forma en que lo expreso (gestos, tonos de voz, etc.)	
7. Me interesa el significado preciso de las palabras y las uso de esa manera	
8. Mantengo la fluidez hablando en público	
9. Al escribir cumplo las normas de la ortografía	
10. Puedo describir verbalmente imágenes, ya sean internas o externas, con precisión	
<b>TOTAL</b>	

<b>4. VISUAL-ESPACIAL (imaginar, observar, crear formas)</b>	
1. Dibujo y/o pinto en forma creativa	
2. Recuerdo mis sueños en forma clara	
3. Me oriento por mapas con facilidad	
4. Puedo hacer gráficos y diagramas para representar distintos temas	
5. Recuerdo claramente los lugares que vi	
6. Capto cómo funcionan los aparatos y máquinas viéndolos y/o imaginándolos por dentro	
7. Distingo los matices de los colores y puedo reproducirlos	
8. Al ver una foto familiar puedo reconstruir la situación en que fue tomada	
9. Empleo imágenes o escenas internas para hallar soluciones creativas	
10. Me oriento en el espacio sin dificultad	
<b>TOTAL</b>	

<b>5. LÓGICO-MATEMÁTICA (abstraer, razonar, calcular)</b>	
1. Cuando ocurre algo, pienso en qué pudo haberlo provocado	
2. Puedo hacer cálculos y operaciones matemáticas mentalmente y por escrito	
3. Soluciono los problemas en forma racional	
4. Resuelvo acertijos y problemas numéricos	
5. Cuando aprendo algo, lo aplico a situaciones futuras	
6. Puedo asignarle valores numéricos a un tema o problema	
7. Sustento mis ideas con argumentos lógicos y datos verificables	
8. Siempre saqué notas altas en Matemáticas, Física o Química	
9. Tomo decisiones fijando el estado actual, el estado deseado y buscando distintas opciones para lograrlo	
10. Manejo eficazmente mi presupuesto	
<b>TOTAL</b>	

<b>6. MUSICAL-RÍTMICA (oído musical, tonos de voz, sonidos, ritmos)</b>	
1. Puedo seguir o reproducir distintos ritmos con mi cuerpo o golpeando algún Elemento	
2. Diferencio distintos sonidos del ambiente y me doy cuenta de qué los produce (aparatos, motores, relojes, animales)	
3. Recuerdo y puedo tararear, cantar o silbar la música que escucho	
4. Puedo crear melodías o canciones, aunque no sepa escribirlas	
5. Reconozco un tema musical que escuché, a los primeros sonos	
6. Me doy cuenta cuando un cantante o instrumentista está desafinando	
7. Puedo hacer arreglos musicales combinando instrumentos y voces	
8. Tengo oído armónico (capto cuáles acordes corresponden a una melodía)	
9. Soy capaz de evocar música en mi mente y cambiarla a voluntad (la melodía, ritmo o tonalidad)	
10. Diferencio los tonos de voz de las personas y las emociones que transmiten	
<b>TOTAL</b>	
<b>7. CORPORAL-KINESTÉSICA (percepción y control del propio cuerpo, expresión física, habilidad manual)</b>	
1. Percibo mis sensaciones físicas (dolor, hambre, tensión, etc.)	
2. Bailo con gracia	
3. Mis sensaciones físicas me ayudan a percibir situaciones y tomar decisiones	
4. Soy hábil jugando con objetos con las manos o los pies	
5. Expreso lo que siento con mímica y empleando mi cuerpo	
6. Soy efectivo/a en las actividades físicas	
7. Tengo habilidad manual para desarmar y armar objetos, aparatos, máquinas	
8. Identifico y diferencio objetos por el tacto	
9. Puedo mover, contraer o relajar los músculos a voluntad	
10. Manejo hábilmente aparatos y vehículos	
<b>TOTAL</b>	

Una vez que haya fijado los puntajes por tipo de Inteligencia puede representarlos gráficamente mediante gráficos de barras, en el modelo que se presenta más abajo. Cada Inteligencia fue dividida en diez sub-tipos, a cada uno de los cuales Ud. asignó un puntaje de 1 a 10 en función de su propia eficacia, pericia o habilidad para emplearlos. Sume los Totales para cada tipo de Inteligencia: obtendrá un valor entre 10 y 100 para cada una. Marque la altura que corresponda en cada columna al número obtenido con un punto. Una todos los puntos y obtendrá su Perfil de Inteligencias Múltiples. Podría asignar diferentes colores a cada barra, le va a llegar más al “niño” que lleva dentro suyo.

INTRA.	INTER.	VERB./LING.	VIS/ESPA.	LOG/MAT.	MUS./RIT.	CORP./KIN.
100	100	100	100	100	100	100
90	90	90	90	90	90	90
80	80	80	80	80	80	80
70	70	70	70	70	70	70
60	60	60	60	60	60	60
50	50	50	50	50	50	50
40	40	40	40	40	40	40
30	30	30	30	30	30	30
20	20	20	20	20	20	20
10	10	10	10	10	10	10

Analícemos sus resultados:

¿Cuál es la más alta? ¿En qué tareas, roles, la aplica? ¿Y las que la siguen? ¿Y la más baja? ¿Cómo lo afecta en su vida en general? ¿Le interesa desarrollarla más? Si quiere hilar más fino, puede estudiar cuáles *sub-inteligencias* son las que tiene más bajas y decidir incrementarlas. Existen numerosas actividades, hobbies, cursos, seminarios, carreras o hasta psicoterapia para los fines que Ud. requiera. Con ellos puede incrementar su calidad de vida.

Sería valioso que proponga completar este cuestionario a sus familiares y otros allegados y que intercambien opiniones sobre los resultados que cada uno obtenga.

**Sub-inteligencias que deseo desarrollar:**

Inteligencia: .....

Sub-inteligencia N°: .....

Puntaje que me asigné:.....

(*seguir en otra hoja con otras sub-inteligencias*).

Actividades o ejercitaciones que me servirían para este fin (busque algo que le guste, además de serle útil):

.....  
 .....

Plan concreto que decido ejecutar:

.....

**Ejemplos:**

En mi Inteligencia Interpersonal deseo aumentar mi sub-inteligencia N° 1: “*Al observar las conductas de otras personas, me doy cuenta de las emociones que sienten*”. Actividades útiles: asistir a talleres o grupos de crecimiento con Análisis Transaccional o Gestalt.

O en el caso de la Inteligencia Corporal-Kinestésica, sub-inteligencia N° 6: “*Soy efectivo en las actividades físicas*”, la actividad puede consistir en contratar a un entrenador personal o iniciar algún deporte.

Le invitamos a compartir sus resultados y sugerencias con nosotros, escribiendo al Dr. Roberto Kertész, [rkertesz@uflo.edu.ar](mailto:rkertesz@uflo.edu.ar) y a la Lic. Cristina Stecconi, [csteccon@uflo.edu.ar](mailto:csteccon@uflo.edu.ar). Podrá encontrar más información en el sitio web [www.uflo.edu.ar](http://www.uflo.edu.ar) en la sección de la Facultad de Psicología y Ciencias Sociales, “*Investigaciones*” y si lo desea, imprimir este Cuestionario. Si lo aplica, debe citar al autor.



## Conclusión

Mi experiencia en el Taller de UPAMI fue y es sumamente enriquecedora tanto para mis alumnos como para mí. Se han tejido redes sociales muy valiosas para este grupo etario además de estudiar, jugar y reconocer que la vida comienza todos los días de nuestra vida, depende de nuestra actitud ante ella.

*“Conjunto, reunión, agrupación humana, en torno a algo en común que une. Lo común en una comunidad se refiere a lo esencial humano. Lo que nos une o lo que nos convoca a todos como humanos. Distintos puntos de vista sobre algo o proyectos comunes para vivir. La comunidad es un conjunto, red tejida de sentido humano, donde se encuentran los hilos que cada Ser teje para configurar una comunidad que confluye en lo fundamental”.* (Acosta Ocampo, 2011).

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# **Running Head: Situating The Social Studies Situating The Social Studies Curriculum In John Dewey's Theory Of Nature: Promise And Possibility**

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## **Abstract**

No subject matter comes closer to modeling Deweyan philosophy than the modern social studies. Yet, social studies scholars have been debating for decades whether Dewey actually supported the curriculum resulting in a perceived paradox between Dewey's interdisciplinary approach to problem solving and his writings about traditional, stand-alone social sciences. This paper situates the problem in Dewey's Theory of Nature and argues that (1) the paradox is a myth; (2) Dewey is misunderstood and marginalized in the literature; and (3) Dewey offers a middle position for addressing problems and supporting social studies learning with myriad theories.

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**Keywords:** Social studies, John Dewey, philosophy, theory

## **Introduction**

It was no accident that the Pragmatism branch of philosophy emerged around the 1870s, about the same time as the social welfare crusades, which were the precursors to the modern social studies movement (Saxe, 1992). Both were strong reactions to the social tumult of the late nineteenth century Industrial Revolution. Although the term, Pragmatism, first appeared around the turn of the century (James, 1898), this particular offshoot of philosophy was well established by then, and John Dewey rose to prominence as one of the most influential philosophers in American history with his unique synthesis of it, which he later labeled "Instrumentalism" (Dewey, 1929, p. 151).

Although Dewey's system of ideas saturated the deliberations and final report of the Committee for Social Studies in 1916, he was not a participant nor did he ever offer a resounding endorsement for the Committee's recommendations (Evans, 2004; Fallace, 2009; Lybarger, 1983; Mraz, 2004; Saxe, 1992). Despite his absence, Dewey's influence was

enormous and as Saxe (1992) asserted, “[C]learly, no part of the school curriculum (past or present) appeared as close to Deweyan thought as social studies” (p. 266). Further, evidence from the proceedings suggested that Dewey’s philosophy and theories played a role in bridging the participants’ differences. The compromise document coalesced around two major themes, centering the proposed curriculum around present needs and problems; and developing aims for improving society (Fallace, 2009).

Deweyan philosophy served as both method (i.e., bridging differences among competing factions) and content (i.e., focusing on present problems and aims) for what would become the modern social studies curriculum in the late 1930s. At the same time, the public record only contained two clear instances when Dewey commented about the nascent curriculum. On the surface, the pronouncements offered ambiguous support, which has led to much consternation and misinterpretation about a paradox between a philosophy built on an interdisciplinary approach to problem solving versus emphases on the stand-alone significance of history and geography in some of his major writings (Fallace, 2009; Saxe, 1992; Stanley & Stanley, 1977). The purpose of this paper is to situate the social studies curriculum in Dewey’s Theory of Nature using his philosophy as a tool to resolve the paradox. The resolution will reveal that Dewey offers a middle position where (1) the problem is illogical, and therefore, the paradox is nonexistent; (2) Dewey is marginalized and broadly misunderstood in the social studies literature; and (3) the field is missing out on a source of philosophy and multiple theories to enhance learning.

### **The Great American Philosopher**

John Dewey rose from humble origins to become one of the most prolific philosophers of the modern age. He was born on October 20, 1859 in Burlington, Vermont living to the ripe old age of 92 years before passing away in New York City on June 1, 1952. His birth also marked the publication year of some of the great intellectual works of modern times including Marx’s *Critique of Political Economy*, John Stuart Mill’s *On Liberty* and Charles Darwin’s *Origin of Species*. While all of these works had a profound influence on the young Dewey, Darwin’s evolutionary theories and scientific discoveries formed the foundation for Dewey’s Pragmatism, essentially undergirding his Theory of Nature (Dykhuisen, 1959; Westbrook, 1991).

Dewey began his college studies at 15 years of age when he enrolled at the University of Vermont where the faculty exposed him to radical philosophical ideas. Following graduation, he taught high school in Pennsylvania for a couple years and then headed to graduate school at Johns Hopkins University where he studied philosophy. One of his professors was

Charles Peirce, a founder of Pragmatism thought. In 1884, the university awarded Dewey a doctorate degree (Dykhuisen, 1959).

Armed with his new credentials, Dewey migrated to the Midwestern, United States where he served in three university faculty positions over the next 20 years. First, he received an appointment at the University of Michigan (1884-1888), followed by the University of Minnesota (1888-1894), and then lastly at the University of Chicago (1894-1904). In Chicago, Dewey established the Laboratory School where he was able to implement many of his philosophical and theoretical innovations including child-centered instruction based on manual activities and the cultivation of student interests. The Laboratory School approach stood in stark contrast to the predominant modes of teaching in American schools characterized by rote memorization and recitation. Further, Dewey's experimental approaches contributed to his first education-focused books, *School and Society* (1899), *How We Think* (1910), and *Democracy and Education* (1916) (Tanner, 1997).

After accepting a dual appointment at Columbia University and Teachers College, Dewey returned to the East Coast in 1904. As his academic star continued to rise, he engaged in nearly nonstop, intense scholarship while organizations aggressively solicited his speeches. For over 71 years he wrote extensively beyond philosophy and education to include topics such as war, immigration, politics, and many other contemporary issues. Remarkably, he produced over 1,000 publications including 40 books, 140 journal articles, and many essays and speeches (Boydston, 1992/1993).

Dewey's works were the living embodiment of his philosophy where he articulated problems, devised solutions, and then tested those solutions in experience. Because the vast scope of his work was also deep and complex, the compilers forsook a thematic approach and opted for a chronological one (Boydston, 1992/1993). Boisvert (1988) divided the Dewey compendium into three phases each lasting about 20 years: the *idealistic* phase (1882-1903), the *experimental* phase (1904-1924), and the *naturalistic* phase (1925-1953), which included the posthumous publications of items he produced to nearly his passing. For purposes of the present manuscript I will primarily be focusing on *Democracy and Education* (1916) from the experimental phase, and *Experience and Nature* (1925) from the naturalistic one. Of Dewey's major works, these two capture both his Theory of Nature as well as his most extensive treatment of philosophy and school subject matter.

## Dewey and the New Social Studies Curriculum

Perhaps because schools were implementing the new social studies curriculum, Dewey finally offered public comment in the late 1930s about the new subject area, first in a speech, and then later in a journal article. Speaking before the Eastern State Regional Conference of the Progressive Education Association in November 1936 during the depths of the Great Depression, he admonished officials and administrators to reform school relationships. Citing the rise of totalitarian regimes around the world, he advocated for a democratic approach to teaching and learning particularly in the areas of methods, content, and school relationships with the broader society. He described a curriculum where students analyzed social problems and synthesized solutions. Within this context, he first mentioned the nascent social studies,

It certainly seems as if the social studies have a more intimate relation with social life than a great many of the other subjects that are taught in the school, and that accordingly their increasing introduction into the curriculum, the increasing emphasis upon them ought to be a means by which the school system meets the challenge of democracy.

But the crucial question is the extent to which the material of the social studies, whether economics or politics or history or sociology, whatever it may be, is taught simply as information about present society or is taught in connection with things that are done, that need to be done, and how to do them. If the first tendency prevails, I can readily imagine that the introduction of more and more social studies into the curriculum will simply put one more load onto a curriculum that is already overburdened, and that the supposed end for which they were introduced—the development of a more intelligent citizenship in all the ranges of citizenship (the complex ranges that now exist, including political but including also much more) will be missed. (Dewey, 2008, p. 185)

Nearly one and one-half years later in May 1938, *Progressive Education* published a Dewey manuscript entitled, “What is social study?” In the article, Dewey again returned to the theme about *all* school subjects needing a social focus and whether the social studies was truly necessary,

The problem of congestion of studies and diversion of aims with resulting superficiality is a pressing one today...[I]n the end emphasis upon social studies as a separate line of study may only add to the confusion and dispersion that now exist! Not because they are not important, but precisely because they are so important that they should give direction and organization to all branches of study.

In conclusion...Social studies as an isolated affair are likely to become either accumulations of bodies of special factual information or, in the hands of zealous teachers, to be organs of indoctrination in the sense of propaganda for a special social end, accepted enthusiastically, perhaps, but still dogmatically. (Dewey, 1946, p. 183)

As far as the public record was concerned, these were the only two times that Dewey actually addressed the social studies curriculum, and on the surface, he neither fully embraced nor rejected it.

Today, Dewey's seeming ambivalence toward the social studies curriculum has produced a major unintended consequence. In effect, the ambivalent perception has created a paradoxical myth suggesting that Dewey supported a traditional approach to social science instruction with stand-alone subject matter such as his treatment of history and geography in *Democracy and Education* (Fallace, 2009; Saxe, 1992) together with the signature interdisciplinary approach to problem solving. As Stanley and Stanley (1977) wisely posited nearly 40 years ago, "the resolution of this paradox must be sought in the total philosophy of John Dewey" (p. 365).

### **A Radical Turn in Philosophy**

Beginning with the earlier Pragmatists such as William James and Charles Peirce, Dewey's Instrumentalism represented a new approach for philosophy. A minimum of five traits suggested that this turn was radical, (1) accessibility; (2) being as continuous with the natural world; (3) experience as the minimum unit of analysis; (4) democracy as an ethical and moral ideal; and (5) school reform.

*Accessibility.* The Pragmatists—and especially Dewey's Instrumentalism—liberated philosophy from the rarefied world of philosophers and placed it in the hands of the masses. While philosophy's concern has always been to delve into the fundamental nature of knowledge, reality, and existence, Dewey insisted that it serve as a tool in *human experience* to solve every day problems. Therefore, philosophy in the widest sense possible was a tool for studying, criticizing, and reconsidering a perceived problem. While never being the answer, it was a way of casting a wider net, examining the issue over a longer time period or contextualizing it within an overarching phenomenon, and then evaluating the consequences (Dewey, 1929, 1991).

*Being as continuous with the natural world.* In an evolutionary way, anything that existed adapted in a changing environment, but on all levels, the rates of changes differed (Think about changes within a being and changes between the being and the environment). Therefore, Dewey characterized existence as a process of ebb and flow, or in metaphysical

terms as *form* and *change* where stability, ideal matter, and permanence established an equal partnership with change, movement, and adaptation. Beginning with the Ancient Greeks, philosophy and science were synonymous, but with the advent of the Scientific Revolution in the fifteenth century, their paths diverged (Ihde, 1993). However, science continued to inform philosophy and vice versa. By the time Dewey arrived on the scene, the scientific world had blossomed into a cornucopia of new ideas and technological wonders. Being deeply affected by Darwin's evolutionary insights, Dewey placed the organism's experience at the center of his philosophical universe, and articulated a metaphysics—meaning the sub-branch of philosophy concerned with existence, being, and inquiry into the forces of nature—as the centerpiece of his system of ideas. Dewey's metaphysics, which by the end of the nineteenth century was also known as “ontology,” reflected Darwinian principles with “experience, interaction, and possibility,” (Boisvert, 1988, p. 204) or put another way, Dewey envisioned all live creatures as continuous with nature (Dewey, 1929).

*Experience as the minimum unit of analysis.* Human beings engaged in one long series of continuous experiences or interactions with the world. Most of the time, individuals experienced the world in a primitive way, meaning non-cognitively. However, when presented with a problem, the individual could have *an* experience, which was cognitive and contained a beginning, middle and end. In this scenario, history was important in the forward movement of intelligence evaluating future consequences based on prior experiences.

Dewey's analysis of how we experienced the world fell into two general categories: primary and secondary. According to Dewey, most of our experiences were primary with little to no cognitive activity. Individuals felt, suffered, enjoyed, or engaged in knee-jerk reactions without any type of reflective component. These types of experiences also supplied much of the raw material for secondary experiences or as Dewey (1929) stated, “sets the problems and furnishes the first data of the reflection which constructs the secondary objects.” (pp.4-5). Thinking was a reconstruction endeavor where *events* in primary experience become *objects* in secondary experience. In secondary experience, a problem commenced the activity and the conclusion was tested back in primary experience. Because humans and other organisms were adapting in a changing environment—one that was precarious, sometimes dangerous, and riddled with obstacles—our phases of experience were continuous with nature. Further, by making experience the minimum unit of analysis, Dewey dissolved the dualisms that created the dead ends in traditional philosophy.

*Democracy as an ethical and moral ideal.* While Dewey clearly elevated the individual above all else, a person had a moral and ethical



obligation to contribute to the social realm. In other words, the ideal social system was democracy where all individuals had the resources and opportunities to flourish in her or his unique way. Moreover, each individual had a moral responsibility to nurture and enhance democracy so others had the chance to flourish as well. The key to this system was communication.

Deweyan democracy was about leveling the opportunity playing field. Every individual had the potential for growth, which conceptually was the same as individual freedom and self-realization. Because every individual was unique, she required varying types and degrees of resources to reach her potential. As Westbrook (1991) summarized, "Moral democracy called not only for the pursuit of worthwhile ends but for the pursuit of these ends in ways that enlisted the freely cooperative participation of all concerned" (p. 165). Or as Dewey (1916/2007) stated, "A democracy is more than a form of government; it is primarily a mode of associated living, of conjoint communicated experience" (p. 68). Despite offering a radical, broad interpretation of democracy, Dewey's primary focus was always on the individual and how democracy enriched an individual's experience (Cremin, 1959).

*School reform.* Dewey conceived of schools as an extension of the home. In a modern and complex world our ancestors developed schools to replace the traditional family and tribal roles for socializing young people. He placed great faith in schools as the only universal institution that prepared youth for community life; as such, schools must be reformed to take into account young people's interests, emphasize manual and practical activities and to use the curriculum as a way to develop students' ability to act *intelligently* in the world, especially through experimentation. Within the frame of experience, Dewey was able to dissolve many of the dualisms associated with an educational context such as content and method; theory and practice; knowledge and skills approaches. The old dualisms became unified in an experience.

### **Deweyan Philosophy in Action**

We can view the question of whether Dewey supported the social studies or a stand-alone social science curriculum as a proxy war for the larger cultural conflicts around what the curriculum should be and who should control it, a skirmish over the teaching of history that has sometimes degenerated into total war for at least the last 100 years. Acknowledging that many factions have competed for influence over that time, the two main opposing camps today are the social studies approach versus the social science approach groups (Evans, 2004; Leming, Ellington, & Porter, 2003; Wineburg, 2001).

Key differences between the social studies and social science groups include what courses should be offered in schools, the purpose and source of the curriculum materials, and the arrangement of the subject matter. While the social studies formal curriculum is comprised of social science subjects such as history, geography, government, economics, psychology, sociology, and others in a traditional sense, it also can incorporate courses such as peer mediation, current events or pre-law, among infinite possibilities. Another difference is that while the social science approach is more concerned with sources of material, the social studies is focused on cultivating student interests and engaging in interdisciplinary inquiry across the humanities. Another divergence is found in the arrangement of the curriculum, especially in the primary grades, where the social studies follows an expanding horizon beginning with the young student's study of family structures and emanating out into the wider community and world. The social science advocates, on the other hand, propose stand-alone social science and history courses where myths and storytelling help captivate young learners (Egan, 1980, 1983; Thornton, 2005).

The perceived paradox of Dewey's ambivalence about the social studies curriculum in light of his interdisciplinary orthodoxy presents a golden opportunity to put Deweyan philosophy into action. Did he really support a traditional, social science approach to history and geography because he addressed them distinctly in *Democracy and Education*? Situating the problem against a longer time period and the context of Dewey's writings reveals that (1) the problem is illogical, and therefore, the paradox is an apparition; (2) Dewey is marginalized in the literature and widely misunderstood; and (3) the social studies field is missing out on an opportunity to support and enhance the curriculum.

### **Contextualizing the Problem in Dewey's Theory of Nature**

The centerpiece of Dewey's Theory of Nature was the live creature's experience with the natural world. Ontologically, anything that existed was *an event*, every individual *interacted* in some way with other things that existed; and all natural existences were *histories*. A human being continuous with nature was constantly adjusting and adapting to the vicissitudes of nature and striving for peace, harmony, and stability. Therefore, a central characteristic of existence was change and stability, and "what something 'really is' is a function of the changes, alterations, and reactions to surroundings that it undergoes" (Boisvert, 1988, p. 133). The central purpose of schools, according to Dewey, was to socialize young people to adapt in this social milieu, which in educational terms meant that all subject matter should be used to study current social conditions with an eye for improving the future. At the same time, the curriculum became a content *and* method

for enlarging individual experience for succeeding in the world (Dewey, 1916/2007).

Dewey believed that Darwin's greatest contribution to philosophy was his emphasis on flux and change, something that allowed him to criticize Greek thought that mainly focused on form or the stable and permanent aspects of existence. That is why the Greeks valued art such as statues and temples because they conceived of them as representations of an ideal beauty that the mind could come to know. The ideal representation also provided refuge from a dangerous world. In other words, Greek philosophy was built on dualisms akin to an ideal object and a spectator (Dewey, 1929).

Dewey turned everything upside down by reframing the philosophical questions in an evolutionary way. For him, *the object* was a specific ontological term for something that resulted from an inquiry within *an* experience. In this way, an individual could have *an* experience with aesthetic qualities as a production process rather than come to know ideal beauty. In this system of ideas, whether Dewey actually supported the social studies curriculum or favored a social science approach to instruction did not result in a paradox because the question was not logical in the context of Deweyan thought, particularly in light of the formal curricula and the needs of neophyte learners (Dewey, 1916/2007).

Social studies and history or geography were not mutually exclusive enterprises. In fact, all were instruments for enlarging a student's experience. Rather than an either/or question resulting in a paradox, being continuous with nature invited the question, "How did they interpenetrate each other?" In Deweyan terms, you could not have a social study without tapping into our forebears' experiences about human associations (i.e., history) and their interactions with the natural environment (i.e., geography). In educational equivalents, you could not have a social studies subject matter without a formal curriculum of facts and concepts in history and geography. However, teachers had to select and manipulate history, geography, and all traditional curriculum in a way that expanded an individual's experience "to gain in power to recognize human connections;" and "to perceive the spatial, the natural, connections of an ordinary act" (Dewey 1916/2007, p. 157). According to Dewey, this happened most effectively when a skilled teacher developed aims, cultivated student interest, and enlisted active occupations. Therefore, concluding that Dewey supported a social science approach in schools, revealed a fundamental lack of understanding in his Theory of Nature.

### **Misunderstanding the Middle Position**

Dewey's Theory of Nature meant that he offered a middle position between respecting the traditional subject curriculum and acknowledging the

vital role the teacher played in enlarging students' experiences. Educators misunderstood him because he created a novel ontology based on intricate multidimensional relationships, and articulated how thinking was rooted in these circumstances. In Deweyan thought, history and geography "are the information studies par excellence of the schools" (Dewey, 1916/2007, p. 158). Yet, it would be an egregious and common mistake to conclude that Dewey was merely endorsing the subject matter as things to be learned.

In ontological terms, thinking of the curriculum as something students learned created an unnecessary philosophical dualism that emphasized the stable or permanent elements much like the Ancient Greeks. In fact, Dewey barely concealed his derision when he also commented, "The words 'history' and 'geography' suggest simply the matter which has been traditionally sanctioned in the schools" (p. 158). Furthermore, Dewey recognized that the formal curriculum, organized in an adult way, was completely alien to how young learners experienced the world. It was up to the teacher to bridge the abyss, and the best way to be continuous with nature, was to use active occupations.

Formal traditional school curriculum was a static, disconnected collection of information that only had the *potential* to enlarge an experience with the guidance of the skilled teacher. In nature, humans generated knowledge within social activities, and what they deemed culturally important, they passed from one generation to the next. For example, Dewey often talked about how the sciences emerged from the arts; the physical sciences from war, crafts, and healing; math from the removing of all existential materials; geography from the physical human connections; and history from the social connections throughout time. In other words, the curriculum became functional or instrumental when means and methods were unified in the learner's experience. Therefore, Dewey offered a middle position where the growth process reconciled the adult aims, values and meanings in the formal curriculum with the immature experiences and interests of the child (Dewey, 1929, 2007).

In experience, teaching and learning were really one transaction between the learner and the environment (including the teacher) similar to a painter moving a brush while drawing on past experiences and all the resources at her disposal to create a painting. First, in continuous experiences, humans did not think and then act on it in a physical manner; it all occurred in one flow. Second, an epistemology—or theory of knowledge—based on experience inherently suggested that humans incorporated all of their senses into the process. Third, the development of skills and habits became a crucial part of testing and reflecting on previous experiences and then predicting future consequences, freeing up the memory for new challenges. The stable element or form for Dewey was the *relation*

*of means to consequences* within an experience. And finally, within the confines of evolution, human beings most effectively progressed solving the obstacles of life using inquiry (Pring, 2007).

The instrumental value of geography, history, and all subjects was in relation to the degree of social connections one could make with the resources. For Dewey, active occupations offered the best means for bringing the learner in direct contact with the social elements. Active occupations included gardening, weaving, storytelling, conducting science laboratory experiments, cartography, or any of those activities with social aims bringing students in contact with crude and raw materials. These materials were histories and offered a mode to “gain the intelligence embodied in finished material” (Dewey 1916/2007, p. 149). The formal inherited curriculum like geography and history were important adult organizations of information, and it was up to the teacher, to make the materials relevant to young learners and their limited experiences.

The effective teacher set the aims, implemented inquiry activities incorporating occupations, and helped students discover and discipline their interests. Active occupations were the educational equivalent for continuity of experiences, and provided the conditions for thinking or intelligent action: An experience was an action with an end-in-view, results and an end. The *end-in-view* was to be aware of what completed an ongoing action and the willingness to adjust to changing circumstances. All the events and consequences of the action were sequential and causal *results*. An *end*, though, completed the action and led to another. To develop an aim meant to use intelligence with an awareness of the end-in-view. A person’s interest propelled the action with a purposeful direction of natural impulses like curiosity. By framing thinking within an experience, Dewey dissolved the dualism of content and method; theory and practice; and the knower and the object to be known. Because means and ends were inherently continuous, there were no fixed ends and the only goal was more growth with the enlarging of experience (Dewey, 1916/2007; Pring, 2007). The entire enterprise was based on establishing logical connections between the subject matter and the immature experiences of the learners, which has always resulted in misunderstanding.

### **The Marginalization of Dewey and Future Possibilities**

In this paper, I have attempted to debunk a paradox about whether Dewey supported a social studies or social science approach to learning in the schools. Instead, I have offered the case that Deweyan philosophy is a middle position encapsulated in individual experience. Moreover, I asserted that because Dewey was broadly misunderstood, social studies academics have only nibbled on the edges of his philosophy, which was also rich with

theory. Philosophy can help us address some of the big questions in our field, while theories can guide and support courses of action.

One obvious sign of this misunderstanding was the marginalization of Dewey in the social studies literature. Deweyan thought appeared in three general categories from most to least prolific: (1) an individual citation usually to support some general assertions like this typical example,

Specifically, leveraging historical thinking skills, such as recognizing multiple perspectives; developing reasoned judgments of historical causality, consequence and significance; and facilitating modes of documentary inquiry will yield Dewey's vision of Democracy as more than a form of government, but of 'a mode of associated living, of conjoint communicated experience.' (Swan & Hicks, 2006, p. 144)

(2) Dewey's influence and the origin of the social studies (Evans, 2004; Fallace, 2009; Lybarger, 1983; Saxe, 1992); and (3) partial Deweyan interpretation and analysis (Misco & Shively, 2010; Shaver, 1977; W. B. Stanley, 2010; Stanley & Stanley, 1977; Thornton, 2005; Vinson, 1999; Wheeler, 1977). In most of these cases however, Dewey was merely an add-on when he should be the gravitational center.

In addition to his Theory of Nature, Dewey provided theories related to experience, intelligence, curriculum, ethics, morality, democracy and many more. In fact, Dewey was the first philosopher since Aristotle more than 2,000 years earlier to conceive of a comprehensive philosophical system. Moreover, today most of the research-based publications in the social studies merely draw on parts of theories, meaning the social studies is highly undertheorized and Dewey offers promise and possibility. We can use Deweyan philosophy to address some of the most pressing questions in our field. One example is related to technology and learning.

Two questions asked in education, in general, and the social studies, in particular are, "Why has the spending of billions of dollars on technology over the years not resulted in more and better learning?" and "Why do teachers report low levels of technology integration in their classrooms?" (Beck & Eno, 2012; Combs, 2010; Cuban, 2001; Shively & VanFossen, 2009; Shriner, Clark, Nail, Schlee, & Libler, 2010; Whitworth & Berson, 2002). In the Winter 2003 issue of the social studies flagship journal, *Theory and Research in Social Education*, an article appeared entitled, "Constructivism as a Theoretical Foundation for the Use of Technology in Social Studies" (Doolittle & Hicks, 2003). Although the focus was on the use of technology, in every way this article was about developing a more coherent theoretical foundation for learning social studies. Essentially, the authors conducted a literature review and developed a spectrum of constructivist thought reflected in three categories: radical, social, and cognitive.

The writers cited Dewey and Vygotsky as the learning theorists for the social constructivist perspective. First of all, this was a major step forward in marrying theory to the field. Second, the nature of the article relegated Dewey (and others including Vygotsky) to these general notions of knowledge making that were not particularly illustrative for guiding classroom practice. And third, by failing to distinguish Dewey from Vygotsky, they diminished the significant contributions of both. In fact, belatedly today, Dewey is recognized as an early technology philosopher (Hickman, 2001; Ihde, 1990).

The beginning of Dewey's experimental phase signaled a remarkable philosophical and theoretical consistency during the remainder of his lifetime. Logical conclusions about digital tools and artifacts (DTAs) based on his theories of experience and intelligence include,

- (1) DTAs should *only* be utilized when there are clear connections to social studies aims, course goals, and lesson objectives.
- (2) Working with raw materials and first-hand experiences are valued over mediated experiences, particularly with young children.
- (3) When engaging students with DTAs, they should already know and be proficient with the manual processes underlying electronic shortcuts.
- (4) It is not enough to justify the use of DTAs because they are used authentically in the larger society, there must also be a clear connection established with student interest.
- (5) DTAs embody the most potential for enhancing student learning when schools provide them with maximum of freedom and use approaching the authentic ideal.
- (6) The student-teacher partnership is essential for identifying student interests, providing educative experiences, and avoiding mis-educative experiences when using DTAs.
- (7) DTAs should be situated in the praxis of social studies as a content and method for promoting intelligent action. (Stuckart, 2014, pp. 64-66)

This is illustrative of complex guidelines in a complex world of flux and change. The point is that when situated in Deweyan thought, we can clarify, enlarge, and offer new direction, which benefits social studies practice. Moreover, the clarification can lead to new research directions because in Dewey's ontology, research and practice are unified in experience.

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## **A Mother's Knowledge: The Value of Narrating Dis/Ability in Education**

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### **Abstract**

In this paper we answer the question: *In what ways does a mother's narrative of including her son with a disability in his local school inform inclusive practices in general?* Our research contains a theoretical framework informed by (1) Disability Studies in Education (DSE), (2) the importance of narrative knowing within research, and (3) the value of a mother's knowledge of her child. The data consists of the second author's written autobiographical accounts of her experiences with, and observations of, her child's school. We feature a series of four vignettes culled from second author's descriptions as a mother of a child who did not "fit the mold" in terms of academic, social, and emotional expectations. Using analysis informed by DSE, coupled with personal reflection, the first author discusses the value of ways in which a mother's knowledge about human diversity and desire for inclusion counters the deficit-based assumptions and expectations entrenched in much of special education's foundational thinking that, in turn, informs daily practices within schools that reinforces the exclusion of children with disabilities. Next, we link our findings to implications for the interrelated fields of education, special education, and inclusive education. Finally, we articulate some recommendations, based upon our work.

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**Keywords:** Children with disabilities, mother's knowledge

*What does it mean to be human? How can we respond ethically to difference? What is the value of a human life? Who decides these questions, and what do these answers reveal?*

Catherine Kudlick (2003, ¶1)

## **Introduction: Supporting Inclusive Education**

This collaborative work reflects our mutual interest in inclusive education as citizens and teachers, and our disparate yet arguably connected roles as researcher and parent who are motivated by our belief in the civil rights of providing disabled children access to a quality educational experience. Our work grows out of Diane's desire to paint a portrait of a school in New York State that successfully included her son, Benny, who had previously "failed to function" in two exclusionary/highly restrictive special education classrooms in New York City. In contrast to the city schools, The Boulder School<sup>4</sup> welcomed Benny and supported him and his family in finding ways to ensure his inclusion within all aspects of schooling. In turn, Benny's presence and participation within the school grew over the years and significantly influenced its general culture in a myriad of positive ways. At the same time, the school also provided an oasis for Diane's younger son, Adam, who excels academically and socially. In contemplating the same school and the same teachers who met the needs of her two children with such dramatically different learning profiles, Diane felt compelled to chronicle how, and explore why, this school was successful whereas so many others in her experience had not been.

David's interest in creating this text lies in the fact that Diane had shared this school's story with him. He became drawn to the challenge of "capturing" and analyzing a school that has attempted to develop an authentic inclusive educational experience for students—a process that is ongoing, admittedly imperfect, yet earnest. Despite major policy changes in regard to inclusive education over the past three decades, there have been very few clear examples of inclusive schools in scholarly works (Danforth, 2014; Hehir & Katzenberg, 2012) and documentary media (Habib, 2008; 2012) that can be shared in teacher preparation classes. In conversations with Diane, David could see how what was being done at the school to ensure authentic inclusion was, in fact, unsurprisingly, very much in tune with a Disability Studies in Education (DSE) framework. For this reason, he believed it would be worthwhile to document—and discuss—an example of where a "real life" example of inclusive education evolved with what he believes is a DSE-disposition that helps educators, parents, students, and community members best understand and approach how to "do" inclusion.

We begin my briefly sharing a few observations and anecdotes from our work as inclusive educators in the same teacher education program. David developed the required inclusion course for all general and special educators to have a DSE-framework through which to understand inclusion

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<sup>4</sup> All names of children and educators are pseudonyms.

as everyone's responsibility and a student's civil right (Valle & Connor, 2011). For the past four years Diane has integrated her personal story into the course and has brought Boulder staff to talk with her students. Each semester, 5-8 Boulder staff members, including the principal, visit her classes. When Diane spoke extensively with the Boulder staff, they often defer to "instinct" when explaining how they create their school culture. This response, and graduate students' questions about positive examples of inclusive settings became a primary motivation for her to write their story. While Boulder faculty present with a refreshing absence of technical jargon, we recognize that their general attitude and effective programs are in line with many elements that form the basis of DSE. We also recognize that in order to accurately document Boulder's approach to inclusive education, a deeper analysis is needed. In an effort to capture what is possible, we believe a formal analysis coupled with an open reflection upon a school that embodies a DSE-simpatico approach, will allow other teachers and administrators to become familiar with these ideas and see how they can apply within any educational or community setting. While our work is part of a larger project, in the interest of space limitations, the purpose of this paper is to address the research question: *In what ways does a mother's narrative of including her son with a disability in his local school inform inclusive practices in general?*

Our research contains a theoretical framework informed by (1) Disability Studies in Education, (2) the importance of narrative knowing within research, and (3) the value of a mother's knowledge of her child. The data consists of Diane's written autobiographical accounts of her experiences with, and observations of, The Boulder School. We feature a series of vignettes culled from Diane's descriptions as a mother of a child, Benny, who did not "fit the mold" in terms of academic, social, and emotional expectations. Woven throughout these vignettes David writes a mixture of analysis and reflection informed by DSE, emphasizing the value of ways in which a mother's knowledge about human diversity and desire for inclusion that counters the deficit-based assumptions and expectations entrenched in much of special education's foundational thinking that, in turn, informs daily practices within schools that reinforces the exclusion of children with disabilities. Next, in discussing our findings, we link them to implications for the interrelated fields of education, special education, and inclusive education. Finally, we articulate some recommendations, based upon our work.

### **Disability Studies and Sociocultural Perspectives of Human Differences**

Although traditional special educators believe the hard sciences serve as the best model for special education theory, research, practice, and policy,

critical special educators working within Disability Studies in Education, are convinced that there is greater value in addressing the complexities of society, culture, and history—in relation to human differences. In brief, a DSE perspective believes the contextual understanding of education is crucial and, conversely, a simple objectivist disposition is impossible. Such ideological differences have given rise to scholarly exchanges in journals that have ranged from expansive and enlightening to acrimonious and rigid (see for example: Anastasiou & Kauffman, 2011; Danforth & Rhodes, 1997; Gallagher, 2006; Heshusius, 1989; Iano, 1996, 1990; Kavale & Mosert, 2003; Kauffman, 1999; Kauffman & Hallahan, 1995; Kauffman & Sasso, 2006a, 2006b; Skrtic, 1991).

Despite the dominance of positivism in special education, its devotion to medicalized understandings of dis/ability, and the subsequent impact that has upon practice and policy, critical special educators working within DSE have made progress in engaging with a field they recognize as inhospitable to their ideas, beliefs, dispositions, and research practices. In previous decades, critical special educators were understood to be individuals with an idea that caught the field's interest or troubled its conscience such as: Heshusius's (1989) urge to imagine viewing human differences from non-mechanistic paradigms; Gallagher's (1998) questioning of basic scientific assumptions; Skrtic's (1991) structural analysis of epic inequities; and Reid and Valle's (2004) groundbreaking reframing of learning dis/ability. The work of these scholars served as the basis of formalizing DSE into an alternative framework of conceptualizing dis/ability that we believe is worth featuring (Connor, Gabel, Gallagher & Morton, 2008). For example, the purpose of DSE is *to*:

*Promote the understanding of disability from a social model perspective drawing on social, cultural, historical, discursive, philosophical, literary, aesthetic, artistic, and other traditions to challenge medical, scientific, and psychological models of disability as they relate to education (Connor et al., 2008).*

**The tenets of DSE are to** engage in research, policy, and action that: contextualizes dis/ability within political and social spheres; privileges the interest, agendas, and voices of people labeled with dis/ability; promotes social justice, equitable and inclusive educational opportunities, and full and meaningful access to all aspects of society for people labeled with dis/ability people; and, assume competence and reject deficit models of dis/ability (p. 448)

Examples of **theorizing DSE** include: contrast[ing] medical, scientific, psychological understandings with social and experiential understandings of dis/ability; focusing on political, social, cultural, historical, and individual understandings of dis/ability; supporting the education of

students labeled with disabilities in non-segregated settings from a civil rights stance; engaging with work that discerns the oppressive nature of essentialized/categorical/medicalized naming of disability in schools, policy, institutions, and the law, while simultaneously recognizing the political power that may be found in collective and individual activism and pride through group-specific claims to dis/abled identities and positions; recognizes the embodied/aesthetic experiences of people whose lives/selves are made meaningful as disabled, as well as troubles the school and societal discourses that position such experiences as “othered” to an assumed normate; includes disabled people in theorizing about dis/ability (p. 448).

We thought it was worthwhile to include tenets and examples of theorizing dis/ability as these have guided us in designing each aspect of our research, including the question asked, our theoretical framework, methodologies, data collection, analysis, interpretation, and findings. Our work recognizes and privileges knowledge derived from the lived experience of people with dis/abilities and their family members, and is purposefully located in this particular context. In addition, our work deliberately challenges research methodologies that objectify, marginalize, and oppresses people with dis/abilities. We openly acknowledge seeking participation in the construction of a new discourse of dis/ability in education that emphasizes dis/ability in its socio-political contexts and is respectful of dis/abled people. We also acknowledge our desire to recognize connections, overlaps, and dissonance between DSE and special education, including tensions, paradoxes, contradictions, and reticence within education at large toward conceptualizations of diversity that includes dis/ability.

### **Methodological Choices: Centering Narrative**

The potential power of narratives can be seen in Lincoln and Denzin’s description of them as “a minimal ethnography with political teeth” (2000, p. 1052). We believe this to be an apt description, as working with narratives, though arguably often undervalued methodologically, can serve to actively promote social change. Elbaz-Luwisch (1997) remarked

The conduct of narrative research gives rise to a range of political issues which include the validation of narrative knowledge, the relationship between power and authority among research participants, and the distinction between the public and private domains (p. 75).

It is precisely for these reasons that we chose narrative as a methodology in this study.

Through the use of personal narrative, we foreground the experiences of a mother and through her, a child, voices that not sufficiently sought within much of educational research. As Clandinin and Connelly (2000)

point out, an important focus of this methodology lies in the lived experiences of individuals explaining, “In the grand narrative, *the universal* case is of prime interest. In narrative thinking, *the person* in context is of prime interest” (p. 32). Furthermore, as Fairbanks (1996) notes, “In narrative research accounts, the tendency is to explore or explain the significance of what previously have been considered ordinary events and to raise these events to the exceptional” (p. 236).

By focusing on what many may see as a relatively ordinary situation—the inclusion of a child into an inclusive classroom—we analyze “the stories individuals tell us or the events they experience together in light of theoretical concepts...[which is a] primary means of constructing knowledge through narrative” (p. 327). Narrative is keeping with a DSE stance, as Rossiter (1999) explains the importance of narrative, and its appropriateness for this research design:

Narrative knowing, in contrast to scientific knowing in the positivist tradition, is concerned more with human intention and meaning than with discrete facts of events, more with coherence than with logic, and more with understanding than with predictability and control (p. 60)

It can be argued that stories are one of the most widely used ways of communicating. That they are ubiquitous, Mishler (1986) believes, “supports the view of some theorists that narratives are one of the natural cognitive and linguistic forms through which individuals attempt to order, organize, and express meaning...” (p. 106). Drawing from the influential work of Bruner (1990), Polkinghorne (1997) claims that, “narrative is the natural mode through which human beings make sense of lives in time” (p. 13, 1997). In keeping with this sentiment, Richardson (1990) believes that “Although life is not a narrative, people make sense of their lives and the lives of others through narrative constructions” (p. 10). As such, it is clear that all stories may be viewed as representations. Molloy (1991) asserts that a representation is “a re-telling, because the life to which it supposedly refers is already a kind of narrative construct. Life is always, necessarily, a tale” (cited in Clandinin & Connelly, 2000, p. 101). In many respects, a personal narrative is a form of self-representation, and useful as such as it can lead to better understanding among human beings about various phenomena. As Richardson (1990) writes, “It is the closest to the human experience, and it rejuvenates the sociological imagination in the service of liberatory civic discourses and transformative social projects” (p. 65). Of course, stories vary in quality. As Worth (2008) has noted, “it can be argued that there is a significant increase in epistemological value in a well-told story” (p. 52). In sum, well-told story not only has epistemological value, it has ontological value as it told as holds a form of ‘truth’ that deserves being studied, as well



as methodological value in that narratives provide access to understanding highly situated circumstances.

Our own work builds upon narrative knowing about dis/ability within DSE, including listening to the voices of: urban youth with learning dis/abilities (Connor, 2009); females identified as behavior disordered (Annamma, 2015); college students with learning dis/abilities and Attention Deficit Disorder (Connor, 2013); teachers with learning dis/abilities (Ferri, Connor, Solis, Valle, & Volpitta, 2005); a deaf scholar (Valente, 2011); adolescents with intellectual dis/abilities (Mutua & Swadener, 2015); and teacher of students with dis/abilities (Broderick, Hawkins, & Henze, 2012).

### **Narratives of Mothers with Dis/abled Children**

Although parents are featured in the research literature on children with dis/abilities, the overwhelming majority of studies focus on parents as subjects, often casting dis/ability via a deficit-based lens and the impact is has upon marriage (Ristal & George, 2004), non-disabled siblings (Hannon, 2012), depression (Singer, 2006), and stress management (Singer, Etheridge, & Aldana, 2007). In many ways, such an approach to the topic of parenting children with disabilities is antithetical to DSE. There is, however, a small but growing number of memoirs by parents of students with dis/abilities that provide significant insights into how parents make sense of dis/ability, often conveying a markedly different understanding of dis/ability as portrayed in the professional literature, including Cutler (2004), Harry (2008), and Linder (2009). Likewise, there are several DSE-scholars who maintain an active interest in the area of being mothers and/or parenting children identified as dis/abled (Hale, 2011; Kalyanpur & Harry, 2012; Lalvani, 2011, 2014; Valle, 2002, 2009; Ware, 2006).

### **Vignette 1: Eavesdropping Behind a Tree**

*Often Benny sat alone, sometimes under the slides, studying the metal bolts that hold the equipment together. One morning however, a classmate from his new school called to Benny. They ran together for a while, Benny laughing hard and smiling long. David [my husband] and I delighted for a few moments in this until we heard the other child say to Benny, "Come on Benny. Let's sit down and chat for a bit." Upon hearing those words, that invitation to talk, I froze inside and filled with a panic that came on quickly. My legs wobbled and my stomach churned. Benny was still not to our knowledge conversational. He had many words; he could answer some basic questions but I had never heard him engage in a spontaneous give and take conversation. I called to David and we stood nervous together within earshot of the boys. I was delighted to hear them laughing; Benny was telling his new friend how his father broke a bowl in the sink the week before and how*

*several years ago his Daddy spilled tomato sauce on the CD player. The boy was laughing so hard he could barely catch his breath. Benny grinned with a mischievous twinkle and I was absolutely floored. David and I stood huddled together behind a tree, eavesdropping, mouths hanging open in surprise.*

*It was frightening to realize that I had no idea how well Benny could converse when in a natural setting. I realized that it had been a long time since I spoke to him expecting a full and spontaneous response. I quickly ran through the past few days' conversations with Benny. I had initiated the conversations, not in full voice, not freely. The questions I asked of him were not steeped in curiosity, did not reach out with true yearning for his response, but rather were often rhetorical, simple questions designed to open a dialogue but not to truly engage. They were mechanical exercises instead of invitations to relate. During the years when Benny was doused in years of therapy, unconsciously, I imitated the interactions I heard between Benny and his therapists. I had learned to speak to him in the same tone, asking questions that were staged and rarely spontaneous. I had lost hope in his abilities and this loss of hope colored every interaction between us. Benny seemed exquisitely attuned to this, and had no interest in more talk that went nowhere. His therapy was necessary, but this therapy was not enough. It enabled him to learn skills and vocabulary, but Benny desperately needed the music of the real world in order to involve himself in meaningful expression. This one small boy made me see what was possible and from that moment my own interactions with him grew. It was not long before my conversations with Benny sparked with nuance and humor.*

Reminiscent of a Shakespearian plot, Diane and David “accidentally” overheard social arrangements being made by their son and his friend that prompted them to hide behind a tree and eavesdrop. What comes to mind immediately is that this opportunity would not have occurred, because it could not have occurred, in Benny’s previous school where all children considered to be autistic were placed together. Here, the everyday interaction of children—that many take for granted—talking together naturally and spontaneously, is highly appreciated and valued. Perhaps most importantly is Diane’s realization that her own interactions with her son had remained largely in the discourse utilized by service professionals. In other words, Diane’s interaction with her own son, despite a level of consciousness on her part, was still predominantly lodged within an “intervention” mentality that structured conversations as directions, didactic in nature, more akin to being a professional than a family member. In many ways, this realization illustrates a medicalized versus socio-cultural understanding of the purpose of language and its power to create and maintain authentic connections rather than be “more talk that went nowhere.”

The other compelling aspect of this vignette is the ability of children to be with each other and develop their own communities without being overly supervised. Diane's epiphanic moment happened because of a small boy's reaching out to Benny with the expectations that they would communicate about a shared experience, having clumsy fathers (or, to give the benefit of the doubt, fathers who had clumsy moments). This invoked laughter on both of their parts, further encouraging a rapport that Diane and David did not think possible. From this experience, Diane changed her disposition toward conversing with her own son. She had to "unlearn" the limited ways she had seen professional specialists work with her child, in order to cease having him answer as expected, and to connect with him in ways he could identify and respond to, based upon his personality and interests.

### **Vignette 2: Response to a Kick**

*It is not easy to step into the world of the typical when you come with massive delays. It is not easy for the parent or the child. We must face our differences daily and in public. I wonder if it is fear of this reality that causes so many parents to choose segregated settings that do not place high demands on their children. Nevertheless, despite the principal's support, things were not going well for Benny in the classroom. There was already an assistant teacher in the room, before Benny joined the class—a lovely experienced woman who tried her hardest to keep Benny in check—but her efforts were not enough. Benny routinely ran from her and she seemed powerless to stop him. He had developed a habit in his first and second kindergarten self-contained classrooms of running clear out of the classroom. I imagine the habit began because he was truly trying to get away from the classroom, which offered little in terms of joy to him. Even though he was now in a school he loved, the habit stuck and when he wanted to avoid some task, out he went, fast as can be on his strong little legs.*

*The assistant teacher in his current room was assigned loosely to all the children with disabilities but began giving most of her attention to Benny. It was not enough. The inclusion specialist, Meryl, began spending extra time in the classroom, using her free time to chase after Benny. Lunchtime was especially problematic. Without the classroom structure, Benny was even harder to contain. Several teachers began giving up their lunchtime to take turns monitoring Benny.*

*One day, upon pick up, a young handsome man with a strong handshake came up to greet me. He walked beside a beaming Benny and told me he was now the Teaching Assistant assigned to the class and he would take responsibility especially for Benny. They had an immediate connection. Benny looked up to Gary with sincere respect and admiration. It wasn't until*

*years later, when the relationship between the principal and me had turned to friendship, that I learned what I had suspected; he had changed assistants to better accommodate Benny. This was the first time I saw the climate change for a child so dramatically. Benny who could learn to read and write had little control over his behavior. Instead of waiting for his behavior to improve, the school did what it could to find the best fit for him within the classroom.*

*Once again Benny's behavior improved for a few days and then he became comfortable. One day I came to pick up and could see from Benny's face that it had been a difficult day. Gary told me Benny had kicked him during a reading session. I was mortified, but Gary was calm and told me it was because Benny was frustrated by the task and that he would find a way to approach it with him another day, in a new way and that Benny would master the skill. I was perplexed. The emphasis was not on my son's act that might have led to suspension but on finding another way to teach Benny without extreme frustration. This moment broadened the trust that Benny had for Gary and that deepened the bond that I felt for the school.*

This vignette raises many important issues, one of them being the notion of “delays.” In special education language, delays are a paradoxical term as they assume that, like a late train arriving at the station, the journey will go on as originally anticipated, back to normal. However, “delays” are often a euphemism for being behind, with the fear of not being able to catch up. At the same time, in education we always want to keep an open mind about an individual's potential and actual growth, as otherwise there's an imposition of a ceiling of expectations. Even so, lived experience has informed all of us that everyone will never be able to do what's expected at school—if age and grade level standards are rigidly enforced, and also are constantly being raised over time. We are all very much restrained by the expectations always required and the language we use.

That said, Diane's recollection of this episode reveals ways in which schools can actually have a solid system of resources in place, yet still have to rethink them based upon the needs of a single child if need be. Of note in this situation is finding the right match of people. The teaching assistant who supported Benny, as Diane noted, understood the nature of the child. A kick is still a kick, and unpleasant to receive, but the assistant did not take it personally as he knew it came from a place of frustration that had not yet been tapped and channeled into a form of expression. The incident illuminates how punitive measures for children (think: “Zero Tolerance” policies) who respond violently as part of their struggle in school are rarely the answer, and can actually serve to exacerbate the problem. As the fit was a good one, the relationship between the supporter and the supported grew to work—allowing Benny to participate in the general education classroom.

### **Vignette 3: Showing vs. Telling**

*In Grade 2, Benny had a very experienced teacher, Barbara, with some 30 years of teaching when she met Benny. Admittedly she had never had a student quite like Benny and initially she felt that perhaps she did not have the right skills or training to help him. Barbara was in some ways a traditional teacher and felt the responsibility to do it all for all of her students. She wanted Benny involved and engaged in every activity and spent hours planning ways to accomplish that. Around the holiday time she brought in small looms for the children. They had been studying the 1800's and had visited a restored village. She wanted them each to create a woven potholder for their parents. Since Benny could not as of yet tie his shoes, or button a simple button, it seemed unlikely that he could create a potholder on a small plastic loom within an hour's time in the classroom. Barbara instead prepared a sorting activity for him. He was to sort the colored bands of fabric and then color in a bar graph relating to the numbers of each color.*

*Benny wanted nothing to do with that task and knocked the bands to the floor. Barbara tried to redirect him to the loom but he seemed to be all thumbs. She was frustrated and left for a while to assist some other students, many of whom were struggling. When she returned, barely ten minutes later, Benny was working away, weaving orange and white together, creating a potholder with the utmost of dexterity. Barbara looked right at Benny and asked him where he learned to do that. Benny just smiled and the girl next to him, a lovely red head, looked up and said, "Gee, Mrs. M, it was not that hard, I just showed him and he picked it right up." Barbara was floored. She took the potholder all around the school to show his other teachers and therapists and even the principal She called me that day to explain and then sent the magnificent square home in his book bag. She learned inadvertently that day that she did not have to be the only agent for Benny's growth. She had 26 students who might know even better how to get him to produce, and just might take him to a place no one expected he would get to. This experience enabled Barbara to relax a bit and let go of the tension that was interfering with relationship she was trying to build with Benny.*

In this exchange we are reminded that all teachers cannot always reach all of the children in their classrooms in ways they wish to. The pressure, the responsibility, the very real limits of our knowledge (despite being an educator for three decades) can result in an impasse between teacher and struggling student. Although the phrase is somewhat clichéd, we see that teachers, by necessity, are life long learners. By stepping back when things were not quite working—instead of continuing to force the issue—the teacher inadvertently created a space for an observant student to step into and show Benny how to do what was being required. DSE encourages the cultivation of such classroom ecologies because it accepts that people are

actually interdependent, rather than independent. Help and support can be requested when and where it's needed, including exploring options related to space, time, amount, and complexity of work assigned. Each child in a class can potentially hold the answer to the question that the teacher cannot always have at her brain tips. In this case the opportunity for another "milestone" for Benny was created by his classmate; a situation that could not have occurred his original school.

#### **Vignette 4: Drop Everything and Don't Read**

*The entire fourth grade had a 30-minute time period every day called DEAR time, which stood for "drop everything and read." His teacher, Rosalie, suggested to me that Benny be given this time to partner up with another classmate just to "hang out" instead of reading. She suggested that each week a different student would be Benny's DEAR time partner. They would go out into the hallway, take a game or two, a small whiteboard, some books and just play together for the time. My initial reaction was surprise. Playing instead of reading seemed contrary to what I had learned about education, especially in grade four, a high stakes testing year. Still, I had already learned to accept the wacky and wonderful ideas that germinated in the minds and hearts of these Boulderfolks. So I said, "sure," with a certain hesitation in my heart and mind. Once again I feared the resistance of other parents.*

*The idea was a hit from the start. Benny came out smiling every day, eager to tell me first about this time he was able to spend with a classmate. While I worried about how parents would feel, afraid that they would resent the time spent away from reading, parents told me their children looked forward to their time with Benny, and often prepared ahead. One boy taught him all about football, another girl taught him how to draw animals. Other teachers commented on how lively and happy Benny seemed out in the hall with his friends. Benny began to call his classmates on the phone, to continue conversations he began during DEAR time. Genuine friendships grew from this time together. Rosalie had told me this would last until March, with each student spending one week with Benny, after which she would find another activity for him. However, so many children had already requested extra time with Benny, recalling a missed day when they were absent or when there was a rehearsal, that accommodating all of these requests, Benny was booked through June.*

*DEAR time became a time when the Benny's classmates could see what really made him tick and they saw his humor and intelligence. Rosalie said she did it as much for Benny as she did for the other students. She knew Benny had a lot to share and wanted to give him an opportunity to do so. She also wanted the other students to know that it is worth the extra effort to get*

*to know a student who might seem more remote at first. She hoped this would carry over to middle school and enrich their lives as well. She wanted the other students to realize that inside his quiet demeanor was a creative, funny and passionate child. It was a lesson for everyone, a time to realize we all have parts of ourselves that can be hidden in certain situations.*

*Boulder believes that the social is as important as the academic. A child who is unhappy and unrelated to his peers is not a child who will learn well how to live and work in society. The emphasis we place on academics can only work if we conjoin it with an equal emphasis on community. This is magnified for students who may struggle socially but it is true for each and every one of them. This is perhaps where educational reform is heading most astray. The single-minded pursuit of academic excellence will not work because we need to work together in this world to create positive change and societal growth. I still marvel at how amidst the stress of Common Core and new state tests, grade 4 teachers across the country are cutting out all sorts of extra's from their classrooms, while Rosalie, here at Boulder, is taking away reading time and listening for laughter.*

*Of all the many reasons I wanted inclusion for Benny, the most compelling was for the chance to find friendship. I was not sure that simply moving him into a general education classroom would enable friendships to form, but that was my deepest wish for Benny. I could envision a life without the ability to read or write or even to speak, but I could not imagine a life devoid of companionship.*

In this episode we see how a teacher can create an arrangement within a reading class that benefits all of the children. Although Benny does not yet read at this point in time, it is important for him to communicate with his peers. By allowing conversation time, he comes to know all of his classmates, their personalities, and their interests. The act of reading is about communication (albeit in a limited way), and in order to get there, Benny has to come to understand the value of communication in a larger sense, among his peers and about their interests. Then, reading makes more sense because people tend to read about what they are interested in. The opportunity to share likes, dislikes, skills, questions... makes for a rich experience for both students, and for Benny to understand the concept of peers/friends and for peers/friends to understand an atypical student like Benny.

It is precisely at junctures like this that teachers often feel stumped for the right thing to do—restrained by an unimaginative curriculum, and fearful of not always following the “official script” for all students, regardless of whether that script is within reach of a student’s current capabilities. However, by opening up the format of the class (allowing 1 on 1 with a peer for Benny and the peer), and broadening the concept of independent reading to independent talking, the teacher actually provides

what students need. All students in that class come to see Benny as Benny, not primarily the student with a disability who is called Benny. The social, emotional, and academic are entwined in lessons like this, permitting all students to be who they are and contribute to the collective class knowledge. It also demystifies dis/ability as difference that is sometimes noticeable, and yet is natural. In reflecting upon Diane's desire to see that her son has friends, she knew that moving Benny to a general education class would not automatically result in friendships, but it was the first step in the right direction. Between the targeted attention of speech therapists and coming to understand all of his peers within the general education classroom, Benny eventually shifted from having little or no conversational skills to being fully conversational, thus averting "a life devoid of companionship."

## **Discussion**

In this section we return to the question posed: *In what ways does a mother's narrative of including her son with a disability in his local school inform inclusive practices in general?* The vignettes featured are part of a larger narrative in which we study what Boulder and its staff did to ensure that Benny's experience with inclusion was successful. In some ways, Diane's constant interactions with members of the school, observations of the services and supports provided to her son, and her reflections on what was happening and why, create a deeply personal rendering of her own reality, and that of her family members. While highly personalized, her account provides numerous insights into ways an inclusive placement for a student who does not "fit the mold" can work.

As can be seen throughout the vignettes, Benny's inclusion is always very much a work in progress. No road map. No blue print for success. No quick and easy answers. The relationship between the school administration, teaching staff, teacher assistants, and Diane's family was calibrated with view to making Benny's school experiences as successful as that of all other students. The term "trial and error," is not an appropriate description of what occurred, but "Let's wait and see," appears apt, along with (to echo the sentiments of a kicked assistant teacher), "...and if things don't work out, we'll look for another way." What became apparent in Benny's classes and on the playground is the importance of peer relationships in working with an atypical child to satisfy social and emotional domains of schooling, while positively impacting the academic domain. Teachers sometimes do not sufficiently capitalize on these interpersonal types of pedagogy that can potentially give rise to 'win-win' situations involving all students participating and successfully contributing within classes.

Teachers themselves, even the most seasoned, sometimes were surprised at what did not work and equally surprised as what did. This raises



the point of how children with different needs *stretch* all teachers' pedagogy, expanding their repertoire, requiring them to pause, reflect, approach teaching from an alternative angle that had not been fully considered to date. Seeing oneself—as well as Benny's inclusion—as a constant work in progress is a healthy and realistic to integrate into one's teaching disposition.

Service providers in this story contribute to, but do not dominate, Benny's schooling experiences. The mechanical intervention approaches referred to by Diane eventually gave way to an integral experience in classrooms wherein the speech teacher “pushed in” to general education classes and helped all students with communication skills. All of the above characteristics of the school are cultivated by a principal who is committed to the idea that each student should feel welcome, grow, and be happy with who they are.

Above all, this narrative is testimony to Diane's unrelenting drive to have her son included into general education. The alternatives within New York City were simply not acceptable. It seems unbelievable that Diane and her husband David rejected what the school system offered to be the most “appropriate” placements, and were threatened with a lawsuit by the Department of Education who believed that the parent's desire to have their child included was borderline abusive. Instead, having followed her instinct, and rejected the knowledge, advice, and restrictive placements suggested by educational experts, Diane is secure in the knowledge that Benny's placement in a school that “does” inclusive education responsibly has immeasurably changed his life for the better.

### **Implications**

This paper has verified the power of narrative knowing and the centrality of people with dis/abilities and/or their family members being at the center of the research. Narratives provide readers with accessible accounts of everyday events and commonplace dilemmas within schools and classrooms. As narratives describe actual happenings, even though they are filtered through the eyes of an observer/writer, they reflect a form of “reality” that is readily understood by the majority of teachers, parents, and people with disabilities. Within these shared vignettes, it is clear to see the actualities of a child, a family, a school, a community, and the ways in which they are linked. Such stories can be seen as counter-narratives to the dominant institutional discourses of exclusion and segregation (such as in New York City's Department of Education) for children with autism and their access to general education. Importantly, family perspectives of important issues within education such as inclusion can be less fettered by traditional special education groundings, and are not required to be quantitative and positivist in conception and design. Incidental, everyday,

“Let’s try this and see” approaches have worked in this instance, and will likely work for many other children who are in highly particularized inclusive situations.

## **Conclusion**

We have focused on a mother’s narrative knowing about inclusive education for her son with a disability. This was accomplished through using the lens of DSE that privileges the voice of disabled people and their family members. Diane’s story confirms and extends existing literature in the field, valuing the knowledge of mothers. The use of vignettes provides insights into different aspects of inclusive education—friendship, classroom support, pedagogy, and community—in a specific setting. Analysis and reflections upon ways in which episodes within vignettes inform the knowledge base of the interrelated fields of education, special education, and inclusive education. As a result of this work, our recommendations include an approach to inclusive education similar to the practices documented at Benny’s school: a committed, visionary principal; flexible, open teachers; specially trained assistants; differentiated pedagogy and creative opportunities for students with and without dis/abilities to come together. Finally, it is crucial that we call attention to the exclusionary practices from which Benny escaped. If parents simply accepted what the school district advised them, Benny would not be the young man he is today and an active member of his community. As Lennard Davis notes, “The body is never a physical thing so much as a series of attitudes toward it” (2002, p. 22). We hope this paper has given renewed food for thought in terms of providing responsible inclusive options for students identified as dis/abled.

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# **Discriminant Analysis Projected Onto The Standard Metric As A Method For Determining Differences In Intellectual Abilities Between Track-And-Field Athletes And Basketball Players**

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## **Abstract**

The research was conducted in order to determine the structure and differences in cognitive dimensions of track-and-field athletes and basketball players. For the purpose of determining the structures and their differences in the manifest and latent cognitive spaces, 100 male respondents aged 14 and 18 was tested. This sample can be considered representative of athletes of those ages. For the assessment of cognitive abilities, the researchers used 6 measurement instruments selected so that the structure analysis could be performed on the basis of the cybernetic model designed by (Das, Kirby & Jarman 1979) and by (Bosnar & Horga, 1981), (Momirovic, Bosnar & Horga 1982), taking into account the fact that the selected tests measure three types of cognitive processing . To assess the effectiveness of the input processor, or perceptual reasoning, CF-2 and GT-7 were selected, to assess the effectiveness of the parallel processor, or identification of relations and correlates - IT-2 and D-4S, and to assess the effectiveness of the serial processor, or symbolic reasoning, ALPHA-7 and G-SIN were selected. All the data in this research were processed at the Multidisciplinary Research Center of the Faculty of Sport and Physical Education, University of Pristina, through the system of data processing software programs developed by Popovic, D. (1980), (1993) and Momirovic, K. & Popovic, D. (2003). To determine differences between the groups, canonical discriminant analysis was applied. The researchers calculated the discriminant coefficient values,

canonical correlation coefficients, percentage of the explained group variability, Bartlett's chi-square test values, degrees of freedom, Wilks' Lambda values, and error probability in the rejection of the hypothesis that the actual canonical correlation value is equal to zero. They also calculated the standardized coefficients of the participation of the tests in the formation of significant discriminant functions, as well as centroids of the groups on the significant discriminant functions. The results of the discriminant analysis of cognitive variables show that athletes of different sports differ from each other significantly. By means of condensation of variables in cognitive space, two discriminant variables, which maximally separated the groups of athletes based on the discriminant coefficients, were isolated.

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**Keywords:** Cognitive dimensions, discriminant, structure, correlation, variables, centroids

### **Introduction**

Transformation processes, incurred as a result of the adaptation of an athlete's organism to the training stimuli, are the phenomena caused by the regularities in the relations of internal physiological, biomechanical and psychological systems, as well as in the relations between the athlete as an integral anthropological entity and the environment. Today we can only speculate about the transformation processes, induced by synchronous effects of endogenous and exogenous factors, on the basis of the final effects of the exercise, and we know very little about the nature of the phenomena of adaptation of the athlete's organism to the established exercise load. Modern science uses interdisciplinary approaches to such complex research areas. For the convergence of different scientific disciplines and their compliance with empirical evidence and requirements, a common basis is necessary.

It is cybernetics, with its modern methodological procedures, that significantly contributes to the sciences of physical culture, especially sport, in their transcending the descriptive level. If the process of athlete education is understood in the context of cybernetic planning as a system, familiarization with the system structure and relations in the system, as well as the relations between the system and environment, contributes to discovering the principles, methods and tools that lead to achievement of optimal management, which is the aim pursued in modern sport. Systematic training is essentially a transformation process through which an athlete, as a system, is transformed from one state into another in accordance with the requirements of a given sport or sport discipline. Since it is necessary to master the regularities which the transformation processes undergo to achieve efficient management, it is necessary to know the structure and relations among the constituent elements of the system.



Through modeling, it is possible to receive the sets of the system elements which are considered to be responsible for the studied phenomenon. Modeling as a method is characterized by the creation of a system that is, in its essential characteristics, analogous to the real phenomenon being examined. If the model structures do not represent all the essential characteristics of the studied original, they will be partial models. A partial model, despite its abundance, is a process model and can describe transformation processes in an athlete's body caused by systematic training in essential characteristics. For the rational creation of a model of transformation processes, "conditio sine qua non" is a model of the anthropological space structure, i.e. a model that integrates all known anthropological qualities considered to be responsible for motor manifestations and therefore, for top sport results.

However, it should be noted that, at the current level of knowledge, the deterministic models of human locomotion can be applied in a limited number of cases. This refers, first of all, to the modeling and then to the simulation of simple movements which generally characterize competition results of primarily individual sports such as track-and-field. In other sports and sport games, which fall under the category of polystructural sports and where athletes' performance takes place under changing conditions, deterministic modeling can be used for the purpose of improvement of crisis technical elements, while competition performance modeling primarily, but not exclusively, should be of stochastic character. Because of that, as well as because of the fact that stochastic models generally have (for the same observed parameters) lower diagnostic and prognostic levels, they should include the highest possible number of athletes' anthropological characteristics that are known or expected with some degree of probability to contribute to sport results. Previous studies show that there are relations between cognitive space and other anthropological subspaces in stochastic modeling.

### **Sample of respondents**

The selection of a sample of respondents is conditioned, among other things, by the organizational and financial capabilities necessary for the implementation of the research process.

It was necessary to ensure a sufficient number of trained and qualified measurers, appropriate instrumentation and standardized conditions under which the research could be implemented. Limited financial resources and organizational capabilities influenced the decision to perform the measurement not throughout Kosovo and Methohia but only in one of its regions.

The research was carried out on randomly selected samples representative of whole Kosovo and Methohia. The measurement was performed in the following sports: track-and-field and basketball. To do the research correctly and obtain results stable enough in terms of sampling error, it was necessary to take a sufficient number of respondents into the sample. The sample size for this type of research is conditioned by the research objectives and tasks, the population size and degree of variability of the applied system of parameters. In addition, the number of respondents in the sample also depends on the level of statistical inference and the choice of mathematical and statistical models.

Based on the selected statistical-mathematical model and program, objectives and tasks, 100 respondents were included in the sample. In all factor procedures, should constantly be kept in mind that the analysis results depend on three main systems that determine the selection and transformation of information: the sample of variables, sample of respondents and selected extraction or rotary methods. Taking these criteria into account, based on the experience from previous studies, the sample of 100 respondents is considered to be sufficient for this study. In defining the population from which the sample was drawn, except for the above, no other restrictions or stratification variables were used.

### **Sample of variables for assessment of cognitive abilities**

The starting basis for the research was the findings of the studies of the structure of cognitive dimensions conducted in Yugoslavia (Bosnar & Horga, 1981), (Momirovic, Bosnar & Horga 1982), (Boli, E., Popovic, D., Popovic, J., 2012) that were largely congruent with the results of studies carried out in other countries.

These studies have provided unequivocal evidence that the structure of cognitive abilities is of hierarchical type, where at the top is the general cognitive factor below which are three primary factors of cognitive abilities related to: the effectiveness of the perceptual processor (perceptual reasoning), effectiveness of the parallel processor (ability to identify relations and correlates), and the effectiveness of the serial processor (symbolic reasoning).

The factor of perceptual reasoning is defined as a latent dimension responsible for receiving and processing information and solving those problems whose elements are given directly in the field of perception or representation. This factor represents the intelligence of Thurstone perceptual factors and is similar to Alexander`s practical factor, Cattell`s general perceptual factor and Horn and Stankov`s general function factor.

The factor of education of relations and correlates is defined as a latent dimension responsible for determining relations between the elements

of a structure and essential characteristics of such structures in solving those problems in which the processes of determining and restructuring are independent of the previously acquired amounts of information. This factor corresponds to Cattell's factor of fluid intelligence.

The factor of symbolic reasoning is defined as a latent dimension responsible for the processes of abstraction and generalization and for solving those problems whose elements are given in the form of any, and especially verbal, symbols. This factor corresponds to Cattell's factor of crystallized intelligence which is formed in the process of acculturation and represents the integration of both Thurstone verbal factors and their numerical factors.

To assess the effectiveness of the input processor, or perceptual reasoning, the researchers selected the tests as follows:

TEST CF-2: a test of latent model representing the adaptation of Thurstone's Drawing Test which is, as a marker test, applied for assessing flexibility, or the factor of convergent production of figural transformations (according to Guilford's classification). The test contains 20 tasks; the testing time is limited to 3 minutes. The analysis of this test shows that the test had good characteristics.

TEST GT-7: B. Dvorak's test of matching drawings to assess perceptual identification. It contains 4 blocks of 12-18 geometric drawings made in two differently organized contexts. It consists of 60 tasks, and the testing time is limited to 6 minutes. The analysis of the test shows that this test has all the characteristics of a speed test.

To estimate the effectiveness of the parallel processor, or identification of relations and correlates, the researchers selected the following measurement instruments:

TEST IT-2: Thurstone and Dvorak's test of general visualization designed to assess the efficiency of perception of spatial relations. It contains 39 multiple choice tasks to determine which of the four given geometric bodies matches the drawing. The testing time is 10 minutes, so this test falls under the category of power tests.

TEST D-4S: Anstey's Dominoes Test to assess the general factor of intelligence. In this study, the researchers applied a revision of the original form Momirovic that did not contain the four tasks which were very poorly saturated with the common measurement subject of other tasks. The test includes 40 tasks each of which consists of 4-8 dominoes arranged in a certain order where the gap should be filled in with the appropriate value to fit into the given structure. The testing time is 15 minutes, therefore, the test belongs to the category of power tests.

To assess the effectiveness of the serial processor, or symbolic reasoning, the following measurement instruments were selected:

TEST ALPHA-7: F. L. Well's Analogies Test to measure verbal comprehension. The test contains 39 tasks and the testing time is 3 minutes, which characterizes it as a speed test. The first main subject of measurement of the test is defined, in the first place, by less difficult tasks and interpreted as the ability to perceive simple analogies on symbolic material.

TEST G-SIN: Synonyms Test by for the assessment of rapid identification of semantic meanings of verbal symbols. It contains 39 multiple choice tasks of identifying among 5 words the one closest in the meaning to the given word. The test falls under the category of speed tests because the testing time is 3 minutes.

### **Data processing methods**

The value of a research does not only depend on the sample of respondents and sample of variables, that is, the values of basic information, but also on the applied methods for transformation and condensation of the information. Certain scientific problems can be solved with the help of a number of different, and sometimes equally valuable, methods. However, with the same basic data, from the results of different methods, different conclusions can be drawn. Therefore, the problem of selecting data processing methods is rather complex.

In order to obtain satisfactory scientific solutions in a research, it is necessary to use, first of all, correct, then adequate, unbiased and comparable procedures which correspond to the nature of the problem and provide extraction and transformation of appropriate dimensions, the testing of hypotheses about those dimensions, and establishment of basic regularities within the research area.

Taking this into account, for the purposes of this study, the researchers selected those methods which were considered to correspond to the nature of the problem.

To determine differences between the groups, a method of discriminant analysis was applied. The researchers calculated the discriminant coefficient values (Eigenval.), canonical correlation coefficients (Can. Cor.), percentage of the explained group variability (chi-square test (Chi)), degrees of freedom (DF), Wilks' Lambda values (WL), and error probability in the rejection of the hypothesis that the actual canonical correlation value is equal to zero (Sig).

They also calculated the standardized coefficients of participation of the tests in the formation of significant discriminant functions, as well as the centroids of the groups on the significant discriminant functions.

All the data in this study were processed at the Multidisciplinary Research Center of the Faculty of Sport and Physical Education, University of Pristina, through the system of data processing software programs

developed by Popovic, D. (1980), (1993) and Momirovic, K. & Popovic, D. (2003).

### Projection into a space with standard metric

The resulting solution is very easy to convert into a form obtained under the canonical model of discriminant analysis.

The matrix of discriminant coefficients can be defined as a matrix of partial regression coefficients that is obtained by solving the problem  $\mathbf{Z}\mathbf{W} = \mathbf{K} + \mathbf{E} \mid \text{trag}(\mathbf{E}^t\mathbf{E}) = \text{minimum}$ .

As  $\mathbf{K} = \mathbf{Z}\mathbf{R}^{-1/2}\mathbf{X}$ , it is clear that  $\mathbf{E} = \mathbf{0}$  and  $\mathbf{W} = \mathbf{R}^{-1/2}\mathbf{X}$ . Therefore, vectors  $\mathbf{w}_k$  from  $\mathbf{W}$  are proportional to the coordinates of the vectors of discriminant functions in the tilted coordinate system formed by vectors from  $\mathbf{Z}$  with cosines of the angles between the coordinate axes equal to the elements of correlation matrix  $\mathbf{R}$ . Since discriminant analysis can also be interpreted as a special case of component analysis with principal components transformed by a permissive singular transformation so as to maximize distances between centroids of subsets  $E_p$ , or canonical correlations  $\square_k$  (Cooley & Lohnes, 1971), the custom is to identify the content of discriminant functions on the basis of structural vectors  $\mathbf{f}_k$  from the matrix  $\mathbf{F} = \mathbf{Z}^t\mathbf{K} = \mathbf{R}\mathbf{W} = \mathbf{R}^{1/2}\mathbf{X} = (\mathbf{f}_k) = (\mathbf{R}\mathbf{w}_k)$ , which is analogous to the identification of the content of canonical variables obtained by Hotelling's method of biorthogonal canonical correlation analysis because it is possible to show by easy calculation that  $\mathbf{F}$  is a factor matrix of matrix  $\mathbf{R}$ .

In this metric, the cross structure of discriminant functions will be  $\mathbf{U} = \mathbf{Z}^t\mathbf{L}\square^{-1} = \mathbf{Z}^t\mathbf{P}\mathbf{Z}\mathbf{W}\square^{-1} = \mathbf{W}\square$  as, of course,  $\mathbf{W}^t\mathbf{Z}^t\mathbf{P}\mathbf{Z}\mathbf{W} = \square^2$ , and it is clear that  $\mathbf{U}$  is a factor matrix of the matrix  $\mathbf{Z}^t\mathbf{P}\mathbf{Z}$ , or intergroup covariance matrix defined in the space with standard metric.

As elements  $f_{jk}$  of matrix  $\mathbf{F}$  and elements  $u_{jk}$  of matrix  $\mathbf{U}$  behave like ordinary product-moment correlation coefficients, and as they are a function of normally distributed variables, and therefore, they themselves are asymptotically normally distributed, their asymptotic variances are, of course,  $\square_{jk}^2 \sim (1 - \square_{jk}^2)^2 n^{-1}$   $j = 1, \dots, m; k = 1, \dots, s$ , respectively,  $\square_{jk}^2 \sim (1 - \square_{jk}^2)^2 n^{-1}$   $j = 1, \dots, m; k = 1, \dots, s$ , and can be used for testing hypotheses of type  $H_{jk}: f_{jk} = \square_{jk}$ , or  $H_{jk}: u_{jk} = \square_{jk}$ , where  $\square_{jk}$  and  $\square_{jk}$  are some hypothetical correlations between variables from  $\mathbf{V}$  and discriminant functions in population  $P$  because the asymptotic distribution of coefficients  $f_{jk}$  is  $f(f_{jk}) \sim N(\square_{jk}, \square_{jk}^2)$ , and the asymptotic distribution of coefficients  $u_{jk}$  is  $f(u_{jk}) \sim N(\square_{jk}, \square_{jk}^2)$ , where  $N$  is a symbol of normal distribution.

### Reliability, informativeness and significance of discriminant functions

Let  $\mathbf{V}^2 = (\text{diag } \mathbf{R}^{-1})^{-1}$  be a diagonal matrix whose elements are estimates of unique variances of variables from  $\mathbf{V}$ . Now, as shown by

Momirovic, reliability, or, more precisely, generalizability of discriminant functions can be assessed based on the values of diagonal elements of the matrix  $\Lambda = (\text{diag}(\mathbf{W}^t(\mathbf{R} - \mathbf{V}^2)\mathbf{W}))(\text{diag}(\mathbf{W}^t\mathbf{R}\mathbf{W}))^{-1}$ , relative informativeness - based on the elements of the diagonal matrix  $\Lambda^2 = (\mathbf{I} - \Lambda)^{-1}\mathbf{m}^{-1}$ , and redundancy of these functions – based on the elements of the diagonal matrix  $\Lambda = \Lambda^2\Lambda$ .

Of course, for making judgments about what is the real meaning of discriminant functions, these data can be of much greater importance than the results of the tests of significance of canonical correlations.

### Disc program

This algorithm is almost literally implemented into the program DRDISC written in a matrix language so that it can be realized in the standard SPSS environment. The activation method and some details of the program can be seen from the program symbolic code which is stored at the Multidisciplinary Research Center of the Faculty of Sport and Physical Education, and clear instructions are given to make it possible for anyone, who needs it, to apply the canonical discriminant analysis correctly. Modification of this program and its practical implementation in the SAS environment were carried out by D. Popovic in 2004, and the scientists interested in its application can contact the author at any time.

### Discussion

The results of the discriminant analysis of cognitive variables show that athletes of different sports differ from each other considerably. The canonical correlation coefficients (Can. Cor.) are .90 and .51. The significance of this discrimination tested by means of Wilks` test and Bartlett`s chi-test with 8 and 3 degrees of freedom (DF) indicates high significant differences between the groups of the tested athletes because Sig. = .00 for both roots, and chi = 4.88 for the first root and chi = 75.12 for the second root.

Through condensation of variables in the cognitive space, two discriminant variables, which maximally separated the groups of athletes on the basis of discriminant coefficients, were isolated.

The first discriminant function explains the differences with 92.52 percent of intergroup variability in the cognitive space of the applied discriminant variables.

Analyzing Table 2 reveals that the first discriminant function separates the athletes on the basis of IT-2 which is, in its initial subject of measurement, designed to assess the effectiveness of spatial relations. This factor is actually subordinated to the mechanism responsible for the determination of relations between the elements of a structure and essential

characteristics of such structures in solving those problems in which the determination and reconstruction processes are independent of the amounts of the previously acquired information (it is a generally known mechanism for parallel processing).

Another factor that determines this function is CF2 which in the initial measurement estimates convergent productions of figural transformations and it is subordinated to the mechanism responsible for receiving and processing information and solving those problems whose elements are given directly in the field of perception and representation. It is, in fact, a mechanism commonly known in cybernetics as an input processor.

Based on the value and sign of the projection of the centroid onto the first discriminant function, it can be concluded that track-and-field athletes have a better expressed factor of symbolic reasoning, i.e. they better understand verbal contents and it is not so important for them to solve those problems whose elements are given directly in the field of perception and representation, and their movement stereotypes are very important, that means they are very dependent on the previously acquired amounts of information. It is a sport where there is no need for solving complex motor tasks, but the result depends on the level of acquisition of the techniques and on other abilities, primarily motor and cardiovascular ones.

Basketball players must have the ability to efficiently perceive spatial relations, i.e. they must have the ability to receive and process information and solve those problems whose elements are given directly in the field of perception and representation.

The second discriminant function, though it exhausts the smaller variance, can still be meaningfully interpreted, and is determined by ALPHA-7 which assesses the ability to understand verbal contents, or effectiveness of parallel processing, and by GT-7 which assesses perceptual identification, or effectiveness of the input processor.

Based on the value and sign of the centroid on the second discriminant function, it can be concluded that basketball players have a more expressed ability for abstraction and generalization processes and a better ability to receive and process information, which is understandable considering the complexity of the sport discipline and requirements it imposes on the athletes.

Discriminant functions in cognitive space. Table 2

Func.	Eigenval.	Var. %	Cum. %	Can.Cor.	Wilks' Lam	Chi <sup>2</sup> - test	DF	Sig
1*	4.46	92.52	92.52	.90	.13	488.88	6	.00
2*	.36	7.48	100.00	.51	.73	75.12	3	.00

STRUCTURE MATRIX

	FUNC1	FUNC2
IT-2	.98*	-.08
CF-2	.67*	-.05
D-4S	.52	.30*
ALPHA-7	-.17	.24*
GT-7	-.05	.21*
G-SIN	.05	-.09

CENTROIDS OF THE GROUPS

Group	C1	C2
Track-and-field athletes 1	-2.64	-.03
Basketball players 2	1.56	.67

## Conclusion

The study was conducted in order to determine the structures and their differences in cognitive dimensions of track-and-field athletes and basketball players.

For the purpose of determining the structure and their differences in manifest and latent cognitive spaces, 100 male respondents aged 14 and 18 were tested. This sample can be considered representative of athletes of those ages.

For the assessment of cognitive abilities, the researchers applied 6 measurement instruments selected so that to the structure analysis could be performed on the basis of the cybernetic model designed by (Das, Kirby, & Jarman 1979), and by (Momirovic, Gredelj, Hosek 1980), taking into account the fact that the selected tests measured three types of cognitive processing. To assess the effectiveness of the input processor, or perceptual reasoning, CF-2 and GT-7 were selected, to assess the effectiveness of the parallel processor, or perception of relations and correlates - IT-2 and D-4S, and to assess the effectiveness of the serial processor, or symbolic reasoning, ALPHA-7 and G-SIN were selected.

All the data in this study were processed at the Multidisciplinary Research Center of the Faculty of Sport and Physical Education, University of Pristina, through the system of data processing software programs developed by Popovic, D. (1980), (1993) and Momirovic, K. & Popovic, D. (2003). To determine differences between the groups, canonical discriminant analysis was applied.

The researchers calculated the discriminant coefficient values, canonical correlation coefficients, percentage of the explained group variability, Bartlett's chi-square test value, degrees of freedom, Wilks' Lambda values, and error probability in the rejection of the hypothesis that the actual canonical correlation value is equal to zero.



They also calculated the standardized coefficients of participation of the tests in the formation of significant discriminant functions, as well as the centroids of the groups on the significant discriminant functions.

The results of the discriminant analysis of cognitive variables show that athletes of different sports significantly differ from each other.

Through the condensation of variables in the cognitive space, two discriminant variables that maximally separated the groups of athletes on the basis of discriminant coefficients were isolated.

Analyzing Table 2 reveals that the first discriminant function separates the athletes on the basis of IT-2 which is, in the initial subject of measurement, aimed at assessing the effectiveness of spatial relations. This factor is actually subordinated to the mechanism responsible for determining relations between the elements of a structure and essential characteristics of such structures in solving those problems in which the determination and reconstruction processes are independent of the previously acquired amounts of information (mechanism for parallel processing).

Another factor that determines this function is CF-2 which, in the initial measurement, estimates convergent productions of figural transformations and it is subordinated to the mechanism responsible for receiving and processing information and solving those problems whose elements are given directly in the field of perception or representation. It is a mechanism known in cybernetics as an input processor.

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discriminant function, it can be concluded that basketball players have a better expressed ability for abstraction and generalization processes, as well as a better ability to receive and process information, which is understandable considering the complexity of the sport discipline and requirements it imposes on the athletes.

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# **Vehículos Eléctricos. Historia, Estado Actual Y Retos Futuros**

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## **Abstract**

Electric Vehicles. Past, present and future trends. In this century, environment impact and energy conservation are very important and growing concerns. The development of electric vehicles is of vital importance because combustion based vehicles is not a sustainable option for a near future. Moreover, policy incentives together with pollution and noise concerns and the use of renewable energy have made commercially viable electric and hybrid vehicles a reality. This paper gives an overview of the history of electric vehicles, the present status, and the future research lines. The main problems associated with electric vehicles development and effective implementation such as energy storage, electronics and control is analysed.

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**Keywords:** Electric Vehicles, technology

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## **Resumen**

El uso de combustibles fósiles en los vehículos actuales con motores de combustión interna es insostenible a medio plazo. La única alternativa posible es el desarrollo de vehículos eléctricos. En este artículo se analiza la historia, la evolución y los principales problemas que se deben resolver para el desarrollo y la implantación de los vehículos eléctricos.

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**Palabras Clave:** Vehículos eléctricos, tecnología

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## **Historia**

Durante el siglo XIX se desarrolló la electricidad de forma espectacular. La pila de Volta (1800) dio lugar al desarrollo de esta rama de la ciencia, al permitir la realización de experimentos repetibles con corrientes eléctricas. Los vehículos eléctricos se inventaron en la primera mitad del siglo XIX, mucho antes que los vehículos con motores de gasolina y diesel. Posiblemente el primer prototipo lo construyó el húngaro Ányos Jedlik en

1828. Era un modelo de pequeño tamaño movido por un motor eléctrico inventado por él mismo

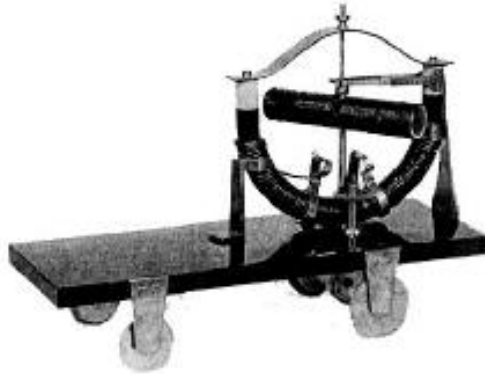


Fig. 1. Vehículo eléctrico inventado por Ányos Jedlik en 1828

En 1834 un herrero de Vermont llamado Thomas Davenport inventó el primer vehículo eléctrico movido por una batería. Construyó un pequeño tren con una vía circular, movido por una batería. Las vías hacían de conductores de la electricidad. Davenport también inventó el primer motor eléctrico de corriente continua.

Entre 1832 y 1839 el escocés Robert Anderson construyó el primer coche movido por electricidad, usando como fuente de energía una batería no recargable.

En 1835 el holandés Sibrandus Stratingh y su ayudante Cristófer Becker desarrollaron un vehículo accionado por baterías no recargables, que es el precedente de los actuales coches eléctricos.



Fig. 2. Coche eléctrico construido por el profesor Stratingh

La primera locomotora eléctrica fue inventada por Robert Davidson en 1837, impulsada por motores eléctricos contruidos por él mismo. Independientemente, en USA Willian H Taylor inventó los mismos motores en 1838, sin conocer cada uno el trabajo del otro.

Davidson construyó en 1842 un vehículo eléctrico con cuatro ruedas al que llamó Galvani, que usaba como fuente de energía baterías de zinc-ácido y que alcanzaba una velocidad de 4 mph, aunque no podía transportar pasajeros.

El problema principal de los vehículos eléctricos eran las baterías. Los cálculos demostraban que el consumo de zinc de una batería resultaba cuatro veces más caro que el carbón de una máquina de vapor, que en aquel tiempo era el competidor del motor eléctrico.

En 1840 en Inglaterra, y en 1847 en USA se patentó el uso de los railes de tren para el transporte de la electricidad. El invento de la dinamo en 1860 y su perfeccionamiento posterior dio un gran impulso a la tracción eléctrica .

En 1850 Gaston Planté inventó la batería recargable de ácido-plomo, que todavía se usa en la actualidad para alimentar el motor de arranque de los coches. Su principal ventaja es que puede mantener una corriente eléctrica durante un largo periodo de tiempo, aunque en sus primeras versiones era pesada y voluminosa.

Durante el siglo XIX, paralelamente a los motores eléctricos, también se fueron desarrollando las baterías eléctricas.

En 1898 se construyeron y comercializaron los primeros modelos de veículos eléctricos que circularon por las calles de Londres y Nueva York. Los motores eran de corriente continua, conectados a unas baterías que se podían conectar en serie y en paralelo en varias configuraciones, controlando así la velocidad y el par.

En la primera década del siglo XX se fabricaron y comercializaron varios modelos de coches eléctricos, que eran poco más que una carroza donde los caballos se habían sustituido por un motor eléctrico de corriente continua y una batería. La autonomía era de entre 20 y 30 km, la velocidad de 25 km/h, y el precio de 2000 a 3000 USD.

En las ciudades las distancias eran pequeñas, y no se precisaba de más autonomía. No obstante, su precio era prohibitivo, y solo estaban al alcance de personas muy ricas.

Los primeros coches de gasolina aparecieron en los años 20. Tenían grandes desventajas en comparación con los coches eléctricos: Eran muy ruidosos, producían un desagradable y fuerte olor a gasolina, y eran difíciles de conducir, debido al difícil manejo de la palanca del cambio de velocidades. Para arrancarlos había que usar una manivela para dar un impulso inicial al motor. Se necesitaba un chofer con fuerza y habilidad para

manejar aquella complicada máquina. El precio de un coche de gasolina era incluso mayor que el de su homólogo eléctrico, que no tenía problema de arranque, no producía olores ni ruido, y podía ser conducido incluso por una mujer. La batalla parecía haber sido ganada definitivamente por el vehículo eléctrico.



En la fotografía se muestra un vehículo utilitario comercializado en 1902. Es el Phaeton. Alcanzaba una velocidad de 14 mph, tenía una autonomía de 18 millas, y su precio era de 2.000 USD.

No obstante, en los años entre 1920 y 1930 ocurrieron algunos hechos que inclinaron la balanza “definitivamente” a favor del vehículo de gasolina:

En Texas y otros estados de USA se encontró gran cantidad de petróleo, lo que abarató el combustible de los coches de gasolina. Se construyeron carreteras que unían las ciudades, permitiendo a los vehículos de gasolina trasladarse de una ciudad a otra, lo que no estaba al alcance de la corta autonomía del vehículo eléctrico.

El invento de motor de arranque, un pequeño motor eléctrico que con la ayuda de una batería de relativamente pequeño tamaño daba el impulso inicial al motor de explosión facilitando el arranque eliminaba la incómoda manivela.

Finalmente, el invento por Henry Ford de la cadena de montaje permitió la producción en serie de coches de gasolina, abaratando su coste y poniéndolo al alcance de la clase media.

En la década de los 1920 un coche eléctrico costaba unos 2000 USD y tenía una autonomía de 25 km. Su equivalente de gasolina costaba unos 600 USD con autonomía prácticamente ilimitada.

Debido a la combinación de todos estos factores, al final de la década de los 20 el coche de gasolina había ganado la batalla definitiva y en los años 30 el coche eléctrico dejó de fabricarse.

En los años 70 comienza un nuevo resurgir del coche eléctrico. La crisis energética produce un aumento del precio de la gasolina. La sociedad en los países avanzados comienza a tomar conciencia de los efectos de la emisión a la atmósfera de los gases de la combustión del petróleo, el conocido efecto invernadero y el cambio climático.

El resurgir es al principio tímido, pero da lugar a modelos desde vehículos utilitarios hasta autobuses e incluso camiones.

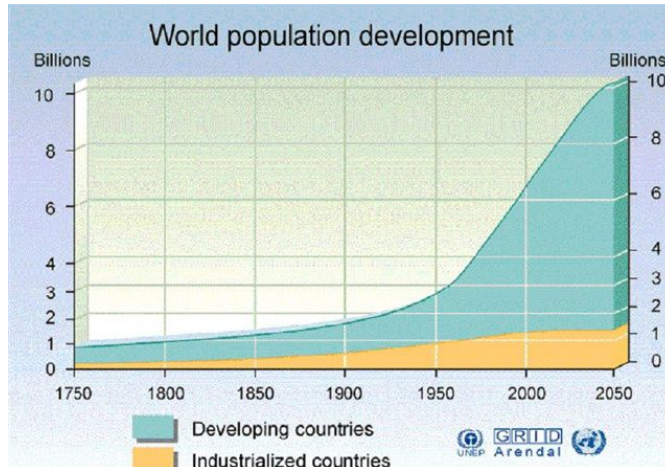
La preocupación por la emisión de gases de efecto invernadero y por el cambio climático desde entonces ha ido en aumento así como el precio del petróleo. La sociedad es cada vez más consciente de que el modelo de transporte actual, basado en el vehículo individual impulsado por un motor de combustión interna es insostenible a medio plazo.

En otro orden de cosas, en los países desarrollados se produce durante el siglo XX un crecimiento espectacular de las ciudades debido al desarrollo del vehículo individual, las ciudades han crecido de forma espectacular, pues es posible desplazarse decenas de kilómetros todos los días desde el domicilio al lugar de trabajo. Se desarrollan zonas residenciales, muy alejadas del centro y de las zonas industriales de las ciudades, donde habita la mayor parte de la población, que depende del automóvil. Es imposible volver al modelo de ciudad anterior, pero el actual es insostenible. Es urgente encontrar una alternativa a los medios actuales de transporte que sea respetuosa con el medio ambiente.

En la siguiente figura se muestra la evolución de la población mundial desde 1750 hasta la actualidad y su probable aumento hasta 2050. La población en 2010 era de 7.000.000.000 personas, se espera que en 2050 sea de 10.000.000.000 de personas.

El número de vehículos en 2010 era de 75 millones, y se espera que en 2050 sea de 2.500 millones. Si todos estos vehículos son propulsados por motores de explosión y de combustión interna, no hay suficientes reservas de combustibles fósiles en nuestro planeta. Pero mucho antes de agotar las reservas, debido a la diseminación de los gases resultantes de quemar ese combustible la Tierra sería inhabitable por el efecto invernadero.





## 1. Tipos de vehículos eléctricos

Los vehículos eléctricos actuales se clasifican en tres clases:

- a) Vehículo eléctrico de batería (BEV)
- b) Vehículo híbrido (HEV)
- c) Vehículo de célula de combustible (FCEV)

Para la propulsión de los modernos coches eléctricos se utilizan motores de corriente alterna. Solo los pequeños vehículos, como los cochecitos de los campos de golf o los coches de minusválidos usan motores de corriente continua.

Los motores más usados son motores síncronos de imanes permanentes, aunque a veces también se usan motores asíncronos.

Los motores de corriente alterna son más potentes que los de continua, más ligeros, y no necesitan apenas mantenimiento, pero tienen el inconveniente de que su velocidad está determinada por la frecuencia de la corriente alterna de alimentación. Por ese motivo a principios del siglo XX se usaban solo motores de corriente continua, que pueden funcionar a velocidad variable. Los motores de corriente alterna (síncronos o asíncronos) funcionan a velocidad constante, por tanto su uso hasta avanzado el siglo XX se limitaban a aplicaciones como bombas de agua, o en ascensores, pero no era posible su uso en la propulsión de vehículos.

Las baterías suministran corriente continua, y esta es la segunda razón por la que los antiguos vehículos eléctricos usaran motores de corriente continua. Además, en estos motores el control de velocidad es relativamente sencillo, y consiste básicamente en variar la tensión de entrada.

El control de los motores de corriente alterna es más complejo, y requiere de un inversor electrónico que genera a partir de la corriente continua de la batería una corriente alterna de frecuencia variable. Para aumentar la velocidad hay que aumentar la frecuencia, y además

proporcionar el par necesario para acelerar el vehículo, lo que requiere métodos de control más complejos.

Cuando un vehículo eléctrico frena o baja una cuesta existe la posibilidad de invertir el funcionamiento del motor, que pasa a trabajar como generador, y cargar la batería con la energía cinética en el caso de frenada o con la energía potencial en caso de bajada de una cuesta. A este proceso se le llama frenado regenerativo. Esto no es posible en los vehículos de gasolina, en los que estas energías se convierten en pérdidas.

En el siglo XX se ha desarrollado la electrónica que permite el control de velocidad de los motores de alterna y el frenado regenerativo. Esto ha aumentado enormemente la eficiencia de los motores eléctricos, que tienen unas prestaciones y un rendimiento muy superior a los motores de combustión interna, aparte de menor precio y mantenimiento y mayor duración. La eficiencia del motor eléctrico es superior al 90%, mientras que la del motor de combustión interna está en torno al 20%. Debido a todos estos factores, en lo que respecta a los motores, los vehículos eléctricos están a un nivel muy superior a los de combustión interna.

El punto crítico de los vehículos eléctricos en el momento actual es la batería.

Las baterías se suelen clasificar en primarias (que no se pueden recargar) y secundarias (que se pueden recargar haciéndoles pasar una corriente eléctrica en sentido contrario que invierte la reacción electroquímica).

La primera batería la inventó Volta en 1800. Este invento supuso el inicio del desarrollo de la electricidad, pues permitió la experimentación con corrientes eléctricas de forma repetitiva.

La primera batería recargable, de plomo-ácido, se inventó en 1860 por Gastón Pianté. Esta batería se usa todavía en la actualidad en los vehículos con motor de explosión o combustión interna para accionar el motor de arranque y alimentar todos los circuitos eléctricos y electrónicos.

La batería de níquel-cadmio (Ni-Cd) la inventó Waldemar Jungner en 1899. Las baterías más usadas en la actualidad en vehículos eléctricos son la de níquel metal hidruro (NiMH), inventada en 1970, y la de ión litio, que fue inventada por John B. Goodnough en 1980. A lo largo de los siglos XIX y XX se han inventado muchas más baterías, pero las más utilizadas en vehículos eléctricos son las citadas anteriormente.

Los parámetros más importantes de una batería para su uso como fuente de propulsión de un vehículo eléctrico son: Su precio unitario (€/kWh), su densidad de energía (kWh/kg), la velocidad de carga y descarga (que está limitada por la velocidad de la reacción electroquímica) y el número de recargas que admite.

Los ultracondensadores no son baterías, son condensadores de muy alta capacidad. Su carga y descarga no conlleva una reacción electroquímica, por lo que tienen la ventaja sobre las baterías de que el proceso de carga es muy rápido, pueden dar mucha potencia instantánea al descargarse, y no se degradan. En la actualidad están en su fase inicial de desarrollo. Su capacidad es todavía pequeña y su precio muy elevado, por lo que no son aún aptos para los vehículos eléctricos. Pueden ser la alternativa a las baterías en el futuro.

Se muestran en esta tabla solamente las baterías más utilizadas en la actualidad. Se ha incluido la gasolina solo a efectos de comparación, y los ultracondensadores aunque no sean propiamente baterías.

Tipo de batería	Coste (€/Wh)	Densidad de energía (Wh/Kg)	Ciclos de vida	Temperature range
Plomo-ácido	0.14	41	500	-30-+50
NiMH	0.80	95	800	-40-+50
NiCad	1.20	39	800	-40-+50
Lithium-ion	0.35	128	1,000	-40-+60
Ultracondensadores	50,000	5	500,000	-40-+85
<b>GASOLINA</b>	<b>0.00015</b>	<b>12,700</b>	<b>1</b>	

De la observación de esta tabla se deduce que la batería de iones litio es la que ofrece en este momento mejores propiedades, y es por tanto la que llevan prácticamente todos los vehículos eléctricos.

Al ser la densidad de energía 128 Wh/kg, se deduce que una batería de 16 kWh, que es aproximadamente la que se instala en un vehículo utilitario, pesa unos 140 kg y su precio es de unos 15000 €

El tiempo de carga de la batería es de 5 a 10 horas, dependiendo de la potencia.

Un vehículo de estas características tiene una autonomía de hasta 150 km.

Si comparamos el consumo de electricidad con el consumo de gasolina del vehículo convencional, este consumiría en 150 km aproximadamente 7 litros de gasolina, que equivalen a uno 89 kWh, más de 5 veces el consumo del coche eléctrico. Esto se debe al buen rendimiento del motor eléctrico y al frenado regenerativo.



Se muestra en esta fotografía un vehículo eléctrico fabricado por Mishubishi. Sus características técnicas son:

Precio: 25.000 €

Motor síncrono de imanes permanentes de 49 kW

Par máximo: 180 Nm.

Velocidad máxima: 130 km/h

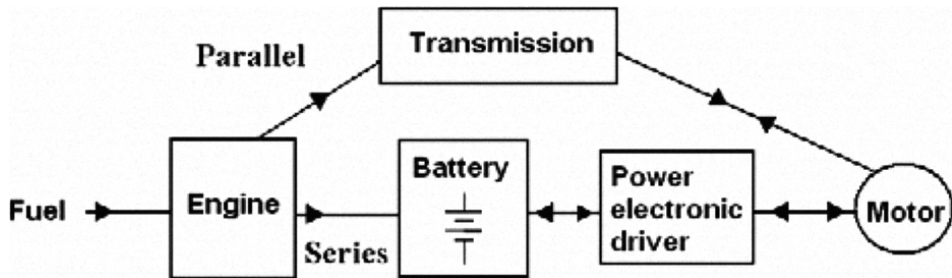
Batería: iones Litio de 16 kWh.

Autonomía máxima: 150 km.

Las ventajas del vehículo de gasolina en la actualidad van desde el precio (la mitad aproximadamente), la autonomía (cinco veces mayor), el tiempo de recarga (de unos minutos que se tarda en repostar, frente al tiempo de recarga de la batería 5 a 8 horas). Las ventajas del vehículo eléctrico son el precio de la energía, especialmente barata si se carga en tarifa nocturna, y las emisiones de gases, que son nulas. Desde luego, cuando se produce la energía eléctrica en centrales térmicas estas emiten gases de efecto invernadero, pero el promedio de gases emitidos por las centrales eléctricas (hidroeléctricas, térmicas convencionales, nucleares y renovables) es muy inferior al producido por la combustión de la gasolina, aparte del menor consumo del vehículo eléctrico.

Los vehículos híbridos tienen un motor de gasolina y un motor eléctrico, que junto con una pequeña batería permite el frenado regenerativo. Su funcionamiento está optimizado para que el consumo de gasolina sea mínimo. Existen modelos plug-in (enchufables) que permiten un ahorro importante de gasolina.

Se muestra en la figura siguiente un esquema de funcionamiento del vehículo híbrido.



En la fotografía se muestra el Toyota Prius. Sus características son:  
Sus características son:

- Motor de gasolina de 57 kW
- Dos motores síncronos trifásicos de imanes permanentes de 18 kW y 33 kW. Cada motor eléctrico necesita un inversor.
- Batería de ion litio de 1.8 kWh.
- 10 km de autonomía como vehículo eléctrico



Toyota Prius 2  
Su precio es de 25.000 €

El vehículo híbrido tiene mayor complejidad por la duplicidad en la tracción. Pero al tener una batería muy pequeña su precio es competitivo.

El híbrido enchufable tiene la complejidad del híbrido y la batería del eléctrico, con lo que su precio es mucho mayor (35.000 € o más).

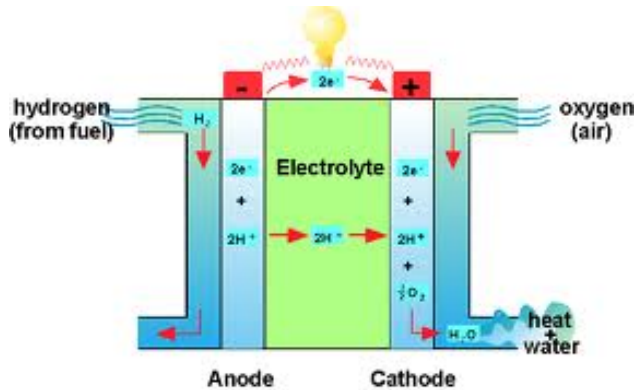
Vehículo eléctrico de célula de combustible (CCEV)

La célula de combustible es una alternativa a la batería como fuente de energía.

En ella se produce la reacción inversa de la electrólisis del agua: a partir del hidrógeno y el oxígeno del aire se produce directamente electricidad más agua.

Esta reacción no produce gases de efecto invernadero.

En la figura siguiente se muestra un esquema de la célula de combustible.



Las reacciones que se producen son: En el ánodo:  $\text{H}_2 \rightarrow 2\text{H}^+ + 2\text{e}^-$

En el cátodo:  $2\text{e}^- + 2\text{H}^+ + \text{O}_2 \rightarrow \text{H}_2\text{O}$

Los electrones circulan del ánodo al cátodo, generando una corriente eléctrica.

Esta reacción requiere de un catalizador de platino.

El hidrógeno no es una fuente de energía, es solamente un portador de energía.

El primer problema asociado con las células de combustible es la obtención del hidrógeno.

El hidrógeno es muy abundante en la naturaleza, pero no se encuentra en estado puro, sino combinado en moléculas como el agua y los hidrocarburos.

Puede obtenerse a partir de los combustibles fósiles mediante un proceso llamado “reforming”, o a partir del agua mediante electrólisis.

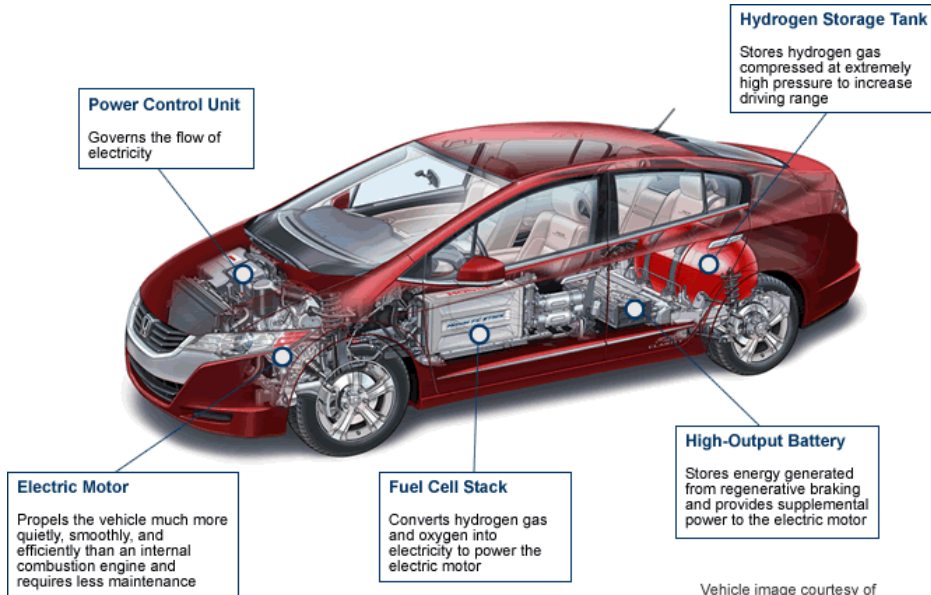
Ambos procesos requieren de gran cantidad de energía.

Otro problema es el almacenamiento del hidrógeno, que requiere de recipientes de alta presión.

Un problema añadido es el elevado coste del platino para los catalizadores.

En la siguiente figura se muestra un esquema de un vehículo de este tipo.





Una batería permite el frenado regenerativo, aumentando la eficiencia energética.

La tecnología de los vehículos de célula de combustible está en desarrollo. La mayoría de los fabricantes de coches tienen en la actualidad prototipos de vehículos de célula de combustible. Se muestra en la siguiente fotografía un modelo fabricado por Honda



### Política de incentivos

Desde el punto de vista del usuario, los vehículos eléctricos no presentan grandes ventajas, pues son caros, tienen poca autonomía y grandes tiempos de carga. Los beneficios que ofrecen no van directamente al usuario,

sino a la sociedad, pues están relacionados con la emisión de gases invernadero y contaminantes principalmente.

Los gobiernos, tanto estatales como municipales, deben establecer políticas de incentivos para este tipo de vehículos:

Subvenciones para la compra del vehículo

Reducciones o eliminación de impuestos.

Facilidades de aparcamiento.

Puntos de recarga gratuitos

Acceso a los centros de las ciudades.

Tarifas eléctricas especiales para la recarga nocturna.

Etc.

Algunos ejemplos de políticas de incentivos se muestran a continuación.

Country	Targets
Austria	2020: 100,000 EVs deployed <sup>1</sup>
Australia	2012: first cars on road, 2018: mass deployment, 2050: up to 65% of car stock <sup>2</sup>
Canada	2018: 500,000 EVs deployed <sup>3</sup>
China	2011: 500000 annual production of EVs <sup>4</sup>
Denmark	2020:200,000 EVs <sup>5</sup>
France	2020: 2,000,000 EVs <sup>6</sup>
Germany	2020: 1,000,000 EVs deployed <sup>7</sup>
Ireland	2020: 10% EV market share <sup>8</sup>
Israel	2011: 40,000 EVs, 2012: 40,000 to 100,000 EVs annually <sup>9</sup>
Japan	2020: 50% market share of next generation vehicles <sup>10</sup>
New Zealand	2020: 5% market share, 2040: 60% market share <sup>11</sup>
Spain	2014: 1,000,000 EVs deployed <sup>12</sup>
Sweden	2020: 600,000 EVs deployed <sup>13</sup>
United Kingdom	No target figures, but policy to support EVs <sup>14</sup>
USA	2015: 1,000,000 PHEV stock <sup>15</sup>

En Málaga (España) se ha desarrollado el programa ZEM2ALL (Zero emissions to all) desde el año 2013 en colaboración del Ayuntamiento de Málaga, Telefónica I+D, Endesa, NEDO, Mitshubishi y otras compañías. El objetivo es la implantación del vehículo eléctrico en Málaga.

## Conclusion

La implantación del vehículo eléctrico es necesaria para limitar la emisión de gases de efecto invernadero. La tecnología está muy desarrollada en los motores eléctricos y el control electrónico. El principal reto en el siglo XXI es el desarrollo de un sistema de almacenamiento de energía eficiente y competitivo, que dote al vehículo eléctrico de autonomía.

En el momento actual son necesarias políticas de incentivos que ayuden a su implantación.



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# Improvement Of Soil Engineering Characteristics Using Lime And Fly Ash

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## Abstract

A solution available to engineers for facing the problem of unsuitable soils for pavement foundation is the stabilization processes. Among them the use of chemical additives has gained popularity, particularly the last decade. The poor engineering characteristics of soils could be enhanced under the action of various agents and controlling factors, like the pozzolanic activity, the cation exchange and other already recognized reactions taking place in the soil-additive complex. In this research work the findings of laboratory tests for the stabilization of a problematic soil in Xanthi, Northern Greece area are presented. For the testing program a commercial lime and a fly ash from an Electric Power Station have been elected. Various percentages have been used for the preparation of soil-additive mixtures. Based on the findings of the present study, fly ash could be recommended as an effective agent for the improvement of swelling soils, having the benefit of reducing the negative impacts to the environment. The results highlight the need for further investigation of clay soil characteristics after their chemical stabilization with substances freely available or with a low cost, if the intention is to use such soils in highway construction works..

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**Keywords:** Lime, fly ash, soil stabilization, strength

## Introduction

Traffic volumes and the weight of vehicles increase rapidly. In association to the need for aggregate preservation and environmental protection, this fact leads to solutions for the design of new or the reconstruction of existing pavements that will serve as far as possible the above goals. A solution with relatively low cost is the use of materials with moderate or poor engineering and physical characteristics after their enhancement. One of the most commonly employed methods is the treatment of natural soils and aggregates with additives to obtain properties similar to

those set by the relevant standard specifications. This process is called soil stabilization and aims to increase the shear strength of the soil in addressing the effects of frost, shrinkage, etc. The choice of additive is based on the respective intended purpose.

The addition of lime to clayey soils results in immediate reduction of the maximum dry density and increase of the optimum moisture content for the same compaction effort (Miqueleiz et al., 2012; Elsharief et al., 2013). The effect of fly ash on the compaction characteristics is very similar (Deb and Pal, 2014).

Fly ash may be considered as non-plastic, NP, fine silt according to the Unified Soil Classification System (USCS) system. When blended with soil, fly ash can develop cementitious bonds, either due to the pozzolanic reaction (Kenawi and Kamel, 2013; Zumrawi, 2015) or because of an intrinsic property to self harden under favorable moisture and compaction conditions (Mir and Sridharan, 2013). When mixed with soil in various proportions, fly ash reduces the liquid limit and the plasticity index of the soil (Mir and Sridharan, 2014).

The strength of soil mixtures with lime and fly ash depends on many variables such as soil type, the type and content of the additive material, the size of the specimens, the time and method (humidity and temperature) of curing, the water content, specific gravity and time elapsing between the mixing and the compaction of the material (Liu et al., 2012; Jawad et al., 2014). For the needs of the present research work, the values of the additives percentages and the maintenance time have been varied with different effects on the mixture's properties.

Generally, the strength increases with an increase both in lime and fly ash content (Prabakar et al., 2004; Muhmed and Wanatowski, 2013; Zumrawi and Hamza, 2014), as well as with an increase in curing time (Harichane et al., 2011).

For the development of compressive strength, the percentage of fly ash in soil mixtures has been proven to be a more critical factor compared to specimens curing time (Horpibulsuk et al., 2013; Rodriguez, 2007). The exactly opposite effect occurs for the lime mixtures, where the curing time plays an important role for the enhancement of strength (Consoli et al., 2011).

A series of laboratory tests have been conducted in Highway Engineering Laboratory, DUTH University, Thrace, in order to characterize soil-lime and soil-fly ash mixtures for use in road projects running through areas with similar features with those in the area under study on the road-axis Xanthi-Komotini, Northern Greece.

### **The road site and its geological characteristics**

At its 21<sup>st</sup> km the road Xanthi-Komotini (National Road No 2) passes through the village of Nea Kessani. At this location, over a length of approximately 500 meters, reconstruction works and widening of the carriageway had been carried out. The old roadway had been removed because it presented intense cracking problems and differential settlement at the edges of the traffic lanes. These problems have been attributed mainly to the nature of the underlying soil, because it consists of dark colored plastic clays with low strength. The work described in this paper explored the possibilities to improve these clays (underlying soil) with the addition of lime and fly ash.

The area under study belongs to the wider basin of Vistonis Lake, covered in a depth of several meters by recent deposits of nearby streams (gravels, sands, clays, etc.). The material is becoming finer as someone approaches the lake. Thus, around the lake and at its bottom darkened lacustrine deposits consisting of clays, silts and sands prevail. The thickness of these deposits in the lake reaches several tens of meters. The area under study is located at the western limits of the lake where dark colored swelling clays with enough organic material prevail. In this region, the clays have a relatively small thickness and overlie the neogenic sediments (pliocene) which appear in the hilly area SW of Nea Kessani (Figure 1).

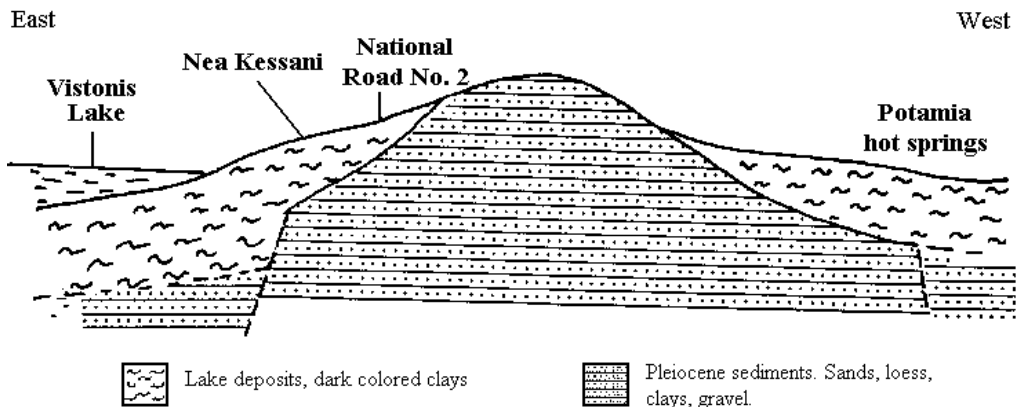


Figure 1: Geological section at Nea Kessani (sketch not in scale).

## Materials and methods

Samples of the clay from the region have been taken from an excavation about 1 m in depth. The Atterberg limit values of the natural soil were: Liquid Limit, LL=62, Plasticity Limit, PL=23, Plasticity Index PI=39. The linear shrinkage of the material was 12.5%. Based on the above results, the soil material is classified in the A-7-6 soil group according to the AASHTO classification system. According to the USCS the sampled

material is characterized as clay CH. Such soil materials are considered unsuitable (moderate to poor) for roadway subgrade construction.

After recognizing the soil's physical state (Atterberg limits, moisture-density relationship, etc.) various percentages of fly ash and lime were added to it. The materials used as admixtures for the preparation of Proctor and strength specimens were a commercial lime traded by limekiln Aimos Co. in Drama, Northern Greece having a high content in calcium oxide and a fly ash obtained at the Megalopolis Power Production Station.

Megalopolis fly ash is characterized by the lack of free lime, while the insoluble residue is large due to high SiO<sub>2</sub> content. According to ASTM C618, the Megalopolis fly ash is designated as Class F. The total amount of oxides of silicon, aluminum and iron is relatively high, assisting the pozzolanic activity of fly ash. The specific weight of fly ash was 2.53 and its particle size distribution consists of very fine particles (about 87% of the particles passing through the No. 200 sieve). The fly ash had a Blaine specific surface 1,530 cm<sup>2</sup>/g.

To find the optimum moisture to be used in each soil sample mix-additive held a series of moisture-density test Proctor (AASHTO T99). The chemical composition of the fly ash and lime is shown in Table 1.

Table 1 Chemical composition of fly ash and lime

Component oxide (%)	Fly Ash	Lime
SiO <sub>2</sub>	48.0	0.01
Al <sub>2</sub> O <sub>3</sub>	18.25	0.01
Fe <sub>2</sub> O <sub>3</sub>	10.3	0.11
CaO	9.0	65.25
MgO	2.1	0.50
SO <sub>3</sub>	3.4	
K <sub>2</sub> O	0.1	0.01
Na <sub>2</sub> O	0.3	0.01
CO <sub>2</sub>	0.1	4.50

Lime and fly ash contents of 3-12% and 5-25% by weight of natural soil, respectively, have been used for the preparation of specimens. Such an amount of water has been added to the dry materials as to reach the optimum Proctor moisture. The specimens were cured in a humidity chamber at room temperature.

## Results and discussion

The results of tests performed for the determination of moisture-density relationship are presented in Table 2 and in Figures 2 and 3. It is shown that the maximum dry density decreases with the additive content, while the optimum moisture increases. As it was expected, adding lime resulted in immediate reduction of the maximum dry density and increase of

the optimum moisture content, while fly ash had a similar effect on the compaction characteristics of the mixtures.

Table 2 Moisture-density test results for various additive contents (24 hours curing period)

Additive (%)	Optimum Moisture (%)	Maximum Dry Density (kg/m <sup>3</sup> )
0	21.4	1,602
Fly Ash		
5	23.1	1,552
10	23.6	1,513
15	24.3	1,487
20	25.4	1,463
25	26.6	1,433
Lime		
3	25.0	1,479
6	25.7	1,444
9	26.3	1,431
12	27.6	1,413

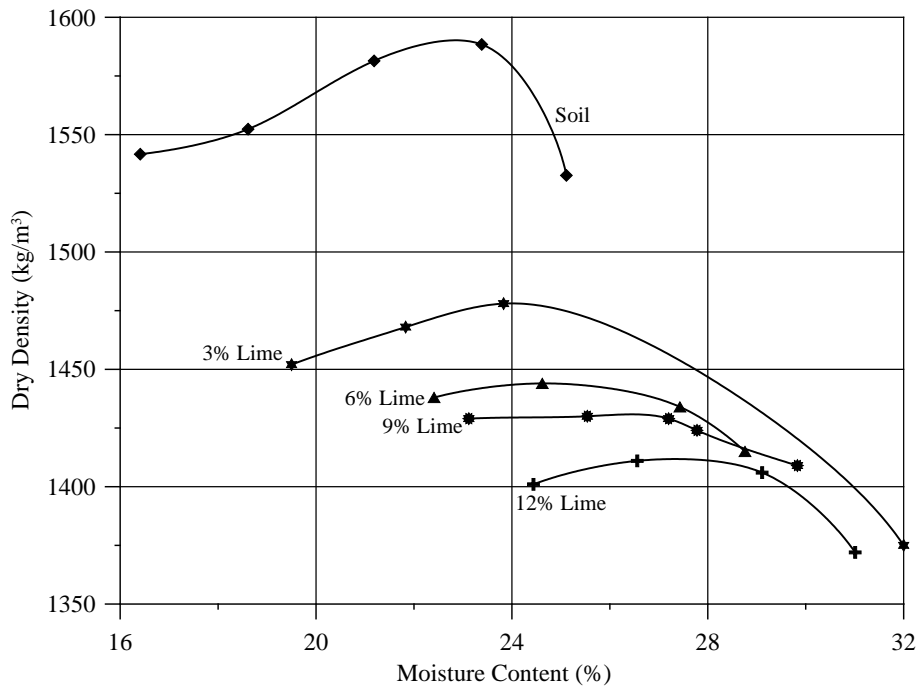


Figure 2 Moisture-density relationship as a function of lime content

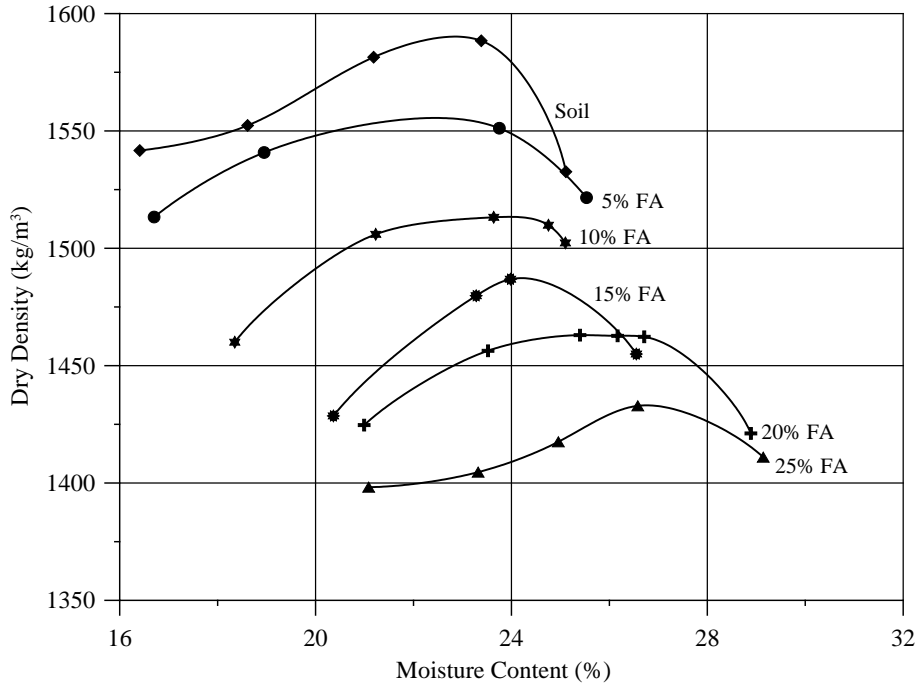


Figure 3 Moisture-density relationship as a function of fly ash content

The compaction of the mixtures of the soil with the additives yielded moisture-density curves common feature of which is that they are in areas of lower densities and higher moistures than those of the untreated soil (Figures 2 and 3). Particularly, with the addition of fly ash, the curves are smooth and they have a form comparable to that of the soil sample and, as the additive content increases, they show a denser space between each other. Thus, after some additive percentage, the compaction characteristics will only slightly change. The curves of soil-lime mixtures are very offset relatively to the curve of the untreated soil, already with small additive percentages, but they have small distances between them, which are constantly decreasing.

For all additive contents, the maximum dry density of the mixtures with fly ash is greater than the corresponding of mixtures with lime. This is attributed to the smaller apparent specific weight of lime. From the curves, it appears that lime contents greater than 10% have little effect on the maximum dry density.

The changes in the engineering properties of the soil, when mixed with lime and fly ash, are attributed to mechanisms such as cation exchange, flocculation of clay, carbonation and pozzolanic reactions (Jawad et al., 2014; Zumrawi and Hamza, 2014). The first two reactions occur rapidly and cause direct changes in plasticity, workability and swelling properties. The pozzolanic reaction is time-dependent and contributes to plasticity enhancement and to strength increase.

After curing periods of 7, 28, and 90 days, the strength of the samples were determined. The unconfined compression test has been used for the determination of the strength of soil mixtures with fly ash and lime.

The unconfined compressive strength values of the soil sample were quite low, typical of clay soils, and they do not meet the suitability criteria for road subgrades. When various lime and fly ash percentages were added, the stress-strain characteristics improved. Particular role to strength increase has been played by the curing time of the compacted samples.

The strength was increased with the addition of fly ash at a 5% content. This increase continued, with an even more intense rate, at the subsequent additive contents in the soil-fly ash mixture.

In Figures 4 and 5, the curves depicting the variation of the strength of the soil samples as a function of the percentage of fly ash and lime used to prepare the unconfined compression test specimens respectively, are presented. Each strength value represents the average of three compression specimens with 5x10 cm (diameter x height) dimensions. In each of these figures, three curves relating to the time intervals (i.e. seven, twenty-eight and ninety days) of specimen curing are drawn.

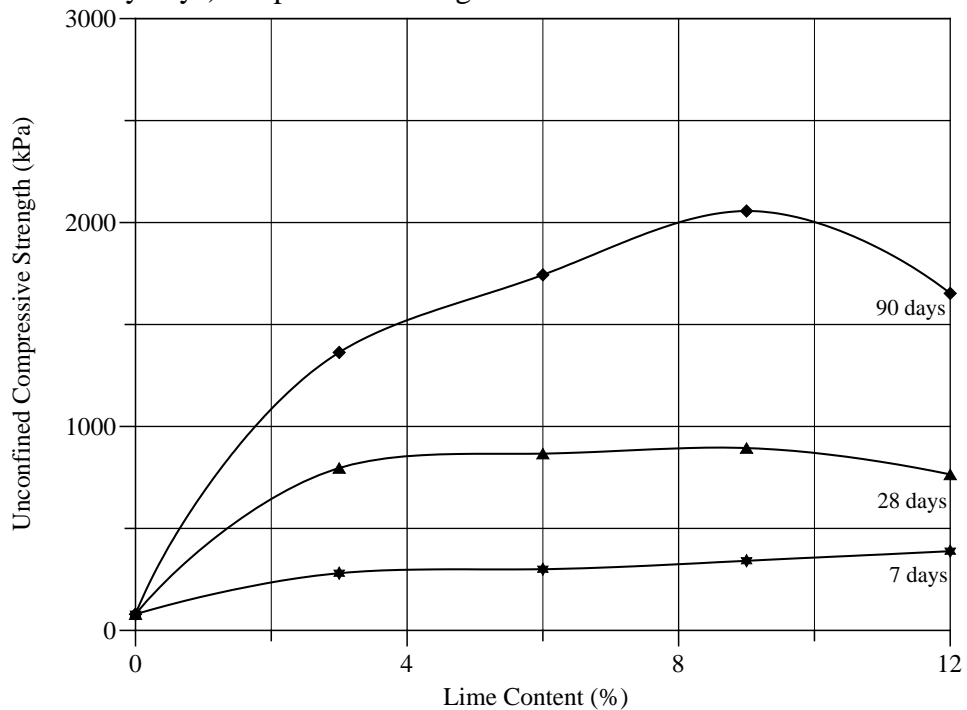


Figure 4 Unconfined compressive strength as a function of lime content



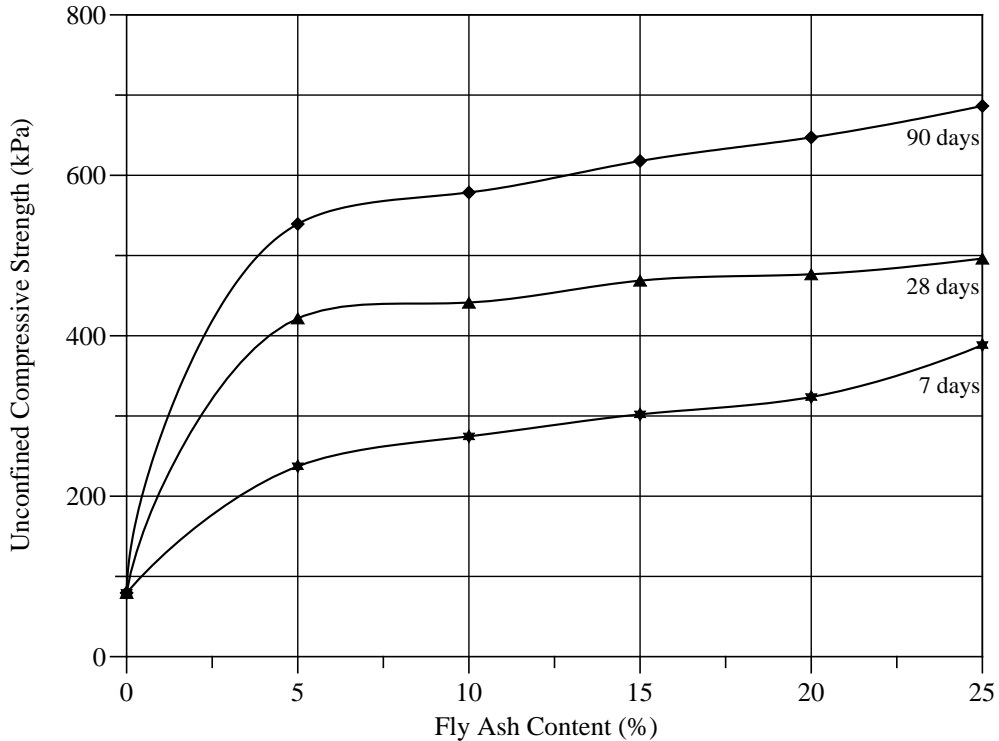


Figure 5 Unconfined compressive strength as a function of fly ash content

The admixture of lime to the clayey soil led to improved unconfined compressive strength. The optimal lime content ranged from 8% to 10% by weight of natural soil. By further increasing the percentage of lime in the mixture, the strength values decreased.

From the developing strength point of view, the optimum lime content in the mixtures is 6% after 28 days of curing. For the specimens cured for 90 days, an optimum 9% lime has been recorded. Moreover, for the 7 days curing period, the lime content beyond 3% had little effect on unrestricted compressive strength values of the samples.

For the development of compressive strength, the percentage of fly ash in all the soil mixtures has been a more critical factor compared to specimens curing time. The exactly opposite effect occurred after the addition of lime, where the curing time played an important role for the enhancement of strength. In the first stage of curing, i.e. after 7 days of storage under controlled conditions of humidity and temperature, the strength of all soil-lime mixtures was greater than that of the untreated sample. The largest increase occurred in the specimen containing lime 9% by weight of soil. The addition of lime contents greater than 9% by weight caused a reduction of the 7-days strength compared to the strength at this content.

Probably, better results in terms of strength will be brought by soil mixtures with a combination of the two additive materials in various ratios between them. The compaction method -modified instead of the used standard Proctor- would have a significant impact on the strength values (Ghosh 2013).

## **Conclusion**

The admixture of lime or fly ash to soils results in a gradual reduction of the maximum dry density, indicative of the increased resistance offered by the flocculated structure to the compaction effort, as well as in an increase of the optimum moisture content which is derived from the excess water hold in the open structural units of the flocculated structure.

The highest strength values obtained for the soil tested are directly associated to the moisture content and the concentration of lime. Both the maximum compressive strength and the maximum dry density could be achieved if the specimens are compacted with the optimum moisture content.

Based on the present study, fly ash could be recommended as an effective agent for the improvement of swelling soils. Using fly ash in such a manner it would also have the benefit of depositing an industrial by-product without negatively affecting the environment.

The laboratory testing findings point out the need for a thorough study of clay soils' characteristics, if these soils are intended to be used in highway construction works. The stabilization process is proved to be a fiscally effective and environmentally successful solution for construction works of such an extent and importance.

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## **Diseño, Aplicación Y Evaluación De Un Ambiente Virtual De Aprendizaje Aplicando Google Apps**

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### **Resumen**

La enseñanza de las asignaturas que se imparten en la Institución Educativa Tecnológico de Tláhuac II (ITT2) se ha caracterizado por el uso del tablero y marcador como únicos recursos didácticos, esta situación ha contribuido a la desmotivación y desinterés por parte de los estudiantes frente a su proceso de aprendizaje.

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### **Palabras Clave:** Diseño, Google Apps

El presente proyecto generó una serie de herramientas didácticas basadas en la incorporación de las Tecnologías de la Información y la Comunicación (TIC's) a través de la creación de un Ambiente Virtual de Aprendizaje, el cual permitió romper los esquemas tradicionales y obtener mejoras en los desempeños de los estudiantes frente al conocimiento y comprensión de la asignatura tratada.

El trabajo se desarrolló en cuatro fases: En la primera fase denominada Planeación se analizó y revisó el temario de la asignatura ADMINISTRACIÓN DE PROYECTOS, revisando cada unidad que compone a dicha materia. La segunda fase denominada diseño, fue la encargada diagnosticar detalladamente las herramientas tecnológicas con las que cuenta la institución educativa, la información fue recopilada a través del inventario disponible. También se evaluó sobre los conocimientos previos

que disponían los estudiantes sobre el manejo de las herramientas tecnológicas requeridas para el uso del Ambiente Virtual de Aprendizaje; habilidades sobre manejo de Computador, internet, Facebook, Google, y Youtube. La tercera fase denominada de aplicación, fue la encargada de incorporar el Ambiente Virtual de Aprendizaje con las Aplicaciones de Google® diseñado para los estudiantes, mediante el manejo del modelo pedagógico constructivista y la cuarta fase denominada de evaluación, fue la encargada de estimar el impacto que tuvo el proyecto en los estudiantes y las competencias que lograron adquirir en el área.

Los resultados del trabajo aportaron nuevos caminos al quehacer docente dentro del centro de trabajo creándose una capacitación para todo el personal docente, asesoramiento en la implementación de los Ambientes Virtuales de Aprendizaje (AVA) y creación de sitios web para casa materia de la institución. Teniendo en cuenta la necesidad que tiene el docente de innovar y enriquecer sus procesos pedagógicos, apoyados en las herramientas virtuales que cada día se encuentran al alcance de los estudiantes.

Por otro lado, el Ambiente Virtual de Aprendizaje fue recibido con mucha aceptación dentro de los alumnos que conformaron la asignatura de estudio.

### **Ambiente Virtual de Aprendizaje**

Se entiende por ambiente virtual de aprendizaje (AVA) al espacio físico donde las nuevas tecnologías tales como los sistemas Satelitales, el Internet, los multimedia, y la televisión interactiva entre otros, se han potencializado rebasando al entorno escolar tradicional que favorece al conocimiento y a la apropiación de contenidos, experiencias y procesos pedagógico-comunicacionales. Están conformados por el espacio, el estudiante, el asesor, los contenidos educativos, la evaluación y los medios de información y comunicación. (Ávila y Bosco, S/A).

Los ambientes de aprendizaje no se circunscriben a la educación formal, ni tampoco a una modalidad educativa particular, se trata de aquellos espacios en donde se crean las condiciones para que el individuo se apropie de nuevos conocimientos, de nuevas experiencias, de nuevos elementos que le generen procesos de análisis, reflexión y apropiación. Llamémosle virtuales en el sentido que no se llevan a cabo en un lugar predeterminado y que el elemento distancia (no presencialidad física) está presente.

La UNESCO (1998) en su informe mundial de la educación, señala que los entornos de aprendizaje virtuales constituyen una forma totalmente nueva de Tecnología Educativa y ofrece una compleja serie de oportunidades y tareas a las instituciones de enseñanza de todo el mundo, el entorno de aprendizaje virtual lo define como un programa informático interactivo de

carácter pedagógico que posee una capacidad de comunicación integrada, es decir, que está asociado a Nuevas Tecnologías. (Ávila y Bosco, S/A).

### **El constructivismo y la educación a través de un Ambiente Virtual de Aprendizaje**

El constructivismo en la educación contemporánea es tomado como la teoría predominante basada en la conceptualización de los procesos de enseñanza y aprendizaje. El enfoque constructivista lo componen varios modelos de aprendizaje, y establece que la mayor parte de lo que entiende y aprende el estudiante es construido por él mismo y que el conocimiento del mundo se hace a través de representaciones que el mismo individuo reestructura para su comprensión<sup>6</sup>. El presente trabajo se basa en tres vertientes importantes que fundamentan teóricamente la experiencia práctica que se desarrolló con la aplicación del AVA en la enseñanza – aprendizaje de las asignaturas, las cuales son: la perspectiva sociocultural de Lev Vygotsky, el aprendizaje significativo de David Ausubel y la teoría de las inteligencias múltiples de Howard Gardner.

Lev Vygotsky desarrolló una teoría en donde los factores sociales, culturales e históricos juegan un papel importante en el desarrollo humano. Se plantea en (1978) el concepto de mediación el cual hace énfasis en las formas en que las acciones humanas constituyen los escenarios socioculturales y cómo éstos a su vez impactan y transforman las acciones humanas<sup>7</sup>. Según Vygotsky en palabras de Pino Sirgado (2000, p. 39)<sup>8</sup>, “a diferencia de los animales, sujetos a los mecanismos instintivos de adaptación, los seres humanos crean instrumentos y sistemas de signos cuyo uso les permite transformar y conocer el mundo, comunicar sus experiencias y desarrollar nuevas funciones psicológicas”.

Es por tal motivo que la educación actual no puede estar lejos de los nuevos espacios en que los jóvenes están viviendo a través de la red de Internet, las nuevas formas de comunicación de los jóvenes a través de las redes sociales de Youtube, Facebook, Google APP y Twitter, que al ser aprovechadas por los docentes en la enseñanza de los conceptos podría hacer que los estudiantes se interesen más por el aprendizaje. El docente cumpliría un papel mediativo en donde el estudiante a través de aplicaciones interactivas tendría la posibilidad de ir progresivamente construyendo los nuevos conocimientos, integrando la enseñanza del docente y sus experiencias socioculturales que viven cotidianamente.

El aprendizaje significativo según ideas de Ausubel (2000)<sup>9</sup> se define como un proceso a través del cual la tarea del aprendizaje está relacionada de manera sustancial con la estructura cognitiva de la persona que aprende, esto quiere decir, que los conocimientos previos que traen los estudiantes son de suma importancia para el aprendizaje de los conceptos, por tal motivo a

través de los videos educativos y las simulaciones virtuales se podría estimular el auto aprendizaje en los estudiante, aprovechando las experiencias previas que ellos viven cotidianamente en su entorno.

De acuerdo con las afirmaciones de Novak (2000)<sup>10</sup> el aprendizaje significativo subyace a la integración constructiva de pensamientos, sentimientos y acciones, lo que permite afirmar que la educación no puede darse en su totalidad dentro de un espacio cerrado en donde el estudiante se cohibe de expresar sus sentimientos y acciones libremente, es por tal motivo que los Ambientes Virtuales de Aprendizaje a través de la creación de foros de debate, comentarios y aplicaciones interactivas permiten al estudiante expresar sus ideas de manera espontánea desde diferentes espacios, indiferente del tiempo y sin presión del docente.

La comprensión de los conceptos y la manera de incentivar esto en los estudiantes juega un papel importante dentro la concepción constructivista. Howard Gardner (2000) cuestiona el currículo escolar porque “con seguridad hace que los estudiantes memoricen datos y definiciones” en lugar de potenciar la comprensión. Lo cual llevó a Gardner (1993) a la creación de la teoría de las inteligencias múltiples<sup>11</sup> la cual se define como una aptitud de las personas para solucionar problemas o diseñar productos que son valorados dentro de una o más culturas, es decir, hace referencia a las habilidades útiles que tienen los estudiantes dependiendo de los ambientes culturales en el que se relacionen, por ejemplo, cuando un joven trabaja con su papá en labores de construcción, difícilmente desarrollará la habilidad de lectura, y por el contrario tendrá grandes capacidades para el trabajo manual y de fuerza.

### **Objetivo general**

Diseñar, aplicar y evaluar un ambiente virtual de aprendizaje (AVA) en el proceso de enseñanza y aprendizaje de la asignatura de Administración de proyectos dentro del Instituto Tecnológico de Tláhuac II.

### **Objetivos específicos**

- Identificar necesidades del curso de las asignaturas de Administración de Proyectos y Desarrollo Sustentable respecto a la gestión del conocimiento
- Realizar un diagnóstico de uso de TIC's en la práctica docente a los profesores.
- Realizar un diagnóstico del uso de las TIC's a los estudiantes que cursen las asignaturas Administración de Proyectos y Desarrollo Sustentable.
- Diseñar de un Aula Virtual de cada asignatura como apoyo educativo al estudiante.
- Construir un Aula Virtual de cada asignatura como apoyo educativo al estudiante.

- Implementar el Aula Virtual de cada asignatura a los estudiantes que cursen las asignaturas Administración de Proyectos y Desarrollo Sustentable.
- Evaluar el Aula Virtual de cada asignatura para el logro de los objetivos del curso.

### **Situación problemática**

El Instituto Tecnológico de Tláhuac II, es un miembro más de la Dirección General de Educación Superior Tecnológica TECNM (antes DGEST), misma que pertenece al Sistema Nacional de Educación Superior Tecnológica (SNEST) perteneciente a la Secretaría de Educación Pública (SEP). El Instituto Tecnológico de Tláhuac II es de reciente creación con apenas 5 años de antigüedad dentro de la Dirección General de Educación Superior Tecnológica, por lo que las personas al frente de los diversos departamentos organizacionales que tiene el Instituto tienen que ir en ocasiones contra el tiempo para hacer sus quehaceres laborales que les exigen sus respectivos departamentos; ello trae como consigna que los encargados de los departamentos organizacionales tienen que desarrollar planeaciones y aplicarlas en tiempo y forma de acuerdo con los lineamientos de un Sistema de Gestión de la Calidad y de Mejora Continua. En el área académica se han trabajado a nivel individual, la enseñanza de las asignaturas que se imparten en la Institución Educativa se ha caracterizado por el uso del tablero y marcador como únicos recursos didácticos, esta situación ha contribuido a la desmotivación y desinterés por parte de los estudiantes frente a su proceso de aprendizaje.

Particularmente por la experiencia como docente encargado de diferentes materias tales como: Desarrollo Sustentable, Inventarios, Almacenes, Administración de Proyectos, etc., he observado algunas dificultades para desarrollar el curso de manera presencial, en actividades como el diagnóstico para utilizar oportunamente la información, la organización y difusión de los materiales de estudio entre colegas y estudiantes, también la aplicación de la autoevaluación, Coevaluación, heteroevaluación y específicamente el seguimiento del estudiante para realizar su portafolio de evidencias. Además de la inversión de tiempo y dinero al momento de reproducir copias, exámenes y material de apoyo que necesite la unidad de la materia.

### **Justificación**

La educación en tecnología no puede darse en el marco de una sola disciplina sino que debe darse como un campo de naturaleza interdisciplinar que constituye un poderoso factor de integración curricular, ya que todas las áreas de conocimiento de una u otra forma están siendo sistematizadas con el



objetivo de hacerlas más dinámicas y eficaces. Hacer caso omiso de las nuevas tecnologías computacionales en la enseñanza en la impartición de las asignaturas en el Instituto Tecnológico de Tláhuac II está creando una barrera entre la vida diaria de los estudiantes y las experiencias que tienen en el colegio, ya que ellos viven en un mundo invadido de sistemas informáticos y electrónicos que en su mayoría están controlados por computadoras.

Una de las herramientas más importantes que se disponen para elevar el nivel de competitividad en la Instituto Tecnológico, son los medios computacionales interactivos, ya que permiten una mejor gestión y entendimiento de los temas, creando en el estudiante una mentalidad explorativa e investigativa, la cual es muy importante dentro de cualquier proceso de enseñanza y aprendizaje de la física en la educación media secundaria. Cualquier proceso de construcción de conocimientos está mediado por un instrumento, ya sea material o simbólico. Los instrumentos computacionales constituyen un apoyo excelente en el aprendizaje de los conceptos, ya que permiten observar, escuchar, dinamizar, manipular e interactuar con los fenómenos reales, simulados en ambientes virtuales, motivando el Interés del estudiante por el estudio.

La dinamización del proceso de enseñanza y aprendizaje de los temas a través de la aplicación de las TIC's, traería herramientas interesantes centradas en la explicación y comprensión, lo cual ayudaría a los estudiantes a mejorar sus desempeños durante el curso; además que fortalecerían las competencias tecnológicas necesarias en el mundo laboral. El trabajo se dirigió a implementar en su mayoría software libre los cuales constituyen la mejor opción para el diseño e implementación de ambientes virtuales en la educación pública, porque ofrecen facilidad de manejo y baja inversión de presupuesto por parte de la Institución Educativa, teniendo en cuenta la situación económica actual del Instituto Tecnológico.

## **Metodología**

El trabajo se comprendió en cuatro fases: la primera fase de Planeación se analizó y revisó el temario de la asignatura ADMINISTRACIÓN DE PROYECTOS, revisando cada unidad que compone a dicha materia la segunda fase denominada de diseño, fue la encargada de originar el diseño curricular y la planeación estratégica acordes con los lineamientos curriculares y a los estándares de competencias dados por el TECNM, también se dio origen al desarrollo de la materia en la plataforma Google Site®; la tercera fase denominada de aplicación, fue la encargada de incorporar el Ambiente Virtual de Aprendizaje diseñado con los estudiantes, mediante el manejo del modelo pedagógico constructivista y la cuarta fase denominada de evaluación, fue la encargada de estimar el

impacto que tuvo el proyecto en los estudiantes y las competencias que lograron adquirir en el área (Figura 1).

Cada actividad realizada en las fases fue diseñada considerando el bienestar del estudiante y sus niveles de aprendizaje, ya que él fue el centro de todo el proceso educativo llevado a cabo durante la ejecución del presente trabajo.

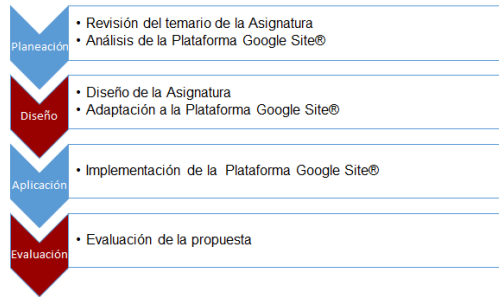


Figura 1. Diagrama del diseño metodológico.

### Fase de Planeación

En esta primera fase, se analizó y revisó el temario de la asignatura ADMINISTRACIÓN DE PROYECTOS, revisando cada unidad que compone a dicha materia. Para esto se muestra en la figura 5, la unidad 1 de la asignatura de Administración de Proyectos.

Por otro lado, se revisó la plataforma Google Site® y cada una de sus herramientas, para poder saber cómo adaptar el temario con las diversas herramientas de dicha plataforma. Se revisaron diversas fuentes de consulta como artículos, videos, etc. Esto con el fin de utilizar los mejores archivos para la asignatura de estudio.

Como se puede observar en la figura 2, la cual muestra la Unidad I de la asignatura a estudiar, se detalla los subtemas de dicha Unidad.

Unidad	Temas	Subtemas
1.	Introducción a la administración de proyectos	1.1. Proyecto: definición, fases y ciclo de vida, procesos, áreas de conocimiento, el éxito o fracaso de los proyectos, participantes típicos. 1.2. Administración de proyectos: definición e importancia, el administrador de proyectos y sus habilidades. 1.3. Situación de la administración de proyectos: organizaciones de administración de proyectos, Project Management Institute. 1.4. PMBOK, oficina de administración de proyectos, portafolio de proyectos, administración del conocimiento, lecciones aprendidas, proyectos globales.

Figura 2. Ejemplo de la Unidad I de la Asignatura: Administración de Proyectos.

El temario completo de la materia se puede encontrar en el siguiente enlace: <http://ittlahuac2.edu.mx/documentos/materias-tics/ITIC-2010225%20Administracion%20de%20Proyectos.pdf>

## Fase de Diseño

En esta fase las actividades que se realizaron fueron las siguientes:

- Diagnóstico detallado de las herramientas tecnológicas con las que cuenta la institución educativa, la información fue recopilada a través del inventario disponible.
- Diagnóstico sobre los conocimientos previos que disponían los estudiantes sobre el manejo de las herramientas tecnológicas requeridas para el uso de Ambientes Virtuales de Aprendizaje; habilidades sobre manejo de Computador, internet, Facebook, Google, y Youtube. Para tal fin se desarrolló una encuesta basada en base a las competencias en el uso de tecnología de los Estándares Nacionales de Tecnología Educativa para Estudiantes (Díaz, 2013) NETS (por sus siglas en inglés National Educational Technology Standards for Students), integra 15 preguntas de respuesta cerrada agrupados en tres categorías: sensibilidad ante la tecnología, habilidades informáticas y uso de la computadora, la figura 3 representa un ejemplo de una interrogante del cuestionario aplicado. La población de estudio fue el grupo que estudia la asignatura de Administración de Proyectos, esta población fue de 42 estudiantes. La confiabilidad del estudio fue de 100% en esta encuesta aplicada.

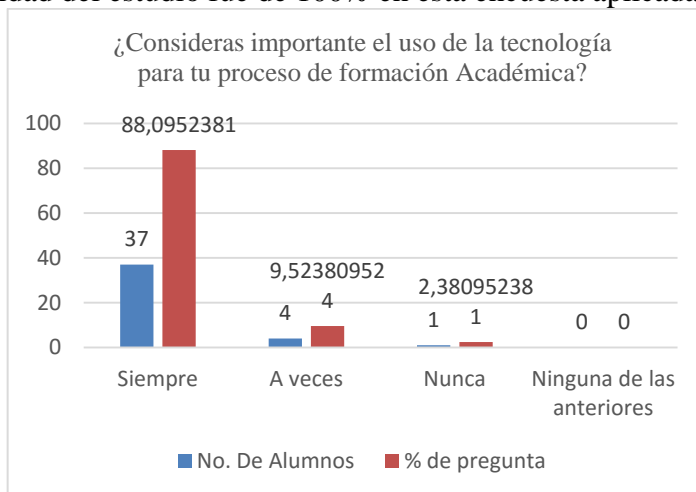


Figura 3. Ejemplo del resultado de la pregunta ¿Consideras importante el uso de la tecnología para tu proceso de formación académica?

Para la categoría de sensibilidad ante la tecnología, se encontró que la mayoría de los estudiantes que cursan la asignatura de Administración de proyectos, consideran que el uso de la tecnología siempre es importante para su formación académica y ubicaron a la informática como fundamental para el futuro de su carrera profesional. Es decir, están conscientes de la influencia positiva de la tecnología en la educación, de manera específica, en su formación profesional.

Por lo tanto es necesario promover que los profesores incorporen la tecnología a su práctica docente, ya que con los resultados obtenidos es posible darse cuenta que el alumno sí tiene la disposición y ha hecho conciencia de la importancia que juega la tecnología en la formación académica y el desempeño profesional.

Para el rubro de habilidades informáticas los resultados para esta categoría muestran que más de la mitad de los alumnos encuestados saben programar, lo que se puede deducir debido a que estudian Ingeniería en TIC'S.

Otra característica, cursando la carrera de TIC'S la mayoría consideró que está en un nivel avanzado en el dominio de Windows. Por último el programa más usado por los estudiantes es Word, aunque también utilizan casi de igual manera Power Point y Excel; y un porcentaje escaso emplean Publisher. Lo anterior se puede justificar con el hecho de que los profesores piden actividades que implican el uso de un procesador como Word, Excel o Power Point.

Para la última categoría referente al uso de la computadora cada día es más frecuente en los estudiantes. La mayoría usa la computadora no sólo para aprender informática sino que la emplean como herramienta para investigar, publicar, realizar tareas escolares, actividades lúdicas, etc.

La mayoría de los estudiantes encuestados respondieron que empleaban la computadora como recurso didáctico y que consultan CD-ROMs e Internet como fuentes de información. Por lo anterior es importante incluir dentro de la planeación didáctica del profesor actividades que fomenten los recursos educativos en CD-ROM, DVD-ROM, libros electrónicos y en la red, y a la vez promover el uso de los existentes y de los que se generen.

Otro dato significativo es que la mayoría tiene acceso a Internet en áreas que no corresponden a su casa, por lo que se puede deducir que para ejecutar sus tareas los estudiantes asisten a cafés internet, bibliotecas o comercios donde pueden contratar el servicio por horas. Lo anterior nos habla de la necesidad de buscar alternativas que permitan ofrecer mayores posibilidades de que en los hogares de los estudiantes se cuente con computadora y acceso a Internet.

Por otro lado los datos revelan principalmente que sí es muy usada la computadora como medio de comunicación, sobre todo el correo electrónico, la mayoría de encuestados, dijo tener al menos una cuenta de correo.

En base a esto, resulta necesario impulsar el buen uso de estas herramientas, la ventaja es que los alumnos ya los conocen y los saben usar, sólo habría que incorporarlos a los procesos de enseñanza-aprendizaje. De manera muy particular, los foros de discusión y las videoconferencias ya que son un medio efectivo para la comunicación y la educación en general.

- Descripción de la Plataforma Google Site®, se explica de forma detallada la conformación de la Asignatura creada y diseñada en esta plataforma; así mismo se cuidadosa cada una de las partes de la asignatura y herramientas de Google APP® que también formaron parte de este Ambiente Virtual de Aprendizaje dentro de la asignatura de Administración de Proyectos, como lo fue: Google Drive®, Google Group®, Google Docs®, Google Pictures®, Google Classroom® y Flubaroo®. La figura 4 muestra un ejemplo de la pantalla principal del Ambiente Virtual de Trabajo (AVA).



Figura 4. Ejemplo de Pantalla Principal del Ambiente Virtual de Trabajo.

### Descripción de la Plataforma Google Site®

En este apartado se explicará cómo se llevó a cabo el diseño de la asignatura en la plataforma Google Site®.

Para comenzar, se explica que está asignatura, como otras que un servidor ha importado se encuentran ubicadas en: [www. gmail.com](http://www.gmail.com), con una cuenta de usuario y una contraseña. La figura 5 muestra el ingreso a la plataforma antes mencionada

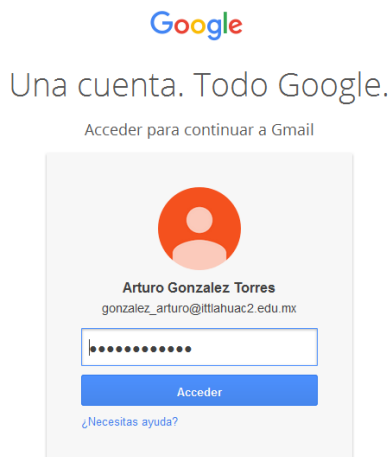


Figura 5. Imagen de ingreso a la plataforma Google Site®

Una vez expuesto lo anterior, la asignatura que aparece mencionada en este trabajo y aparece en la figura anterior tiene la siguiente estructura:

- **Encabezado.** En este apartado se observa el nombre de la asignatura y el logotipo de la institución a la cual pertenece. La figura número 8 muestra la pantalla principal de la asignatura de Administración de Proyectos.
- **Block de notas.** Sirve para publicar algún aviso importante de la materia.
- **Documentos.** En esta sección se publicaron archivos importantes como: Instrumentación por sesión, Examen Diagnóstico, Calendario Escolar, plantillas del proyecto final, etc. Cabe mencionar que sirvió de mucha esta sección, ya que el estudiante desde un lugar con conexión a internet podía conocer cómo se trabajaría la asignatura, conocer las fechas importantes de la Universidad y conocería como serían los exámenes, ya que ya no serían de la forma tradicional.
- **Rúbricas.** Esta sección se publicaron las diferentes rúbricas de trabajos que se utilizarían a lo largo de la asignatura, también se dio una explicación de cada una de ellas y sobretodo ejemplos de cada una de ellas y el formato de la rúbrica de la misma.
- **Trabajos de Unidad.** En esta sección se publicaron las actividades a realizar por unidad.
- **Barra lateral.** En esta barra se publicaron secciones como: Trabajos de Unidades, Tutoriales, Contáctame y Evidencias de Unidades.
- **Trabajos de Unidad.** En esta sección se publicaron las actividades a realizar por unidad.
- **Tutoriales.** En esta sección se publicaron tutoriales tomados de Youtube®, estos tutoriales son del uso del Microsoft Project®.
- **Contactame.** En esta sección se publicó el horario de trabajo, celular y correo en el que los estudiantes de la asignatura podían contactar al responsable de la asignatura.
- **Evidencias.** En esta sección se publicaron las evidencias de la asignatura de los estudiantes de la asignatura, cabe mencionar que también sirvió para el portafolio de evidencias de la misma materia y sobretodo, ayudó a tener un ahorro de espacio, ya que los portafolios de la Universidad son de forma física.

La asignatura se puede consultar en el siguiente enlace:

[https://sites.google.com/a/ittlahuac2.edu.mx/administracion\\_proyectos/](https://sites.google.com/a/ittlahuac2.edu.mx/administracion_proyectos/)

### **Fase de Aplicación**

En esta Fase se implementó el modelo pedagógico constructivista en la búsqueda de fortalecer la autonomía del estudiante como sujeto activo. Las actividades se elaboraron buscando potencializar el auto-aprendizaje continuo y la retroalimentación respecto a los aprendizajes que el estudiante adquirió, desarrollando competencias como capacidad para tomar decisiones,

emitir juicios de valor a través de los comentarios. En este proceso el papel de profesor fue el de mediador del conocimiento por medio de la aclaración de dudas y profundización de los temas abordados. Para la fase de aplicación del proyecto se basó en la estructura metodológica de la Tabla 1, la cual fue evaluada a través de la matriz FODA:

Tabla 1. Actividades ejecutadas en la fase de aplicación.

	<b>ACTIVIDAD</b>	<b>DESCRIPCIÓN</b>
1	Inducción	Nivelación del conocimiento sobre el manejo de las herramientas tecnológicas básicas para la aplicación del proyecto.
2	Aprestamiento.	Presentación de un video educativo a los estudiantes sobre el tema.
		Cada estudiante debe de plantear ideas a través de comentarios en YOUTUBE.
3	Conceptualización del tema.	El docente expuso el tema mediante diapositivas, tratando de resolver todas las interrogantes que surgieron en los comentarios.
4	Aplicación de los conceptos en problemas reales.	Realización de una práctica real en el laboratorio integrado de ciencias del Instituto Tecnológico de Tláhuac II, donde el estudiante presentó un informe en medio digital de la práctica realizada.
		Manejo de simulaciones virtuales de apoyo implementadas por el docente, con el fin de promover el auto aprendizaje en el estudiante como complemento en las actividades teóricas o experimentales del área, luego cada estudiante debe plantear ideas a través de comentarios en Facebook.
5	Ejecución y evaluación.	Resolución por parte del estudiante el taller complementario del tema elaborado por el docente, el cual debe presentarlo como trabajo escrito en forma digital.
		Aplicación de una evaluación en línea tipo pruebas saber a los estudiantes, con el fin de medir los conocimientos adquiridos, y tratar de observar las falencias y/o comentarios realizados por ellos, para entrar a mejorar el proceso.

### **Fase de Evaluación**

Esta fase consistió en la definición de una serie de parámetros necesarios para la evaluación del impacto que tuvo el proyecto en el proceso de enseñanza y aprendizaje de la asignatura, los cuales se relacionan a continuación:

Después de desarrollar las actividades de la fase de aplicación, se realizó una auto-evaluación a cada estudiante de la unidad; con el objetivo de conocer el impacto que tuvo las diferentes aplicaciones virtuales y la metodología implementada durante ese proceso, así como la disposición de ellos frente a la clase, para la evaluación de este parámetro se desarrolla el

formulario. Por otro lado a través del esquema de valoración propuesto por el TECNM se desarrollaron las evaluaciones en línea y dicho puntaje se comparó con los resultados alcanzados respecto al semestre anterior; en la figura 6 se muestra un ejemplo de pregunta usada en la prueba aplicada en línea a los estudiantes

**EXAMEN SUMATIVO.  
UNIDAD II**

\*Obligatorio

Nombre del Alumno \*

1.- Menciona ¿Qué es un resumen ejecutivo? \*

- Este es un breve análisis de los aspectos más importantes de una participación ejecutiva
- Este es un breve análisis de los aspectos más importantes del proyecto.
- Este es un breve análisis de los aspectos más importantes de un ejecutivo

2.- Describe dos ejemplos contiene un resumen ejecutivo. \*

- Estimación de costos y aspectos psicologico
- Factibilidad y estudio saocial
- Objetivo del proyecto y metodologia

3.- Especifica ¿Que es el titulo de un proyecto? \*

- Es la distinción del proyecto el cual deberá ser representativa a la investigación
- Es la distinción del proyecto el cual deberá ser representativo al equipo investigador
- Es la distinción del proyecto el cual deberá ser representativo a los costos involucrados en la investigación

Figura 6. Ejemplo de Examen en Línea

Según el cuadro comparativo entre las evaluaciones realizadas del semestre pasado y el simulacro de evaluación tipo pruebas en línea implementado en el proyecto, se observa un aumento de un punto en la prueba de Introducción a la Administración de Proyectos e Inicio del Proyecto, lo que muestra un impacto positivo en la implementación del Ambiente Virtual de Aprendizaje (AVA) en el proceso de enseñanza y aprendizaje de la asignatura: Administración de Proyectos, ver tabla 2.

Tabla 2. Comparación de Puntaje.

Puntaje semestre anterior	Evaluación En Línea	Puntaje
8	Introducción a la Administración de Proyectos	9
	Inicio del Proyecto	9

### Resultados y discusión

De acuerdo con los contenidos descritos en el currículo se diseñó el material didáctico a través de textos guías, producción personal, consultas en



Internet, etc. Y se adaptó de acuerdo con los estándares básicos de competencias y con los lineamientos que envían el TECNM. Las presentaciones fueron elaboradas en Power Point las cuales son dinámicas, sencillas de leer y comprender, para que el estudiante se motive a estudiar los contenidos temáticos allí consignados

Las temáticas abordadas en las clases virtuales de las asignaturas de estudio fueron: Prácticas, Foros de interacción entre estudiantes y profesores, videoconferencias, etc.

Las presentaciones creadas como apoyo educativo al docente y estudiante fue la parte más importante del Aula Virtual de las asignaturas de estudio, ya que estas enlazan de manera sistematizada todas las demás herramientas virtuales y le da un sentido lógico a todos los conceptos tratados en los otros materiales didácticos trabajados. Por lo tanto fue importante realizar un manejo pertinente de cada una de las actividades consignadas en la presentación, buscando siempre la claridad y la sencillez en los contenidos.

Los resultados del trabajo impactaron a toda la comunidad educativa de la Institución, creándose un comité de TIC's encargado de organizar capacitaciones a los profesores, asesoramiento en la implementación de los Ambientes Virtuales de Aprendizaje y creación de la página web de la institución.

Finalmente es importante resaltar que como resultado de la ejecución del trabajo final de la asignatura dentro del Instituto Tecnológico de Tláhuac II, dispone de un sitio web público por el cual la comunidad educativa pueda acceder a la información sobre las actividades que se desarrollan y se desarrollaron durante la aplicación del mismo; también se encuentra conectado a través de las redes sociales de Facebook, y Youtube.

## **Conclusion**

El uso de las Tecnologías Informáticas de la Comunicación (TIC) potencializó positivamente la enseñanza de la Asignatura en la Institución Educativa. La creación y uso de Objetos Virtuales de Aprendizaje (OVA) a través de herramientas tecnológicas como Facebook, Youtube y Google APP motivó a los estudiantes de la materia en estudio al aprendizaje autónomo en los módulos de Inicio del proyecto, Administración del alcance, los recursos humanos y la comunicación, Administración del tiempo y los costos, Administración de la calidad y los riesgos, Administración de abastecimiento e integración y Ejecución, control y cierre.

La enseñanza de la asignatura mediante el uso de Ambientes Virtuales de Aprendizaje (AVA) facilitó el aprendizaje de conceptos, la comprensión del conocimiento, el fortalecimiento en las actividades

experimentales, la interacción comunicativa y la motivación de los estudiantes.

El uso del AVA ofreció a los estudiantes formas diferentes de acceso a los conceptos de las asignaturas y facilitó la interacción entre los conceptos y su aplicación en contextos cotidianos.

Los procesos de evaluación que ofreció el AVA permitió a los estudiantes la entrega de sus trabajos a través de medios virtuales, situación que contribuyó a la disminución en consumo de papel y tinta lo cual contribuyó a la protección y el cuidado al ambiente dentro y fuera de la institución educativa creando en los estudiantes la cultura y el respeto por la naturaleza.

Por último, comparando el rendimiento del semestre pasado con el actual, se observó un incremento de un punto con el semestre anterior, lo cual demuestra que es buena opción el uso de un Ambiente Virtual de Aprendizaje.

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# **Enseñar Y Aprender: La Representación Mental De Docentes Y Estudiantes En Los Diferentes Niveles Educativos**

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## **Abstract**

The problem of how to change or improve attitudes toward teaching and learning, both in students and in experienced teachers, appears in all teacher training programs. The behaviors that make up this attitude generally sustained on certain common beliefs and social representations among teachers. This project represents an advance of an investigation performed in the National University of La Pampa (UNLPAM), setting as its object of analysis, the types of mental representation of teaching and learning maintained by teachers and students. One of its objectives consists in systematizing and analyzing the characteristics and singularities that this social construct provides, in relation to the different developmental stages and levels of formal education in which the subjects perform. For this reason, the "*Educational Partner*" test is used as a technique to apply to the sample. Thus, starting with the information achieved through the instruments applied and its statistical analysis, the results for teachers of are exposed Preschool and Initial educational levels. Significant contributions for the diagnosis, forecast and counseling in Educational and Evolutionary Psychology and Psychodiagnosis are expected, as well as those directed to the improvement of the quality of teaching and training.

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**Keywords:** Mental representation/teach/learn/ development stage/education.

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## **Resumen**

El problema de cómo cambiar o mejorar la actitud hacia el enseñar y aprender, tanto en los estudiantes como en docentes experimentados, se presenta en toda carrera de formación pedagógica. Las conductas que componen esta actitud, generalmente, se sostienen en ciertas creencias y representaciones sociales comunes entre los docentes. Este trabajo presenta un avance de una investigación desarrollada en la Universidad Nacional de

La Pampa (UNLPAM) que toma como objeto de análisis el tipo de representación mental sobre enseñar y aprender que poseen los docentes y estudiantes de las carreras de formación docente. Uno de sus objetivos es sistematizar y analizar las características y singularidades que adquiere esa construcción social, en relación con los diferentes niveles de educación formal en los que se desempeñan los sujetos. En este caso, a partir de la información obtenida a través de los instrumentos y del análisis estadístico, se exponen los resultados obtenidos de los docentes de Nivel Inicial y de Nivel Primario de enseñanza. Se esperan importantes aportes para el diagnóstico, el pronóstico y el asesoramiento en la Psicología Educativa, en la Psicología Evolutiva y en el Psicodiagnóstico; así como también contribuir para el mejoramiento de la calidad educativa y de la formación docente.

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**Palabras clave:** Representación mental/enseñar/aprender/etapa evolutiva/educación

### **Introducción y Antecedentes**

Los estudios que involucran la representación mental del enseñar o aprender se han orientado, principalmente, a explorar los problemas de aprendizaje o de orientación vocacional. También se ha realizado el estudio de la vida de los docentes en relación a las perspectivas acerca de los procesos de reforma, reestructuración y reconceptualización pedagógica considerando que, si las creencias de los docentes no se toman en cuenta, lo más probable es que se obstruyan dichos cambios. Sin embargo, la investigación que se propone en este estudio considera relacionar el nivel de educación formal en el que ejercen los docentes sus prácticas, con dicha representación.

El entramado intelectual del profesor se denomina: teorías, concepciones, pensamientos, creencias, representaciones, conocimientos o saberes. Estos sistemas conceptuales se originan y se desarrollan en la práctica, y se abstraen de un conjunto de experiencias almacenadas en la memoria; están determinadas por los contextos educativos; son eclécticos, desorganizados, parciales y sin cohesión; no tienen por qué reproducir significados estandarizados o comúnmente aceptados y, a diferencia del conocimiento científico, tienen un carácter subjetivo, popular y temporal; son personales, particulares y específicos; se mantienen normalmente implícitos; a pesar de su resistencia al cambio, pueden evolucionar por influencia de nuevas experiencias y procesos de debate.

El estudio de las creencias es uno de los constructos psicológicos más importantes para la formación de docentes. Existe gran cantidad de literatura que sugiere que las creencias que sostienen los docentes tienen un

impacto considerable, tanto en sus percepciones como en sus juicios, los que, a su vez, afectan su actuación en el aula. Para comprender mejor el proceso de enseñanza-aprendizaje, es preciso indagar tanto en lo que sucede en las clases, como en las fuerzas que operan en profundidad bajo las actuaciones visibles de los docentes. Esta información, sin duda, resulta relevante si se pretende dar respuesta a los nuevos paradigmas educativos que han impactado la praxis pedagógica en muchas aulas. Debido a esto, los estudios acerca de las creencias de los docentes y sus actuaciones en el aula han aumentado considerablemente durante este último tiempo.

Uno de los tests proyectivos más usados para intentar capturar estas representaciones y creencias internas es el de "Pareja Educativa". Esta técnica proyectiva de estimulación gráfica y verbal es una adaptación del "Test de las Dos Personas" de J. Bernstein fácilmente aplicable a todas las situaciones en relación al acto de enseñar y aprender, y ha sido utilizada fundamentalmente para el diagnóstico en los problemas de aprendizaje, dificultades en la continuación de estudios o elección de carreras en orientación vocacional. Consiste en solicitar al sujeto que: dibuje dos personas (una que enseña y otra que aprende), escriba una historia que las relacione a ambas y coloque un título a dicha historia. También en el ámbito extraescolar, se ha formado parte de un diseño psicotécnico-laboral en la selección de postulantes para el desempeño de actividades docentes. A través de esta técnica, además, se han investigado las representaciones que construyen los estudiantes, sobre prácticas profesionales y laborales de futuro, en el momento de su ingreso al profesorado de Nivel Inicial, durante la cursada y sobre finales de la carrera. Como todo Test Proyectivo además nos permite conocer las creencias implícitas y representaciones no conscientes, por las cuales el sujeto puede verse influido en su práctica aunque no las tenga explicitadas para sí. Esto implica investigar el lado más oculto de la enseñanza.

Este trabajo presenta un avance de una investigación desarrollada en la Universidad Nacional de La Pampa, que toma como objeto de análisis el tipo de representación mental sobre enseñar y aprender que poseen los docentes y estudiantes de las carreras de formación docente. Uno de sus objetivos es sistematizar y analizar las características y singularidades que adquiere esa construcción social en relación con los diferentes niveles de educación formal en los que se desempeñan los sujetos. En este caso, a partir de la información conseguida a través de los instrumentos y del análisis estadístico, se exponen algunos de los resultados obtenidos de los docentes de Nivel Inicial y de Nivel Primario de enseñanza. Pretende ser original en este aspecto que une una técnica de Psicodiagnóstico al campo de la Psicología Educacional y de la Pedagogía.

## **Descripción del proyecto**

Para Crookes (2003), Hamel (2003), Harmer (1998), Moll (1993), Tillema, (1998) y Williams & Burden (1999) las creencias de los docentes influyen en su actuación más que los conocimientos disciplinarios que ellos poseen. Las creencias tienden a estar limitadas culturalmente, formarse en una época temprana de nuestra vida y ser resistentes al cambio. Las creencias acerca de la enseñanza parecen estar bien asentadas cuando un estudiante llega a la universidad. Ellas están íntimamente relacionadas con lo que se cree que se sabe, pero ofrecen un filtro eficaz que discrimina, redefine, distorsiona o modifica el pensamiento y el procesamiento de la información posteriores.

Las instituciones formadoras de docentes (como es el caso de la Universidad Nacional de La Pampa en Argentina), a menudo se encuentran con la enorme labor de intentar modificar la construcción social previa, que traen consigo los sujetos, con respecto a lo que es enseñar y aprender, para así lograr que incorporen los nuevos conocimientos acerca de la educación y lo puedan transferir en la práctica. En nuestra región (La Pampa, Argentina) no existen estudios que den cuenta de cuál es la representación mental preponderante en los docentes y aspirantes a docentes. Esto hace difícil la realización de un diagnóstico educacional diferencial; como así también, la comprensión de por qué se trabaja de modos muy diferentes a los que aparentemente fueron formados.

Mencionaremos los objetivos iniciales de esta investigación, aunque en esta comunicación presentamos solo un avance parcial de los resultados:

- 1) Conocer la representación mental que tienen sobre enseñar y aprender los docentes y estudiantes de nuestra región.
- 2) Investigar si existen etapas evolutivas en dicha construcción social, reconociendo las diferencias significativas de representaciones según la edad de los sujetos.
- 3) Comparar las construcciones sociales de los docentes según el nivel de educación formal en que se desempeñan.
- 4) Obtener un baremo regional del Test de Pareja Educativa.

Nuestra hipótesis inicial es que la Representación Mental (RM) de los sujetos acerca de lo que es enseñar y aprender está en relación con la etapa evolutiva que atraviesa, y con su inserción laboral en los diferentes niveles de educación formal. Por lo tanto, esperamos que sujetos de una misma etapa evolutiva y/o con una inserción laboral semejante tengan una Representación Mental similar, permitiéndonos también conocer las representaciones sociales comunes (o respuestas populares) y la construcción de un baremo local de medición a través del Test de Pareja Educativa. De esta manera, podremos aportar elementos de diagnóstico, pronóstico,

asesoramiento en la Psicología Educativa, en la Psicología Evolutiva y del Psicodiagnóstico y contribuir al mejoramiento de la calidad educativa y de la formación docente.

Esto presupone delimitar el objeto de estudio como la Representación Mental considerando:

- A) La relación maestro-alumno como imagen y práctica social construida sostenida en creencias o preconceptos.
- B) La idea de representación como construcción social y en un devenir histórico.
- C) La existencia de representaciones internas de la enseñanza y del aprendizaje que pueden influir en nuestra conducta externa o formas de expresión (tal como sucede en el dibujo y la historia escrita que se solicita en la toma del Test Proyectivo Gráfico, por ejemplo).
- D) Cada persona tiene una pareja internalizada relacionada con enseñar y aprender, que puede proyectar graficando su representación subjetiva y relatando acerca del vínculo que establecen ambos personajes (maestro-alumno).
- E) Los test proyectivos gráficos nos permiten obtener toda esta información acerca de cómo se ubica el sujeto frente a la situación de aprendizaje y enseñanza; e incluso acceder no solo a ciertas creencias o preconceptos, sino también a aspectos y fantasías de los cuales el sujeto no es consciente.

### **Metodología y técnicas**

**Diseño:** Se trata de una muestra incidental de aproximadamente 600 docentes y aspirantes a docentes entre 18 y 60 años, de ambos sexos, residentes en La Pampa. En este estudio tomaremos 100 profesores de Nivel Primario y 50 de Nivel Inicial para analizar, y presentaremos una parte de los resultados del diseño general de la investigación que corresponde a un estudio descriptivo-comparativo para evaluar:

- a) qué es enseñar y qué es aprender para los sujetos de la muestra;
- b) la relación docente-alumno que es capaz de establecer;
- c) el tipo de vínculo que tiene con el objeto de aprendizaje;
- d) si existen diferencias entre a), b), o c), según el nivel de educación formal en que ejercen la docencia.

**Instrumentos:** “Test de Pareja Educativa”. Escala elaborada por el equipo de investigación para el análisis sistemático de dicho test con Análisis Transaccional Integrado. Encuesta para evaluar edad y nivel de educación formal.



## **Resultados parciales de la población de profesores de Nivel Inicial (N. I.) y de Nivel Primario (N. P.)**

La población analizada corresponde a 100 docentes pertenecientes al nivel de enseñanza primaria, con un rango de edad entre los 22 y los 50 años, cuya mediana de edad es de 35 años. En cuanto a la distribución por género, se observa una mayoría de docentes de género femenino 94% y un 6% de docentes de género masculino.

Para el análisis de las representaciones internalizadas sobre enseñar y aprender expresadas en las historias del “Test de Pareja Educativa” y codificadas en la Escala de Análisis Sistemático, se recurrió a la Teoría del Análisis Transaccional de la Personalidad, desarrollada por Eric Berne (1985) e integrada por el Dr. Kertész (2010) en Argentina. Para esta teoría, la personalidad está formada por tres estados del Yo total: el Padre, el Adulto y el Niño que conforman un sistema de emociones y pensamientos, acompañado de un conjunto afín de patrones de conducta. Cada uno de estos según la modalidad de conducta predominante puede encontrarse en diferentes sub-estados (Padre Crítico o Nutritivo, Adulto, Niño Libre, Sumiso o Rebelde) que a su vez pueden ser positivos (+) o negativos (-). Las transacciones o interacciones serían los intercambios de estímulos y respuestas entre estados del Yo específicos de diferentes personas. El educador, en cada momento de su tarea educativa, según actúe desde uno u otro de los estados de su Yo, estimulará diferentes respuestas de los estados del Yo de sus alumnos. Por ejemplo, colocarse en un estado de Yo de Padre Nutritivo positivo podría estimular respuesta de parte del alumno como Niño Libre positivo.

En la muestra de profesores que se desempeñan en el Nivel Primario (N. P.) se puede encontrar que la forma de intercambio entre docentes y alumnos es en un 51% del tipo *cooperativo*; a lo que se suma un 7% de vínculos basados en el andamiaje vigotskiano. Estos tipos de vínculos cooperativo y de andamiaje son aquellos que propician el intercambio productivo y facilitan la comunicación. Otras formas vinculares negativas o deficitarias como la dependencia, la competencia, la agresión no alcanzan valores significativos. Solo se podría destacar un 16% perteneciente a una modalidad vincular en la que la relación iría en una sola dirección (sin posibilidad de intercambio o de verdadera interacción entre docente y alumno).

Del análisis parcial de la población de cincuenta docentes que se desempeñan en el Nivel Inicial (N. I.) con un rango de edad entre los 21 y los 50 años, se pudo encontrar que también el vínculo que se establece entre docente y alumno es predominantemente cooperativo (54%) y en un contexto áulico. Además, la mayoría representa al Enseñar como algo interesante y el Aprender como algo fácil o enriquecedor. Un 40% de la población dibuja o

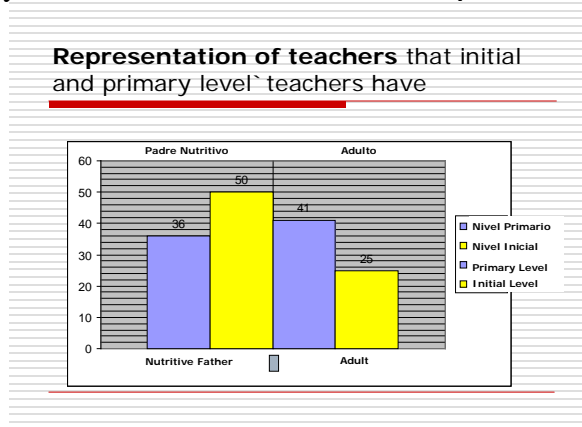
se refiere a objetos concretos de aprendizaje (tales como pizarrón, dibujos, libros, etc.), mientras que el resto no proyecta ningún tipo de objeto de aprendizaje.

Del análisis estructural (que remite a lo intrapersonal) se desprende que en una proporción ligeramente superior (45%) predomina en el grupo de docentes de Nivel Primario la imagen internalizada de un sujeto que aprende como Niño Libre positivo que se rige por lo biológico, expresa sus emociones, crea, utiliza la intuición y la curiosidad como modo de conocer. En una proporción, relativamente cercana a la anterior, identificamos un 29% de docentes (de entre 29 y 39 años de edad) que esperan encontrarse con un sujeto que aprende con las características de Niño Sumiso o Adaptado Positivo. Es decir, un sujeto que acepta la disciplina, que es respetuoso, respeta las normas y acata órdenes.

Del análisis parcial de la población de Docentes de Nivel Inicial, también se pudieron encontrar (pero en proporciones similares) estas dos formas de representación dominantes de Alumno: A) como Niño Sumiso o Adaptado (44%) o B) como Niño Libre Creativo (38%).

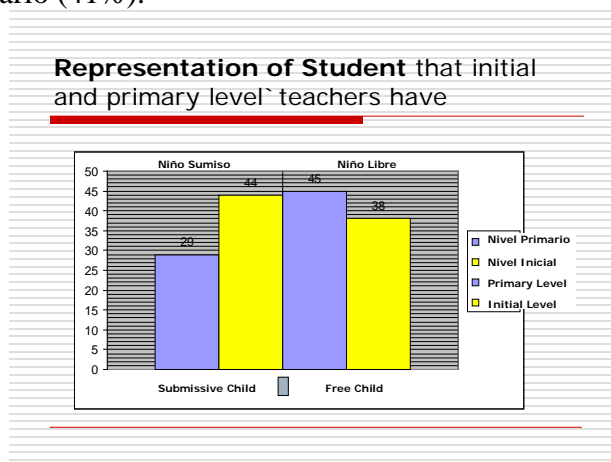
Con relación a la representación de docente con la cual se identifican mayoritariamente los docentes de Nivel Primario, encontramos dos categorías importantes:

- La categoría Adulto (que podría corresponderse con una imagen internalizada de un docente que se desempeña con una conducta racional, analítica, lógica, ligada a la realidad) se encuentra representada por un 41% de los docentes, dentro de la cual un 16% corresponde a la categoría Adulto Positivo.
- La categoría de Padre Nutricio Positivo con un 36% (que podría corresponderse con una imagen internalizada de un docente que brinda protección, apoyo al crecimiento, orientación, comprensión, consuelo).



**Gráfico 1:** Análisis comparativo parcial de la población de docentes de la representación del maestro:

- a) como Padre Nutritivo Positivo Nivel Inicial (50%) supera las proporciones de la muestra de profesores de Nivel Primario (36%).
- b) como Adulto Nivel Inicial (25%) se encuentra por debajo de los profesores de Nivel Primario (41%).



**Gráfico 2:** Análisis comparativo parcial de la población de docentes de la representación del alumno:

- a) como Niño Sumiso: Nivel Inicial (44%) supera las proporciones de la muestra de profesores de Nivel Primario (20%).
- b) como Niño Libre: Nivel Inicial (38%) se encuentra por debajo de los profesores de Nivel Primario (45%).

### Conclusión

De manera que a partir de los datos preliminares aportados, se podría inferir que existe un porcentaje significativo de docentes trabajando en la escuelas primarias de nuestra provincia (La Pampa), que expresan una representación mental positiva de un docente que enseña desde una conducta racional, que brinda apoyo y colabora con acciones concretas contribuyendo al crecimiento individual de los alumnos. También, docentes que estando en un nivel inicial (con niños más pequeños) se muestran predominantemente protectores y comprensivos, orientando y sosteniendo el crecimiento.

Asimismo, parecería que estos docentes sostienen expectativas acerca de establecer un vínculo de tipo cooperativo o colaborativo con un alumno creativo, curioso, que desea y le interesa conocer, que pregunta, capaz de adaptarse a las reglas y respetar el ámbito en el que se educa.

Cabe preguntarse si estos resultados parciales representan una muestra del cambio de modelo tradicional de enseñanza-aprendizaje (específicamente respecto del modo de concebir el rol del docente y del alumno) y si representaciones de este antiguo modelo (que se ha intentado ir modificando a través de la formación docente en nuestra universidad) finalmente se ha reemplazado por otras representaciones más productivas.

También se podría poner a consideración si las representaciones que actualmente poseen nuestros docentes (que tal como se deseaba, parecen estar lejos del modelo tradicional de enseñanza), están de acuerdo con la realidad objetiva de nuestras escuelas, o bien, entran en confrontación con ella encontrándose con una labor frustrada al esperar algo que finalmente puede ser solo una ilusión. Y si esta ilusión es parte de la formación universitaria que no puede evitar formar a docentes para generaciones de alumnos que ya pasaron.

Los datos empíricos que aportaría el profundizar esta investigación podrían proporcionar herramientas útiles, para hacer intervenciones que optimicen el desarrollo de las prácticas educativas tanto iniciales como a lo largo del tiempo, aumentando el conocimiento de las improntas culturales, laborales y permitiendo pensar en estrategias y políticas de modificación. Contribuiría además con elementos de diagnóstico, pronóstico, asesoramiento y tratamiento, tanto en el área de la Psicología Educativa, del Aprendizaje, de la Orientación Vocacional y del Psicodiagnóstico, así como en el área de la formación pedagógica.

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## **Development Of A Methodology To Estimate Ghgs Produced By The Beef Chain In Argentina**

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### **Abstract**

The world is nowadays facing a great challenge: the production of food in harmony with the environment. Air pollution resulting from livestock activities and the existing possible solutions are shown as elements of vital importance. This fact definitely leads us to consider this issue from the global, national and local point of view. Each country faces different situations in terms of emissions which result directly from the production activities circumstances. Livestock in Argentina represents a substantial portion of the agricultural activities. Therefore, emissions produced become critical to any climate change mitigation and adaptation policy.

Currently, satellite data can be obtained from an atmosphere scanning with territorial and temporal segregation. This information makes possible to achieve a global worldwide coverage, however, of low accuracy. Although it is not possible to identify sources and specific sumps, data on large areas can be achieved.

Within this context, this project<sup>5</sup> has been framed mainly focused on the creation of estimates of greenhouse gas emissions (GHG) produced by the beef value chain in Argentine on different production scenarios.

This Study has been carried out and promoted by the Ministry of Agriculture, Livestock and Fisheries, managed and coordinated by the

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<sup>5</sup> Emisión de gases de efecto invernadero en la cadena de valor de la carne bovina [Greenhouse Gas Emissions of the Beef Value Chain] AACREA [Argentine Association of Regional Consortiums for Agricultural Experimentation]. August 2014. Final Report in the frame of the Specific Agreement set by the Ministry of Agriculture, Livestock and Fisheries and UNTREF [University of Tres de Febrero]. Coordinator: Eng. Cristian Feldkamp, File No. 1608/12.



National University of Tres de Febrero -UNTREF- and developed under the technical advice of AACREA [Argentine Association of Regional Consortiums for Agricultural Experimentation]. The purpose of this paper is to discuss the development of a model in order to estimate emissions of greenhouse gases in the Argentine beef chain on different scenarios for the 2013-2014 period and to propose, on said basis, production models and functional marketing in line with the environmental objectives.

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**Keywords:** Greenhouse gas emissions, livestock, estimates model, pollution, new scenarios

## **Introduction**

The international meat market in general and the beef market in particular have experienced very significant changes over the last decade. World beef trade grew by forty percent (40%), accounting for eight million tons (8,000,000 t) in 2008, and probably approaching ten million tons (10,000,000 t) in the coming years (FAO.OECD). This growth in the traded volume is the result of significant structural changes at the production and consumption level in several countries, including some of the biggest players in the world trade.

Nowadays, the sustainability of the production processes is a growing market demand and therefore, it will represent a sales condition, both at a domestic and international level. Sustainability can not be considered only as a requirement to certify emissions of greenhouse gases (GHGs), but as a tool whose implementation would achieve high standards of environmentally friendly production, under rational social conditions and which would ensure a high level of health protection for consumers of such food and/or beverages.

The Argentine Ministry of Agriculture, Livestock and Fisheries launched the so-called "Intelligent Agriculture Program" that seeks to promote sustainable practices and processes in agrifood chains. The resolution to create this program promotes the implementation of projects for Intelligent Agriculture and encourages improved efficiency of different production systems through an adaptive and sustainable management. Within this framework, the estimation of GHG produced from the beef chain is a project that directly contributes to the achievement of these aspects.

This kind of initiatives seeks to produce an impact on the food industry and on the public-private synergies in order to accomplish competitiveness of exportable agri-products.

Regional specificity of emission calculations is achieved through an accurate description of the production systems, which makes possible to

know the proportions of the different categories of animals, quantity and quality of the food they eat, using a suitable Ym factor for said intakes.

In terms of livestock and for information purposes, it results better to compare emissions per kilo of meat produced, than per surface unit as it is usual in Agriculture, due to the diversity of livestock layouts which varies from extensive production on grassland to intensive fattening systems with feed lots.

It results essential to understand the need of taking actions in this context, since it is expected that in the near future the EU will require that all food products entering the EU countries report the environmental footprint, including among other indicators the carbon footprint. These new guidelines mean that major countries should compete with similar or different standards in different parameters, so as to determine how to measure the footprint, trying to show each standard as the most suitable one.

### **Method to estimate emissions:**

Emissions calculation proposed by AACREA<sup>6</sup> is divided into three models: primary production, cattle and industry transportation. Emissions include the estimation of the main sources of emissions, until the release of meat from the meat processing facilities, and exclude transportations to the retailer center or consumer.

### **Production model:**

The selected model to calculate production emissions was the one proposed by the Intergovernmental Panel on Climate Change - IPCC (2006) in its Level 2 analysis. This model includes estimated emissions of methane and nitrous oxide.

Methane is originated from rumen fermentation and manure, either deposited in pastures or managed by wastewater treatment systems. Nitrous oxide is emitted directly from pasture, through volatilization, leaching and runoff of manure, either managed or otherwise. When nitrogen fertilizers are used, nitrous oxide is directly emitted through volatilization, leaching and runoff.

In food production, pasture, grassland or grains, emissions of carbon dioxide, methane and nitrous oxide were estimated by the consumption of fuel used by the machinery, fertilization, and crop residues.

In addition to emissions, the model estimates production of calves (for breeding sub model) and animals to slaughter (breeding and wintering sub models). In this sense, breeding and wintering systems are divided.

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<sup>6</sup> AACREA Asociación Argentina de Consorcios Regionales de Experimentación Agrícola [Argentine Association of Regional Consortiums for Agricultural Experimentation].

Furthermore, production systems by area and production level were classified. All calves for fattening which leave farming systems in different areas enter a wintering system in the same or in another area. In each modal production system a stock model is run, annual step of integration where efficiency parameters are exogenous variables.

### Local emission factors during production

In discussions on the development of methods to improve the estimation of GHG emissions caused by animal production systems, the importance of local emission factors is frequently mentioned. In case these local factors are not available, those factors proposed for other countries or globally by the IPCC must be used.

Different researches made in our country seek to contribute to the development of said factors<sup>7</sup>

In order to understand the importance of setting local emission factors, it results necessary to explain the impact of these values on the emission calculation models at a country level.

In the case of methane, main GHG from the ruminant systems, the emission of a given animal is calculated by the following equation:

$$E_{CH4} = DMI \times GE \times Ym$$

Where:

$E_{CH4}$  = Energy lost as methane

DMI= Animal's dry matter intake

GE= Gross energy content in food

Ym= Fraction of gross energy lost as methane.

In general, gross energy remains fairly constant among forages. However, it changes in case high lipid content supplements are used.

Dry matter intake is determined by several aspects of the animal, food and by the environment. In terms of the animal, its live weight, body condition, age, physiological status, race and its health condition may influence the food intake. In terms of food, its availability, digestibility and its nutritional balance are aspects that influence consumption. Finally, the environment influences consumption in terms of temperature and presence of mud.

There are several models that make up these factors in order to estimate the dry matter intake<sup>8</sup>, which are mechanistic enough to be considered as extrapolated to our country. The challenge to provide locality

<sup>7</sup> See as an example Berra et. al., 2010, Jaurena et al., 2014, Faverin et al., 2013, and Rubio et al., 2011.

<sup>8</sup> For example NRC, 1996.

to dry matter intake is found in an appropriate description of the data used by these estimation models.

In this paper, AACREA has focused on making a suitable description of the production systems, categories and characteristics of animals and forage offered, including concentrations of gross energy.

Ym factor mainly depends on the characteristics of the diet and the use of additives. In general, the more digestible food is, the lower the Ym value will be. Therefore, the energy losses by methane will also be lower.

There is a wide range of Ym values present in the literature that emphasizes the importance of using the most suitable one<sup>9</sup>. The IPCC (2006) for Level 2 analysis proposes two values: 6.5%, when the concentrate content in the diet is less than 90%, and 3.0% when the concentrate content in the diet is equal to or greater than 90%. These values are the result of agreements in the IPCC; therefore they do not necessarily represent the existing conditions in our country. Jaurena et al. (2013) carried out a meta-analysis study of the existing international literature and produced predictive models for situations of Argentina.

### **Modeling of cattle transport**

The link between breeding and wintering systems and among all the production and slaughter systems is stated by cattle transportation. In this connection historic movements have been analyzed and the number of necessary trucks, as well as distances covered, has been defined for all cattle transports. No changes in the transport system structure have been considered within the proposed scenarios.

### **Modeling of the industry**

All animals for slaughter, coming from breeding or wintering systems are annually admitted into the industry model. This model has been adapted from a developed model in order to establish costs for the meat processing industry. In the proposed scenarios, no changes were considered in the structure of the meat processing industry.

### **Description of the primary sector**

The primary production sector of the bovine meat chain can be characterized by two production stages: breeding and wintering, including rearing and fattening in the latter. At a domestic level, cattle breeding, which accounts for approximately 21 million bellies, shows a calf production of 63%, whereas about 15 to 20% of heifers are intended for herd's replacement. About 3 to 5% of calves are considered as breeding males. The

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<sup>9</sup> Jaurena et al., 2014.

remaining calves and heifers enter the wintering stage, either directly to the fattening stage, or through a previous rearing stage.<sup>10</sup>

In order to portray the primary production sector, the representation of production systems by means of Mode Systems (MS) has been proposed. The Mode Systems are production layouts that have common production resources, the produced product, and similar manners to respond to environment changes.

Each Mode System does not represent a particular cattle farming, but an activity (in the business sense), which may be part of a business with several activities, or the whole business itself when it has that single activity.

The regionalization of the country in five areas, as proposed by the INTA (2007) has been adopted as follows: Northeast, Northwest, South, Pampas and Patagonia areas. Given the heterogeneity and relevance in terms of number of heads, the Pampas area has been subdivided into North, West, Southeast and Southwest subareas.

- **Breeding activity: Characterization per production level:**

Breeding systems are classified into three production levels: high, medium and low level within each area. This meets the need to distinguish the different forms of production, understood as the interaction among environmental potentials, use of technology and production scale.

- **Wintering activity: multi-criteria characterization:**

Multiple grouping criteria were used for wintering activities, including the duration of the wintering period, the weight of animals at admission and discharge, and the resources used in the cycle. In this sense, a system range was created, varying from the most intensive, shortest systems and with high proportion of concentrates in diets, to the most extensive ones including high proportions of pasture resources in feeding.

## **Productive scenarios**

Building scenarios involves not anticipating the future, but thinking of ideas internally consistent with it<sup>11</sup>. Although it is not a forecast, it makes it possible to assess the potential impact that the execution of these future assumptions may have on the system under study. Taking into account one aspect of the chain, three possible scenarios were raised: a trend scenario, a pessimistic scenario and an optimistic one.

Each scenario basically responds to decisions made in the primary production sector, in response to expectations and general conditions of the scenario in question. In general, history shows cycles of 4 to 6 years where business expectations change from very unfavorable to very good ones.

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<sup>10</sup> Pursuant to SIIA's figures for 2014.

<sup>11</sup> Porter, 2002.

Therefore, looking backwards, a realistic scenario should include an expectations sequence.

However, there are two main reasons not to follow that path. Firstly, defining a possible sequence of expectations involves countless uncertainties which may hinder the identification and understanding on the part of the reader, of the raised scenario. On the other hand and most important, the goal is the raising of the scenarios, it is not the forecast, but the identification of trends of what might happen if different situations arise.

- ✓ The trend scenario: This scenario, taken as baseline, assumes that the macroeconomic environment will be neutral in the coming years. As such, and considering the trend for the 2013/14 period, it is assumed that the livestock producer has relatively low expectations on the cattle business, with export values similar to current ones. This situation results in maintaining the stock of bellies, the relation calf-cow and the average slaughter weight. The duration of the wintering stage is supposed to be kept, thus the extraction rate of males will result stable.
- ✓ The pessimistic scenario: This scenario assumes a negative macroeconomic environment that generates and holds low expectations on the livestock business. This results in a reduction of females' stock, a slight fall in the relation calf-cow, as well as in the average slaughter weight, and in the male extraction rates, showing fattening systems mainly short and with minimum herds. This scenario is supposed to have a higher reduction in exports, resulting in values lower than those of 2013.
- ✓ The optimistic scenario: This scenario assumes a positive macroeconomic environment, promoting high expectations on the cattle business. This situation leads to a reduction in the percentage of females to slaughter, an increase on females' stock and an increased calf-cow relation. Within this scenario, exports are agile and show increasing values. This scenario generates an increase in the participation of herds that slightly extend the fattening period of males (the extraction rate of males falls), as well as a progressive increase on the average slaughter weight.
- ✓ Compared scenarios: conducting variables and productive results. The optimistic scenario assumes an increase in the number of bellies through a greater replacement of heifers and calves, and a reduction in the slaughter of adult females (longer lifetime of bellies). In turn, in the pessimistic scenario, the slaughter of females increases due to fewer calves and heifers selected as replacement, and to an increased slaughter of adult females (shorter lifetime of bellies)

## **PEAA [Agri-Food and Agribusiness Strategic Plan] and the optimistic scenario:**

The optimistic scenario shows some variables with values close to the goals set by the Agri-Food and Agribusiness Strategic Plan (PEAA, for its acronym in Spanish). For example, by 2020 the PEAA proposes a cattle stock which totaled 54.5 million head (55 million in the optimistic scenario), 68% of weaning (68% in the optimistic scenario), a slaughter of 3.5 million of t eqRcH<sup>12</sup> [tons equivalent to in-bone beef] (3.4 in the optimistic scenario), and a consumption per capita ranging between 54 and 60 kg (61 kg in the optimist scenario). The PEAA assumes an export of 1,000,000 tons equivalent to in-bone beef, while the optimistic scenario assumes 680,000 tons equivalent to in-bone beef in 2020. The difference may be in part due to different average slaughter weights (higher in the PEAA) and to the population (less in the PEAA).

## **Results of emissions**

The estimation of emissions generated by the chain has been made for the three productive scenarios outlined for the primary production sector, cattle transport and industrialization. Results are shown firstly by sector and afterwards comprehensively.

### **Emissions from production**

The emissions generated from the production have been calculated using the 2006 IPCC Ym factor (YmIPCC) and the Ym factor proposed by Jaurena et al. (2013, Ym-Mod). These factors have been applied to both, breeding and wintering systems; thus, the analysis is carried out per production stage.

### **Emissions from the wintering stage**

As in farming, enteric fermentation is the main source of emissions regardless the Ym factor used and the scenario raised. Pasture and food management increase to the extent of their participation, because the wintering layouts contain a greater portion of supplements and implanted pastures, compared to farming systems that mainly rely on natural or long-lasting grasslands.

### **Emissions from farming and wintering**

The main source of emissions from production is the enteric fermentation: 72% of emissions irrespective of the scenario. The second one

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<sup>12</sup> t eqRcH means tons equivalent to in-bone beef.

is the manure management (26%) and finally food production and management (3%).

For the average of 10 years, the difference among the scenarios in terms of total production emissions with respect to the trend scenario is 4.3% lower emissions in the pessimistic scenario and 10.0% more emissions in the optimistic scenario. If the last four years (2020-2023) are considered, in terms of cattle transport, the pessimistic scenario generates 6.0% lower emissions and the optimistic scenario 13.6% more emissions than the trend scenario.

### **Emissions from transport of cattle**

Emissions derived from transport of cattle are generated by the fuel used in transportation. There exist three kinds of movement: animals from breeding systems to slaughter, animals from breeding systems to wintering and animals from wintering systems to slaughter. The necessary transport is related to the amount of animals produced and slaughtered; that is why the pessimistic scenario initially shows greater emissions, which later decline. Conversely, the optimistic scenario shows lower emissions first, in the period of retention and growth of bellies stock, and an increase afterwards according to the rise in production and slaughter.

The movements from the wintering systems to slaughter show the highest emissions of the three scenarios: 48% (trend and pessimistic scenarios) to 49% (optimistic scenario). In general, these movements are shorter than those from breeding systems to wintering; however, each truck carries fewer animals. Emissions from wintering to breeding systems represent a 46% (trend and pessimistic) to 45% (optimistic). Finally, emissions produced by animals transport from farming systems to slaughter account for 5% (pessimistic and trend scenarios) to 7% (optimistic scenario) emissions from transport. Considering the 10 years assessed the difference among scenarios in terms of total emissions from cattle transport with regards to the trend scenario results in 4.4% lower emissions in the pessimistic scenario and 4.5% more emissions in the optimistic scenario. If the last four years (2020-2023) are considered in terms of cattle transport, the pessimistic scenario generates 9.3% lower emissions and the optimistic one 9.8% more emissions than the trend scenario.

### **Emissions from the meat-processing industry**

The meat processing industry generates GHG emissions produced by energy consumption (electricity and gas) and the effluents generated.

The main source of the industry emissions are effluents: 61% for the average of 10 years of industry emissions in all scenarios. Natural gas is the second source of emissions (26%), and finally electric power (13%). In the



10 years considered, emissions produced by the industry in the pessimistic scenario are 4.2% lower and in the optimistic 10.1% higher than those produced in the trend scenario. If the last four years are considered (2020-2023) the industry generates 7.4% lower emissions in the pessimistic scenario and 15.9% more emissions in the optimistic than in the trend scenario.

### **Total emissions**

Production is the stage that produces the largest proportion of GHGs in any scenario: an average of 98.3% in the 10 years considered. In second place, the meat processing industry (ranging between 1.5% and 1.6% depending on the scenario) and the transport (0.1% and 0.2%) are located.

### **Conclusion and recommendations**

The scenarios depicted show great potential to increase livestock production and, consequently, exports to the world market. It is remarkable that with current fattening systems in new and reasonable proportions, it is not possible to significantly increase the average slaughter weight. In this sense, it results necessary to change the production systems; therefore, a change in business expectations for the medium and long term results essential.

The model used includes the main sources of greenhouse gas emissions from livestock, transport and industry. The use of the Ym-Mode involves reporting higher emissions than the default values proposed by the IPCC. Chain's greenhouse gas emissions are mainly generated in the primary production sector. The main source of emissions in the meat chain is produced by enteric fermentation. This process represents an ecological and economic advantage due to its production capacity from food with no other use. However, it generates a significant amount of greenhouse gases. Since this model has a higher proportion of adult animals that eat regular quality food, it is in the breeding stage where GHGs are mostly emitted. Emissions per head can be hardly reduced in a significant proportion.

The model shows that when production and efficiency increase at the chain level, the intensity of emissions per product unit is reduced. The strategy to be followed should therefore be focused on reducing the intensity of emissions. Changing the focus of the discussion of total emissions to the intensity of emissions, makes it possible to settle goals in order to increase production and reduce environmental impact.

Therefore, creating medium and long-term policies that promote the development of livestock is also desirable from an environmental point of view considering greenhouse gas emissions. Policies that help to create a favorable cattle business context in the medium and long-term, lead to

productive, economic and environmental benefits in terms of reducing the intensity of emissions.

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## Arts Management in the US and Russia: Pedagogical Aspects

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### Abstract

The paper is about the pedagogical approaches in the arts administration programs in the US and Russia. For future cultural managers an understanding of culture and the arts forms one of the bases of intellectually engaged activity, enriches and sustains lifelong learning, and cultivates the capacity for empathetic and relational thinking. The cultural management pedagogy must offer students a rich array of educational instruction, programs, and opportunities across communication and arts disciplines.

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**Keywords:** Pedagogy, interdisciplinary, arts management, US, Russia

In 2006, Corina Şeteu published *Another Brick in the Wall: A Critical Review of Cultural Management Education in Europe* [1]. The book is named, somewhat ironically, after the 1979 Pick Floyd hit song “Another Brick in the Wall,” a protest song against rigid schooling. The best-known line in the song is, “We don’t need no education.” While the author does not argue against cultural management education, she does raise critical concerns and serious questions.

In her book, Ms. Şeteu writes that “the time has come to address cultural management training from a “transversal perspective, highlighting the main interactions between ‘cultural management’ as a *teachable* discipline and the multitude of actors that this domain is dependent on and interrelated with” [1, p. 11]. There have been conflicts and variances among educational domains and disciplines; among various European regions and nations; among educational infrastructures, and between Eastern and Western Europe and North America.

In order to assist programs in structuring and reviewing their curricula, the Association of Arts Administration Educators has published a set of program learning outcomes and standards [2, 3].

In summary, the standards state that students completing a program should have the following skills and understandings. They will comprehend:

- The nature of the creative process; how art and the artist function in society
- The economic, political and social environment for the arts
- The local arenas in which arts organizations exist
- The importance and potential of technology
- The impact of demographic diversity and multiculturalism
- The ethical issues confronting arts managers
- Basic business skills: accounting, financial management, organizational theory and practice
- The financial and legal needs and realities of arts organizations
- Financial and audience development, strategic analysis and planning;
- The production and presentation of art
- Marketing strategies and outreach programming for the arts
- Resource development for the arts
- The legal, ethical, and policy environments for the arts
- Leadership in complex organizational environments including the dynamics of working with boards, organizational structure and staffing, and working with artists and other constituencies
- The international environment for the arts and the impact of the global economy
- The application of research methodologies to the field including the ability to conceptualize, analyze, synthesize, and evaluate data

Arts management and administration are fundamentally concerned with the creation, production, dissemination, and stewardship of creative expression. While the daily activities of an arts organization may focus on “managing” that process – through systems, controls, resources, and directed action – the larger purpose of the organization is to encourage artistic expression and experience to flourish for both private and public benefit. Regardless of their art form or sector – commercial, nonprofit and voluntary – arts managers must keep art at the core of their endeavor. Intrinsic to arts administration

What is remarkable is that virtually every program has a different pedagogical approach to achieving these standards and there has been little

systematic effort to determine whether or not students completing these programs have achieved the standards set by the AAAE.

For future cultural managers, an understanding of culture and the arts forms one of the bases of intellectually engaged activity, enriches and sustains lifelong learning, and cultivates the capacity for empathetic and relational thinking. In and out of the classroom, cultural management pedagogy must offer students a rich array of educational instruction, programs, and opportunities across communication and arts disciplines.

What does this all mean for pedagogical practice day-to-day? To paraphrase famous educator, John Dewey, the secret in education lies in respecting the student.

We are convinced that teaching cultural management pedagogy must have a strong experiential component. We support the idea that students should be learning by doing; getting more practical experiences and understanding how management principles function in arts and cultural contexts. We believe that students must engage with practitioners. Discussions with practitioners in the classroom and outside of it greatly benefit the educational process and give students a chance to see actual practices from different perspectives. Learning opportunities must also be created outside of the classroom. Visiting art organizations, creating and undertaking study surveys, and attending special conferences or seminars all enrich the learning process and help students to become more motivated in their studies.

Active learning and the use a variety of methods to encourage discussion and interaction on the issues that a course presents are imperative to effective pedagogy in the 21<sup>st</sup> century. In keeping with our commitment to experiential learning, our students in both the USA and in Russia are assigned to engage specific subjects through simulations and through the analysis and presentation of cultural management case studies.

In order to facilitate the organization of study, it is important to use different kind of technology. For example, web learning and video or special computer games in the classroom raise students' interest and reflect different forms of creative process.

We also believe that students must experience and understand the cultural context and practices of different countries. In a global environment, it is critical that students see that various and different political, economical, and cultural backgrounds are an important basis for successful learning and ultimately for successful management practice. For example, students obtain a broader outlook on economic concepts through learning about a variety of cultural policies, political practices, and market trends in countries beyond their own national boundaries. Such experiences help students to realize how differently the same cultural management concepts



work in various countries and regions including European, American, post-soviet, and Asian countries.

Beyond understanding the challenges of cultural administration in an arts institution, acquiring the specific knowledge, skills, and attitudes of at least one arts or media discipline is vital for students studying cultural management.

Regardless of nationality, all graduates from cultural management programs should know the history and the formal structures of their field of study. We would further argue that they must be well-read in the literature of their field. Finally, we are committed to the idea that students must know not only the structure, values, traditions and trends of their field, but also the ethical standards of their discipline and chosen profession.

In its preparation of our cultural managers, it is vital that our pedagogical practice support the arts as they promote social and intellectual change, and as they conserve human knowledge and artistic achievement. It is our belief that the arts enhance the emotional and intellectual growth of students by teaching, in particular, the following skills: critical thinking, creativity, writing, and communication. And, that we must incorporate these skills into the teaching and training of cultural managers.

- **Critical thinking** enables students to develop, in a reflective and deliberate manner, solutions to intellectual, technical, social, and political challenges. Students who are able to think critically can engage the world more fully, and recognize and navigate current intellectual and social issues confronting human beings in today's complex world. For cultural managers, this is imperative.
- **Creativity** enables students to imagine the world as it has been lived, as it is currently experienced, and as it might be lived in the future. Creativity plays a crucial role in human development, in complex thinking, and in the solution of intellectual challenges. Students engaged in cultural management must understand not only operations management and cultural policy, but also that they are fostering the work of artists. And, that our global cultural heritage reflects the best and most important things that have been thought and said and made by human beings.
- **Writing and communication skills** enable students to state their ideas clearly and articulately in the public sphere and in private life. These skills are vital for global citizens in the 21<sup>st</sup> century as they negotiate on-going discussions of national cultural values and the relationship of those values to the values of other peoples and other nations in an international arena.

An understanding of the culture and the arts forms one of the bases of intellectually engaged activity, enriches and sustains lifelong learning, and

cultivates the capacity for empathetic and relational thinking. In and out of the classroom, cultural management pedagogy must offer students a rich array of educational instruction, programs, and opportunities across communication and arts disciplines. Using both traditional discipline based methodologies and metrics for aesthetic, ethical, and cultural literacies. Learning then is a collaborative effort not only between students and individual faculty, but also among and between the students and faculties of their learning institution.

Learning is a holistic experience, and therefore, the entire cultural management learning experience – curricular, co-curricular, social, and institutional – must be designed to promote student learning outcomes.

As leaders and as educators, we believe that part of our pedagogical responsibility is to provide students with a strong network of teachers, counselors, fellow students, and mentors that assists them in making a successful transition from the world of study to the world of work.

If one accepts this premise, then sound educational practice requires that we assess students using both traditional discipline-based methodologies and metrics for aesthetic, ethical, and cultural literacies. Learning then is a collaborative effort not only between students and individual faculty, but also among and between the students and faculties of their learning institution.

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Association of Arts Administration Educators. Undergraduate Program Standards. <http://www.artsadministration.org/undergraduate-standards/>

# **Online Travel Retail Site Usage And Generational Differences When Using Sites To Plan A Leisure Vacation**

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## **Abstract**

The growth of online travel agencies has modified how consumers explore possible vacation choices by allowing greater access to the travel and tourism supply chain. This growth also empowers potential travelers to be more discerning when purchasing travel products and services by giving them the opportunity to align their preferences (i.e., price, value, amenity, etc.) with the multiple product offerings available to them via online travel retail sites. This research explores a visitor's frequency of using online travel sites when planning a leisure vacation and if similarities exist in how frequently these sites are used in the planning process. It also examines if generational differences exist in utilizing these sites. The factor analysis showed that 10 types of online travel sites can be categorized into two factors, and the ANOVA indicated that site frequency usage differs by generation. These findings can be beneficial to both managers of online travel sites and direct suppliers of travel products.

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**Keywords:** Online Travel Agencies, Tourism, Marketing

## **Introduction**

In the last decade the internet has exploded with a plethora of online sites that directly sell travel and tourism services and products to consumers. These sites sell products not only directly from hotels or airlines, but also from intermediary channels and online travel agencies (OTAs). The

evolution of onsite travel retail has disrupted the traditional supplier direct market whereas consumers perceive they have greater choice in product or service searches because of the multitude of site options. The supplier direct channel has responded by increasing its web presence, most recently by implementing sites that organize multiple direct suppliers within one site location. Roomkey.com is an example of a collaboration of hotel direct suppliers that is intended to regain its market lost to OTAs (Mandigo, 2012). As online competition for the travel consumer progresses among travel and tourism service providers, consumers benefit by having a broader view of travel products and services available for purchase, and the ability to compare products.

However, not all potential travelers may use online travel sites in similar fashion. Much consumer research has been recently focused on the demographic market shift occurring as the generations age. As the exponential growth of online travel retail has been occurring, the natural aging of the Baby Boomer, Generation X, and Millennials affects the travel and tourism market and its online market channel strategies. Researchers have recently been focusing on these generational differences especially since the Millennials' annual spending is expected to be over USD 2.45 trillion. By 2018, Millennial income is estimated to be USD 3.39 trillion annually, which will surpass that of the Baby Boomers (Oracle, 2010).

While much research has been conducted that explores the use of online travel sites in the trip planning process, limited studies exist which consider how potential visitors utilize these sites while planning a leisure vacation and if commonality exists among these sites in frequency of use. Additionally, there appears to be a shortage of research that explores the generational differences in how generations consume online travel sites and specifically if the frequency of using these sites differ by generation. This research explores how often tourists use online travel sites while planning a leisure vacation while also exploring if differences in usage exist when comparing Millennials, Generation X, and Baby Boomers.

### **Literature Review**

The internet is extremely competitive with OTAs, intermediaries, tour operators, consolidators, meta search and corporate sites. The online community significantly influences tourism consumer behavior (Mills & Law, 2004). Potential tourists directly access a greater wealth of information provided by tourism organizations and private enterprises (Chakravarthi & Gopal, 2012), and site traffic is expected to increase as the economy continues to recover (Vinod, 2011). According to Vinod (2011), the OTAs witnessing the highest growth rates are those selling simpler products, such as only the hotel sites. The customers of these high growth OTAs search for

travel-related information, make online air-ticket bookings and online room reservations, and utilize other online purchases themselves instead of relying on travel agencies to undertake this process for them (Morrison, Jing, O'Leary & Cai, 2001).

Rao and Smith (2005) placed online travel retailers into the following seven categories: (1) online agency, (2) supplier website, (3) distressed inventory distributor, (4) reverse auction site, (5) shopping bot, (6) search engine, and (7) portal. Online agencies sell multiple types of travel products from multiple suppliers; with online agencies, the customer is shown a list of products with different attributes along with price. A supplier website will sell its own travel products and travel products of its partners. These websites will show the customer a list of the company's products with different attributes and product price. A distressed inventory distributor sells products from multiple suppliers, and a customer is shown a list of products with different attributes along with price. Reverse auction sites search for a supplier who is willing to fulfill the demand for the product at a customer's price. Shopping bots search for multiple supplier websites and agencies, while a search engine provides a list of hyperlinks to travel providers. Lastly, portals provide booking access in their respective travel sections (Rao & Smith, 2005). However, the landscape of OTAs has changed significantly since 2005 whereas the evolution of social networking sites (i.e., Facebook, Twitter, etc.) and peer-to-peer rental sites (i.e., Airbnb.com, VRBO.com, etc.) are growing in their influence on travel planning (Fotis, Buhalis, & Rossides, 2012; Johanson, 2015).

When marketing to consumers, hospitality and tourism companies need to consider the differences in user behaviors of all their target markets, specifically Baby Boomers, Generation Y, and Millennials with its growing economic importance. Diversity in user behavior leads them to choose different avenues for their purchases, whether it is through OTAs or the hotel sites directly. While older consumers use the internet when researching vacation destinations, they are less likely to use travel review sites or social networking sites to finalize their travel decisions. Millennials have become a larger consumer base so much so that their online behaviors could have an influence on the internet's future (Bai, Hu, Elsworth, & Countryman, 2004). These individuals were raised during the age of internet exploration and think of it as an integral segment of their life (Vinod, 2011). Rather than relying on testimonies from their social circle, this age bracket has a keen ability to identify discounts for travel packages. This disposition is seen as a motivator for making online purchases (Bai et al., 2004).

The amount of exposure consumers have, and their comfort level with using the internet to make purchases, influences their likelihood to purchase a vacation. The length of exposure to the internet as well as making

purchases through companies online has shown to increase the level of trust in the consumer. This level of trust can be affected by companies trying to increase sales by providing false information (Ayeh, Au, & Law, 2013). The higher someone's proficiency at using the computer also determines how likely they are to use online travel resources (Bai et al., 2004).

To date, the number of travel and tourism mobile applications has reached over 2,000. The use of smart phones among all demographics to gather travel information and to utilize social networks throughout their trip continues to increase (Vinod, 2011). The likelihood of consumers utilizing these resources has a positive correlation when associated with user-friendliness. Therefore, consumers are likely to use resources if they are easily accessible (Ayeh et al., 2013) and Millennials desire the product to be current, concise, and understandable (Bai et al., 2004).

Though much research has explored the influence of online travel retailers on vacation planning, limited research exists that explores how frequently potential tourists use online sites when booking or planning a leisure vacation - more specifically, if similarities exist in the usage frequency of online travel sites. Hyde (2008) asserted that an association between the age of the tourist and the extent of the vacation plan may exist, whereas vacation plans might be more detailed for older tourists and less detailed for younger tourists. However, limited research exists which compares the usage of these sites across generations. Therefore, this research explores the use of online travel outlets and the frequency at which specific age groups utilize these items. It also explores the differences among Millennials, Generation X, and Baby Boomers in their use of social networking sites and other online travel resources in their vacation planning. Consequently, the following research questions and hypotheses were developed:

RQ1: Do similarities exist among online travel site usage by tourists when planning a leisure vacation?

H1: Online travel sites will be similar in usage frequency by tourists when planning a leisure vacation.

RQ2: Are online travel sites used at differing rates when comparing age groups?

H2: Online travel sites usage frequency will vary by generation when planning a leisure vacation.

## **Methodology**

The Hilton Head Island, SC and Savannah, GA region of the US is a national and international destination. In 2013, the resort destination of Hilton Head Island hosted an estimated 2.59 million visitors while Savannah hosted approximately 13 million visitors. The tourism industry is the top

employer for both communities (Ritchey, 2014; Regional Transactions Concepts, LLC Economic Modeling, 2015). Nestled between the two communities and approximately 15 minutes from Hilton Head Island and 30 minutes from Savannah lies Bluffton, SC. While Bluffton's tourism prominence lags when compared to Hilton Head and Savannah, the community has recently been recognized by US national publications as a rising community in which to retire. Most recently, it was ranked as one of the top 25 retirement communities in the US (Barrett, 2014). Consequently, this region of the US is in high demand by both tourists and future residents.

The University of South Carolina Beaufort's (USCB) Lowcountry and Resort Islands Tourism Institute (LRITI) partnered with the three communities to conduct ongoing tourism research at three prominent festival and special events. A standard survey instrument was developed examining the visitor point of origin of festival attendees, primary reasons for traveling to the destination, visitor length of stay, use of online travel sites when planning a leisure vacation, and selected demographics.

The three events where the research was conducted includes: (1) the 2015 Hilton Head Island Oyster Festival, (2) the 2015 Bluffton Arts and Seafood Festival, and (3) the 2015 Savannah Food and Wine Festival. The estimated total attendance for the Hilton Head Island Oyster Festival was 2,500, Bluffton Arts and Seafood Festival 25,000, and Savannah Food and Wine Festival 15,000. A survey research tent was placed at each event whereas using a simple random sample method researchers approached festival attendees and asked if they would like to complete an event survey. To complete the survey, participants had to be at least 18 years of age and an incentive was given to each participant for completing the survey.

Fourteen hundred total usable surveys were collected from the three events. Two hundred eighty-nine from the Hilton Head Island Oyster Festival, 629 from the Bluffton Arts and Seafood Festival, and 482 from the Savannah Food and Wine Festival. For this analysis, only surveys from visitors to the region were analyzed and surveys from local residents were excluded. Approximately 51% ( $n=148$ ) of the Hilton Head Island Oyster Festival attendees were visitors, almost 37% ( $n=230$ ) of the Bluffton Arts and Seafood Festival attendees were considered visitors, and 74% ( $n=356$ ) for the Savannah Arts and Seafood Festival. In total, 734 festival attendees were considered visitors to the region. Table 1 below depicts the demographic composition for each event.

Table 1: Demographic and Trip Profile of Participants by Festival

<b>Demographic</b>	<b>Hilton Head Island Oyster Festival</b>	<b>Bluffton Arts and Seafood Festival</b>	<b>Savannah Wine and Food Festival</b>
Total Event Attendance	2,500	25,000	15,000
Gender: Male % of Population	30%	33%	17%
Gender: Female % of Population	70%	67%	83%
Average Income	\$75,000-\$99,999	\$75,000-\$99,999	\$75,000-\$99,999
Average Highest Level of Education	Associate Degree	Bachelor Degree	Associate Degree
Primary Reason for Visit	Pleasure vacation	Arts and Seafood Festival	Savannah Wine and Food Festival
Visitor Length of Stay	5 days	3 days	3 days
Millennial % of Population	16%	17%	32%
Generation X % of Population	18%	13%	32%
Baby Boomer % of Population	51%	58%	35%

For examining the use of online travel sites, respondents answered questions about their use of the following 10 sites when planning a leisure vacation: (1) online travel sites such as Orbitz, Priceline, etc., (2) hotel booking services such as Hotels.com, Expedia, etc., (3) peer-to-peer rental sites such as Airbnb.com, VRBO.com, etc., (4) travel specific social network sites (Yelp, TripAdvisor, etc.), (5) general social networking sites (Facebook, YouTube, etc.), (6) online travel reviewers/bloggers, (7) websites of local businesses at the destination (hotels, restaurants, etc.), (8) websites of the Chamber of Commerce and/or the Convention and Visitor Bureau at the destination, (9) airline central reservations websites, and (10) hotel/resort central reservations websites. The rating scale was similar to a Likert five-level scale: 5 = every time, 4 = almost every time, 3 = occasionally or sometimes, 2 = almost never, and 1 = never.

## Results

Data were analyzed using Statistical Program for Social Sciences (SPSS) 23. A principal component analysis with Varimax rotation was conducted in order to explore for similarities in usage among online travel sites. It is a widely used market research technique for analysis of a set of variables that can be grouped together. The total of all visitors in attendance at the three events was used for the factor analysis. Additionally, Chronbach's alpha was conducted to determine the reliability of the factor loadings produced from the factor process. Table 2 below depicts the mean scores, factor loadings, and reliability coefficients for the factor analysis.



Table 2: Factor Results

Factor	Mean	Factor Loading	Eigen Values	Variance Explained	Chronbach's Alpha
<b>Factor 1</b>			5.493	33.97%	.882
Online travel sites	3.30	.787			
Hotel booking services	3.30	.799			
Travel specific social network sites	3.33	.768			
General Social network sites	3.09	.680			
Peer-to-peer rental sites	2.91	.656			
<b>Factor 2</b>			1.163	31.20%	.851
Hotel/resort central reservations websites	3.43	.784			
Website of the Chamber of Commerce and/or the Convention and Visitor Bureau	3.03	.755			
Airline central reservations websites	3.10	.751			
Websites of local businesses at the destination	3.52	.735			
Online travel reviewers/bloggers	3.24	.643			

Total variance explained = 65.18%

The results of the factor analysis show that online travel sites can be categorized into two factors. The items loading on Factor 1 are related to Rao and Smith's (2005) categories of online agencies, distressed inventory distributors, reverse auction sites, and social network sites. The items loading on Factor 2 are primarily related to supplier direct sites and general travel review sites, as well as sites specific to the visitor's destination. Furthermore, the reliability coefficients (Chronbach's alpha) were .882 and .851 for Factors 1 and 2 - demonstrating a high reliability for both factors. Reliability coefficients of approximately .85 or higher are considered dependable psychological tests, whereas in experimental research, instruments with much lower reliability coefficients may be accepted as satisfactory (Rosenthal & Rosnow, 1991). The mean scores show that the online travel agencies have a higher frequency of usage for the first factor. However, the destination business websites and supplier direct sites are used more frequently when compared to the online travel agencies. Those sites are also the most used when compared to other sites within factor two.

Analysis of variance (ANOVA) and Least Significant Difference (LSD) post hoc analysis examined the differences in usage the sites among the three age brackets: Millennials (18 to 34), Generation X (35 to 49), and Baby Boomers (50 to 69). Results indicated significant differences among the generations for Factor 1 [ $F(2, 625) = 10.815, p = 0.000$ ]. The LSD post hoc analysis specifically showed that Millennials and Generation X had higher frequency usage of the Factor 1 sites when compared to Baby Boomers. When examining for significant differences for Factor 2, that result also indicated a difference among populations [ $F(2, 624) = 4.929, p = 0.008$ ].

The LSD test showed similar results to the previous ANOVA whereas Millennials and Generation X had higher frequency usage of online sites.

### **Discussion and Conclusion**

While recent research does explore the usage of online travel sites when planning leisure travel, limited research exists that explores for similar usage patterns among sites. The results of the factor analysis indicated that online travel sites share underlying relationships whereas online agencies, supplier direct, and social networking sites are commonly used. The commonality of these sites might be related to specific travel product characteristics sought by potential travelers. For instance, Rao and Smith (2005) stated that online agency sites, distressed auction sites, and reverse auction sites are sites where customers are seeking a product with specific attributes (i.e., price, value, amenity, etc.). It is possible that these specific attributes are more highly regarded when compared to online travel sites that represent a specific brand or supplier direct sites (i.e., Marriott, American Airlines, Avis Rental Car, etc.). The social network sites loading on Factor 1 can be indicative of the visitor seeking feedback from previous traveling consumers, whereas previous traveler recommendations and feedback affirms their purchase choice from an online agency, distressed auction, or reverse auction site. It is conceivable that the information consumption from all channels within Factor 1 concurrently happen during the vacation planning phase.

Conversely, Factor 2 is comprised of supplier direct sites and sites that are related to a specific destination. These sites are brand and destination specific. The commonality among these items can be related to the consumer being brand dedicated or already having a specific destination in mind to potentially visit. The loading of the item "Online travel reviewers and bloggers" might be similar to the "Social network" item loading on Factor 1, whereas the visitors are seeking input in their trip planning process from reputable travel reviewers. However, instead of potential visitors seeking "third party" confirmation from general social networking sites, these consumers are seeking guidance and recommendations from seasoned travel writers. Consequently, Factor 2 is comprised of online sites that people visit with a specific brand or destination already in consideration, opposed to Factor 1, which is comprised of sites that are driven by travelers interested on other product characteristics separate of a given brand.

When examining the generational difference in how these sites are used, Millennials and Generation X utilize the sites more frequently when compared to Baby Boomers in planning a leisure vacation. The ANOVA supports the notion that hospitality and tourism companies need to consider the differences in user behaviors of all their target markets, specifically Baby

Boomers and Millennials. Regardless of the factor, Millennials and Generation X are more likely to explore multiple online travel sites.

Several limitations are apparent in this study when examining the results. The first limitation exists in the gender composition of the survey population. As indicated in Table 1, the female population comprised the majority of survey respondents when compared to males. The analysis does not describe the frequency usage and generational differences by sex which might yield different results when controlling gender. A similar issue may occur by not controlling for income and education level as well. Often, age correlates with income and education so future studies should include analyses that consider these other demographic variables when examining online travel site usage and generational differences. However, the implications of these findings, provides evidence to marketers that placement of their travel product or service in the online world is extremely important to reaching Millennials as well as developing latent demand from that generation. The marketers also need to be ready to adapt as these demographics age to ensure their ability to retain their consumer base.

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# Interdisciplinarity Of Paradigms Of Organizational Culture

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## Abstract

The object of the paper is the cognitive analysis of the current of organizational culture in management. There have been considered the paradigms of social sciences and management, among others: Spencer functional paradigm, Drukheim functionalism, as well as the paradigms by G. Burrell and G. Morgan, significantly influencing the development of paradigms of organizational culture. The attention has been drawn to epistemological problems in defining the concept of organizational culture. The variety of the definitions of organizational culture results from the broad interest of researchers in this phenomenon, while simultaneously leading to lack in precision and order in its interpretation. The aim of the paper is an attempt to analyze the most important paradigms of organizational culture, originating from different scientific disciplines, creating the interpretation of the contemporarily understood concept and essence of organizational culture. The studies of literature concerning the analyzed research problem have been adopted as the research method. There has been proven the interdisciplinary nature of paradigms of organizational culture.

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**Keywords:** Paradigms, paradigms of management, functional paradigm, organizational culture

## Introduction

The subject of organizational culture developed in the sixties of the 20th century, bothering researchers from different scientific disciplines. One of the first who tried to analyze the cultural differences was Geert, publishing the book *Culture's Consequence* (Hofstede & Hofstede, 2007). Since that moment, the problem of culture has aroused great interest of

researchers and it spread into economic and social sciences and humanities. Soon, there was the time of the perception and appreciation of organizational culture as a type of an intangible asset of each organization, determining people's behavior in it (Pabian&Pabian, 2015; Królik, 2011). Its paradigms, most of all, ought to be searched for in social sciences, among others, in Spencer functional paradigm, Drukheim functionalism and the paradigms by G. Burrell and G. Morgan and others. This set of views laid the foundations for many theories and grounds which are commonly accepted and acknowledged by researchers of many scientific fields. The aim of the paper is an attempt to analyze the most significant paradigms of organizational culture originating from different scientific disciplines, developing interpretations of the contemporarily understood concept and essence of organizational culture.

### **The concept and characteristics of the paradigms**

The paradigm is explained as a certain pattern, the model of conduct. T. Kuhn (1998) defines it as a set of concepts and theories which are commonly accepted by the scientific community of professionals of the specific field. Since it constitutes the grounds for science, it is rather not questioned and certainly not at the creative and cognitive stage. On its basis, knowledge and theory are created and subsequent problems are solved. Kuhn's bold views are a bit critical with respect to researchers and scientists. In his opinion, typical scientists are not objective and independent thinkers but instead, they are conservatives who agree with and accept the knowledge they have been taught, using it to solve problems, in accordance with the dictate of the theory learnt by them. It is like discovering something which is already known - "The man who makes an attempt to solve the problem defined by the existing knowledge and technology has no broader horizons. They know what they want to achieve and, in compliance with this, they design their tools and they are driven by their own thoughts (Kuhn, 1998)". It is a set of views shared by scientists, the set of agreements on understanding issues. The paradigm partially refers to the specific detailed element of common views contributing to important discovery (Krzyżanowski, 1999). Therefore, the paradigm is the system of beliefs based on ontological, epistemological and methodological grounds, representing the views on the world and defining its nature.

While referring to Kuhn's (Pietruszka-Ortyl, 2012) views, the following characteristics of the paradigm is introduced:

- the paradigm is the source of efficient creative work of scientists and leads to solving problems, constituting progress;

- the paradigm is what connects the members of the community of scientists and, on the contrary, the community of scientists consists of people who share the specific paradigm;
- everybody who does not want to or cannot adjust to the paradigm in force must operate in isolation or relate to another branch of knowledge;
- communities of scientists may and ought to be isolated without prior referring to paradigms; these may also be discovered later through the examination of the behavior of members of the specific community;
- a new paradigm imposes new, more radical determination of the subject of the research in the specific field and brings about completely new rationality;
- the change in the paradigm amounts to gaining supporters.

The above considerations allow for the conclusion that the development of management sciences, like the development of other scientific disciplines being a part of different fields of knowledge, is inseparably linked to referring to previously established paradigms, however, it takes into account new paradigms and is subjected to their evolution.

Sułkowski (2017), while differentiating paradigms, indicates a few selected approaches, which are commonly respected by the researchers of management in the whole world. The classification is the following:

- subjective division compliant with sub-disciplines of management sciences,
- management schools in the chronological perspective by M. Bielski,
- paradigms of social sciences by G. Burrell and G. Morgan,
- paradigms of management by M.J. Hatch,
- epistemologies of management research by P. Johnson and J. Duberly,
- cognitive framework of understanding the organization by L.G. Bolman and T.E. Deal,
- metaphors of the organization by G. Morgan.

And also the paradigms of sociological sciences, which have become extremely important in the evolution of the theory of organizational culture, i.e.:

- Spencer functionalism,
- Drukheim functionalism.

These and other paradigms, not mentioned above, indicate different orientations in science which constitute the ideological basis for creating concepts being the foundation of the functioning of scientific communities (Jaki, 2014).

One of the most popular of the typologies of the paradigms mentioned above is the one suggested by G. Morgan and G. Burrell (Tab.1). In accordance with it, the criterion of the division is the combination of two dimensions of reality:

- change – continuity,
- subjectivism – objectivism.

**Table 1.** The paradigms in the approach by G. Morgan and G. Burrell

	<b>The world changes</b>	<b>The world is the same</b>
The world is objective in nature, it can be analyzed using abstract theoretical models	Radical structuralism	Functionalism
The world is subjective in nature, only the actor being in the specific culture can understand it	Radical humanism	Interpretative paradigm

Source: Author's own study based on the analysis included in: B. Bombała, 2010, *Fenomenologia zarządzania. Przywództwo* (p. 26). Warszawa: Difin, 2012.

The division of paradigms suggested by Burrell and Morgan is certainly not perfect. It is only an approximate description of the main cognitive theories. It needs to be pointed out that each of the social sciences and humanities developed through many scientific schools of thought, do not necessarily fit in this scheme.

The attempt to interpret the paradigms included in the matrix above presents an interesting image of the reality and conditions in organizations. “The assumptions of the paradigms of radical structuralism and radical humanism indicate the necessity of the concern for the man as the participant of the world of the organization, directing the research towards the diagnosis of social and cultural conditions of the relationship of domination or oppression, which are often the effect of management processes. These conditions are considered as the components of such cultural pathologies as the ideology of managerialism, instrumental approach to the human being or hegemony of economism (Zawadzki, 2013; Zawadzaki, 2012)”.

Further considerations on the classification of the paradigms of management lead to the identification of the following currents of management (Sułkowski, 2013)<sup>13</sup>: *classic* (F.W. Taylor, M. Weber, H. Fayol and Ch. Barnard – presenting the administrative and bureaucratic approach), *modernistic* (e.g. H. Simon, J. March and L. Bertalanffy – the functionalistic and systemic approach), *interpretative and symbolic* (e.g. P. Seleznick, P. Berger, T. Luckman, E. Hoffman – the social perspective in the organization) and *post-modernistic* (m.in. G. Burrell, K. Dale, N. Monin or B. Czarniawska-Jorges – e.g. the textual approach).

<sup>13</sup> This division is the proposal by M.J. Hatch, has become the significant base for the evolution of management sciences.



On the other hand, functional sociological paradigms mentioned above gave rise to the combination of management and organization sciences with social sciences. Functionalism came into being in the first half of the 20<sup>th</sup> century but it dates back to the 19th century and the rise of Spencer *organicism*, which was later rejected by Durkheim. Functionalism was aimed at explaining facts, phenomena and social processes by establishing the function they perform in the culture of the specific society.

Kaczmarek (2013) presents Spencer vision of functionalism in the following way: „As a result of (1) *relationship* of the social system with the environment (2) there are born specific *needs*, gradually differentiating on account of this interaction. The necessity to satisfy them enforces (3) undertaking the activity (*functions*) by the members, i.e. directing energy to a type of *action* which is to be the response to the need of people. (4) This action organizes their interactions, leading to the formation of a new social *structure* (“organ”, social institution or, finally, social sub-system). (5) This structure enters relationships with the environment (from now on they will also be other social organs) and, as a result, it is subjected to the similar process: internal differentiation leads to the isolation of functions for maintaining the organ (in here, it enters the relationships of the competition for social resources with other institutions) and preserving own identity. The last type of actions is usually identified with the primary function of the specific organ. (6) The function itself, apart from triggering this process of structuring, like the activity of the structure for the benefit of own duration, implies also other unintended *effects*, some favorable for the whole, some neutral and others harmful”.

Spencer organicism was not supported by Durkheim, who argued with him with respect to numerous views. One of the matters of dispute was Spencer interpretation of the industrial community. According to Durkheim *industrial societies are not the ones where individuals enjoy full freedom and, out of their free power play, there arises spontaneously social harmony* (Szacki, 2002). He believed that the man is not only homo oeconomicus, and the society is not only to provide people with maximum independence and material prosperity. For Durkheim, the society is “the core of moral life”. His philosophy of *homo duplex* made the man a complex creature composed of two poles. However, one pole amounts to sensory feedback, instincts and predispositions associated with purely physical needs of the organism, and the other one amounts to conceptual thinking, moral standards, religion etc., i.e. all we share with other people. Both these human natures are contradictory and to behave morally, the human being must rape their animal nature since, while relying on instincts, they do not know sacrifice or generosity (Szacki, 2002).

Between “old” and “new” functionalism there occurred Radcliffe-Brown (2007), who determines the structure of the organism slightly wider than Spencer, as “a set of relationships between individual units”. In the context of the paradigms of organizational culture, there may be traced treating and defining the organizational society as a set of individuals bound by common beliefs, values and principles of operation. As it will be later found out, the epistemology of organizational culture will not be so unanimous.

### The paradigms of organizational culture

Organizational culture is a rather specific soft part of management, typical of each organization. The concept of organizational culture itself does not have one commonly applied definition. For decades, sociologists, anthropologists, ethnologists and management specialists, researchers and business people have been trying to define and determine what the phenomenon of organizational culture, so strongly influencing the success and failure of the organization, consists in. Certainly, there have been the ones who claimed that defining the culture is a useless activity or even a harmful one (Kuper, 2005). In spite of extensive criticism and underestimating its value in efficient functioning of the organization, there were the ones who claimed that it even ought to be managed, e.g. Likert, Schein, Hofstede or Morgan. Their attempts to define organizational culture and determine its essence in the management process gave rise to the considerations and analyses of this phenomenon. It turned out that epistemological problems in the mode of defining organizational culture have not been solved up to the present.

The most popular definitions of organizational culture, which the theoreticians and practitioners of the organization have been using for more than 40 years, are presented in Table 2.

**Table 2.** The most popular definitions of organizational culture

Author	Definition
E. Schein (1982)	The pattern of shared fundamental assumptions that the specific group has developed solving the problems of adaptation to the environment and internal integration. The pattern can be considered as the one in force. It is instilled into new organization members as the correct way of solving problems <sup>1)</sup> .
G. Hofstede (2000)	“Programming of the minds” of the organization members, thus the set of organizational values, standards and rules, efficiently instilled by the group <sup>2)</sup> .
R. Likert and J. Likert (1976)	The dominant pattern of values, myths, beliefs, assumptions, standards, their personification in the language, symbols, artefacts, as well as technology, objectives and practices of management, feelings, attitudes, actions and interactions <sup>3)</sup> .
G. Morgan (1997)	Organizational culture usually refers to the pattern of development reflected by social systems of knowledge, ideology, values, laws and everyday rituals <sup>4)</sup> .

<sup>1)</sup> Schein, E., 1982, *Organisational Culture and Leadership*, San Francisco, p. 12.

<sup>2)</sup> Hofstede G., 2000, *Kultura i organizacje. Zaprogramowanie umysłu*, PWE, Warszawa, pp. 38-41.

<sup>3)</sup> Likert R., Likert J., 1976, *New Ways of Managing Conflict*, New York, NY:McGraw-Hill.

<sup>4)</sup> Morgan G., 1997, *Images of Organization*, Thousand Oaks, CA Sage.

Source: Author's own study based on: Sulkowski, Łukasz. 2011, *Pomiędzy tożsamością a kulturą organizacyjną* (p. 210). Wrocław: Zeszyty Naukowe Wyższej Szkoły Bankowej we Wrocławiu No 24, 2011.

To determine what organizational culture is, the most frequently, there are adopted the attempts of:

- reviewing many definitions to indicate that there is no compliance as for the definition of culture;
- indicating the list of elements which are common for all definitions;
- using the popular quote by Clifford Geertz (2005) as the definition of culture: „believing, with Max Weber, that man is an animal suspended in webs of significance he himself has spun, I take culture to be those webs”. However, this definition is not universal, its use is reasonable only in the framework of the interpretative paradigm.

“The interpretative paradigm indicates relative social constructivism as opposed to radical post-modernistic options. In the constructivist epistemology the man is the creator of the world. Through the process of interpretation they give meaning to their environment and structure it in cognizable beings which are prone to formation. The interpretative approach emphasizes the feedback between discovering and creating the world by the man in the process of cognition. Obviously, the reality is not exclusively the social or language construct, however cultural components harmonize in the creation and perception of the world of the organization. In this understanding, the entity is not only the discoverer but also the artist” (Sulkowski, 2007). However, from the interpretative and symbolic perspective, social processes taking place in the organization impose the perception of the organization as the social construct. At this point, the concept of organizational culture is at the right place.

Combining the paradigms linking the concept of culture with the organization gave rise to their common typologies, reflecting the role of culture in the organizational reality (Smircich, 1983; Smircich, 1983):

- culture, as independent variable, takes into account: national management styles, similarities and differences in the mode of management in different countries, the relationship of efficiency and national culture, globalization of organizational culture,
- culture, as internal variable, takes into account: corporate culture management, relationship of efficiency and organizational culture, changes in and classifications of organizational culture,

- culture as root metaphor: cognitive theory of the organization (the organization as a cognitive project), organizational symbolism, unconscious and sub-conscious processes in the organization.

According to L. Smircich, the classification of culture for the specific group of variables allowed to categorize the research carried out in this field. The first two categories mentioned above originate from the functionalistic paradigm and the third one – from non-functionalistic paradigms, out of which the most characteristic is the interpretative paradigm.

This rather difficult process of the change in organizational culture, associated with deeply rooted standards, values or principles of operation (repeatedly mentioned in the cited definitions) brings about that it is rather considered as the dependent variable, hardly changeable, but created under the influence of activities of people in organizations. While considering culture as the dependent variable, it is possible, for example, to analyze the process of management of organizational culture, the evolution of culture or even its impact on the results of the operation of the organization. The other two approaches i.e. the perception of organizational culture as the independent variable or root metaphor also have supporters among the researchers of this problem.

Changes in organizational culture are unquestionable nowadays. The necessity of changes is determined by the modernization of activities of the organization and it seems to be the most difficult process during the reorganization of activities and, for the leader themselves, the challenge and test of their leadership skills (Kostera, 1996; Woźniak, 2011).

## **Conclusion**

Summing up the considerations on the paradigms of organizational culture, it can be concluded that they are interdisciplinary in nature. The considerations by Burrell and Morgan, or Durkheim gave rise not only to the current of organizational culture but also other scientific fields. The epistemological issues associated with formulating the definition of the concept of organizational culture do not discourage the researchers of this field from increasing knowledge in this area or combining it with other scientific disciplines. It is also advisable to conduct further research into organizational culture and analyze it in transnational conditions.

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## **Evaluating And Managing The Factors Which Affect The Cohesiveness Of Professional Basketball Teams In Greece**

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### **Abstract**

Among the many factors, which can positively or negatively influence the final result of a basketball game and decisively contribute to the achievement of the objectives, is the cohesion between its members. Sport teams characterised by great cohesion, cooperate better, communicate positively and perform more effectively. The purpose of this research was to determine the importance of cohesion, determine the factors that influence it and recommend ways of improving it regarding the part of the coaches of basketball teams. The research was based on the review of literature and field research. The sample was consisted of 24 professional basketball coaches  $n = (24)$  from Greece who were coaching in the professional basketball league during 2013-2014 seasons. The research instrument was developed from a relevant review of literature that focused on factors that can influence team cohesiveness. This process led to seven variables that can influence basketball team cohesiveness. The basketball coaches were asked to indicate the importance of each variable on seven-point scales ranging from 1, extremely important, to 7, not important at all, by a self-completed questionnaire. The results indicated that: a) there are seven

factors which can influence the cohesion of a basketball team, b) the «homogeneity» (1.25) considered by the coaches as the most important factor that can influence team cohesiveness and c) the «financial factor» considered as the least important one. Recommendations are suggested for basketball coaches in order to keep a high level of cohesion among their players and contribute to individual and team goals.

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**Keywords:** Cohesion, basketball, coaches, management, performance

### **Introduction**

The team cohesion means the unity, the mutual approach and attraction among the members of a human team (Athos & Coffey, 1968). Carron (1982) mentions “cohesion is a dynamic process, which is characterised by the tendency of a team to remain united, aiming to the realisation of its goals/targets. Cohesion is the aggregate of the forces, which make the members of human teams, such as a professional basketball team, feel that they belong to the team and wish to remain a part of it (Daft, 2000). Teams with great cohesion communicate better than teams, which show lack of it. Also, cohesive teams exhibit greater control of the behaviour of their members (Fisher & Ellis, 1990).

Teams characterised by high rates of cohesion among their members tend to be more effective as far as their performance is concerned (Keller, 1986). Carron and Chelladurai (1981) showed that the relationship between cohesion and performance in team sports is strong. They also showed that cohesion contributes to success and success reinforces cohesion. With respect to team performance, research findings are mixed, but cohesiveness may have several effects (Erez & Somech, 1996).

The results of various surveys showed that cohesion increases performance and leads to a better communication among the members of a team. In turn, greater motivation is observed. Especially in team sports, where there is cooperation and high rate of interaction among the athletes, such as basketball, the relationship between cohesion and performance is close. Generally, it could be said that cohesion prompts the members of a team to make as many efforts as possible. According to Laios & Tzetzis (2005), cohesiveness is very crucial especially for team sports where the final score, a win or a loss, depends to a large degree on the relationship and understanding between athletes.

### **The role of the basketball coach relating to team’s cohesion**

Every team consists of a number of persons, who develop relationships between themselves and through their co-operation they pursue the realisation of the goals they have set. The coach acting as an



instructor, director and leader can greatly influence the performance of the team and substantially contribute to the team's cohesion (Hollander, 1981). He must define the rules, the ways of running the team and direct the members of the team (athletes, assistants, and personnel) as effectively as possible. He should not only know how to train and coach, but he should know how organize, manage, direct, lead and control the human power. (Laios, 1995). Successful sport teams are based on confident and capable team leaders (coaches) who use their knowledge and experience in order to positively influence individual/team performance. (Laios, Theodorakis & Gargalianos, 2003). The coaches of basketball teams must promote cohesion and keep in mind the following:

1. When a basketball team shows progress and wins, the rate of cohesion increases. When the progress is decreased and the team loses the rate of cohesion decreases as well.
2. The existence of common goals among the members of the basketball team increases cohesion, while different goals, disagreements and disputes decrease it drastically.
3. The fear that some members of the basketball team are in danger of losing certain privileges and the freedom of movement that they have in the team, decreases the rate of cohesion among the members of the team.
4. Basketball teams become better, as far as cohesion is concerned, when their needs can be satisfied with the help of their teammates. When one person can perform an activity well, then the participation of the others is decreased.
5. When there is some external danger, which threatens the basketball team's common interests, the members of the team join forces. The external threat bridges internal differences and increases the rate of cohesion.
6. The development of friendship between the members of the basketball team increases the rate of cohesion and improves chances of cooperation.
7. When the more experienced members of the group share their experiences with the new ones, the cohesion of the basketball team is more effective (Laios, 2005).

### **Factors that influence the basketball team's cohesion**

There are many factors, which can influence the cohesion of a basketball team. Daft 2000, Adler and Rodman 1994, Wehrich and Kontz 1993, Dunham and Pierce 1989, and Athos and Coffey 1968, reported many factors that can influence the cohesion of a group of people such as a basketball team.

1. The basketball team's prestige: The name, the history and the prestige of a basketball team in general influence its cohesion. In good teams, where

there is a high level of responsibility and high objectives, greater cohesion is observed.

2. Homogeneity: Homogeneity occurs when a ratter gives all employees a similar rating even if their performances are not equally good. Basketball teams the members of which are homogeneous, show higher rate of cohesion. On the contrary, basketball teams which show different interests, big financial differences as far as the athletes' payments is concerned, differences in perception and lack of homogeneity of goals and life attitude, show low rate of cohesion.

3. The personality of the coach: The name and the prestige of the coach, his knowledge and capabilities, the way he trains and guides the athletes during the game, his teaching and the definition of the motives, create harmony and cohesion in the team. On the contrary, if a coach has little prestige, his negative behaviour and the constant criticism discourage the team from having unity and cohesion.

4. The personality of the athletes: Every athlete is a separate personality, with his own characteristics, temperament and particularities. Their character and behaviour can contribute to the team's cohesion negatively or positively.

5. The amount of time the team members are together: When the athletes play together for many years, then they know each other better, they cooperate more efficiently and they cannot be easily dispersed.

6. The communication: Communication permeates every management function. Communication constitutes a very important factor for coaches and athletes in professional sports (Laios, 2005). Effective and constructive communication among the members of the basketball team helps in developing common interests, effective co-operation and lead effort to the achievement of its goals. (Laios, 2001).

7. Financial factors: Work team effectiveness is based also on personal satisfaction relating to money. The regular payments, the extra bonuses, the fines can influence the team cohesiveness.

## **Method**

The sample was consisted of 24 professional basketball coaches from Greece. All subjects were male. Coaches, who participated in the study, were coaching on the highest level of basketball in 2013-2014 seasons. (The professional basketball League includes 14 teams). The research instrument was developed from a relevant review of literature that focused on factors that can influence team cohesiveness. (Daft 2000, Adler and Rodman 1994, Wehrich and Kontz 1993, Dunham and Pierce 1989, and Athos and Coffey 1968). This process led to seven variables that can influence basketball team cohesiveness. Coaches were asked to indicate

the importance of each variable on seven-point scales ranging from 1 (extremely important) to 7 (not at all important) for both lists. The method chosen to conduct the research was that of self-completed questionnaires.

## Results

The results indicated that professional basketball coaches rated the variable of «homogeneity» (1.25) as the most important reason of influencing the team's cohesiveness. The factors «personality of the coach» (1.66) and «communication» (1.67) was followed in the 2<sup>nd</sup> and 3<sup>rd</sup> place respectively. In contrast, «financial factors» a variable that represented financial problems received the lowest score (3.25). Means and standard deviations for the importance of the seven variables that influence the cohesion of a professional basketball team are presented in Table 1.

**Table 1.** Means and standard deviations for the importance of the seven variables that can influence team cohesiveness.

<i>Variables</i>	<i>Mean</i>	<i>SD</i>
<i>Prestige of the team</i>	<i>2.91</i>	<i>1.50</i>
<i>Homogeneity</i>	<i>1.25</i>	<i>0.45</i>
<i>Personality of the coach</i>	<i>1.66</i>	<i>0.65</i>
<i>Personality of the athletes</i>	<i>2.08</i>	<i>0.90</i>
<i>Time member are together</i>	<i>2.66</i>	<i>1.06</i>
<i>Communication</i>	<i>1.67</i>	<i>0.77</i>
<i>Financial reasons</i>	<i>3.25</i>	<i>1.96</i>

## Discussion

The coaches of professional basketball teams must evaluate the importance of cohesion among the members of the team they are training. They must keep in mind that the relationship between cohesion and performance is strong. Based on review of literature it was found that there are seven factors that can influence the cohesion of a team. From these factors-variables it was found that the «homogeneity» (1.25), was considered by the basketball coaches as the most important, followed by the «personality of the coach» (1.66). «Communication» (1.67) between the coaches and great personalities as the players are in professional basketball was the next most important variable. The variables of «personalities of the athletes» (2.08), «time of incorporation» (2.66) and «prestige of the team» (2.91), were considered by the basketball coaches as less important reasons relating to the cohesiveness of their teams. Finally, the variable of the «financial reasons» (3.25) was considered by the coaches the less important reason on influencing the cohesion of the members of the team. According to coaches' opinions, money and payments in professional sports, such basketball, cannot influence the team cohesiveness in a high degree.

## **Recommendations**

The professional basketball coaches should have as an immediate objective the achievement of cohesion among the athletes as well as the promotion of co-operation. Cohesion can lead to better performance. Low rate of cohesion can cause great differentiation and diversions from the desirable performance. Therefore the basketball coaches must:

1. Help in the development of good relationships among the athletes
2. Talk with each athlete separately and solve any kind of differences that may come up
3. Reward morally and psychologically the athletes for every good effort
4. Have private meetings with the athletes and their relatives in case of need
5. Trace the cliques on time and disperse them
6. Be democratic and encourage the participation of the athletes in decision making
7. Familiarise the athletes with the responsibilities and roles their team-mates have, in order to know their needs better in the field of the game
8. Help in the definition of goals
9. Help in creating effective channels of communication.

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## Biological Control of Agriculture Insect Pests

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### Abstract

This review summarizes the efficacy, advantages and safety of using biological agents to suppress and control damage done to crops by insects. Biocontrol has been generally shown to be safe to plants, animals, humans and the environment. This is in stark contrast to more widely used chemical insecticides that often results in environmental pollution causing harm to humans and the environment. Biocontrol manufacturers continue to develop new protocols for assessing agent safety, deploying and measuring treatment success. Government and manufacturing organizations are developing regulations to assure the safe and appropriate use of biocontrol. The benefits of biological control systems drive the increasing adoption of the technology. Protection of biodiversity and high benefit to cost ratio are obvious reasons to promote the use of biocontrol platforms. It will require education and awareness of the general public and those involved in agriculture to accept these alternative farming practices.

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**Keywords:** Biocontrol, Integrated Pest Management (IPM), biocontrol agents, pesticides, insecticides

### Introduction

Biological control for agricultural systems is not a new idea. During the last century greater than 2,000 non-native (exotic) control agents have been used in at least 200 countries or islands with few documented problems to flora, fauna or environment. Biological control of insect pests is gradually gaining momentum. Biological control is a component of an integrated pest management (IPM) strategy (1). It is really regarded as a “systems approach”

to IPM (2). Biological control is defined as the reduction of pest populations by natural enemies and typically involves an active human role. It includes the control of animals, weeds and disease. Biological control minimizes the use of chemical pesticides (3). A biological control platform reduces, but does not eradicate pests and it is used to suppress populations of pest organisms below levels that would have negative economic impact (4,5). Natural enemies used in biocontrol measures include parasitoids, predators, microbes and beneficial nematodes (6). Before a discussion of biocontrol, it is necessary to mention “natural control” resulting from biotic or abiotic environmental conditions. These are factors such as weather, availability of food, competition, amount and quality of living space and the presence and abundance of natural enemies (7). This short review paper will address the control of arthropod pests, but it should be kept in mind that biocontrol also includes the control of plants (weeds).

There are three general approaches to biocontrol: (A) Classical biocontrol which is the practice of reducing the populations of exotic pests for long periods by the release of imported (exotic) natural enemies of the pest. Successful biological control is nearly irreversible because the agent is permanently established (8). (B) Augmentation biocontrol is the repeated release of natural enemies in periodic applications. Treatments (inoculations) may be small numbers during periods when pest populations are low, or large numbers of control agents may be released (inundative) as a corrective procedure for immediate results (9). Control is usually achieved by released individuals, not the off-spring. Inundative releases of biocontrol species that are not able to establish permanently are safer than classical releases. With augmented control repeated applications or additional methods may be used to maintain control. (C) Conservation control is the use of indigenous natural enemies (10). Table 1 represents the examples of pest control methods.

Table 1: Pest control methods

Methods	Examples
Semiochemicals	<ul style="list-style-type: none"> <li>• Pheromone (used for detection and monitoring of insect populations and thus important for the efficient use of conventional insecticides)</li> <li>• Allomone (a common form of defense by plant species against insect herbivores or prey species against predators)</li> <li>• Kairomone (plant odors or compounds which help biocontrol agents to locate their host species)</li> </ul>
Physical and mechanical techniques	<ul style="list-style-type: none"> <li>• Habitat manipulation</li> <li>• Creating barriers</li> <li>• Trapping pests</li> <li>• Hand removal</li> <li>• Mulching</li> </ul>
Selective chemicals	<ul style="list-style-type: none"> <li>• Microbial and botanical pesticides</li> <li>• Horticultural soaps and oils</li> <li>• Insects growth regulators (IGRs)</li> <li>• Minerals and metals</li> <li>• Synthetic chemicals</li> </ul>

Source: Integrated pest management. Oklahoma state university extension. Oklahoma (11).

## Safety concerns related to biological control

There are two main areas of safety issues that must be considered when implementing a biological control program. The first question that must be answered is will the introduction of the biocontrol agent have adverse effects on non-target organisms? The second concern is the strength and duration of the biocontrol agent on the environment (12). Assessing the safety of biocontrol continues to be a challenge because of varying environmental applications. Also, the regulations and registration for biocontrol agents varies from country to country. For example, in the United Kingdom, non-indigenous species introduction is regulated by the Wildlife and Countryside Act of 1982 (13). While across Europe, the Organization for Economic Cooperation and Development (OECD) has proposed guidelines to control the importation of natural enemies, such as arthropods and nematodes (14). These guidelines are meant to help prevent damage caused by the release of exotic biocontrol agents. Specific concerns are: (a) importation; (b) taxonomy; (c) release of relevant permits; (d) shipment into another country; (e) quarantine procedures; (f) release testing and protocols; (g) documentation requirements (12-14).

There are very good reasons to adopt stringent safety and regulatory policies and to demand regulation of specific biocontrol agents. Biocontrol agents are broadly defined as pesticides and in general, pesticides and users must be approved before they are imported, marketed and applied (15). Related to this understanding is the mandate to keep ineffective pesticides off the market. Also the public must be educated and understand the danger of exotic agents to human health and the environment. Quality assurance and quality control of biological control agents is important (16).

The International Standards for Phytosanitary Measures (ISPM) as part of the Food and Agricultural Organization (FAO) of the United Nations have supplied guidance documents written for risk management of biocontrol agents capable of self-replication (17). Table 2 shows the different species of organisms which are used as biological control agents.

Table 2: Different types of biological control agents

Biocontrol Agents	Examples
Predators	Ladybugs, dragonflies, lacewings, pirate bugs, rove and ground beetles, aphid midge, centipedes
Parasitoids	Ichneumonid wasps, braconid wasps, chalcid wasps, tachinid flies
Nematodes	<i>Heterorhabditidae</i> spp. (Figure 1), <i>Mermithidae</i> spp., <i>Rhabditidae</i> spp., <i>Steinernematidae</i> spp.
Bacteria	<i>Bacillus thuringiensis</i> , <i>Bacillus popilliae</i>
Viruses	Cytoplasmic polyhedrosis (CPV), granulosis (GV), and entomopox viruses (EPN)
Fungi	<i>Metarhizium anisopliae</i> , <i>Beauveria bassiana</i> , <i>Trichoderma viride</i>

Source: Biological pest control. In: New World Encyclopedia (18).





Figure 1: Bright-field micrograph of the beneficial nematode *H. bacteriophora* (19)

ISPM directs responsible authorities to follow accepted protocols related to export, import, quarantine, dispersal and documentation (20).

### **Industry viewpoints of biocontrol**

Balancing the public caution are viewpoints of biocontrol producers. The industry does accept the need for regulation of exotics. However, the industry is concerned that overly stringent regulations will have huge negative impact on the production, expense and development of effective agents (21). Over-regulation will drive costs up and even make some effective, safe products unavailable. These agents should be regulated only if a potential problem is known. There are very few examples of adverse effect due to the deployment of exotic arthropods or microorganisms. Biocontrol agents have been employed for decades with no documented dangers or harms. The industry promotes common sense. Compared with the damage done by accidentally introduced invasive alien species, negative biocontrol impacts have been negligible.

It is a fact that the biocontrol producer industry has guidelines in place to facilitate self-regulation (22). The International Biocontrol Manufacturers Association (IBMA) has cooperatively established a code of conduct. There is general agreement that new products should be tested (23,24). However, as more information is gathered, there is concern that additional testing will be required and may become an unnecessary burden. The question arises that who should pay for additional safety and efficacy testing? Currently, the cost of much testing lies on expenses to buyers. Companies, research organizations and universities do most safety and efficacy testing. The marketing of ineffective biocontrol agents is controlled by the market. The biocontrol industry points out that approved chemical insecticides may continue to be sold and used even after they show increasing signs of ineffectiveness due to resistance buildup of target pests (25).

The International Organization for Biological Control (IOBC) has published its conclusions about cost of developing effective biological agents (26). IOBC encourages biological control development and its application in

integrated pest management programs through collection, evaluation and dissemination of information about biological control agents. IOBC sponsors national and international research as well as promoting public awareness of biological control's economic and social importance. IOBC also sponsors training of personnel and coordination of large-scale applications (26). Table 3 represents the general summary of IOBC.

Table 3: IOBC general summary

1	A risk assessment procedure is necessary
2	As a general approach, no risk assessments or regulations should be required for native biological control agents
3	The concept of "ecological regions" (eco-types) should be adopted. This would facilitate a positive list for exotics and reduce the expense of further testing for types of ecological regions in other countries
4	Funding of risk assessment research, design and implementation should be partially public funded

Source: International Organization for Biological Control (26).

### **General information required to safely deploy a biocontrol plan**

To fully understand the impact a biocontrol agent has on the environment, certain types of information must be known. Assessment science is not yet well comprehended or applied in many cases. However, there is consensus that four major types of information is important (27).

1. A clear host range assessment must be undertaken to determine if the agent can be successful on the target species. A sound knowledge of the biological agent and the host(s) must be available. These types of studies are not often relevant to the laboratory and must be determined within the host range (28).
2. Abiotic and biotic factors should be determined and especially an understanding of the similarities between region of bioagent collection and the region of planned release. It may also be vital to have knowledge about the synchronization of development of the host and its natural enemies (29).
3. Knowledge of effective dispersal mechanisms of biocontrol agents can provide important data. Dispersal protocols of the biological agent may be affected by geography and behavioral traits such as ranging and host foraging (30). Types of dispersal mechanisms of biocontrol are mentioned in Table 4.
4. Potential direct or indirect effects on non-target organisms should be understood as completely as possible (32).

Table 4: Types of dispersal mechanisms of biocontrol

Dispersal Mechanisms	Examples (Techniques)
Ground Sprayers for Liquids	Airblast sprayers, boom sprayers, hand-held sprayers, backpack sprayer, aerial sprayers
Solid Formulations Applicators	Granular spreader, dust applicators
Fumigation	Soil fumigation, space fumigation
Fogging Equipment	Mist blowers, Thermal foggers, Ultra low volume or ultra-low dosage (ULV/ULD) equipment, Electrostatic equipment
Chemigation	Mixing of chemicals, such as pesticides and fertilizers, to crops through an irrigation system (e.g., sprinkler, flood, furrow, drip or trickle)

Source: Pesticide application methods and areas of use. 2013. Health Canada, Canada (31).

### Ten main benefits of biocontrol

There are many benefits to agriculture using biocontrol methods (33):

1. Insect or weed pest repression to manageable levels and reduces potential legal hazard of chemical use. Chemical pesticides can cause a wide range of human health problems such as nerve, skin, and eye irritation.
2. Chemical pesticides can spoil agricultural land by affecting beneficial insect species, soil microorganisms, and worms responsible for soil health. Chemicals also disturb plant root and immune systems, and thus reduce concentrations of nitrogen and phosphorous in soil which are essential plant nutrients.
3. Reduces acute and long-term impact of chemical pesticides on human, animals, non-target organisms and the environment. Biocontrol agents are usually very specific and present less danger to environment and water.
4. There is no resistance buildup making treatment increasingly less effective.
5. Protection of biodiversity and restoring natural ecosystems.
6. Chemical residue-free products from farms and natural systems.
7. Potential to be permanent reductions of pest organisms.
8. There are usually no phytotoxic effects on young plants (abortion of flowers).
9. The use of biological agents in agriculture has a high benefit to cost ratio.
10. The public is more accepting of biological control than chemical agents.

### Conclusion

Perhaps the biggest barrier to effective biocontrol is the necessity of educated management and planning. For optimum benefit the user must understand the biology of both the target pests and their natural enemies. The

risks associated with biocontrol to human/animal health are very low. There have been a few reported cases of worker mild allergenic reactions in production facilities. Biological controls are sometime producing airborne hairs or scales which are potential allergens (34). This risk can be mitigated by sanitary protocols (35). It may also be possible that bites from introduced agents can occur. Plants may also be a secondary food for biological control organisms. Parasitoids and predators might sometimes supplement their diets with certain plant juices or pollen. There is no known example where introduced natural enemies of pests inflicted significant damage on crops or native plants. Environmental risks and non-target effects have not been satisfactorily assessed (36).

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## **El Sistema Interdisciplinario PALT Da Respuesta A La Formación De Emprendedores**

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### **Abstract**

This paper aims to use the PALT tool to guide the training of entrepreneurs, determining the content that should have such training. In order to ensure that this tool met that purpose we used the results of the survey of entrepreneurs in the second course the entrepreneurial training program, conducted with the logistical support and coordination, of the Center for Entrepreneurship of the University of Flores, in the 2nd. Semester of 2015. The tool PALT, developed by Dr. Roberto Kertész in his Manual of Family Business (summarizing a course / workshop in 1992), it proposes an interdisciplinary model of organizational diagnosis and intervention. It is a management proposal for owners of family businesses and also for those who advise them, based on this model. The comparison between it and the results of the survey allowed us to check: 1. First, the adequacy of the model as a reference for training content for entrepreneurs. 2. Then, a pool of ideas about what might be the said contents, related to the management of the enterprises. 3. Emergents regarding some omissions, to be covered in future trainings. 4. The inclusion of interdisciplinarity in practice, not only from academics, whose synthesis is more concrete action on the ground. The first match for the above, is a starting point for future actions regarding: 1. More information surveys. 2. Improvements in the courses and workshops that we conduct from the Center for Entrepreneurship. In those cases, the courses we produce as designers and teachers.

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**Keywords:** Entrepreneurial training, training contents, survey, interdisciplinary model, psychological variables, administrative, legal, technical, adjustment, improvements.

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### **Resumen**

El presente trabajo tiene como propósito el uso de la herramienta PALT como guía para la formación de emprendedores, en cuanto a



determinación de los contenidos que debiera poseer dicha formación. A fin de comprobar si dicha herramienta cumplía ese propósito utilizamos los resultados de la encuesta realizada a emprendedores de la segunda cursada del Programa de Formación de Emprendedores, realizada con el apoyo logístico y la coordinación del Centro de Emprendedores de la Universidad de Flores, en el 2o. semestre 2015. La herramienta PALT desarrollada por el Dr. Roberto Kertész en su Manual de Empresas Familiares (que resume un curso/ taller realizado en 1992), propone un Modelo Interdisciplinario de Diagnóstico e Intervención Organizacional. Es también una propuesta de gestión para dueños de empresas familiares y también para aquellos que los asesoren, a partir de dicho modelo. El cotejo entre dicho Modelo y los resultados de la encuesta nos permitió comprobar: 1. En primer lugar, la adecuación del modelo como referencia para contenidos de formación para emprendedores. 2. Luego, una cantera de ideas respecto a cuáles podrían ser dichos contenidos sobre gestión de los emprendimientos. 3. Emergentes en cuanto a omisiones a suplir en futuras formaciones. 4. La incorporación de la interdisciplinariedad en la práctica, no solo desde lo académico, cuya síntesis más concreta es la de la acción sobre el terreno. Este primer cotejo, por lo antedicho, es un punto de partida para futuras acciones en cuanto a: 1. Más relevamiento de información. 2. Mejoras en los cursos y talleres que llevemos a cabo desde el Centro de Emprendedores. En esos casos, para los cursos que efectuemos como diseñadores y docentes de los mismos.

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**Palabras clave:** Formación de emprendedores, contenidos de la formación, encuesta, modelo interdisciplinario, variables psicológicas, administrativas, legales, técnicas, adecuación, mejoras.

El presente trabajo busca relacionar la formación de los emprendedores con un Modelo Interdisciplinario, elaborado por el Dr. Roberto Kertész (1) y publicado, entre otros documentos, en el “Manual de Empresas Familiares” (ver bibliografía). Ese propósito se funda en que dicho Modelo (el Modelo PALT) se constituye en una guía para determinar qué contenidos debiera poseer esa formación, dado que el mismo fue concebido como una herramienta para diagnosticar y efectuar intervenciones institucionales en organizaciones, en particular, empresarias.

Para buscar esa relación, efectuamos una encuesta (cuyo formulario oportunamente fuera elaborado por el Dr. Roberto Kertész) a participantes, en la primera clase del curso de formación de emprendedores, en el segundo semestre del año 2015. Dicho curso fue organizado y realizado por la Academia B.A., una institución del Gobierno de la Ciudad de Buenos Aires, en la Universidad de Flores.

El Centro de Emprendedores de la UFLO está asociado a estos programas desde el año 2009, participando como docentes en el mismo (junto con docentes de la C.A.B.A) o, como en esta ocasión, brindando, además del lugar, apoyo en coordinación y logística.

Aplicamos la encuesta diseñada por el Dr. Kertész a fin de ser coherentes con el Modelo que buscamos como referencia. Todas las preguntas de la encuesta (en total, 63, agrupadas en varios temas) se constituyen en una auto percepción de cada participante, respecto a cómo entiende que se encuentra al inicio de la cursada, sobre dichos temas.

El conjunto de dichas autopercepciones nos permite:

1. Cotejarla con la oferta de formación que luego se le brinda y determinar adecuación u omisiones respecto a la misma.
2. El Modelo busca, a partir de ser una herramienta de diagnóstico, brindar qué aspectos debiera contener la gestión de una empresa (o, en este caso, un emprendimiento o futura empresa). Por lo tanto, las adecuaciones u omisiones brindan una guía sobre qué es acertado de la formación brindada y qué deberá ajustarse en el futuro.
3. En la presente experiencia, el Centro no participó en el diseño, aunque sí en el dictado de los cursos que se dieron. Siendo los contenidos de nuestros cursos similares a los brindados por Academia B.A sus resultados son igualmente válidos para la orientación buscada.
4. La otra orientación que buscamos determinar no fue solo qué brindar sino cuánto. Esa orientación, si bien muy general y subjetiva, entendíamos que podía sernos de utilidad.

Sobre el Modelo PALT, este es un modelo sistémico e interdisciplinario, integrado por las cuatro variables fundamentales presentes en toda organización.

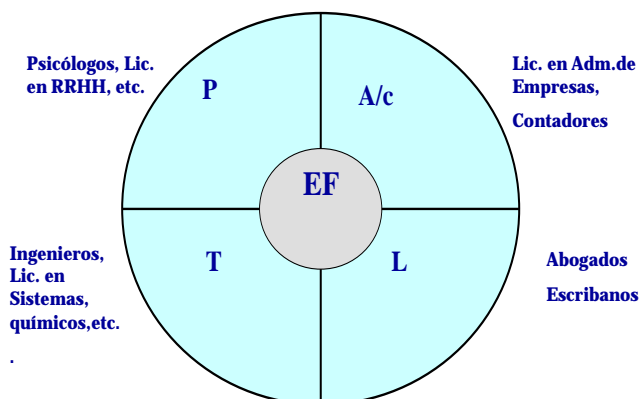
Esas variables son:

1. Psicológicas o psicosociales (conductas intra- e interpersonales).
2. Administrativo / contables (gestión de las personas y de los recursos materiales y financieros).
3. Legales (conocimiento y aplicación de las leyes vigentes).
4. Técnicas (referidas a los productos, servicios y la logística).

A continuación se reproduce, en parte, la explicación del Modelo, según documento del Dr. Roberto Kertész. Este es más extenso, pero, a nuestro juicio, es lo suficiente para brindar una descripción del mismo. (Tomado de Publicación Interna del I.N.A.R.E.F – Instituto Iberoamericano de Empresas Familiares – noviembre 2008).

## Rector Emérito de la Universidad de Flores

**¿Cuáles profesionales se especializan en cada variable y cuánto deben saber de las restantes?  
(compartiendo un lenguaje común y comprensible para el cliente)**



### **P: La Variable Psicosocial**

La Psicología se interesa por comprender la personalidad y el modelo del mundo de los integrantes de la organización como individuos: sus valores, creencias, motivaciones, estilos para tomar decisiones, resolver problemas, manejar conflictos y liderar. Además de lo individual, la Psicología incluye lo Psicosocial: las relaciones entre las personas que conviven en la organización, tanto formales como informales. Desde lo formal, el conjunto de interacciones es innumerable y se refiere a las que origina la estructura vertical de la organización (estructura jerárquica) con situaciones referidas a la dirección, el manejo del poder, delegación, la motivación y el liderazgo, la supervisión directa, la conformación de equipos de trabajo, etc. Pero además, la estructura horizontal de la organización (estructura funcional) da lugar a una gran cantidad de interacciones, principalmente situaciones de coordinación, optimización de recursos escasos, competitividad intraorganizacional, trabajo interdisciplinario, capacitación, delimitación empresa / familia, los posibles planes de continuidad o sucesión, etc.

En cuanto a la estructura informal, realidad tan concreta como la formal, las interacciones se refieren a las comunicaciones informales como el rumor, las afinidades y antagonismos, el reconocimiento social, las respuestas a la expresión de las distintas emociones, los estilos de liderazgo, la conformación de grupos y sus relaciones intra- e intergrupales, los climas

laborales, la cooperación versus competencia, la motivación para la pertenencia, etc. En los negocios de familia, debido a la coexistencia estructural de dos sistemas sociales diferentes (empresa y familia), estos últimos temas suelen cobrar mucha mayor intensidad.

### **A: La Variable Administrativa/Contable (o funciones administrativas)**

Se refiere a los conocimientos necesarios para llevar adelante las actividades de gestión:

a) la administración financiera, contar con los flujos de fondos necesarios en cada momento para la remuneración de los diversos factores de producción, el pago de impuestos, la decisión de las inversiones a realizar y las relaciones con las fuentes de crédito, como los bancos;

b) la contabilidad, que debe registrar adecuadamente las modificaciones patrimoniales de la entidad y la generación de los resultados, constituyéndose en el sistema de información por excelencia de la organización, tanto para uso interno como para uso externo;

c) la comercialización, que debe asegurar una adecuada oferta de bienes y servicios, la correcta distribución y la óptima recepción de los productos o servicios por parte de la sociedad;

d) la planificación en general y de presupuestación en particular, cuya misión es disminuir los niveles de incertidumbre y eliminar superposiciones, actividades dispendiosas y espacios vacíos;

e) la administración de los Recursos Humanos, incluyendo las políticas de reclutamiento, capacitación, ascenso y remuneración;

y f) los mecanismos de control de gestión, estratégica y operacional, que deben asegurar que lo efectuado por la organización se corresponde efectivamente a lo previsto con anterioridad.

Esta variable corresponde tradicionalmente a los contadores públicos, administradores, ingenieros industriales, funcionarios, bancarios, etcétera.

### **L.: La Variable Legal**

Abarca la aplicación de la ciencia del Derecho, incluyendo el Laboral, que se refiere a las relaciones entre propietarios y empleados, al Derecho Comercial, que complementa al Marketing, al Derecho Civil y al Societario, que establecen reglas referidas a la propiedad, a los contratos, a los derechos de las personas y de las instituciones, etc., al Derecho Público, referido a las relaciones entre los particulares y el Estado y entre los diversos estamentos de este y, finalmente pero no por ello menos importante, el Derecho Internacional, de creciente importancia dado un proceso de globalización en absoluta vigencia.

Los temas más destacados a tener en cuenta son:

- a) La elección del tipo de sociedad más conveniente y las decisiones sobre quiénes la integrarán y en cuáles condiciones;
- b) Los aspectos patrimoniales y accionarios;
- c) Convenios, fusiones, sucesiones, divorcios;
- d) Vinculaciones con sindicatos, leyes y juicios laborales;
- e) Registro de patentes y marcas.

Obviamente, estos temas se ubican dentro de las incumbencias de los abogados y escribanos, pero que frecuentemente colaboran con el contador de la firma.

### **T: La Variable Técnica**

Cubre la organización y la tecnología, las maquinarias y los insumos utilizados para generar los productos y servicios que la organización tiene como objeto, y que debe ofrecer en el mercado que atiende:

- a) las materias primas y los insumos en general, las relaciones con los proveedores;
- b) las instalaciones y su mantenimiento;
- c) los métodos de envasado, conservación y transporte de productos;
- d) la investigación y desarrollo que permitirá mantener vigente una oferta en un mundo en continuo cambio;
- e) el control de calidad y los métodos de reingeniería;
- f) la distribución, logística, importación y exportación;

Los responsables de estos aspectos son los profesionales afines a los productos y servicios de la organización (ingenieros, químicos, licenciados en informática, etc.) o simplemente, quienes sepan cómo generar los mismos.

### **El carácter sistémico e interdisciplinario del modelo**

Si bien sus cuatro variables, P, A, L y T están bien diferenciadas, se integran en la realidad de un mismo objeto de estudio: la organización, en cuyo quehacer diario existen inevitables interacciones e influencias entre dichas variables.

Así, el modelo PALT explica cómo las mismas realidades se analizan desde distintos enfoques absolutamente complementarios, cubriendo a su vez integralmente el conjunto de saberes que la organización requiere.

El enfoque del modelo supone, por lo menos, dos recomendaciones. La primera, para el dueño de la empresa, en cuanto a tener asesores que le brinden una visión multidisciplinaria de la gestión de su empresa. La segunda, para los asesores, a fin de ampliar su mirada sobre esa misma gestión y no “encerrarse” en su especialidad.

Por último, este modelo puede relacionarse con el modelo de análisis FODA: permite identificar información para diagnóstico de la situación con mayor grado de detalle; también establecer el estado actual de una organización y la elaboración del plan de mejora (Estados Deseados): objetivos y cómo cumplirlos, quiénes lo harán, en qué plazos, con cuáles recursos.

**Análisis de encuesta a emprendedores actuales**  
**Programa Academia B.A. Cursada 2º edición - agosto – octubre 2015**  
**Centro de Emprendedores – Universidad de Flores**

**Abstract**

**Sobre la encuesta:**

- Se realizó esta encuesta aplicando el *Cuestionario de Autoevaluación de Características de Emprendedores Actuales* (C.A.C.E.A). Esta fue diseñada por el Dr. Roberto Kertész y se aplica a emprendedores de hasta tres años de actividad como tales;
- Las cursadas se dictan en más de cuarenta sedes en la Ciudad de Buenos Aires. Las sedes son resultado de la decisión de cada entidad de participar del programa (como la UFLO, en este caso). Estas entidades están integradas por comunas de la Ciudad de Buenos Aires, Universidades, Cámaras Empresariales, espacios de trabajo colaborativo, aceleradores de negocio, bibliotecas públicas y sedes comunales del Gobierno de la Ciudad de Buenos Aires;
- La encuesta tiene un total de 63 variables (preguntas). El propósito de la encuesta es relevar las características y actitudes personales respecto del emprender, de los participantes del programa para emprendedores. Tiene carácter de autoevaluación. Busca identificar cómo los emprendedores “se ven a sí mismos”.
- La generalización de los resultados, debe señalarse, estará acotada a quienes participaron y respondieron a la encuesta en la UFLO, que fueron derivados por Academia B.A para cursar en la UFLO;
- Dichos resultados no podrán proyectarse, en cambio, a los que, derivados a la UFLO, no asistieron a la primera clase ni a los restantes participantes del programa, en las otras entidades. No disponemos de información para estimar que la población que respondió a la encuesta es una “muestra” de los que no participaron;
- Otra consideración a tener en cuenta es que la encuesta fue diseñada, en su origen, como autoevaluación de “emprendedores actuales”. En el presente caso, quienes la responden son: “participantes” de cursos para

emprendedores, pero que lo sean efectivamente será algo a verificar. Se comprueba, sí, que varios tienen emprendimientos en marcha;

- Esta segunda edición tuvo los siguientes resultados, en cuanto a calendario, inscripción, participación efectiva y respuesta a la convocatoria del Gobierno de la Ciudad de Buenos Aires. Cabe aclarar que la convocatoria a realizar la encuesta es una iniciativa del Centro de Emprendedores de la UFLO. No forma parte de lo organizado por Academia B.A.

	Curso Crecimiento profesional	Curso Ideación	Curso Puesta en marcha	Totales
Inscritos al curso	40	64	60	164
Asistieron a 1° clase	15	30	33	78
Respondieron encuesta	11	18	22	51
Inició curso	25.8.15	25.8.15	27.8.15	
Concluye	06.10.15	06.10.15	08.10.15	
Terminaron la cursada	6 (3 varones)	11 (5 varones)	15 (4 varones)	32
% egresados sobre asistentes a 1° clase: <b>(% total egresados sobre total asistentes a 1° clase: % 41)</b>	% 40	% 36	% 45	%41

Atendiendo a la cantidad de preguntas que contiene la encuesta, estas las hemos agrupado para un mejor manejo de las respuestas y su posterior interpretación, según los siguientes agrupamientos:

- Datos personales y del emprendimiento;
- Modelos de referencia;
- Autoevaluación de las capacidades personales;
- Motivación;
- Apoyos;
- Autoevaluación de capacidades gerenciales;
- El negocio.

Finalmente, todos los cuadros y gráficos presentados son de elaboración propia.

### **Sobre Datos Generales de los participantes y los emprendimientos:**

- La mayoría de los participantes de la cursada son mujeres (70%);
- La edad promedio de los participantes es 36 años. La edad promedio de inicio de los emprendimientos es de 33/34 años;
- De los 51 participantes que respondieron a la encuesta, 37 han iniciado emprendimientos (72%);
- La mayoría no tiene socios (66%) o familiares trabajando en la empresa;
- Los que sí tienen familiares trabajando en la empresa son el 27.5%, de los cuales el 17.6% es la pareja. No contestaron a esta pregunta el 72.5%;

- Con referencia a la ocupación actual, el 47% lo está en comercio o servicios. El 37% en otras ocupaciones;
- Todos los participantes de los cursos reconocen la necesidad de capacitarse. Es casi nula la frecuencia de “perdidos” (quienes no respondieron). En cuanto a la identificación de necesidades de capacitación, en el caso de los integrantes del curso de *Ideación*, es baja. Es similar, en cambio, en el caso de los dos cursos siguientes. En cuanto a las prioridades de capacitación, en el curso de Puesta en marcha ubica: 1° *Plan de negocios* y 2° *Administración y marketing*. En el caso de Expansión: 1° *Marketing*, 2° *Plan de negocios* y en 3° lugar *Administración y aspectos legales*. Ambos tienen en común que la formación requerida es de carácter instrumental;
- Finalmente, la relación entre total de participantes por curso y requerimientos de capacitación, para el primer curso es de 1.63, para el segundo es de 3.94 y para el tercero es de 3.18. Significa que, mientras en el primer curso no llegaban a requerir dos capacitaciones – promedio, por persona, en las dos comisiones siguientes lo hacía por más de tres, por persona. Conclusión: a mayor avance de concreción de los proyectos – promedio, mayor necesidad de capacitación;
- Con respecto a la asistencia técnica, una relación similar a la anterior. Los asesoramientos más demandados se concentran en Contabilidad, Plan de Negocios y Marketing. Pero mientras los requerimientos son débiles en el primer curso (aun considerando la relación porcentual entre requerimientos y total de participantes), es fuerte en los dos cursos siguientes (ejemplo: en el tercer curso el 69% requiere asistencia técnica en *Plan de Negocios* y el 59% en *Marketing*. En el segundo curso, el 55% en ambos ítems. Si consideramos el número de asistencias técnicas requeridas por participante por curso, para el primero es de 0.90, para el segundo de 3.11 y para el tercero es de 3. La general es de 2.58. Nuevamente, a mayor avance en los proyectos, mayores necesidades de asistencia;
- Los requerimientos financieros siguen las tendencias antes descriptas. Débil en el primer curso, fuertes en los dos cursos siguientes, con dos preponderantes: materias primas y marketing. Es relevante, además, en el segundo curso el tema ventas. En el tercero, asistencia en capacitación;
- Comparando estos resultados con los de asistencia técnica, la financiera es menor a aquella. Para el primer curso, 1.09; para el segundo, 2.61 y para el tercero, 2.18. El número promedio de los requerimientos solicitados por participante es de 1.96;
- Tener presente, además, las diferencias de edades entre los participantes a los cursos (además de las señaladas);
- Sería importante, atento a estos resultados contrastar los mismos con la oferta educacional y de asistencia, con Academia B.A. Debe recordarse,



además, que corresponden a encuestados que responden en la primera clase de la cursada.

### **Sobre Modelos Familiares**

- Para todos los agrupamientos, a partir del presente, las respuestas están organizadas según una escala de cinco opciones: no corresponde, corresponde poco, corresponde parcialmente, corresponde en gran parte, corresponde totalmente;
- Por las respuestas obtenidas, los modelos, como referentes, son débiles, según el criterio señalado al principio de este documento. Fuerte: si reúne en las opciones de *gran parte o totalmente* el 50% o más de frecuencias de respuestas. Débil: si reúne la mayoría de las frecuencias en el resto de las opciones citadas. Para los presentes casos, los que entienden que usan modelos familiares exitosos opinan que lo hacen totalmente o en gran parte reúnen un 10.8% de frecuencias. Para los que usan modelos no exitosos, el 14.8%. En cambio, para los que usan modelos extra familiares, opinan que sí, el 25.5%. No es alta la diferencia, pero colocaría levemente los modelos fuera del ámbito familiar. Un dato común a todas estas opciones es el alto porcentual de *no corresponde* (60.9, 45.8 y 46.8% en cada opción);
- En consecuencia, los modelos de referentes, en general, parecen no tener un papel relevante;
- Caso similar, si la opción fuese que los modelos familiares trabajasen como empleados o independientes. Para ambos casos, es débil la afirmación (71.4 y 69.4, respectivamente). Los *no corresponde* son altos en ambos casos;
- Solo un 28.5 y un 30.6 afirman que es así, en gran parte o totalmente. Puede ratificarse, por estos y por los cuadros anteriores, que los modelos no juegan un papel importante, como referencia, respecto al emprender (pareciera que no habría modelos).

### **Sobre las Capacidades Generales**

- Un balance de estas es que se sienten fuertes y confiados en la mayoría de ellas, en particular, perseverantes (79.6% de todos ellos). Con dudas, en cambio, en cuanto a sus capacidades para enfrentar el stress y persuadir a la gente que se relacione con su negocio;
- También muy confiados en su capacidad emprendedora, de toma de decisiones y conocimientos sobre el área de su emprendimiento;
- En este agrupamiento se releva en qué medida los participantes se sienten respaldados para llevar adelante sus proyectos;
- Como dato general, puede afirmarse la pertinencia de Academia B.A, por lo señalado, de incluirlos en la cursada.

### **Sobre la Motivación**

- Este conjunto de preguntas debieran dar las pautas de porqué decidieron efectuar la cursada, qué es lo que están buscando, el para qué llevar adelante sus proyectos y de concretarlos, qué les debiera brindar;
- Definen un perfil de fuertes motivos de progreso personal, de ser sus propios jefes, ser independientes, estar dispuestos a trabajar mucho y gustarles trabajar con la gente. Es una nítida contraparte al trabajo en relación de dependencia;
- En todos estos aspectos, habría un fuerte consenso grupal: 80% o más de todos ellos. Por motivos de subsistencia y haber detectado una oportunidad, opinan, en cambio, solo más del 50%;
- Tanto en los aspectos de motivación como de las capacidades es donde se reúnen los consensos más unánimes. A estos se suman los sentimientos de sentirse apoyados, como se verá en el siguiente agrupamiento.

### **Sobre los Apoyos**

- En este agrupamiento se releva en qué medida los participantes se sienten respaldados para llevar adelante sus proyectos;
- El sentirse apoyado por sus parejas y familias es muy acentuado: más del 70% para ambos;
- Pocos no respondieron a estas preguntas o entendieron que no correspondía;
- Ambos aspectos se presentan como una fortaleza.

### **Sobre las Capacidades Gerenciales**

- Respecto a las capacidades gerenciales, en general, a diferencia de las autopercepciones en Motivación, Apoyos y Capacidades, no se presentan las unanimidades de la gran mayoría en cuanto a poseerlas. Por el contrario, son o más moderadas o débiles directamente;
- Ejemplo de esto es la autopercepción respecto a las habilidades como negociador, eficacia como líder, generar ideas creativas, administrar la agenda, contar con personas que los complementen;
- El 60% de ellos opinó positivamente en la disposición a asociarse, si es beneficioso para el negocio. Este tema de la asociación se relaciona con el mismo aspecto planteado en *Datos Personales*. Allí informa, la gran mayoría, no tener socios ni familiares trabajando en la empresa. Estas respuestas podrían interpretarse como una necesidad no totalmente satisfecha;
- Estas debilidades plantean algunas discrepancias con lo señalado en los requerimientos de *capacitación* y *asistencia técnica*. Estas capacidades gerenciales “débiles” no aparecen claramente señaladas necesidades a satisfacer;

- Opinan, en cambio, que se comunican efectivamente bien (55%).

### **Sobre El Negocio**

- Este grupo de preguntas, en la autopercepción de la gente, muestra debilidades acentuadas en temas muy básicos para la gestión de los proyectos y su sustentabilidad;
- Esto con referencia a: experiencia en el área de negocios, formación en comercialización, formación financiera, manejo del presupuesto, recursos económicos para el negocio, tener en cuenta la diferencia entre facturar y ganar, contar con un local, disponer de proveedores adecuados, disponer de un plan de negocios, y, finalmente, obtener ganancias sostenidas en sus negocios;
- Existe claridad, en general, por parte de los participantes, de cuáles son sus necesidades en estos campos, tanto en formación como en cuanto a asistencias requeridas;
- Sin embargo estas necesidades, señaladas como débiles, no aparecen claramente señaladas en las necesidades, tanto de formación de asistencia;
- Esas debilidades comprometen, en la práctica, la realización de los proyectos, si no se satisfacen adecuadamente;
- Podría concluirse que, por todo lo visto en los agrupamientos, es muy fuerte el “**querer**”, pero no tanto el “**saber**” ni el “**poder**”;
- Esto no solo remite a la autopercepción de los participantes, sino también a las estrategias de formación y asesoramiento que se brindan;
- Obviamente, como se trata de participantes que están iniciando la cursada, es lógico que carezcan de esos conocimientos y herramientas. Es otro de los motivos, implícitos, para efectuar la cursada;
- No obstante, por su carácter sería pertinente un cotejo entre las debilidades señaladas y las herramientas que se brindan. También de los tiempos que lleva la formación en dichos temas.

### **Conclusión**

- Una primera conclusión es la confirmación por parte de la autopercepción de los encuestados, de las cuatro variables PALT. En particular, además, la relevancia que se manifiesta en todo lo relacionado con las variables psicológicas (capacidades gerenciales, comunicación, toma de decisiones, gestión del negocio, asociatividad o no);
- Otro aspecto a destacar es que medida esa variable, sin embargo, no actúa sola. En qué medida adquieren importancia las variables administrativas, técnicas y legales interactuando con las psicológicas y retroalimentándose;
- Lo anterior pone de manifiesto el carácter sistémico e interdisciplinario de la gestión;

- Todos los participantes enfatizan tener clara su vocación emprendedora y las capacidades para llevarlas a cabo. También, que esa vocación de emprender es individualista, no vinculada a razones o vínculos familiares, sino a la búsqueda de la independencia personal;
- La asociatividad no aparece como una práctica concreta, aunque sí como aspiración, pero sin herramientas claras para concretarla. El tema financiero aparece relacionado con los recursos para llevar adelante el negocio (materias primas, equipos), pero no como algo vinculado con su sustentabilidad en el tiempo;
- Analizando la oferta educativa, queda a examinar si la estrategia de enseñanza guarda igual énfasis en dicho carácter sistémico e interdisciplinario. Una estrategia concreta para dicho carácter es la estrategia del “hacer hacer”. En el “hacer” se ponen de manifiesto, en forma obligada y concreta, la demanda de interdisciplinariedad;
- Otro aspecto a destacar son los tiempos para esa formación. Del total de participantes de cursada, el 72% tenían iniciado su emprendimiento. Muchos de ellos ese mismo año, pero otros (más del 50%), llevaban años en su desarrollo. Además, solo el 12.2% declara haber obtenido ganancias sostenibles en sus negocios. El resto, (51%), dice que parcialmente y el 33% no contestó. Muestra, entonces, que la formación de emprendedores no es cuestión de días o semanas, sino de meses o de años. De allí, la generalización de esfuerzos adicionales mediante “aceleradores de proyectos”, incubadoras, tutorías, etc.;
- Motivo por el cual son cada vez más las instituciones de educación formales las que llevan adelante dicha formación en sus formaciones de grado (cabe agregar que este no es el único motivo, pero es pertinente expresarlo en estas conclusiones). Eso permite brindar un horizonte de tiempo y recursos más adecuados a las necesidades de dicha formación;
- El tiempo, por lo tanto, es una variable muy importante. Debe formar parte de la estrategia de formación. Cada persona tiene su “tiempo” si asume, además, no temer a fracasar y volver a empezar. Es el “puente”, por así decir, que permite vincular, en cada persona, el “querer” con el “saber” y el “poder”.

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## Abulcasis Al-Zahrawi, The Surgeon Of Al-Andalus

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### Abstract

Among the many scientists who enriched the scientific panorama in medieval Spain, one of the greatest is without any doubt the Cordovan physician and surgeon Abulcasis Al-Zahrawi (circa 936-circa 1013). This paper is an approach to his figure and work, with special reference to his main writing, the *Kitab al-Tasrif* (Book of the medical arrangement) and analyzes his significance in the history of medicine and surgery.

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**Keywords:** Abulcasis Al-Zahrawi, medieval Arabic science, history of medicine and surgery in Al-Andalus, scientific knowledge of the Middle Ages, *Kitab al-Tasrif*

### Introduction

Among the many scientists who enriched the scientific panorama in medieval Spain, one of the greatest is without any doubt the Cordovan physician and surgeon Abulcasis Al-Zahrawi (circa 936-circa 1013) (Al-Dabbi, 1884-1885). His full name is Abu-l-Qasim Khalaf Ibn ‘Abbas Al-Zahrawi (Ibn Abi Usaybi‘a, 1979) and he is known in the Latin tradition by several names, being Abulcasis the most usual of all. He was born in the suburb of Madinat Al-Zahra’ in Cordova, around 936 and died around 1013 (Ibn Bashkuwal, 1885; Ibn Al-‘Abbar, 1915). He lived in the golden times of the Umayyad Caliphate of Al-Andalus but few data of his biography are known and therefore the available information about him has to be taken with caution since there are many gaps in this regard (Ibn Al-Khattabi, 1988).

The importance of Abulcasis (Tabanelli, 1961), who was simultaneously physician, surgeon, pharmacist, ophthalmologist and dentist, is unquestionable (Leclerc, 1876); and this is restricted not only to the history of Arabic science (Mieli, 1966) but also to the history of the universal scientific knowledge due to the influence that his achievements had got all over Europe till late 16th century (Ullmann, 1970).

Abulcasis wrote two works (Sezgin, 1975): a) *Kitab al-tasrif li-man ‘ajiza ‘an al-ta’lif* (Book of the medical arrangement for those who are not

capable of its knowledge by themselves), that is his masterpiece, known as *Kitab al-Tasrif* or simply *Al-Tasrif*; and, b) *Kitab fi-l-tibb li-'amal al-jarrahin* (Book of medicine for the practice of the surgeons), not edited yet and included in the MS Deutsche Staatsbibliothek of Berlin, num.6254, mf.91, which, according to the explanation of Abulcasis made in the introduction of the book, is a summary of surgery written by Al-Zahrawi for his pupils as an appendix of his career of physician and as an abstract of his experience of surgeon; and it probably is a compendium of the 30th treatise from *Al-Tasrif* (Brockelmann, 1937).

### **The *Kitab al-Tasrif***

The *Kitab al-Tasrif* is an encyclopaedic compendium of theoretical and practical medicine that was written around 1000 (Kahhala, 1988). It is divided into thirty treatises and is contained in six Hebrew manuscripts:

- Ms Bibliothèque Nationale, Paris, num.951,1162,1167,1168 (treatises I-II)
- Ms Bibliothèque Nationale, Paris, num.1163 (treatises XVIII-XXX)
- Ms Bibliothèque Nationale, Paris, num.1165 (treatise XXV)
- Ms Bibliothèque Nationale, Paris, num.1166 (treatise XXX)
- Ms Bibliothèque Nationale, Paris, num.1162 (probably complete)
- Ms Bodleian Library, Oxford, num.414,415 (complete)

*Al-Tasrif* is also contained partially or completely in thirty-nine Arabic manuscripts distributed worldwide (Arvide Cambra, 1997).

The subject of every treatise is as follows:

- The treatise I is about physiology, humours, natures and natural elements as well as classification and explanation of the body organs.
- The treatise II is about pathology, the different diseases, symptoms, causes and treatment.
- The treatise III is about recipes of electuaries, stored and preserved.
- The treatise IV is about theriacs and antidotes for poisons.
- The treatise V is about laxatives and their preservation.
- The treatise VI is about purgative drugs.
- The treatise VII is about emetics and enemas.
- The treatise VIII is about laxatives of good taste.
- The treatise IX is about cardiology and beneficial drugs for heart.
- The treatise X is about electuaries, suppositories and purgatives.
- The treatise XI is about composite medicaments called *jawarish* and electuaries prepared with cumin named *kammuniyyat*.
- The treatise XII is about fattening drugs and diuretics.
- The treatise XIII is about syrups.
- The treatise XIV is about boiled musts, vulcanized and macerated remedies, laxatives and not laxatives.

- The treatise XV is about recipes of marmalade electuaries and their preservation.
- The treatise XVI is about medicinal dusts.
- The treatise XVII is about medicinal pills.
- The treatise XVIII is about inhalants, vapours, gargles, gouts and nasal anti-haemorrhagic remedies.
- The treatise XIX is about perfumes, fragrances, remedies for body embellishment and preparation of algalias.
- The treatise XX is about ophthalmology.
- The treatise XXI is about stomatology and odontology.
- The treatise XXII is about remedies for the chest.
- The treatise XXIII is about dressings and bandages.
- The treatise XXIV is about ointments and pomades.
- The treatise XXV is about oils and unguents.
- The treatise XXVI is about the diet in the illness and the health.
- The treatise XXVII is about simple and composite remedies as well as foods.
- The treatise XXVIII is about preparation of simple remedies and their benefits, as well as about the therapeutic application of the combustion of the minerals.
- The treatise XXIX is about the name of the drugs into the different languages, synonyms and substitutes, as well as about weights and measures.
- The treatise XXX is about surgery.

*Al-Tasrif* is one of the most voluminous works made in the Islamic medieval world because it comprises a wide spectre of scientific knowledge prevailing at that time (Lindberg, 1978): medical and surgical science, both in theory and in practice, diets and pharmacopoeia. The book was written by Al-Zahrawi as a training manual for the students of his private school of medicine that he led in Spain with all probability (Savage-Smith, 2002).

There is a facsimile edition of the whole book *Al-Tasrif* made by Fuat Sezgin according to the Arabic manuscript num.502 from the Süleymaniye Umumi Kütüphanesi Library of Istanbul, which was published by the Institute for the History of Arabic-Islamic Science at the Johann Wolfgang Goethe University, Frankfurt am Main (Sezgin, 1986). There are also some partial editions: Treatise XVI (Arvide Cambra, 1994), according to the Arabic manuscript num.5772 from the Bibliothèque Nationale of Paris and the Arabic manuscript num.502 from the Süleymaniye Umumi Kütüphanesi Library of Istanbul; Treatise XVII (Arvide Cambra, 1996); Treatise XVIII (Gil Gangutia, 1995); Treatise XIX, Part II (Arvide Cambra, 2010), facsimile edition according to the Arabic manuscript num.5772 from the Bibliothèque Nationale of Paris; Treatise XX (Arvide Cambra, 2000), according to the



Arabic manuscript num.5772 from the Bibliothèque Nationale of Paris; Treatise XXI (Arvide Cambra, 2003), according to the Arabic manuscript num.5772 from the Bibliothèque Nationale of Paris; Treatise XXV (Hamarnah & Sonnedecker, 1963); and Treatise XXX (Channing, 1778; Pink & Lewis, 1973).

On the other hand, there are Medieval and Renaissance partial translations from Arabic: Treatises I-II, translated into Hebrew by Chem Tobb, and by Mechoulam; and translated into Latin with the title of *Liber theoricæ nec non practicæ Alzaharavii in prisco Arabum medicorum conuentu facile principis, qui vulgo acararius dicitur. Alzahaavii compendium artis*, which was published at Augsburg in 1490; Treatise XXVII, translated into Hebrew by Chem Tobb according to the Hebrew manuscript num.1163 from the Bibliothèque Nationale of Paris; Treatise XXVIII, *Liber servitoris*, translated into Latin by Simon of Genova and Abraham Judeus of Tortosa and printed by Nicola Jenson Gallicum at Venice in 1471; Treatise XXIX, Part V, *Explicatio ponderum et mensurarum in libris medicis accurrentium*, translated according to the Arabic manuscript num.42 from the Bodleian Library in Oxford; and Treatise XXX, translated into Latin by Gerard of Cremona with the title of *Albucasis methodus medendi cum instrumentis ad omnes fere morbis depictes* and printed at Venice in 1497, 1499 and 1500, and many other editions.

There are also partial translations into French, English and Spanish of contemporary times: a) French translations: Treatise XXIX, Part V (Sauvaire, 1884); and Treatise XXX (Leclerc, 1861); b) English translations: Treatise XXV (Hamarnah & Sonnedecker, 1963); and Treatise XXX (Pink & Lewis, 1973); c) Spanish translations: Treatise XVI (Arvide Cambra, 1994); Treatise XVII (Arvide Cambra, 1996); Treatise XVIII (Gil Gangutia, 1995); Treatise XIX, Part II (Arvide Cambra, 2010); Treatise XX (Arvide Cambra, 2000); and Treatise XXI (Arvide Cambra, 2003).

The *Kitab al-Tasrif* was used until the 16th century as a reference manual and textbook by the specialists in East and also, thanks to the Latin translations, in West in Christian world. This medical compendium contains a lot of mentions to other works and to Ancient and Islamic authors such as, for example, Dioscorides, Paulos of Egina, Erasistratos of Keos, Archigenes of Apamea, Galen, Yuhanna Ibn Masawayh, Al-Razi, Hunayn Ibn Ishaq, Ibn Al-Jazzar, Al-Hajjaj, Ishaq Ibn 'Imran, Ibn Juljul and Ibn Haytham, etc. All this is a testimony of the high scientific knowledge that Abulcasis reached.

The treatise XXX on surgery was translated into Latin by Gerard of Cremona (d.1187) and was considered during five centuries as the manual of surgery in the medical school of Salerno in Italy, that of Montpellier in France and other important European schools of medicine. It contains the most ancient surgical instruments in history and about two-hundred of these

instruments are described together with many diagrams and illustrations as well as with the appropriate instructions for their correct use. These illustrations are the earliest known to be intended for teaching. These instruments had a great influence in all the later Arab authors, supported the surgical basis of Europe and left an important mark on the Christian surgeons in the Middle Ages and the Renaissance, such as Roger Frugard, Roland of Parma, Ferrari, Lanfranc, Guy de Chauliac and Walther Hermann Ryff (Campbell, 1974).

In pharmacology, *Al-Tasrif* due to its contributions exceeded the *Materia Medica* of Dioscorides which Abulcasis had known thanks to Istifan Basil's Arabic version corrected by Hunayn Ibn Ishaq in the 9th century. In addition, Al-Zahrawi discussed in the pages of the book about the preparation of some drugs and described in detail the application of a few techniques such as sublimation and decantation. Abulcasis is certainly along with Al-Ghafiqi (d.1165) and Ibn Al-Baytar (d.1248) one of the most outstanding personages of Islamic science for his contributions to the history of medieval pharmacopoeia (Levey, 1973).

In medicine, among the most remarkable achievements of Abulcasis, we have, for instance:

1) In *Al-Tasrif's* treatises I and II Abulcasis described in detail for first time and with accuracy the disease called today haemophilia as "a haemorrhagic illness transmitted to the male children by women who are not infected", as well as classified three-hundred twenty five diseases and discusses their symptomatology and treatment.

2) Moreover, in his work Abulcasis described the hydatid cysts, the lachrymal fistula and the ear polyps; he made an interesting explanation about a case of hydrocephalus, resulting from a congenital defect caused by a blocked drainage in the patient's cerebral fluid; he introduced what is known now as the Walcher position in obstetrics and devised new obstetrical forceps.

3) Abulcasis insisted on the usefulness of teaching anatomy and physiology and the need for training in surgery, etc.

Physiology and surgery in Islam and Christendom during the Middle Ages had very few competent guarantors and this was largely due to the taboo existing on human dissection. The surgeons educated in that time were never considered less important than other specialists but only a few of them practised surgery because of the risks, difficulties and doubts that were supposed in this science. The first basis in the development of this science was the translation of the ancient texts on anatomy and surgery, especially the Greek tradition's ones; this labour was principally made by Hunayn Ibn Ishaq in the 9th century. The Indian, Persian, Egyptian, Roman and Chinese surgery also had influence upon the Arabic one. Ibn Masawayh

(d.857) emphasized its importance and Al-Majusi (d.994) wrote about the transcendence of surgery applied on fractures and treatment of wounds. But, Al-Zahrawi was the first who devoted to surgery an entire treatise, the treatise XXX of the *Kitab al-Tasrif*, which includes cauterizations, removal of stones from the kidney and the bladder, bloodletting, scarifications, adjustment of bones and joints, extraction of stinging instruments, extirpation of polyps, dissection of animals, midwifery, obstetrics and use of surgical material, treatment of fractures, breaks, incisions, perforations and wounds, use of several types of sewing thread in surgical operations and methods for stopping the haemorrhages as well as surgery of eyes, ear and throat, and many others.

Among the contributions to surgery from Abulcasis, we can underline that he was the first in recommending surgical removal of a broken patella and the first in practicing on women the lithotomy. Abulcasis also made some original descriptions of manufacture and use of probes, surgical knives and scalpels of diverse shapes and designs; he invented several types of surgical scissors and forceps, and was the first in describing accurately aural polyps and lithotomy using special lancets; he described the lachrymal fistula and other operations of the eyes in which he used pointed blades and speculums; he made ligatures of arteries and recommended several types of threads in suturing; he applied plasters and bandages fractures; etc

In addition, he increased the rank of surgery until the same level as medicine thanks to his ability and his capacity of remark as well as his careful practice. He perfected some delicate surgical operations, including removal of dead foetus and amputation of limbs. He introduced new ideas on cauterization of wounds and insisted upon the need of techniques for vivisection and dissection. He was the inventor of some instruments, for example: an instrument for internal examination of ear, an instrument for internal inspection of the urethra (Otero Tejero & alii, 2007), an instrument for removal of spines, bones and other sharp elements from the throat, some obstetrical forceps and several types of scissors, etc.

Abulcasis was also an expert in dentistry and his masterpiece, the *Kitab al-Tasrif*, contains sketches of various instruments used in this scientific field, in addition to a description of some important operations. He discussed the problem of unaligned or deformed teeth and how to correct these defects, and for that reason he is considered as a precursor of the modern orthodonty. Moreover he developed the technique of preparing artificial teeth and replacing defective teeth. The odontological texts included in the treatises XXI and XXX from *Al-Tasrif* contain among other things, for example, extraction and filling of teeth as well as dental prosthesis besides many advises for a correct oral health and hygiene, etc.

The methods employed by Abulcasis eclipsed those of Galen and maintained a dominant position in the European medicine for longer than five centuries by means of the Latin translations. And for that reason, Abulcasis is without any doubt one of the most prominent scientists in history and his work one of the most important and representative of the scientific literature.

### **Conclusion**

Abulcasis Al-Zahrawi is an example of the high scientific level reached by Arab and Islamic medicine in the Middle Ages. He was the first surgeon of Muslim world and increased the rank of surgery to the same level as medicine. The *Kitab al-Tasrif* is part of the important cultural and scientific legacy brought by the Arabs and, for this reason, his author is set in a very outstanding place in history of universal science.

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## **Formación De Formadores Y Mediadores Escolares Con Análisis Transaccional**

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### **Abstract**

The United Nations, particularly through UNESCO, UNICEF and WHO, have been dealing with school violence. In Argentina, in the recent years proactive and preventive programs have been generated, including School Mediation, where students act as mediators at the onset of problems that generate violence, with previous preparation with specialized teachers to fulfill that role. On this basis we presented a pilot program to achieve the handling of specific techniques for student trainers of school mediators, about Effective Communication applying the following instruments of Transactional Analysis: Personality model (PAN: Parent-Adult-Child), behavior signs, transactions, strokes, existential positions and emotions. All this allows the recognition of non-conscious behaviors and settlement of change goals for a better school coexistence.

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**Keywords:** School Mediation, Transactional Analysis, Effective Communication

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### **Resumen**

Las Naciones Unidas, sobre todo a través de la UNESCO, UNICEF y OMS, se han ocupado de la violencia escolar. En Argentina en los últimos años se han generado programas y proyectos proactivos y preventivos. Entre ellos, existe un programa de Mediación Escolar donde los alumnos actúan como mediadores ante la aparición de problemas que generan violencia, previa preparación con docentes especializados que los instruyen para cumplir ese rol. Sobre esta base presentamos una experiencia piloto para lograr que los alumnos formadores de mediadores escolares manejen las técnicas de Comunicación Efectiva aplicando los siguientes instrumentos del Análisis Transaccional: Esquema de la Personalidad (PAN: Padre-Adulto-Niño), Signos de Conducta, Transacciones, Caricias, Posición Existencial y Emociones; pudiendo así conocer las propias conductas y fijar objetivos de cambio para una mejor convivencia escolar.

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**Palabras claves:** Mediación Escolar, Análisis Transaccional, Comunicación Efectiva.

### **Introducción**

- Tomar conciencia de la propia conducta, tanto verbal como no verbal, y sus correspondientes signos, y lograr un grado de control consciente e inconsciente sobre las conductas del entorno, permitirá evaluar/monitorear las respuestas (*feedback*) a las mismas;
- Conocer los principios de la Comunicación Efectiva, incorporándolos para su empleo en forma automática y diaria;
- Optimizar el manejo actual de las “Caricias”;
- Conocer la Posición Existencial propia y de los demás, así como la relación entre ambas y mantenerse en la Posición Realista, aun en condiciones de estrés intenso;
- Detectar y vivenciar las Cinco Emociones Auténticas (Alegría, Afecto, Miedo, Rabia y Tristeza), expresarlas verbal y físicamente en forma socialmente adecuadas, controlar su expresión cuando la situación lo requiera (sentirlas, expresarlas), reemplazar las emociones sustitutivas (“rebusques”) por las auténticas subyacentes.

Esta experiencia fue realizada con dieciocho alumnos Formadores de Mediadores Escolares de 6° año de secundario, cuyas edades oscilan entre diecisiete y dieciocho años. Contamos con la presencia de nueve padres y los faltantes participaron desde sus hogares.

La finalidad del trabajo fue lograr el autoconocimiento a través de los Instrumentos del Análisis Transaccional en los Alumnos Formadores de Mediadores, para promover métodos que acrecienten la calidad de vida e introducir a los participantes en nuevas formas de comunicación. Fue realizada a través de un Aula Taller con técnicas vivenciales y diversos métodos prácticos. Se utilizaron el Libro de Actas, encuesta de alumnos y padres, y cuestionario de habilidades sociales y resolución de conflictos.

### **Un poco de historia, antecedentes y organismos**

En Estados Unidos hace más de quince años se está implementando la mediación en muchas de sus escuelas elementales y medias. Justamente, por ser pioneros y remontarse a ese país la historia de la mediación en las escuelas, le dedicaremos un párrafo especial. A saber:

- Siempre pensando en cómo hacer para disminuir la ola de violencia escolar, ya desde principios de la década de 1960 diversos grupos de personas - algunos de ellos religiosos- se interesaron por transmitir lo importante que resultaría entrenar a los niños y jóvenes en las distintas habilidades y técnicas de resolución pacífica de disputas escolares. Convengamos que una serie de docentes “con muy buenas intenciones” trabajaron desde sus puestos en tal

sentido, pero estos esfuerzos carecieron de una estructura adecuada y, poco tiempo después, cayeron en desuso.

Recién dos décadas después, la Asociación de Educadores para la Responsabilidad Social comenzó a organizar estas inquietudes, que se cristalizarían en 1984, en los Estados Unidos, con la creación de una segunda asociación de trascendencia internacional: la Academia Nacional para Mediadores en Educación (NAME). Su principal soporte se basaba en la experiencia misma de aquellos que ya se habían animado a dar sus primeros pasos en los diversos programas de mediación ensayados en sus respectivas escuelas. Los resultados arrojados en las mismas fueron determinantes: “la mediación mejora la comunicación y reduce el conflicto escolar”.

Hoy, varios años después, las estadísticas y los hechos ratifican la veracidad de aquellas afirmaciones: las escuelas que “más paz” tienen son las que han implementado algún programa -ya hay más de 300 variantes- de este tipo.

Los organismos dedicados al tema también se han multiplicado, aunque, lamentablemente, no tanto como el incremento de la violencia, la agresión, la intolerancia y la incomunicación en el mundo; inclusive dentro del pequeño mundo de la escuela, que -por supuesto- no queda exento.

- Costa Rica tomó la iniciativa de sancionar una ley que incorpora de manera obligatoria los contenidos relacionados con la resolución pacífica de controversias a las diferentes currículas escolares.
- Francia y Canadá, entre otros, se han destacado por la implementación de una serie de programas de convivencia social tendientes a la formación y entrenamiento, tanto de los estudiantes como de los docentes.
- En toda Latinoamérica se han practicado y se practican varias experiencias piloto. Casi todas resultaron exitosas, pero la mayoría, con la salvedad de honrosas excepciones, de transitoria duración.
- Argentina hace vanguardia entre los países de América del Sur. Prueba de ello resultan los programas de mediación que comenzaron a aplicarse al promediar la década del 90 y que aún continúan vigentes.
- La Ciudad de Buenos Aires con su masivo programa para escuelas públicas y los múltiples proyectos - reconocidos internacionalmente- que se pusieron en marcha en varios colegios (públicos y privados, laicos y religiosos) de la provincia homónima, son muestras documentadas, perdurables y eficientes de la tarea realizada a favor de la paz escolar. En tal sentido, merece mencionarse la “Experiencia de La Reja” por haber sido reconocida como el *primer proyecto latinoamericano en mediación escolar* por diversos organismos internacionales como *The Community Board Program* de San Francisco (U.S.A.) y *Peace Education Foundation* con sede en Miami. Esta experiencia de convivencia escolar con mediación global y de pares se implementó -bajo la conducción de este mismo autor Veiga, Rubén- a partir



de 1994 en una pequeña comunidad del conurbano bonaerense denominada “La Reja”. Otro tanto ameritan los denodados esfuerzos del interior que, desde Resistencia hasta Bariloche, se encargaron de recorrer diferentes caminos pero con los mismos puntos de llegada: reducir el conflicto, mejorar la comunicación y favorecer la convivencia escolar.

### **Legislación local: soportes a nivel nacional, provincial y municipal**

A nivel nacional, rige desde el 20 de agosto de 1997 la resolución 62/97 del Consejo Federal de Cultura y Educación: “Criterios básicos para el desarrollo de normas de convivencia en las instituciones escolares”, en donde se recomienda expresamente a la mediación como alternativa de resolución de los conflictos escolares.

Dentro de las jurisdicciones provinciales, valen destacar la Ley chaqueña N° 4711/2000, “Plan provincial de mediación escolar”, no solo por su vanguardismo sino también por su contundente apuesta a esta herramienta favorecedora de la buena convivencia escolar; y la Ley N° 6937/02 de la provincia de Mendoza, “Ley para la No Violencia escolar”, que incorpora el concepto de mediación entre pares. Las provincias de San Juan y del Chubut, por su parte, han emprendido caminos legislativos semejantes.

En el ámbito municipal, se difundió el proyecto del concejal cordobés Hugo Caparrós, pronto convertido en la ordenanza 9801/97 del Honorable Consejo Deliberante de la ciudad de Córdoba: “Implementación de la mediación escolar en las escuelas municipales de la ciudad de Córdoba” aunque, lamentablemente, el presupuesto de la comuna no acompañó las expectativas generadas, tanto por su iniciador (Caparrós), como por las nobles intenciones del proyecto mismo.

Después de la última reforma constitucional, la Legislatura de la Ciudad Autónoma de Buenos Aires sancionó la Ley N° 223: “Sistema escolar de convivencia” reglamentado a través del Decreto 1400/01, desde donde se alienta la implementación de estas nuevas formas de resolución de disputas escolares.

### **Antecedentes en la provincia de Buenos Aires, Partido de Almirante Brown, Instituto Amancio Alcorta**

- Talleres de mediación para 1108 alumnos dictados desde 2005, con 140 alumnos formados como mediadores.
- En el año 2014 se realizó una experiencia piloto de Formador de Formadores de Alumnos Mediadores.
- Resultados: No se registran situaciones de violencia que requieran mediaciones desde el 2009.

- Resultados: Durante los años 2013-2014 se realizaron 5 mediaciones para la implementación de nuevas habilidades y para ampliar la difusión del proyecto.
- Resultados: Durante los años 2014-2015 se realizaron 3 mediaciones y gran cantidad de asesorías que facilitaron la comunicación.

#### **E.E.S N° 16**

- Desde el año 2013 se implementó el taller de comunicación y metas de vida, basados en el modelo de Áreas y Roles Fundamentales del Dr. Roberto Kertész.
- En el año 2015 se realizó una charla a cargo de los Formadores de Mediadores.

#### **E.E.S N° 17**

- Durante el año 2013 se implementó el taller de comunicación y metas de vida, basados en el modelo de Áreas y Roles Fundamentales del Dr. Roberto Kertész.

#### **Objetivos**

- Lograr el autoconocimiento a través de los Instrumentos del Análisis Transaccional en los Alumnos Formadores de Mediadores;
- Promover métodos para acrecentar la calidad de vida;
- Facilitar el cumplimiento de objetivos activando estados del Yo;
- Incorporar habilidades sociales al repertorio de conductas;
- Iniciar contactos sociales cordiales para evitar situaciones de conflictos y violencia;
- Conocer el concepto de Asertividad y su utilidad social;
- Conocer el concepto de Autoestima (Autovaloración).

#### **Materiales y métodos**

- Dieciocho alumnos de entre diecisiete y dieciocho años que cursan el 6° año del Nivel Secundario del año lectivo 2014;
- Dieciocho padres de Alumnos Formadores de Mediadores Escolares;
- Doce ex alumnos Formadores de Formadores Universitarios;
- Instituto Amancio Alcorta. Burzaco. Partido de Almirante Brown. Provincia de Buenos Aires. Argentina.

#### **Métodos**

La metodología que se aplica es la de Aula Taller. Esto es fundamentalmente práctico y se desarrolla a través de *role playing*, juegos, ejercicios, observaciones, experiencias, encuestas cualitativas y cuestionarios

cuantitativos. El fundamento teórico, así como el material bibliográfico, será entregado a los Alumnos Formadores de Mediadores Escolares a medida que transcurra el Taller y como consecuencia de lo experimentado previamente.

**En la metodología para la resolución de conflictos escolares se incluyen:**

**Habilidades Emocionales:**

- Identificación y designación de sentimientos.
- Expresión de sentimientos.
- Evaluación de la intensidad de los sentimientos.
- Dominio de impulsos.
- Reducción del estrés.
- Conocimiento de la diferencia entre sentimientos y acciones.

**Habilidades Cognitivas:**

- Conversación personal: conducción de un “diálogo interior” como una forma de enfrentarse a un tema o desafío, o para reforzar la propia conducta.
- Lectura e interpretación de señales sociales, por ejemplo: reconocimiento de influencias sociales sobre la conducta y verse uno mismo en la perspectiva de la comunidad más grande.
- Empleo de pasos para solución de problemas y toma de decisiones, por ejemplo: dominar impulsos, fijar metas, identificar acciones alternativas, anticipar consecuencias.
- Comprensión de la perspectiva de los demás.
- Comprensión de normas de conducta (cuál es una conducta aceptable y cuál no).
- Actitud positiva hacia la vida.
- Conciencia de uno mismo, por ejemplo: desarrollos realistas con respecto a uno mismo.

**Habilidades de Conducta:**

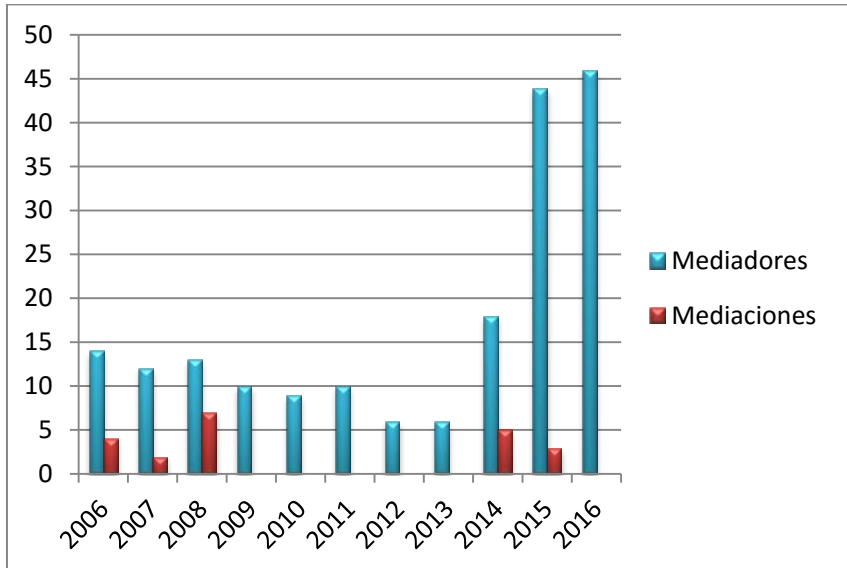
- No Verbales: comunicarse a través del contacto visual, de la expresividad facial, del tono de voz, de los gestos, etc.
- Verbales: hacer pedidos claros, responder eficazmente a la crítica, resistirse a las influencias negativas, escuchar a los demás, participar en grupos positivos de pares.

**FUENTE:** Consorcio W.T. Grant sobre la promoción de Competencias Sociales.

## Resultados

### Libro de Actas de Mediación Escolar

El análisis de los datos obtenidos muestra:



Al comparar el año 2013 con el 2014 hubo un incremento del 200% en la cantidad de alumnos mediadores voluntarios. Esto fue consecuencia de la implementación del Diagrama de Áreas de Conducta y Roles Fundamentales personalizados para realizar sus metas de vida en estado deseado.

Se manifiesta una tendencia creciente para el 2015 de inscriptos como Mediadores Voluntarios, debido a la implementación de instrumentos de análisis transaccional. Durante el 2015 se realizó el taller con 80 alumnos, de los cuales 46 se inscribieron voluntariamente como mediadores.

Se observa que en el 2014 hubo 5 mediaciones, y durante el 2015 se realizaron 3 mediaciones, siendo las principales causas la murmuración, generalización y omisión.

#### **Durante el 2014 se implementó el taller de Formador de Formadores:**

- Campaña de divulgación del proyecto.
- Formación de formadores de mediadores.
- Charlas de mediadores a alumnos de quinto año.
- Evaluaciones realizadas por mediadores a alumnos de quinto año.
- Asesoramiento individual de comunicación efectiva.
- Charla informativa a cargo de la Dra. Analía Luchelli, Abogada y Lic. en Politología.
- Se trabajó con el gabinete psicopedagógico.

- Taller integrativo de padres y alumnos mediadores.

De 128 alumnos que cursan actualmente quinto año de la Secundaria, se inscribieron voluntariamente en el taller de mediación para la segunda etapa a realizar en el año 2015, el total de 44.

### **Durante el 2015**

- Se realizó un encuentro en el IPPEM con el científico Dr. Roberto Kertész.
- Se trabajó con el gabinete psicopedagógico.
- Se realizó el Taller de Formación en los Instrumentos de Análisis Transaccional a Ex Alumnos Formadores.
- Divulgación del proyecto en toda la Institución Amancio Alcorta y la Escuela Pública E.E.S. N°16 de Longchamps, partido de Almirante Brown, Buenos Aires.
- Talleres de Formación realizados por Ex alumnos a Formadores.
- Asesoramiento a Mediadores y Formadores.
- Los Formadores recibieron una membresía de la Asociación Iberoamericana de Análisis Transaccional (A.N.T.A.L).
- Participación en el programa radial PSI.

### **Encuestas**

Al finalizar el Taller, al cual concurrieron los dieciocho alumnos Formadores de Mediadores y nueve padres de dichos alumnos, los padres fueron encuestados en forma online, donde se les entregó una encuesta de tres preguntas a cada nivel.

#### **Encuesta a los alumnos**

1. ¿Para qué le sirven estos instrumentos del Análisis Transaccional?
2. ¿Cómo o en qué situaciones los aplicarían?
3. ¿Desearía seguir participando en futuros talleres?

#### **De acuerdo a los resultados obtenidos en dicha encuesta se observa:**

- Pregunta 1: El 100% respondió que los instrumentos aprendidos son útiles para el autoconocimiento y para la comunicación efectiva.
- Pregunta 2: El 57% respondió que lo aplicaría en su familia y con amigos y el 43% lo extendería además a otras personas.
- Pregunta 3: El 100% respondió afirmativamente.

#### **Encuesta a los padres**

1. ¿Le agradó que su hijo realizara el taller de Formadores de Mediadores Escolares? Fundamente.

2. ¿Para que le sirvió a su hijo ser alumno mediador y participar de este proyecto institucional?
3. ¿Qué temas propondría para futuros talleres?

**En esta encuesta los resultados son los siguientes:**

- Pregunta 1: El 100% respondió que gracias a la participación de sus hijos en los talleres mencionados mejoraron la comunicación con los mismos.
- Pregunta 2: El 50% respondió que sus hijos aprendieron a tomar decisiones acertadas; un 25% que mejoraron las relaciones con los demás y otro 25% que hacen planes para el futuro.
- Pregunta 3: Propusieron los siguientes temas:
  - Talleres integrados con técnicas de comunicación padres e hijos.
  - Talleres de resolución de conflictos para padres Mediadores
    - . Bullying y discriminación;
    - . Tolerancia y comprensión;
    - . Sexualidad;
    - . Libertad responsable.

**Expectativas**

Nuestras expectativas sobre el taller realizado fueron ampliamente satisfechas, debido a la concurrencia del 100% de los Alumnos Formadores de Mediadores y el 50% de los padres de esos alumnos, y el otro 50% participó en encuestas online en forma solícita, cumpliéndose así el trípode Educativo Docente- Familia-Estudiantes.

Hubo en el taller fluidez en la participación de los concurrentes, en un ambiente de conocimiento, cordialidad y alegría.

**Cuestionario “Grado de resolución de conflictos escolares”. Enfoque Multimodal**

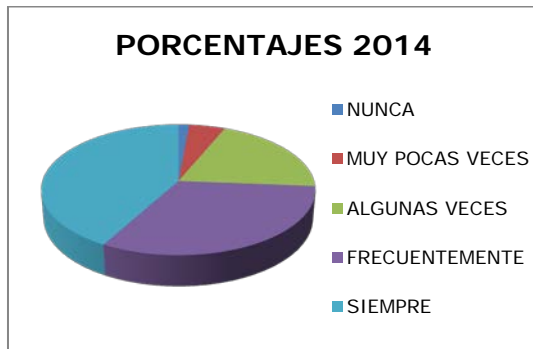
Cuestionarios tomados a los dieciocho Alumnos Formadores de Mediadores.

Respuestas y Porcentajes.

Para medir cómo bajar la carga agresiva, se realizó el cuestionario “Grado de resolución de conflictos escolares”. Enfoque Multimodal. Se tomó una muestra en 5º año del ciclo lectivo 2013, y luego se volvió a tomar dicha muestra, al mismo grupo, en 6º año del ciclo lectivo 2014, obteniendo los siguientes resultados:

<b>RESPUESTAS</b>	<b>2013</b>	<b>2014</b>
<b>NUNCA</b>	15	6
<b>MUY POCAS VECES</b>	62	20
<b>ALGUNAS VECES</b>	110	83
<b>FRECUENTEMENTE</b>	106	132
<b>SIEMPRE</b>	119	174

<b>PORCENTAJES</b>	<b>2013</b>	<b>2014</b>
<b>NUNCA</b>	3,62%	1,44%
<b>MUY POCAS VECES</b>	14,97%	4,83%
<b>ALGUNAS VECES</b>	26,57%	20,04%
<b>FRECUENTEMENTE</b>	25,60%	31,88%
<b>SIEMPRE</b>	28,74%	42,02%



**Cuestionario: ¿Cómo están mis habilidades sociales?**

También se aplicó el cuestionario “¿Cómo están mis habilidades sociales?” con 25 sugerencias para tener amigos e influenciar a los compañeros. Se realizó una primera muestra antes del taller de “Formadores de Mediadores”, y otra luego de dos meses de finalizado el mismo. Los resultados fueron los siguientes:

<b>HABILIDADES SOCIALES</b>	<b>OCTUBRE</b>		<b>DICIEMBRE</b>	
<b>NUNCA</b>	11	2,64%	2	0,46%
<b>A VECES</b>	169	39,12%	163	37,73%
<b>FRECUENTEMENTE</b>	245	56,71%	267	61,8%



**Conclusiones de los resultados de los siguientes cuestionarios:  
“Cuestionario de grado de resolución de conflictos escolares”. Enfoque Multimodal:**

Se realizó una primera toma a dieciocho Alumnos Formadores de Mediadores Escolares, que cursaban el 5° año de educación secundaria en el año 2013, y una segunda muestra en el mismo grupo cuando cursaba el 6° año del ciclo lectivo 2014. Hemos podido comprobar que los conflictos escolares habían disminuido de manera notable, como se puede apreciar en la tabla de porcentajes. Esto fue debido a los talleres realizados sobre “Mediación Escolar y Análisis Transaccional para Alumnos Formadores de Mediadores”.

**“Cuestionario de habilidades sociales”**

Se realizó la primera toma a alumnos de 6° año en el mes de octubre del ciclo lectivo 2014, y la segunda toma en diciembre del mismo año, por lo cual hemos llegado a la conclusión de que, debido a los talleres ya mencionados, los Alumnos Formadores de Mediadores Escolares han desarrollado la escucha activa, detectando los intereses del interlocutor, invitándolo a sentirse importante, con una actitud amable, motivándolos para que puedan hablar y explayarse, liderando mediante preguntas que inducen a que los conflictos parezcan fáciles de enmendar.



## **Conclusión**

De acuerdo al Trabajo realizado, hemos llegado a la siguiente conclusión:

Ante la falta de conocimiento de técnicas de comunicación aumentan los conflictos escolares y, cuanto mayor sea el conocimiento y aplicación de instrumentos de Análisis Transaccional entre pares, también es mayor la Comunicación Efectiva, pues entre ellos se interpretan con más afinidad los problemas de esta etapa, que cuando intervienen los adultos. De esta forma, se evita el aumento de la carga emocional agresiva de los alumnos.

## **Plan a futuro**

- Asesoría a instituciones educativas primarias y secundarias.
- Taller integrado para padres y alumnos mediadores.
- El taller de mediación se implementará: las primeras cuatro etapas en cuarto año y la quinta etapa en quinto año de las escuelas secundarias.
- Formar un equipo de egresados como Supervisores de Mediadores.
- Talleres para formar alumnos mediadores de distintos niveles en forma voluntaria.
- Talleres abiertos a la comunidad dirigidos por el Equipo de Formadores de ex alumnos universitarios.
- Edición y redacción de un libro sobre Formadores de Mediadores con Análisis Transaccional.

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# Protecting The Interests Of The Child Through Freedoms, Human Rights, And The Rule Of Law

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## Abstract

Parents, authorities, and courts in their decisions and activities must have as a primary consideration of the best interests of the child. This is exactly what article 2 of the Family Code says. Also, lawmakers also described this in articles 116-122 of the Constitution. This refers to any ratified international agreement which constitutes part of the internal system as published in the Official Gazette of the Republic of Albania. Therefore, it gives people a priority over the laws of the country that they do not agree with. This study aims in understanding the relations between parents and children through parental responsibility and principles which underlie the exercise of parental responsibility. In protecting the interest of the child, there has been an evolution in anthropological and historical aspect of the legal opinion. However, there is a clear difference between the concept of "patria potestas" of the Roman law and parental power conceived by the modern right. The first represents an institute which primarily protects the interests of "Pater familias". Consequently, the head of each family exercise their duties, roles, and authority, majorly in view of the family's welfare. In the second which is the modern concept, the cornerstone of parental power lies not with the idea, but this power is conceived based on the best interests of the child. It states that parents, competent authorities, and courts in the decisions making process, must have the best interests of the child as the primary consideration.

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**Keywords:** Convention, Parents, Competent Court, the Constitution, the modern state

## Introduction

The legal spirit of the Rights of the Child<sup>14</sup> is not only in the aforementioned provisions, but also in other provisions of the Constitution.

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<sup>14</sup> The Constitution of the Republic of Albania.

Specifically, it is in Sections 52-53-54. Thus, it finds priority over all other rights which are exhaustively competitive in terms of the law regarding the other rights. In this respect, we find instead of comparing the provisions relating to the common law, the codification of family law, constitutional law, the European Convention of Human Rights, the Convention on the Rights of the Child, and the Hague Convention "On Protection of Children and Cooperation for inter country adoption."

Despite the naming convention, agreement, international agreement, treaty, or any other act in the context of the above mentioned, these constitutes sources of family law in the Republic of Albania. As a result, it gives a complete configuration with high interest and protection of the interest of the child in a democratic society, where the rule of law, human rights, and justice are followed.

### **Parent Child Relations through the Labyrinths of Time**

In this context, the legal breath which describes the relationship between parents and children from the beginning, the length of time until the termination of parental responsibility, the rights and duties of the children, and those personal non-property and property of the parents against children, have always takeaway "Protection of the highest interest of the Children".

Therefore, in this concept, the relationship between parents and children has continued through the labyrinths of time from the Roman Law, Common Law Privacy and Albanian customary canon law, Human Rights, European Convention of Human Rights, the Convention on the Rights of the Child, Convention for the Protection of family law, the codification of thanks, the constitutional law, the Constitution of a modern state, and the Constitution of the Right Modern.

Consequently, we found that all the legal facts, evidence, and the applicable law in space and time have tendency for relationships between parents and children. Here, the trend of modern times is always the favorite for the "Protection of the highest interest of the children" forever.

From a biological perspective, man performs two unconditional reflexes which are reproduction and protection. Subsequently, we can notice that man not have the biological need for sexual relations, but also that of reproducing life extension beings (children). In creating the necessary infrastructure and legacy of relevance to this heritage, we need a parent and children relationship. Generally speaking, we as parents are the archers, while our children are arrows. Therefore, these arrows need to be shot to hit to ten. More importantly, the social climate needs to be directed by elites to create positive energy which would likely lead to prosperity.

### **Development: Parental Responsibility in the Albanian Legal Opinion**

Consequently, we find legal theoretical development of the Albanian legal opinion to be an important place. Parental Responsibility which correlates in terms of positive law has formal sources which are derived from different social behavior, family, and personality. It reshapes them into legal rate whilst giving them the subjective sense of this legal norm to help decompose the true meaning of the legal norm which plays an important role in correcting the implementation of the law.

In this regard, the title "Parental Responsibility" must start with the concept of parental responsibility to continue further with the duration and the exercise of parental responsibility. The concept of parental responsibility lawmaker is embodied in Article 215 of Family Code<sup>15</sup> where it explicitly states that: - "Parental responsibility includes the entirety of the rights and obligations aimed to provide emotional welfare, caring for the child's social and material need, keeping personal relations with him, and providing the upbringing, education, legal representation, and management of its assets.

From a literal interpretation, this provision comparatively confirms that parental responsibility is deemed as an important legal protection of the highest interest of the children. Like any other legal relationship and rates in terms of the general principle of the scale, are the two sides which are both rights and obligations. Also, the parent child relation has in itself, the rights and obligations which lie in the scales protected by the legal institute of parental responsibility.

These special relationships between parents and children are developed through love. However, Article 1 of the International Convention on the Rights of the Child states that: - "Children have the right to live, to grow up to be educated, and to study a world filled with love<sup>16</sup>". Therefore, this is the environment I see that we need to bring to our children. This includes the provision of food, shelters, education, and teaching them our cultural heritage. Most important of all, we need to show "LOVE" to them in their daily lives.

Also in Article 12 of the International Convention on the Rights of the Child<sup>17</sup>, their right is guaranteed; and they can freely express their views on any matter that has to do with them. Nevertheless, the age and maturity of the child which is used by the parent for evaluation should come in each case through a decision which should be taken in respecting the aspirations of the child's personality development. This involves the provision of parenting,

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<sup>15</sup> Article 215 of the Family Code.

<sup>16</sup> Article 1 of the International Convention on the Rights of the Child.

<sup>17</sup> Article 1 of the International Convention on the Rights of the Child.

material welfare, health care, and physical development of the child's mental, emotional, and social wellbeing.

Also, lawmakers in section 216 of Family Code<sup>18</sup> has defined the duration of parental responsibility which continues until the child reaches adulthood, which according to the law is 18 years old. So this time limit is the length of parental responsibility as well. At this age, they have certain rights. Therefore, one of these is the right of getting married. It is worth mentioning that the restriction of parental responsibility is related to Article 6 of Civil Code where it was stated that women have full legal capacity to act as a result of the legalized marriage<sup>19</sup>. Although the general principle of the Legislator determines that at this age, the time limit for parental responsibility was been sanctioned. Thus, this is in special cases with the court's decision, as was specifically stated in Article 7 of the Family Code Wedlock. The legal age of parental responsibility is less than 18 years. Consequently, the limit of parental responsibility in such cases is limited by court order until an age of less than 18 years old, thus determining another time limit on the duration of parental responsibility. There is another special case which limits the duration of parental responsibility where the legislator has determined that parental responsibility ends after attaining the age of maturity. For adults, it ends at the age of 25 years old.

Given the fact that parental responsibility essentially represents a legal relationship between parent and child, as such, it is integrated at certain times. This often begins with the birth of the child, i.e. the person living under Article 2 of Civil Code. Furthermore, this relates to the legal capacity the child enjoys since its conception, until when he/she is born alive<sup>20</sup>. The relationship between parent and child is necessary that even children have not only rights, but also obligations which involve expressing love and respect for their parents. Also, children provide the assistance their parents needs at all time. This is also defined in section 217 of the lawmaker Family Code-mind among parents. Consequently, the obligation of children aiding their parents in Articles 192-213 of the Family Code always lasts for so long, as it was stated in Article 198 of the Family Code. In the exercise of parental responsibility and in understanding what is most important, the fundamental principle of equality between parents is in relation to the child and his higher interest. Thus, this Family Code gives a sufficient space provisions which step by step shows that the notion of the interest of the child is not only a subjective notion and the first black and white perspective, but it takes character to be shaped. Also, it takes formal objective to interpret in detail

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<sup>18</sup> Article 216 of the Family Code

<sup>19</sup> Civil Code Article 6

<sup>20</sup> Article 2 of the Civil Code

the cases that are appearing in judicial practice, who is showing interest, what it represents for the child, and whether it constitutes a higher interest for the child or not? <sup>21</sup>This comes with articles 67 and 108 of Family Code which states that the provisions that adjust with parental responsibility cannot be avoided even if there is no agreement between parents. So, agreement cannot come in as a conflict. The exercise of parental responsibility takes a special character in the classification of exercising parental responsibility under the provisions of articles of Family Code 220, 221, and 222, for children born into legal marriages. In a single family, parents and children are together, and parental responsibility is common in both parents. For children born outside legal marriage, those who were adopted, or those under custody, lawmakers often determines who will be responsible for exercising parental responsibility. It cannot be left unmentioned and not analyzed in this case that the lawmaker has special provisions provided in articles 223, 224, 225, 226, 227, 228, 231, 232, 237, 239, 263, and 306 of the family code. It determines the modalities of the exercise of parental responsibility for any children born as a handicap or entities. Also, sanctions can be imposed by lawmakers on the parents regarding the legal responsibility of the parents who do not fulfill parental obligations in the exercise of parental responsibility which was specifically stated in Sections 223-228 of the Family Code<sup>22</sup>. In this context, if parental responsibility is exercised contrary to legal provisions, the parents usually face punishment in proportion to the violation of the law. Furthermore, not fulfilling the legal liability may have an adverse impact on the criminal, civilian, family, and administration as stated by the Penal Code, Civil Code, Family Code, and Administrative code.

Consequently, this can happen and will happen only when parents see them not only as a legal obligation in exercising parental responsibility, but as a fulfillment of the moral obligations of the family love and affection they should show to their children. These sanctions could come as a given example of parental responsibility which is defined in section 228 of the Family Code. Thus, it is removed by the court order which sets in motion the other parent or relatives of the child and the prosecutor. These cases occur when a parent or parental responsibility shows gross negligence in the exercise of their duties, or when omission adversely affects the child's education. This is one of the most severe sanctions as provided by Family Code. It is also in pursuant of article 229 of the Family Code court decision. In addition, it states that the effects extend over one or more, or all the

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<sup>21</sup> Sections of the Family Code 220, 221, and 222

<sup>22</sup> Articles 223 and 228 of the Family Code

children of the person deprived of parental responsibility. Thus, this is regarded as the legal consequences of parental responsibility.

Besides the aforementioned effects that brings the judicial decision of removing parental responsibility, this decision brings other consequences and other effects which analytically corresponds to the incompatibility of this subject to be the guardian pursuant of Article 270.

The provision of Article 223 of the Family Code is a provision for the child's protection in relation to sanctions of the loss of parental responsibility, as well as accountability to this loss of parental responsibility.

Family Code of Article 228 of both these provisions together with Article 223 and Article 228 of the Family Code aim to deprive the exercise of the rights and obligations of parents who are considered unworthy to care continuum for their children<sup>23</sup> To implement the sentence of the loss of parental responsibility, it is necessary for the parent to be convicted by a final decision of committing offenses contemplated by lawmakers according to the Penal Code. In these cases or in other cases when there is dissolution of marriage, the court may make a decision to transfer the exercise of parental responsibility or a part of it. Thus, this person should be understood as one of the minor penalties in relation to other sanctions that is foregoing, and which has a temporary nature. This may continue for some time until parents prove to the court changing circumstances related to the conditions of the court's previous decision. So, these decisions are always changeable and are constantly taken by the court to protect the best interests of the child in relation to acts or omissions committed against them. However, this is usually done by the parents when exercising the obligations they have.

### **Legal Representation of Children**

In family law in the relations between parents and children aside from those of non-pecuniary personal character which I have treated above, an important aspect is the parental responsibility of the child's wealth. In Albanian, juridical opinion is treated carefully. The care of the child is not only in terms of protection, but also his right to property. Family Code of Article 217 clearly shows once again that a set of closely related interests between affective value and material value exists between parents and children. Therefore, the lawmaker described in a whole chapter on how Family Code regulated property relations between parents and children have been drafted. This rule was established for legal representation and administration of property to the child and use of that property through various legal actions. It states that the property belonging to the child may be

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<sup>23</sup> Article 217 of the Family Code



movable or immovable property. Consequently, other real rights over them are acquired through inheritance, donation, various contracts, those in favor of third persons, the income obtained by work, or a family activity.

In this context, an important role in protecting the interest of the child occupies the child's legal representative under Article 232 of the Family code. This states that the parent represents his minor child in the all legal actions because he/she has not attained the age of 14; however, this is with the exception of those who are under the law, of which a minor cannot fulfill<sup>24</sup>.

A minor who has attained the age of 14 perform the legal actions, but always with the prior consent of the parent. This excludes those who, by law, can be performed by them. Due to the obligation of parents about their child representation which stems from legislation, parents are considered as legal representative of the children in conducting legal transactions. Thus, this is considered before a court or any public or non-public institution that examines the scope of the right of the child's action.

Legal representation always depends on the character of the case. In this context, we also defined the scope and limits of the legal representation because the substitution of the will of the child in conducting legal transactions, applies only to actions which are not closely personal. In Article 64 of Civil Code representation, it is not possible in those cases where the law states that the action must be carried out by the subject himself<sup>25</sup>. From here, legal liability incurred arises from infringement of legal representation. Failing liability litigation constitutes a premise for the loss of parental responsibility as a parent in the exercise of parental responsibility. Legal representation neglects or performs it in conflict with the law and the interest of the child. Therefore, this was the reason for the consequences that resulted through sanctions imposed in these cases by lawmakers.

Although children are holders of the rights obtained as described above, the exercise of rights for the underage children would be performed by parents who exercise parental responsibility through legal representation and legal management of their wealth. Thus, this they do simultaneously and classification of legal actions management of this property is seen as one of the most important prerogatives regarding ordinary management division and unusual wealth of the child-mind of the legal regime of management actions.<sup>26</sup> Subsequently, this excludes it from representing the operations and

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<sup>24</sup> Article 232 of the Family Code

<sup>25</sup> Articles 64 of the Civil Code

<sup>26</sup> Article 237 of the Family Code

management to the rest of the right of use of the property of the child by the parent according to Article 237 of Family Code

### **Conclusion**

Universal Declaration of Human Rights defines the family as the natural and fundamental nucleus of society which enjoys the protection of the State. Society is already becoming aware of this context of providing children with the necessary information and education regarding their rights. Being convinced that the family is the basic unit of the society is the natural environment for the growth and well-being of all its members. Particularly, the children should have the necessary protection and support that can fully assume its role in the community. Consequently, the child should grow up in a family environment, in an atmosphere of happiness, love, and understanding. Also, they should be educated in the spirit of the ideals proclaimed in the Charter of the United Nations, especially in the spirit of peace, dignity, tolerance, freedom, equality, and solidarity.

**In this way, Honor the Past! Respect the Present! Enjoy the Future!**

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## **Intervenciones Asistidas Por Animales: Intervenciones Con Perros En Adultos Mayores A Partir Del Enfoque Multimodal**

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### **Abstract**

Animal Assisted Interventions has been used as a complementary therapy for little longer than fifty years. Scientific publications about empiric investigations that have employed dogs in therapeutic work, mainly with senior citizens, are reviewed. Lazarus's Multimodal Model is taken as a guide. Based on this model, assisted interventions with dogs that can result potentially beneficial to this population, are proposed. The relevance of the Multimodal approach for the design of interventions and therapeutic programs is highlighted.

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**Keywords:** Animal Assisted Activities, Animal Assisted Intervention, Animal Assisted Therapy, Dogs, Lazarus's Multimodal Therapy.

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### **Resumen**

Las Intervenciones Asistidas por Animales son utilizadas como una forma de terapia complementaria desde hace poco más de cincuenta años. Se revisan las publicaciones científicas sobre investigaciones empíricas que hayan empleado perros en el trabajo psicoterapéutico, principalmente con adultos mayores, tomando como guía el enfoque multimodal de Lazarus. En base a este modelo, se proponen intervenciones asistidas con perros que pueden resultar potencialmente beneficiosas para esta población. Se destaca la relevancia del enfoque multimodal para el diseño de intervenciones y programas terapéuticos.

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**Palabras clave:** Terapia Multimodal de Lazarus, Intervenciones Asistidas por Animales, Terapia Asistida por Animales, Actividades Asistidas por Animales, Perros.

## Introducción

A lo largo de la historia, los animales han desempeñado importantes roles en la salud del hombre: desde entidades sagradas sanadoras hasta sujetos de investigación. En este sentido en Grecia, en el siglo VI A.C., los enfermos podían acudir al santuario de Asclepio, dios griego de la medicina y de la curación. En estos templos, los enfermos eran lamidos por perros en sus heridas o partes del cuerpo afectadas; se creía que estos animales y las víboras representaban a Asclepio, y que tenían el poder de curar las enfermedades con sus lenguas (Serpell, 2010).

A mediados del siglo XIV, San Roque, enfermo de *peste negra* (peste bubónica) habría sido curado de sus llagas por el lamido de su compañero canino. Hacia fines del año 1500, el médico británico Caius en *De Canibus Britannicus* (1570) sostuvo que apoyar perros falderos en zonas del cuerpo afectadas por una determinada enfermedad permitía que el animal absorbiera tal dolencia (citado en Serpell, 2010).

La particular concepción de que los caninos podían con su toque o lamida sanar las heridas o llagas permaneció hasta bien entrada la era cristiana en Europa. La Inquisición se constituyó en un punto de inflexión en Europa continental en la Edad Media, ya que todas las prácticas con animales fueron consideradas inapropiadas, o inclusive demoníacas. Esta situación obturó el uso terapéutico de los animales desde el siglo XV al XVII en Europa (Gerzovich Lis, 1998).

Hacia el final del siglo XVII se produjeron cambios en la percepción pública de los animales. La Ilustración aportó teorías que ponían de relieve la influencia socializadora de estos seres, y que consecuentemente abrieron las puertas hacia el uso de animales en el tratamiento de enfermedades mentales. En Inglaterra, en el York Retreat —organización dedicada a la atención de personas con patologías psiquiátricas— William Tuke incorporó métodos de tratamiento más humanitarios para la restauración del autocontrol (Porter, 2002). En estos se permitía a los pacientes deambular libremente por los patios y jardines del York Retreat, los cuales contaban con animales tales como conejos, gaviotas, halcones y aves de corral. El contacto con estos tendía a despertar en los pacientes sentimientos sociales y benévolos (Allderidge, 1991).

En el siglo XIX el empleo de animales en instituciones de salud mental se extendió por Europa. Uno de los primeros hospitales psiquiátricos, el Bethlem Royal Hospital, ubicado al sur de Londres, incorporó animales tales como gatos, canarios, ardillas, galgos y peces dorados. De acuerdo a un artículo de 1860 publicado en el *Illustrated London News*, estos animales podían verse en los pabellones de hombres y de mujeres de esta institución, otorgándole un aspecto más agradable y sin connotaciones carcelarias (citado en Allderidge, 1991). Asimismo, en Bielfield, Alemania, en 1867 el Hospital

Bethel comenzó a emplear animales en el tratamiento de personas con epilepsia (Cusack & Smith, 2009). En 1880 Florence Nightingale en sus *Notes on Nursing* informó acerca de los efectos beneficiosos de la compañía animal, reconociendo el papel terapéutico de estos en el tratamiento de males físicos especialmente crónicos (Serpell, 2010).

En la historia del uso de perros con fines terapéuticos, el hito fundamental que dio estatuto de intervención a este tipo de práctica fue el casual descubrimiento realizado en Estados Unidos por el psiquiatra infantil Boris Levinson. En 1953 este profesional recibió en su consulta privada a un niño, el cual había llegado más temprano a su cita, y su perro Jingles lo recibió con una lamida, a lo que el niño respondió con un abrazo; esto llamó la atención de Levinson, en tanto en sesiones anteriores este paciente había sido retraído y poco comunicativo. En el transcurso de la sesión el niño manifestó su deseo de volver a jugar con el perro (Levinson, 1969; Urichuk & Anderson, 2003). Este hecho fortuito llevó a Levinson a comenzar a investigar y a escribir acerca del uso de animales a modo de intervención terapéutica, y en los años 60 publicó su libro *Pet-oriented child psychotherapy*, traducido al español como *Psicoterapia infantil asistida por animales*. En esta obra formalizó este tipo de intervenciones y abordó cuestiones ligadas a los beneficios del vínculo humano-animal y el rol que ocupan los animales para las personas (Levinson, 1969). El autor señaló que el animal de compañía facilita el desarrollo de confianza en el entorno terapéutico tanto en niños como en adultos, sea que estén institucionalizados o no (Levinson, 1972).

Desde entonces esta disciplina ha continuado desarrollándose. En la actualidad la incorporación de animales en el campo de la salud es denominada *Intervenciones Asistidas por Animales* (IAA) y estas incluyen: Actividades Asistidas por Animales (AAA) y Terapia Asistida por Animales (TAA; Fine, 2010). Diversos autores (e.g., Kruger & Serpell, 2010) concuerdan acerca de la utilización de las definiciones brindadas por *Pet Partners* (sf). Las AAA son aquellas acciones básicamente casuales, conocidas como *conocer* y *saludar*, y que tienen por objetivo visitar a personas en ámbitos como hospitales, residencias geriátricas, escuelas y hospicios. La misma actividad se puede repetir con gran cantidad de personas.

La TAA se define como una intervención que tiene una meta, propiciada por un profesional especializado en salud humana, que se desarrolla en el ámbito de la práctica de su profesión, y cuyo diseño se orienta a promover una mejora en el funcionamiento físico, social, emocional y/o cognitivo. Es decir, la TAA no solo implica el uso de un animal o animales, sino que además posee metas y objetivos específicos para cada progreso individual, el cual es estrictamente consignado y medido (Cirulli,

Borgi, Berry, Francia, & Alleva, 2011; Urichuk & Anderson, 2003). En la Tabla 1 se exponen las diferencias entre AAA y TAA.

Tabla 1. Características diferenciales entre AAA y TAA.

Características	AAA	TAA
Cualidad de la intervención	Casual 'conocer y saludar' actividades que involucran animales que visitan a personas.	Parte significativa del tratamiento para mucha gente que está incapacitada: físicamente, socialmente, emocionalmente o cognitivamente.
Objetivos-Metas	No hay objetivos específicos de tratamiento.	Objetivos establecidos para cada sesión.
Tipo de Actividad	Una misma actividad se puede utilizar con muchas personas.	Tratamiento individual para cada paciente.
Tomado de Notas	Notas detalladas son innecesarias.	Notas sobre el progreso de cada paciente son tomadas en cada sesión.
Tipo de visita	De contenido espontáneo.	Programada, usualmente a intervalos fijos.
Duración de visita	Puede ser tan larga o corta como se desee.	Está predeterminada a las mejores necesidades de ajuste del paciente.

Nota: Aunque las AAA pueden tener solo una de estas seis características, la TAA debe tener las seis. Adaptado de Pet Partners (sf).

El desarrollo de la investigación respecto de las interacciones humano-animal produjo un veloz crecimiento respecto de los beneficios procedentes de la tenencia de animales de compañía (McCune et al., 2014). Este fue uno de los temas centrales que ha recibido mayor interés y mayor número de publicaciones dentro del área en los últimos años (Hosey & Melfi, 2014; ver Díaz Videla, Olarte, & Camacho, 2015a). La influencia positiva de las mascotas en la salud y bienestar de las personas ha sido relacionada con efectos fisiológicos, psicológicos, psicosociales y terapéuticos (Gómez, Atehortua, & Orozco, 2009). Recientemente Díaz Videla, Olarte y Camacho (2015b) realizaron una revisión de la literatura acerca de los beneficios de las interacciones con animales de compañía a partir del enfoque multimodal. Los autores destacaron el potencial beneficioso de las interacciones con animales de compañía en todos los modales de la personalidad humana.

La perspectiva multimodal ha sido creada por Arnold Lazarus en 1973. Si bien el autor designó su enfoque originalmente como *terapia multimodal*, más que una terapia en sí misma, este enfoque consiste en una completa descripción del estado actual e integral de una persona (Kertész, 2005). Por consiguiente, este se constituye en un sistema clasificatorio que aborda todos los aspectos de la personalidad del individuo (Kerman, 2002). Para Lazarus los seres humanos somos fundamentalmente "entidades bioquímicas y neurofisiológicas". "Nuestras personalidades son los productos de nuestras funciones biológicas, procesos afectivos, sensaciones, imágenes,

cogniciones, conductas y relaciones sociales” (1983, pp.13). Este enfoque diferencia siete modales, variables o aspectos de la personalidad, a saber: Biológico, Afectivo, Sensaciones, Imágenes, Cognitivo, Conductas y Social (Kerman, 2002; Kertész, 2005). Por tanto, queda configurado el acrónimo BASICCOS (Lazarus, 1983) que constituye el eje de indagación del perfil multimodal.

Dada la utilidad diagnóstica de este modelo y como guía para organizar las intervenciones terapéuticas, este trabajo se orientó a la implementación del enfoque de Lazarus (1973) como base para la estructuración de intervenciones asistidas con perros en el tratamiento psicoterapéutico de adultos mayores.

El aumento de la expectativa de vida en la actualidad ha impactado en el campo de la salud generando numerosos desafíos para afrontar las diversas problemáticas derivadas del envejecimiento de la población mundial. Desde esta perspectiva, la Organización Mundial de la Salud (1999) ha sugerido poner el foco en la población de adultos mayores e incorporar un nuevo paradigma denominado *vejez activa* (OPS/OMS, 1982). Esto implica el mantenimiento de la funcionalidad y es por tanto que la OMS insta a los investigadores no solo a buscar prolongar la vida de las personas, sino también a mejorar y mantener la calidad de vida del adulto mayor. Por consiguiente, este trabajo se centra en el estudio de la incorporación de las IAA en los dispositivos terapéuticos con ancianos.

## **Objetivos**

Realizar una revisión de las publicaciones científicas de carácter empírico centradas en las IAA, fundamentalmente en adultos mayores, en función de su impacto en los distintos modales o aspectos de la personalidad, conforme al enfoque multimodal de Lazarus. A partir de esto, organizar y proponer técnicas de intervención asistidas con perros, dirigidas específicamente a cada uno de los modales, en el tratamiento psicoterapéutico de adultos mayores.

## **Materiales y método aplicado**

El presente estudio incluyó 28 referencias correspondientes a distintos artículos de revista científicas, todos ellos de carácter empírico. Estos artículos se obtuvieron como resultado de una búsqueda generalizada en las bases de datos Redalyc, Dialnet, Proquest y MYNCIT, en el período correspondiente a junio 2013 – octubre 2015.

En referencia a los criterios de búsqueda, se emplearon los siguientes términos: “Animal Assisted Interventions” + “dog” + “elderly population”, “Animal Assisted Therapy” + “dog” + “elderly population”, “Animal Assisted Activities” + “dog” + “elderly population”, “pet therapy”

+ “elderly” + “ancient”. Tales términos fueron localizados en el campo de palabras clave (*keywords-id*), tanto en inglés como en español, y aquellas referencias obtenidas fueron descargadas y almacenadas.

## Resultados

La revisión de las investigaciones empíricas que abordan las IAA con adultos mayores aportó el siguiente perfil multimodal genérico, cubriendo todos los aspectos de la personalidad de un individuo. El mismo se refleja en la Tabla 2.

Tabla 2 Perfil Multimodal de las IAA con perros en abordajes con adultos mayores

Modales	Resultados	Investigaciones
<b>Biológico</b>	Reducción de presión arterial, triglicéridos, colesterol y reducción de riesgo cardiovascular.  Reducción del estrés por aumento de oxitocina.	Anderson et al., 1992; Katcher & Beck, 1987.  Handlin et al., 2011; Nagasawa et al., 2009; Odendaal, 2000; Odendaal & Meintjes, 2003; Rehn et al., 2014.
<b>Afectivo</b>	Disminución de síntomas de depresión y sentimientos de soledad y ansiedad.  En pacientes con demencia disminución de apatía, ansiedad y tristeza.	Banks & Banks, 2002; Barker & Dawson, 1998; Colombo et al., 2006; Le Roux & Kemp, 2009.  Motomura et al., 2004; Mossello et al., 2011.
<b>Sensaciones</b>	Incremento en el bienestar físico.  En pacientes con enfermedad de Alzheimer aumento del contacto táctil y disminución de la excitación psicomotriz.	Mosello et al., 2011; Zarebski et al., 2000.  Churchill et al., 1999; Fritz et al., 1995.
<b>Imágenes</b>	Las interacciones con perros disparan imágenes mnémicas asociadas con alivio y placer.	Banks & Banks, 2002; Zarebski et al., 2000.
<b>Cogniciones</b>	Mejoras en la percepción de la calidad de vida.  Perro como un otro que lo reconoce y como recurso de afrontamiento.	Berry et al., 2012; Colombo et al., 2006; Zarebski et al., 2000.  Bank & Banks, 2002; Zarebski et al., 2000.
<b>Conductas</b>	Reducción de comportamientos de agitación y significativo incremento de comportamientos de socialización.  Mayor organización y mejora en la valoración de comportamientos rutinarios.	Churchill et al., 1999; McCabe et al., 2002; Sellers, 2006.  Zarebski et al., 2000.



	Disminución de inactividad. Incremento de la comunicación no verbal.	Berry et al., 2012. Berry et al., 2012; Churchill et al, 1999; McCabe et al., 2002; Katcher & Beck, 1987; Kongable, et al., 1989; Sellers, 2006.
<b>Social</b>	Aumento de comportamientos e interacciones sociales. El perro como otro en la red social.	Fick, 1993; Motomura et al., 2004; Kongable et al., 1989. Banks & Banks, 2002, 2005; Zarebski et al., 2000.

### **Biológico**

Este modal se refiere a las cuestiones de índole orgánica, comprendiendo el estado de salud del individuo, enfermedades preexistentes, consumo de medicamentos y cumplimiento de dietas (Kertész, 2005). Resulta de gran importancia en los adultos mayores, quienes en general sufren numerosos cambios anatómo-fisiológicos corolario de la etapa vital en que se encuentran (Salvarezza, 1999). Este modal, que funciona como una base, ha sido posiblemente el más estudiado respecto a interacciones humano-animal, sea respecto a indicadores de salud, modificaciones fisiológicas o neurofisiológicas (Díaz Videla et al., 2015b).

Numerosas investigaciones han dado cuenta del impacto de las IAA en los ancianos respecto de este modal. Algunos estudios mostraron una reducción de la presión arterial en las personas luego de acariciar al perro (Katcher & Beck, 1987) como así también una reducción de triglicéridos y colesterol, provocando una disminución de los factores de riesgo de enfermedad cardiovascular (Anderson, Reid, & Jennings, 1992).

Odendaal (2000) sostuvo que se debe centrar la atención en aquellos parámetros que han aportado determinados biomarcadores, que podrían constituirse en parámetros fisiológicos que guíen las futuras investigaciones en IAA. Así, algunos estudios centraron su interés en neuropéptidos como el cortisol, hormona liberada durante el estrés, y la oxitocina, asociada al alivio del estrés (Heinrichs & Domes, 2008; Miller et al., 2009).

Las interacciones con perros han sido asociadas a incrementos en concentraciones de endorfinas, oxitocina, prolactina, feniletilamina y dopamina —en ambas especies— y disminución en niveles de cortisol, destacando la importancia de las interacciones que implicaban la caricia y las miradas recíprocas (Handlin, Nilsson, Ejdeback, Hydbring-Sandberg & Uvnäs-Moberg, 2011; Nagasawa, Kikusui, Onaka & Ohta, 2009; Odendaal & Meintjes, 2003; Rehn, Handlin, Uvnäs-Moberg, & Keeling, 2014).

Entre las IAA más simples que pueden utilizarse para impactar en este modal se encuentran el acariciar o peinar al perro; este tipo de tareas sencillas provocan una disminución de la presión arterial (Katcher & Beck, 1987) y además inducen la liberación de oxitocina, hormona asociada a la reducción de los signos de estrés (Heinrichs & Domes, 2008; Miller et al., 2009).

### **Afectivo**

Este modal alude a las emociones, es decir, al “significado subjetivo y sentido que se le otorga a la experiencia” (Kerman, 2002, p.50). Las interacciones humano-perro han mostrado su efecto sobre la proximidad emocional y sentimientos de apego en interacciones habituales con animales de compañía, así como también en IAA (Díaz Videla et al., 2015b). Respecto de estas últimas, algunas investigaciones mostraron una clara disminución de síntomas asociados con depresión y sentimientos de soledad, con incrementos en el bienestar psicológico (Banks & Banks, 2002; Colombo, Dello Buono, Smania, Raviola, & De Leo, 2006) y reducción en los niveles de ansiedad (Le Roux & Kemp, 2009). En pacientes psiquiátricos hospitalizados, un estudio mostró que estos tenían menores niveles de ansiedad luego de una sesión de terapia asistida con perros, mientras que una sesión recreativa con perros solo evidenció el mismo efecto para los pacientes con trastornos del estado de ánimo (Barker & Dawson, 1998). En cuanto a pacientes que sufrían demencias, se observó una disminución en los niveles de apatía (Motomura, Yagi, & Ohyama, 2004) además de disminución de la ansiedad y la tristeza, con aumento en las emociones positivas (Mossello et al., 2011).

Un concepto destacado en los desarrollos sobre interacciones entre humanos y animales es el de *apego*, el cual se basa en la idea de que los seres humanos, como muchos otros animales, se encuentran predispuestos biológicamente para buscar y mantener contacto físico y conexión emocional con determinadas figuras familiares a quienes se les confía protección física y psicológica (Bowlby, 1969/1998; Panksepp, 1998). Para un adulto una figura de apego puede ser un esposo, algún miembro de la familia, un amigo íntimo o bien una mascota (Sable, 2013). En los estudios ligados a las interacciones humano-perro se encontró evidencia de que tanto el ser humano como el perro pueden funcionar como figuras de apego para el otro, evidenciando respuestas comportamentales y endócrinas semejantes a las halladas en la interacción madre-hijo (Beetz et al., 2012; Nagasawa et al., 2015; Palmer & Custance, 2008; Prato-Previde, Custance, Spiezio, & Sabatini, 2003; Topál, Miklósi, Csányi, & Dóka, 1998).

Actividades simples ligadas a brindar cuidados al perro, como por ejemplo darle de comer, pueden utilizarse para influir en este modal. Pelar y

cortar trozos de manzana o banana y brindárselos al perro pueden resultar experiencias intensas. Dicha tarea estimulará en el anciano sentimientos ligados a ofrecer cuidados hacia otro ser vivo, con semejanzas a las interacciones madre-hijo (Beetz et al., 2012; Nagasawa et al., 2015), y consecuentemente producirá una disminución de los síntomas ligados al aislamiento y soledad (Zarebski et al., 2000).

### **Sensaciones**

Este modal encierra aquellas percepciones relacionadas con los cambios en el funcionamiento del organismo, como por ejemplo, hambre o dolor (Kertész, 2005). Es decir, implica la captación de aquellos estímulos sensoriales agradables como una caricia o desagradables como la fatiga, contracturas o acidez (Kerman, 2002).

Las IAA proporcionan a través del perro una fuente de estimulación multisensorial: se toma contacto con un ser vivo que se mueve, con un pelaje que difiere en las distintas zonas de su cuerpo, que posee una temperatura corporal (38.5°-38.8°C), y con diferentes aromas en las diversas partes de su cuerpo (Fine, 2010). Tal estado de cosas se evidencia en la interacción del perro con los ancianos, ya que el animal se constituye en un estímulo novedoso generando mayores niveles atencionales (Cusack & Smith, 2009). Como consecuencia del incremento en los niveles atencionales, un aumento en la interacción con un ser vivo genera un incremento en el bienestar físico general de los ancianos institucionalizados (Zarebski et al., 2000; Mosello et al., 2011).

En los pacientes que padecen Alzheimer el contacto táctil con el perro provoca un aumento de los niveles atencionales (Churchill, Safaoui, McCabe, & Baun, 1999), como así también una disminución de la excitación psicomotriz principalmente durante el *sundown* (Fritz, Farver, Kass, & Hart, 1995), fenómeno en que los pacientes presentan una serie de alteraciones del comportamiento negativas hacia el anochecer (Price, 2001).

Simple actividades como abrazar a un perro o que este se acueste sobre la falda del paciente pueden disparar diversos tipos de sensaciones vinculadas con el carácter multisensorial que implica el contacto con el perro (Fine, 2010), favoreciendo además un incremento en los niveles atencionales.

### **Imágenes**

Estas se refieren a las representaciones mentales de base sensorial y correspondientes a todos los sentidos (i.e. auditivo, táctil, visual, olfativo, kinestésico, cenestésico y gustativo). Al ser de carácter analógico provocan emociones y sensaciones de mayor intensidad que las palabras, las cuales son abstracciones (Kertész, 2005). Algunos estudios han mostrado la efectividad

de la evocación mental del perro para hacer frente a estresores, así como también su influencia respecto a la autoimagen (Díaz Videla et al., 2015b).

El abordaje con las IAA induce particularmente un determinado tipo de imágenes, las imágenes mnémicas, las cuales son reconstrucciones de percepciones pasadas (Kerman, 2002). Mirar o acariciar al can despierta una serie de imágenes recordadas; es decir que el perro se convierte en un importante disparador de imágenes sensoriales relacionadas con las mascotas que los ancianos tuvieron alguna vez en su vida (Zarebski et al., 2000; Banks & Banks, 2002) y de este modo inducen una serie de emociones positivas asociadas a esos recuerdos mayormente placenteros.

Con el propósito de despertar imágenes mnémicas que posean una fuerte carga emocional, para ello se puede apelar, por ejemplo, a la estimulación del sistema olfativo. Una actividad que puede realizarse consiste en poner un perfume al perro e invitar al paciente a oler la zona del cuerpo en el cual se aplicó dicha fragancia, preguntándole qué le recuerda ese aroma.

### **Cognitivo**

Este modal involucra creencias, ideas, diálogos internos y valores; estos predominan en el hemisferio cerebral izquierdo (Kertész, 2005). Lazarus sostuvo: “la gente no responde a un ambiente real, sino más bien a su ambiente percibido” (1983, pp.34). Desde esta perspectiva, la interacción con un perro de terapia impacta profundamente en la percepción de la calidad de vida. Los resultados de diversos estudios han reflejado una amplia mejoría en este aspecto, teniendo un efecto beneficioso sobre su bienestar psicológico, particularmente en ancianos institucionalizados (Zarebski et al., 2000; Colombo et al, 2006; Berry et al., 2012).

Un fenómeno particularmente intenso en la interacción con perros es el antropomorfismo del animal. Este fenómeno involucra la atribución de estados mentales humanos —pensamientos, sentimientos, motivaciones y creencias— a animales no humanos. Esto permitió emplear a los animales como fuentes alternativas de apoyo social, como así también proveyó los recursos para beneficiarse emocional y físicamente de ellos (Serpell, 2003). Por ejemplo, los dueños se perciben afectivamente reconocidos por su animal de compañía; tal reconocimiento valorativo reafirma su autoestima.

Luego de realizar actividades lúdicas con el perro, como por ejemplo tirar una pelota o hacer que salte un objeto (cuerda, barra o aro), se puede preguntar al paciente cómo piensa que el perro vivenció dicha actividad; lo cual implica adoptar un posicionamiento empático e inevitablemente antropomórfico. En general los pacientes transfieren su vivencia personal a los perros (Zarebski et al., 2000). Si las interacciones

pudieron desarrollarse de manera más o menos adecuada, el anciano referirá la aceptación y el reconocimiento valorativo del animal hacia él.

## Conductas

Este aspecto de la personalidad comprende todo aquello que *se dice* (conductas verbales), todo aquello que *se hace* (conductas no verbales), así como también la *forma* (proceso) en que se lleva a cabo esa determinada conducta (Kertész, 2005). Los estudios respecto de interacciones humano-animal han destacado que los perros colaboran activamente en la organización de las rutinas, promueven oportunidades para desplegar comportamientos de cuidados y hacen que la gente esté más activa (Díaz Videla, et al., 2015b).

Algunas investigaciones realizadas con participantes gerontes institucionalizados reflejaron una importante reducción de los comportamientos de agitación y un significativo incremento en los comportamientos de socialización entre pacientes (Churchill et al., 1999; McCabe, Baun, Speich, & Agrawal, 2002; Sellers, 2006). Además, en el estudio desarrollado por Zarebski (et al. 2000), la interacción con los perros provocó una serie de cambios en el repertorio conductual de los ancianos, los cuales estaban vinculados con un incremento en la valoración de comportamientos rutinarios y una mejoría en la organización de los mismos. Berry destacó además una notable mejora de los estados de inactividad que presentaban este tipo de pacientes (Berry et al., 2012).

La interacción entre la gente y sus perros se basa en actos comunicativos (Sanders, 1999). Por un lado, toda conducta implica una comunicación, en tanto “actividad o inactividad, palabras o silencio, tienen siempre el valor de mensaje: influyen sobre los demás, quienes, a su vez, no pueden dejar de responder a tales comunicaciones y, por ende, también comunican” (Watzlawick, Beavin, & Jackson, 1985, pp.50). Pero además, los perros han sido destacados como expertos en la lectura de los comportamientos sociales y comunicativos de los humanos —aun más que especies más emparentadas genéticamente, como los primates (Hare & Tomasello, 2005). Se presume que un *feedback* positivo (filogenético y ontogenético) condujo a la especie canina a estos modos comunicativos complejos, viabilizando la comunicación interespecífica (Faraco & Seminotti, 2010). Por consiguiente, la capacidad del can de observación de las expresiones faciales, gestos y la mirada del ser humano, se constituye en un comportamiento que tiene la función de iniciar y mantener la interacción comunicativa y es congruente con los sistemas humanos de comunicación (Bentosela & Mustaca, 2007). Esta es una de las variables que sostiene el abordaje de las IAA con perros, en tanto el intercambio de miradas paciente-perro genera un tipo particular de comunicación (Churchill et al., 1999;

McCabe et al., 2002; Sellers, 2006; Berry et al., 2012). Algunos autores han llegado a sugerir que los perros se comunican mejor con las personas con demencia que otros humanos (Kongable, Buckwalter, & Stolley, 1989; Katcher & Beck, 1987; Sellers, 2006).

Algunos ejercicios que impactan en este modal son la realización de caminatas con el perro, las cuales generan una disminución de la inactividad (Berry et al., 2012). Asimismo se puede solicitar al anciano que le cuente una historia al perro, conforme a que el perro tiende a buscar la mirada de la persona que le habla, de este modo se favorecen las conductas comunicativas (Bentosela & Mustaca, 2007).

## **Social**

En este modal se debe considerar toda relación interpersonal, actual o previa con los demás (Kertész, 2005). Los perros no solo se configuran como otros en las redes sociales de las personas con quienes se vinculan, sino que a su vez desempeñan una función de facilitación de las interacciones sociales (Díaz Videla, et al., 2015b).

Las IAA recurren frecuentemente a los perros como recurso interaccional, a partir de su función como *lubricante social*, en la cual el animal funciona a modo de facilitador o mediador en la interacción con otros (Fine, 2010, Kongable, et al. 1989). Mostraron un significativo aumento en los comportamientos sociales, como saludar a otras personas, hablar con otras personas o asistir a actividades en un hogar de ancianos. De manera similar, Fick (1993) desarrolló un estudio observacional con hombres residentes de un geriátrico donde evidenció que la sola presencia de un perro se relacionaba con incrementos en la socialización (Fick, 1993). El mismo efecto fue registrado en personas que tenían enfermedad de Alzheimer (Motomura et al., 2004).

Un estudio mostró que los residentes de una institución geriátrica que habían recibido sesiones de terapia con perros evidenciaron una disminución significativa de sentimientos de soledad (Banks & Banks, 2002). Posteriormente, los mismos autores realizaron un estudio similar donde compararon el efecto de estas intervenciones en sesiones semanales de 30 minutos, a nivel grupal e individual, encontrando mayor disminución en sentimientos de soledad en los participantes que habían recibido sesiones individuales; los autores concluyeron destacando que las visitas de los animales podían disminuir los sentimientos de soledad *per se*, en lugar de a través de la facilitación de las interacciones con otros miembros del grupo (Banks & Banks, 2005).

Las interacciones con seres neutrales como los perros, compartidas simultánea o secuencialmente con otros pacientes, favorecen la socialización entre ellos. Una actividad grupal que puede realizarse para

impactar en este modal consiste en que el guía canino presente al perro diciendo el nombre del animal y algún alimento que le guste al can; el animal le dará su pata a un paciente y este último dirá su nombre e indicará qué le gusta comer. Este paciente deberá dirigirse hacia algún compañero pasándole la posta; y de este modo se repetirá la tarea con todos los miembros del grupo. Esta actividad sencilla intenta generar un aumento de los comportamientos e interacciones sociales entre los integrantes de un grupo (Fick, 1993; Motomura et al., 2004; Kongable et al., 1989).

## **Conclusión**

En la elaboración de este trabajo se buscó integrar dos modelos de abordaje: el enfoque multimodal de Lazarus y la novel disciplina de las IAA. La articulación de los diversos modales que constituyen los aspectos de la personalidad con los hallazgos obtenidos por las diversas investigaciones científicas que abordan las IAA ha configurado un modelo que permite organizar intervenciones terapéuticas asistidas por perros.

El perfil multimodal aplicado a las IAA puede proporcionar un plan *a medida* respecto de la individualidad de cada persona (Kertész, 2005). A su vez, es posible incorporar animales de compañía en residencias como intervención terapéutica institucional general, y coordinar las distintas interacciones con el animal en función de las características de cada residente o grupo de residentes. En pacientes no institucionalizados, el perfil multimodal también permite el diseño de dispositivos o estrategias que incorporen IAA en tratamientos psicoterapéuticos.

A su vez, este enfoque puede ayudar a estructurar los programas o AAA, favoreciendo su protocolización para someter su eficacia a experimentación. Esto dará lugar a la adquisición de conocimientos científicamente validados —algo de lo que carecen muchas de las IAA— y, por consiguiente, cumplimentar los criterios de tratamientos basados en evidencia (APA, 2005).

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# La Educación Universitaria Para La Sostenibilidad Arquitectónica. Caso Ecuador

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## Abstract

Among the main features of the architect profile features a wide profile with values, knowledge and skills, which define in terms of social, economic and cultural context of the user, the project is sustainable, to materialize with minimum energy consumption. Since the basics of architecture are studied, sustainability and architecture constrict their relationship as a result of the stage of defining how the project will selecting the materials used in construction, a decision that determines the intervention architect in the environment, specifying the alternative that has the architect to meet customer needs-user and that will be the presence or absence of sustainability in architecture.

Official initiatives to incorporate environmental education in higher education, argue that training is required in professions for the protection, rehabilitation and environmental management.

In this area, beginning from a documentary perspective of official initiatives, is presented in an analytical way, the presence of sustainability in formal education in architecture later cases of academic studies of environmental content, conducted at the Faculty are analyzed Architecture and Urbanism of the University of Cuenca, with reference to the content of the syllabi of the construction area at the end of the conclusions guidelines for the enrichment of university education in order to train architects for sustainability are proposed.

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**Keywords:** Sustainable Architecture and Construction, Higher Education

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## Abstract

Entre las características principales del perfil del arquitecto destaca un perfil amplio, con valores, conocimientos y habilidades, que definen en función del marco social, económico y cultural del usuario, el proyecto que es sostenible, al materializarse con un mínimo consumo energético. Desde

que se estudian los conceptos básicos de la arquitectura, la sostenibilidad y la arquitectura estrechan su relación como resultado de que en la etapa de la definición de la forma del proyecto se van eligiendo los materiales a utilizar en la construcción, decisión que determina la intervención del arquitecto en el medio ambiente, especificando la alternativa que tiene el arquitecto para satisfacer las necesidades del cliente-usuario y que será la presencia o ausencia de la sostenibilidad en la arquitectura. Las iniciativas oficiales de incorporar la educación medioambiental en la enseñanza superior, defienden que se requiere la capacitación en las profesiones para la protección, rehabilitación y ordenación del medio ambiente. En este ámbito se presenta, desde una forma analítica, la presencia de la sostenibilidad en la educación formal de la arquitectura, en principio desde una óptica documental de las iniciativas oficiales, posteriormente se analizan casos de estudios académicos de contenido medioambiental, realizados en la Facultad de Arquitectura y Urbanismo de la Universidad de Cuenca, con la referencia del contenido de los sílabos del área de construcción, al final en las conclusiones se proponen lineamientos para el enriquecimiento de la educación universitaria con el propósito de formar arquitectos para la sostenibilidad.

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**Keywords:** Arquitectura y Construcción Sostenible, Educación Universitaria

## **Introducción**

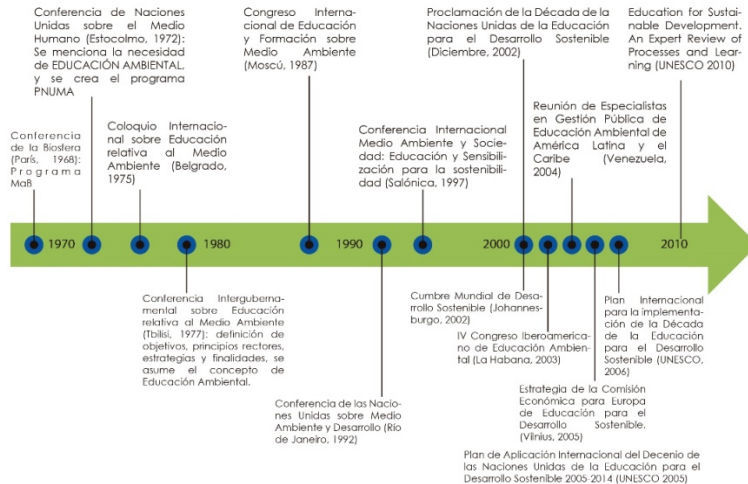
### **Antecedentes de la educación para un desarrollo sostenible.**

La sostenibilidad en la educación formal ha forjado su presencia con principios oficiales tal que aun cuando las intenciones de relacionar la enseñanza con el medio ambiente ha estado presente desde la *Conferencia de la Biosfera en 1968*, es en la década de 1970 en la que se inicia una marcada trayectoria, cuando en 1972 se presenta la necesidad de definir una Educación ambiental por encargo de la *Cumbre de Estocolmo, el Programa Internacional de Educación Ambiental*, y la bajo la supervisión del *Programa de las Naciones Unidas sobre el Medio Humano (PNUMA)* y la *UNESCO*.

Desde el *Congreso Internacional de Educación y Formación sobre Medio Ambiente (Moscú, 1987)* a 1992 en la Conferencia de Río de Janeiro a través de la *Agenda 21*, se formulan los lineamientos para la incorporación de los aspectos ambientales en los currículos de las carreras universitarias tradicionales: arquitectura y urbanismo, derecho, economía, educación ingeniería y medicina, así como ciencias biológicas, humanas y naturales.

En la figura 1 se observa la evolución histórica de la Educación Ambiental a través de diferentes congresos celebrados sobre medio ambiente en los que la educación ha sido un tema relevante.

La iniciativa de incorporar la educación medioambiental en la enseñanza también ha defendido la capacitación en las profesiones que se requieren para la protección, rehabilitación y ordenación del medio ambiente. Lo cual ha traído consigo la definición de programas de formación de personal docente universitario en el ámbito del medio ambiente.



**Figura 1.** Evolución Histórica de la Educación Ambiental

Fuente: Tomando la referencia de Cruz S. en Principios Básicos de Educación Ambiental.

### Educación Formal para el Desarrollo Sostenible.

En el periodo de 1987 a 1992, a la par de la estructuración de la Agenda 21 que definió el concepto de desarrollo sostenible, en el mismo se defendió que la educación es la clave para la sostenibilidad. Surgiendo ahí las primeras ideas sobre la Educación para el Desarrollo Sostenible (EDS) plasmadas en el Capítulo 36 de la Agenda 21, “*Promoviendo la Educación, Conciencia Pública y Capacitación*”, en la cual se identifican cuatro acciones para la EDS:

1. Mejorar la educación básica.
2. Reorientar la educación existente para abordar el desarrollo sostenible.
3. Desarrollar el entendimiento y conciencia pública.
4. Ofrecer capacitación.

De igual manera se incorporaron temas fundamentales del desarrollo sostenible a la enseñanza y el aprendizaje, a destacar:

1. El cambio climático,
2. La reducción del riesgo de desastres,
3. La biodiversidad,
4. El consumo sostenible.
5. Métodos participativos de enseñanza y aprendizaje que motiven a los alumnos y los doten de autonomía, en pro del desarrollo sostenible, con:

- Pensamiento crítico,
- Elaboración de hipótesis de cara al futuro,
- Adopción colectiva de decisiones.

Con la definición de la Educación para el Desarrollo Sostenible, se marcaron objetivos claros para la educación impartida relacionada con el cambio climático, entre ellos fomentar los métodos pedagógicos innovadores y la sensibilización acerca del cambio climático, así como la mejora de programas de educación no formal mediante el uso de la prensa, las redes y las alianzas profesionales, que se definieron en base al Decenio de la Educación de las Naciones Unidas para el Desarrollo Sostenible, de 2005 al 2014, en la cual se profundizaba en cinco razones básicas (Figura 2).

Es en la Conferencia Río+20 (2012) cuando se dan las condicionantes para que el objetivo después del 2015 sea, “*garantizar una educación de calidad integradora y equitativa y promover las oportunidades de aprendizaje para todos, a lo largo de toda la vida*”, de tal manera que la educación que se imparta después de 2015 prepare para el desarrollo sostenible a educadores y alumnos por igual, con miras a incrementar el desarrollo sostenible.



**Figura 2.** Razones de la educación para el desarrollo sostenible.

Fuente: Referencia en UNESCO, *Building a better, Fairer world for the 21st century* (2012).



## **Educación Superior para el Desarrollo Sostenible**

Con esta visión se perfila que la educación y la sostenibilidad están relacionadas de tal manera que la educación es central para la sostenibilidad, de ahí que en la educación superior sea necesaria la persistencia de la sostenibilidad, para crear empleos "verdes", logrando menor impacto ambiental. Lo cual conlleva implantar programas locales relevantes, en consideración a las condiciones ambientales, económicas y sociales de la localidad en la que se suscriba la actividad del estudiante universitario.

Estos datos invitan a reflexionar sobre la realidad que la educación, en todos los niveles, requiere una visión ambiental, en el caso de la educación para la sostenibilidad en la arquitectura se hace evidente cuando a nivel mundial las construcciones consumen el 41% de los 60% de las materias primas extraídas (Mercader, Ramírez, De Arellano & Olivares, 2012).

De ahí que la Educación y Formación Técnica y Profesional "verde" (EFTP) sea necesaria para preparar a estudiantes de diferentes áreas, siendo de gran importancia en las que influyen en la gestión de residuos, la construcción y la industria, actividades que consumen enormes cantidades de energía, materias primas y agua, por lo cual la EFTP se potencia al considerar que:

- a) Enverdecer la EFTP es enseñar a cuidar el medio ambiente en sus procesos de trabajo.
- b) Enverdecer la EFTP permite la transición desde patrones de producción, servicios y consumo energético hacia una producción verde.
- c) La EFTP "verde" surge con perfil interdisciplinario, básico para el desarrollo sostenible, apoyando la idea de una "economía y sociedad ecológica".

Si bien todos los empleos pueden convertirse en empleos verdes, al tiempo que surgen nuevos perfiles para las necesidades de la economía verde, también es de reconocer que en una edificación cuando se definen sus instalaciones y la incorporación de energías renovables, se está evitando en cierto grado un mayor impacto ambiental. De igual manera esta acción está definiendo el Impacto de la Sostenibilidad en la Arquitectura, el cual radica en la importancia que tiene la educación para la arquitectura sostenible y en el papel que tienen los arquitectos entre las profesiones que más influyen en las modificaciones o alteraciones del medio ambiente, tanto el medio ambiente natural como el medio ambiente construido, a partir de su actividad.

Además de que la arquitectura como disciplina profesional, está caracterizada por dar soluciones formales, tecnológicas y funcionales, es en función de las dimensiones culturales y sociales en respuesta a demandas de

espacios físicos del usuario en un entorno natural/construido y social. De ahí que la mejora del medio ambiente ha formado en los arquitectos un compromiso y una actitud en la elección de los materiales y las técnicas constructivas, no obstante la intención de relacionar la mejora del medio ambiente y la actuación del arquitecto va desde una postura visual/formal a la construcción sostenible, siendo que la actuación de la arquitectura se presenta desde dos conceptos fundamentales y complementarios:

- La sostenibilidad, requiere la comprensión de que la inacción tiene consecuencias en la influencia en las conductas individuales.
- Ante el peligro que implica la posición superficial del concepto de la sostenibilidad y la evolución de su difusión desde los paradigmas-modas para justificar actuaciones insostenibles, es imprescindible acciones coordinadas para la tarea de educar, a partir de un área de conocimiento definida como lo es la arquitectura (CASTILLO Y DEL CASTILLO 2009).

### **Presencia de criterios sostenibles en la arquitectura académica.**

El arquitecto formado con un perfil de sostenibilidad tiene amplias connotaciones por su implicación de acción directa en las dimensiones: social, económica, ambiental e institucional, (CHACON y PAMPINELLA 2011) en este orden de ideas se definen tres planteamientos básicos:

1. El arquitecto define espacios habitables que se incorporan en el medio natural y que condicionan la relación con éste, creando la correspondencia social, la actividad productiva y/o recreativa.
2. En la construcción se establece la calidad y el uso que se da a los recursos naturales y artificiales, determinando las tecnologías de que se dispone.
3. La educación para una arquitectura sostenible implica una definición del perfil del arquitecto en comunicación con el medio y con los usuarios.

En este contexto, cabe recapacitar de la presencia en los estudios académicos de los criterios que los futuros arquitectos relacionan con la sostenibilidad, que es la cualidad que los distingue de los egresados de una enseñanza tradicional de la arquitectura.

### **Casos de estudio**

Con el objetivo de identificar los trabajos académicos realizados con presencia de criterios sostenibles en Ecuador, se ha realizado una búsqueda en la base de datos de los trabajos de fin de carrera de los estudiantes de la Facultad de Arquitectura y Urbanismo de la Universidad de Cuenca, se consultaron los registros del año 1968 hasta el año 2013, para saber el

número de tesis presentadas con temas estrechamente relacionados con la sostenibilidad y la arquitectura.

En el registro se identificaron 154 tesis de pregrado y 72 de maestrías sustentadas, de las cuales 72 tesis de pregrado están relacionadas con temas de sostenibilidad, según se grafica en la imagen (Figura 3) la evolución que ha tenido la presencia de los temas de sostenibilidad en la arquitectura en las tesis, en 1968: 1 tema estrechamente relacionado con la sostenibilidad y la arquitectura con un *in crescendo* al paso de los años, hasta el 2013 con 13 tesis (Figura 3).



**Figura 3.** Número de tesis realizadas en la Facultad de Arquitectura y Urbanismo, con temas de sostenibilidad en la arquitectura, realizadas entre 1968 y 2014.

*Elaboración en el Programa ECOINVOLUCRATE EN 5Rs.*

La información permite formarse una idea del estado actual de la educación para la sostenibilidad en la arquitectura y el urbanismo que se imparte en esta universidad y en la cual la enseñanza de la arquitectura se ha mantenido respetuosa de definir e interferir con la idea de una arquitectura sostenible, virtud que viene implícita desde los principios básicos del estudio.

Desde esta perspectiva si se enseña a través de parcialidades técnicas, ecológicas, ambientales, económicas, políticas o sociales, se corre el riesgo de dejar de lado un enfoque integrador, multidisciplinar u holista de la sostenibilidad; que evidentemente la práctica de la arquitectura es imagen y producto de ello.

### Resultados y discusión

El enfoque integrador de la sostenibilidad a la arquitectura académica que busca que se establezca una interrelación constante entre la arquitectura y el medioambiente, en la esté presente una arquitectura sostenible desde los principios académicos donde:

A. La educación para la arquitectura sostenible forma arquitectos con una estrecha relación con el medioambiente, capaces de desafiar el impacto ambiental que representa la acción de construir, de tal manera que esté presente en los procesos sociales, económicos y ambientales generados al proyectar, edificar, habitar.

B. Todo proceso constructivo, desde la elección de los materiales con los que se construye, suma un consumo energético a la propia elaboración del material (transporte, materias primas), requiere ser cuantificado a partir de un análisis de ciclo de vida, siendo indispensable para la planificación de una arquitectura sostenible.

Ese nexo que entre la arquitectura y la sostenibilidad se establece desde los espacios de enseñanza, requiere que el contenido temático sea definido en siete temáticas generales, desde las cuales la sostenibilidad este presente a través de los contenidos temáticos para que el estudiante de arquitectura forme un criterio definido en el marco de la educación para un desarrollo sostenible.

1. Medioambiente Natural.
2. Medioambiente Construido.
3. Medioambiente Urbano.
4. Ámbito Económico.
5. Aspecto Social.
6. Normativo/legislativo.
7. Sistema constructivo.

## **Conclusion**

En retrospectiva se resume en que la presencia de conocimientos de criterios sostenibles en la formación de los arquitectos, se estima que se defina a partir de:

- Potenciar una aproximación integral a la valoración y distinción que conlleva una enseñanza transversal basada en el concepto de sostenibilidad, aplicado al diseño arquitectónico, a la planificación urbana y a la construcción.
- Definir los conocimientos, las técnicas y las metodologías, en vistas de una arquitectura sostenible con un pensamiento integrador, distinguiendo cualitativamente al profesional de la arquitectura.
- Fortalecer la visión de la arquitectura a fin de responsabilizar, desde lo académico y la investigación, la formación de profesionales que proyecten y construyan para un hábitat sostenible.

Estructurando una alternativa coherente de la enseñanza de la sostenibilidad en la arquitectura, educación que será posible en cuanto los objetivos se definan en línea transversal iniciando desde el principio de la formación del arquitecto.

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# Oneiric Film Sound and Human Brain

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## Abstract

The focus of this paper is to connect an area of film studies (related to film sound) and recent findings in neuroscience. Since 1929 and Alfred Hitchcock's "Blackmail" subjective film sound has been introduced and after that significantly "tweaked" and redefined. However, it is quite interesting to observe that even though the filmmakers "intuitively" arrived at the sort of "formula" for creating the oneiric sound experience, there is actually neuroscientific evidence that supports this "formula".

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**Keywords:** Film sound, meta-deigetic, oneiric, altered states of consciousness (ASC), time distortion

## Meta-diegetic Film Sound

To my knowledge, the first one who proposed the meta-diegetic category for, so-called, internal sounds was Claudia Gorbman<sup>27</sup> in her film sound taxonomy. According to Gorbman, sound source on the narrative level may be diegetic<sup>28</sup>, extra-diegetic<sup>29</sup>, and meta-diegetic. Meta-diegetic sound was explained as sound imagined, or perhaps, hallucinated by a character. Before Gorbman, there have been numerous theories, which agree on the basic principle that film sound may be perceived as either diegetic, or non-diegetic--as defined by its source of origin. Therefore, the sound which is normatively perceived and understood by the film characters may be called diegetic; e.g. all the dialogue, sound effects, and music that originate in diegetic space; and non-diegetic sound which would then be the opposite from diegetic; e.g. voice-over narration, and musical score--both of whose existence film characters are unaware.

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<sup>27</sup> Claudia Gorbman, Teaching the Soundtrack Quarterly Review of Film Studies (November 1976): 446-452.

<sup>28</sup> The total world of the story action is called *diegesis* □□□□□□□□□□ in the ancient Greek.

<sup>29</sup> Later writing about film music, she changed it into non-diegetic. Claudia Gorbman, Unheard Melodies: Narrative Film Music, (Bloomington, IN: Indiana University Press, 1987), 3.

Bordwell and Thompson<sup>30</sup> unnecessarily complicated this matter by looking at the diegetic and non-diegetic sound from its temporal relationship to the image. According to them, film sound can appear earlier, simultaneously, or later than the image. Classifying even further, they recognized displaced diegetic sound, which takes place in the past or the future, and simple diegetic sound, which is taking place in the present. In addition, they propose, each of these categories may be external, i.e. spoken aloud by the character(s) and internal, i.e. imagined in the character's head (thoughts).

Theorizing even further Michel Chion proposed two more new categories for internal sound. He writes:

*Internal sound* is sound which, although situated in the present action, corresponds to physical and mental interior of a character. These include physiological sounds of breathing, moans or heartbeats, all of which could be named *objective-internal* sounds. Also in this category of internal sounds are mental voices, memories, and so on, which I call *subjective-internal* sounds.<sup>31</sup>

All these film theories that attempt to classify film sound into absolute and complicated categories talk about sound which parallels or counterpoints the images, sound that is synchronous or asynchronous in relation to the images, sound that is either realistic or unrealistic, or sound that is literal or nonliteral. In order to accomplish this impossible pursuit and get to the bottom of the meaning of film sound, all these theories needed several sub-categories, which in return required their own sub-sub-categories, and so on ad infinitum. The reason why these film sound theories have difficulties lies in their attempt to get absolutely finite results beyond contingency. Unfortunately, in the end they become more about making classifications than they do about understanding cinema.

### **Oneiric Film Sound**

Even though Gorbman was critical of over-classifying film sound by the others, she likewise proposed just another set of categories. Gorbman was of considerable significance, since she established the term meta-diegetic and opened up the whole new analytical world of subjective and non-normative film sound. Here, I am going to focus on meta-diegetic sound, but before I do that, let me introduce another term--*oneiric*. In ancient Greek *oneiros* □□□□□□□□ means dream and the first one who adopted this term was Vlada Petric using *oneiric cinema* to describe films that deal with

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<sup>30</sup> David Bordwell and Kristin Thompson, *Film Art: An Introduction* 2nd. ed. (New York: Addison and Wesley, 1979), 246-249.

<sup>31</sup> Michel Chion, *Audio-Vision: Sound on Screen* (New York: Columbia University Press, 1994), 76.



various kinds of altered states of consciousness. Petric's interest in oneiric film perception exists mostly on visual level, he states:

On a purely cinematic level, oneiric implies film imagery that stimulates a paradoxical experience: while the event on the screen is perceived on a rational level as absurd and impossible, it is at the same time accepted as "reality," with full psycho-emotional involvement on the part of the viewer in the diegetic world presented on screen.<sup>32</sup>

There is a significant difference in achieving the oneiric at visual and aural planes of experience, but if there is a common element it is represented by a departure from normative perception of reality. Freud writes in his preface to the first edition of *Interpretation of Dreams* that "the dream represents the first class of abnormal psychical phenomena";<sup>33</sup> he depicts it as a *deviation* from the usual condition of mind.

I am going to use meta-diegetic to signify character's subjective perception of the reality, and oneiric to signify character's total or partial departure from reality. Both of these terms are referring to the deviation from normative film sound into a subjective sound of altered states of consciousness. Nonetheless, the notion of meta-diegetic perception could be traced back into the silent days of Italian Futurist cinema. Written in 1916 *Manifesto of Futurist Cinema*<sup>34</sup> among other important points stated that their films would be a sort of *polyexpressive symphonies* and *dramatized states of mind*. Siegfried Kracauer has written about *special modes of reality*<sup>35</sup> that could be cinematically represented. Kracauer pointed out, that "films may expose physical reality as it appears to individuals in extreme states of mind generated by" various kinds of "mental disturbances or any other external or internal causes." The first actual creative use of meta-diegetic film sound as a dramatized state of mind dates back to 1929 and the first British talkie *Blackmail* by Alfred Hitchcock. In the well known *knife sequence* Hitchcock is using sound to penetrate the subjective mental state of Alice (Anny Ondra) whose aural perception of reality suppresses everything but the word *knife*, which rings in her mind and becomes the solely focus of

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<sup>32</sup> Vlada Petric, *Oneiric Cinema: The Isomorphism of Film and Dreams*, Handout for the course *Oneiric Cinema*, (Cambridge, Massachusetts: Harvard University, Spring 1995), 1.

<sup>33</sup> Sigmund Freud, *The Interpretation of Dreams*, (New York: Avon Books, 1965), xxiii.

<sup>34</sup> F. T. Marinetti, Bruno Corra, Emilio Settemelli, Arnaldo Ginna, Giacomo Balla, and Remo Chiti, (Milano: L'Italia Futurista, 1916); In the US could be found in, Umbro Apollonio ed., *Futurist Manifestos*, (New York: The Viking Press, 1973), 218.

<sup>35</sup> Siegfried Kracauer, *Theory of Film: The Redemption of Physical Reality*, (New York: Oxford University Press, 1960), 58.

her attention, until her father interrupts: "Alice, cut a bit of bread, will you."<sup>36</sup>

The most common use of subjective film sound is certainly in a form of the internal monologue. Bela Balasz wrote in 1952 that film sound would be most expressive when it was asynchronous to the picture.<sup>37</sup> Such sound would be conceived independent of the image but, at the same time, give it a parallel meaning--a sort of running commentary to the scenes. Balasz wrote:

In one of the Soviet war films there was a young soldier whose nerves give way when he first comes under fire. He deserts his comrades and hides in a shell-hole. A close-up shows his face and by his closed mouth we can see that he is silent. Nevertheless we hear him talking. The monologue we hear is in his mind and we listen tensely to what he is silently saying to himself. If he had really spoken aloud and said the same words in a voiced monologue, this scene would have been unbearable. For nowadays even on the stage we find an 'unnatural' monologue difficult to accept.

Balasz also stressed, that "asynchronous sound has no need to be natural. Its effect is symbolic and it is linked with the visuals it accompanies through its significance, in the sphere of mind, not of reality." Balasz was convinced that "this is the richest and deepest possibility of artistic expression of sound film," because the action can move on two parallel levels at the same time, "in the sphere of sound and in the sphere of visual image."<sup>38</sup> Mary Ann Doane stressed the difference between the voice-over

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<sup>36</sup> Many authors have written about this scene:

After having killed her assailant with a knife, the young heroine of Alfred Hitchcock's "Blackmail" finally returns to her parents' shop and there overhears the chatter of a gossipy woman customer. The camera is just focusing on the listening girl, as the woman suddenly drops the word "knife."

Siegfried Kracauer, *Theory of Film: The Redemption of Physical Reality*, (New York: Oxford University Press, 1960), 122-123.

Like images, sound can be used subjectively to express the impressions or state of mind of a character in the film. There is the famous scene from Hitchcock's *Blackmail* in which the words 'Knife, Knife, Knife', are repeated in a frightened girl's mind.

Ralph Stephenson and Jean R. Debrux, *The Cinema as Art*, (Baltimore, Maryland: Penguin Books, 1965), 198.

Most of the experiments are in the expressionistic mode, the two most famous examples being the subjective distortion of the word "knife" in "Blackmail" and the interior monologue in *Murder*. Both experiments are attempts to convey a character's thoughts and feelings. Yet at the same time both techniques draw attention to themselves as tricks and leave the audience emotionally outside the characters.

Elisabeth Weis and John Belton, *Film Sound: Theory and Practice*, (New York: Columbia University Press, 1985), 302.

<sup>37</sup> Bela Balasz, *Theory of the Film: Character and Growth of a New Art*, (New York: Dover Publications Inc., 1970), 218-219.

<sup>38</sup> *ibid.* 219.

and the interior monologue. She emphasized that interior monologue displays what is inaccessible to the image, what exceeds the visible: the "inner life" of the character.<sup>39</sup>

An aural *oneiric-feeling* in narrative cinema, as stated earlier, is usually achieved by some kind of departure from normative film sound. Most of the film sound is normatively diegetic and non-diegetic, thus deviation from it may lead into oneiric or meta-diegetic. There are two terms from theories of sleep and dreams which may come in handy for our understanding of oneiric--*hypnagogic* and *hypnapompic*. Hypnagogic representing the state of falling asleep or drifting away from the reality world, and hypnapompic representing the state of waking up or coming back to the reality world.

### **Oneiric Film Sound Examples**

Meta-diegetic use of sound as internal monologue has become a fairly common practice in contemporary filmmaking. I would like you to pay attention to a more complex but very effective use of film sound creating an oneiric mood for meta-diegetic soundscape. Now, I am going to present several examples of aural oneiricism as used in different films. Since all these examples share the common element of move into non-normative film sound lets examine what are the ways of achieving it. One of the simplest and most vivid jumps into an oneiric mood is by completely dropping off the normative sound effects and letting the music alone to take over.

One of the most vivid and interesting examples of an oneiric soundscape comes from *Witness* (USA 1985) directed by Peter Weir. In the sequence at the police station where detective John Book (Harrison Ford) is showing the mug shots of the possible killers to the Amish boy, Samuel (Lukas Haas), sound effects to create the atmosphere of a police office are deliberately mixed in, much louder than normally. This is done to highlight the subjective reaction of the Amish boy to a alien environment of a police office. Then, wandering around Samuel sees in a display cabinet a paper clip and the photograph of McFee (Danny Glover), a top narcotics officer, honoring him for his achievements in a youth project. At that moment, the boy realizes that McFee is actually the killer, meanwhile the sound effects have been dropped out (leaving the reality) and the musical score (Maurice Jarre) alone creates an oneiric mood. Detective John Book comes in a subtle slow motion towards the boy who is pointing his index finger to McFee's photo identifying him as the killer. Book stunningly realizes the implications of boy's discovery and the fact that the police department itself is involved in

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<sup>39</sup> Philip Rosen, ed. *Narrative, Apparatus, Ideology: A Film Theory Reader*, (New York: Columbia University Press, 1986), 341.

the killing. The “wake up call” from this oneiric state comes as a door buzzer sound effect leading into the upcoming scene.

This is not entirely the case with the sequence from *Empire of the Sun* (USA 1987) directed by Steven Spielberg where US airplanes come to bomb and liberate the Japanese prisoners of war camp. The main character a boy, Jim Graham (Christian Bale), is obsessed with airplanes, and in this sequence his obsession is presented in an altered state of consciousness. In the midst of the battle Jim is speechless while looking in slow motion at an airplane whose pilot is waving to him from the open cockpit. Sound effects slowly disappear and the musical score (John Williams) completely takes over creating a meta-diegetic effect. Gradually returning from this mesmerizing mood Jim yells “Go!!! B51 the Cadillac of the sky!”, and then a big explosion brings the audience back to the fierceness of the battle by reestablishing all the previously dropped war sound effects.

Transitions to flashback sequences are often accompanied by an oneiric sound treatment like in *The Silence of the Lambs* (USA 1991) directed by Jonathan Demme. Young detective, Clarice Starling (Jodie Foster), while attending the funeral service for the police officer killed in the line of duty is having a flashback. As Clarice walks through the door the sound effects and diegetic music give a way to a non-diegetic musical score (Howard Shore) and set up an oneiric mood. A man playing a “soundless” organ can be seen as Clarice completely drifts away from reality and walks towards the coffin. She is seen in subtle slow motion going into a flashback of her father’s funeral, who was, also, a police officer killed in the line of duty. Clarice’s altered state of consciousness is interrupted by the voice of Jack Crawford (Scott Glenn) who abruptly brakes off the mood saying: “Starling, we are back here!”

Another marvelous example of flashback and oneiric mood comes in a sequence from *Chariots of Fire* (UK 1981) directed by Hugh Hudson, in which British athlete, Harold Abrahams (Ben Cross), is preparing for a race at 1924 Paris Olympics. The high level of concentration and an undoubtedly altered state of consciousness before the race is presented visually through the use of slow motion. On the aural level the same is achieved through the musical score (Vangelis Papathanassiou) by omitting the cheering crowd ambient sounds and selectively focusing onto footsteps and digging-in sounds of the racers as they prepare to take their marks. Then, just a few seconds before the race starts, the music fades out and we hear Abrahams’s heartbeat sound alone. The firing of the starter’s gun brings us back to the reality of the cheering crowd sounds and regular motion. Abrahams wins the race and stunned by that fact goes through a flashback of the entire event depicted in slow motion. We hear the start gun fired again but this time its sound quality is altered and reverberated to portray the subjective perception

of Abrahams. Everything is accompanied by the musical score; no cheering crowd sounds, and very few selected sound effects. Still in slow motion, we visually cut back and forth from Abrahams's flashback to reality but his altered state of consciousness is uninterrupted, even as he (in reality shots) receives handshakes of congratulations and poses for photographs. Abrahams's flashback ends as he breaks the ribbon crossing the finish line. The music withdraws abruptly and the full blast of the crowd cheering returns us to reality.

It is interesting to see how sound is oneirically treated in a flashback sequence from *Patriot Games* (USA 1992) directed by Phillip Noyce. The CIA detective Jack Ryan (Harrison Ford) is struggling to assemble the puzzle of an IRA terrorist group which is trying to kill him and his family. While washing his face in the bathroom, Jack is going through the series of slow motion flashbacks, some of which are triggered from reality by the appearance of a woman who accidentally interrupts his oneiric state. Constantly going back and forth from the flashback to reality, a meta-diegetic mood is achieved through the use of the musical score (James Horner) and acoustically altered sound effects for the flashback parts. What is particularly interesting here is that, in spite of very vivid visual oneiricism, on the aural level we never completely leave reality--ambient sounds are always present. This shallow acoustic representation of oneiric is deliberately used to show Ryan's striving to connect the puzzle pieces together in his head. The case of stunning revelation in *The Witness* required a very deep oneiric mood, while for the scattered flashback in *Patriot Games* demanded the use of shallow oneiricism. Sometimes, like in *The Fugitive*, USA (1993) by Andrew Davis, flashback scenes are nothing but glimpses in which to accomplish any sense of aural oneiricism, distorted visual images are being accompanied by acoustically transformed and heavily manipulated sound effects.

In *Scarface* (USA 1983) directed by Brian De Palma, oneiric mood is achieved by using the juxtaposition of diegetic disco club music with non-diegetic musical score (Giorgio Moroder). In the sequence when Tony Montana (Al Pacino) and his buddy Manny Ray (Steven Bauer) walk in a disco, they see Tony's sister Gina (Mary Elizabeth Mastrantonio) dancing at the dance floor with some guy. This upsets Tony a lot and while camera closes up on his eyes, the non-diegetic musical score is being introduced to parallel Tony's altered state of consciousness--two different kind of music are heard simultaneously creating a rather abrasive combination. A few moments later, Tony's business conversation is interrupted as he pays attention to Gina again. Now, presented in slow motion, she appears to be in a cozy relationship with her dancing partner as they walk together towards the bathroom--this makes Tony absolutely furious. Here again, camera

subjectively closes on Tony's face, and this time the non-diegetic score completely overwhelms the diegetic disco music. The loudness of the non-diegetic musical score parallels the degree of Tony's anger. As Tony suddenly gets up and runs to the bathroom to attack Gina's partner, the non-diegetic music is abruptly dropped and we are back in the reality of disco dancing.

Finally, let me finish with the opening sequence from *Apocalypse Now* by Francis Ford Coppola. It starts oneirically from the very beginning, with the picture being presented in slow motion, accompanied by the song *The End* by *The Doors*. We see the explosions but don't hear them, the helicopters are flying by, but we hear acoustically altered helicopter sounds that don't match the visuals in perspective or the rhythm. Then, we see Captain Willard who is laying on his bed and we discover the opening images are visuals from a nightmare he has been having. While looking at the ceiling fan he hears meta-diegetically transformed helicopter sounds. This mood is invaded by the sound of a real helicopter, which comes through Willard's window, and he is prompted to wake up from this oneiric state while the music slowly fades out into a distant reverberation creating a hypnapompic transition to reality. He gets up and looks through the window talking to himself in an internal monologue: "Saigon, shit..." This monologue continues and as he talks about jungle, even though we see him in a hotel room, jungle ambiance sounds are introduced, subjectively portraying Willard's drunken aural imagination.

Looking at the examples I analyzed, the "oneiric sound formula" seems to follow the pattern of 1. Gradually dropping sound effects of "reality" 2. Gradually introducing non-diegetic musical score 3. Picture is presented in slow motion 4. Oneiric mood is created which, represents the film character's altered state of consciousness 5. The oneiric state is abruptly cut off and return to "reality" (the normative film sound) is established.

### **The Neuroscientific Explanation**

Many people have experienced high adrenaline situations, such as avoiding a car accident, in which time seems to slow down. Here is how David Eagleman describes it:

Many people report that time appears to run in slow motion when they find themselves in an impending car accident -- for example, sliding toward a bad situation. Crudely speaking, are neural 'snapshots' clicking faster during a high-adrenaline situation? To bring this into the realm of scientific study, we have measured time perception during free-fall by strapping palm-top computers to their wrists and having them perform psychophysical experiments as they fall. By measuring their speed of information intake, we have

concluded that participants do not obtain increased temporal resolution during the fall -- instead, because memories are laid down more richly during a frightening situation, the event seems to have taken longer in retrospect. Details can be found in Stetson, Fiesta, Eagleman (2007). Does time really slow down during a frightening event? *PLoS One*.<sup>40</sup>

Speaking of the human visual system functions, it is apparent that the brain has to take time to synthesize all the information it takes. However, that information comes into the brain at different speeds and times. For example the brightest visual imagery comes in and gets processed faster than the dimmer information. So, if you are looking at the picture of a human face that is lit from one side only, thus the other side that is dim takes much longer for the brain to process but in the end we perceive the entire object, the human face, all at once. The brain had to wait for about 100 milliseconds for all the information to come in, to be processed and synthesized into a final image representation. This is a normal way that the human brain operates under the ordinary (normative) circumstances. The rate of expected incoming information has been evolutionarily optimized to be within a certain range to make the best use of the peculiarities of the apparatus that supplies the information to the brain: the eyes and parts of the thalamus. These brain neural structures that provide information to the visual cortex have their own evolutionary histories and oddities. When the rate of incoming "data" increases, as in the case of "adrenaline rush" situations, or other situations of an altered state of consciousness, the brain gets overloaded and it takes much longer time "to put everything together." This is why humans perceive a subjective time distortion, and everything seems to slow down.

In the early days of television broadcasting, engineers worried about the problem of keeping audio and video signals synchronized. Then they accidentally discovered that they had around a hundred milliseconds of slop: As long as the signals arrived within this window, viewers' brains would automatically resynchronize the signals; outside that tenth-of-a-second window, it suddenly looked like a badly dubbed movie.<sup>41</sup>

In the neuroscientific literature, this effect has been termed a subjective "expansion of time," however, the slow down effect is just a feeling of time passing by, the slow down of images and sounds does not actually happen. Under these situations, humans do not perceive slowed down sound for example. Things do not sound pitched-down as if the sound has slowed

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<sup>40</sup> <http://www.eagleman.com/research/23-time/110-time-and-the-brain-or-what-s-happening-in-the-eagleman-lab> (accessed January 2016)

<sup>41</sup> <http://www.eagleman.com/blog/brain-time> (accessed January 2016)

down. Similarly, in the films all slow motion sequences either have no sound (as explained earlier) or have very selective “sound pallet” that is rarely pitched-down.

### **Conclusion**

Way before any neuroscientific explanation was even possible, the filmmakers have portrayed in numerous films the human subjective experiences that deal with time distortion. Altered states of consciousness have been cinematically depicted in many different forms and shapes, much of them creating for a viewer an oneiric experience. It is particularly gratifying to see that what filmmakers “intuitively” produced as a part of their creative filmic expressions, is now actually backed up by the neuroscientific research.

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# **Constructive Response Vs. Multiple-Choice Tests In Math: American Experience And Discussion (Review)**

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## **Abstract**

This study investigates and compares multiple-choice and constructive-response test formats for assessments in mathematics. This topic has been researched and debated for many years by students, educators, and politicians. Even between students there is a wide range of disagreement between which test format is preferred. Prior research has revealed both benefits and disadvantages for both formats. The study found that although multiple-choice tests are often used to measure student and teacher performance in math education, constructive-response test formats better represent student learning. Some factors that will be discussed are the “guessing” problem, partial credit, grading efficiency, and the ability to cover topics.

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**Keywords:** Test formats, mathematics

## **Introduction**

The question over how we measure student performance is one that has been debated consistently since the conception of formal testing. As a nation, the United States of America has sought to determine a means to measure student and teacher performance in a way that is fair to teachers yet an accurate reflection of student learning. Although there are many different methods of testing, this review will focus on multiple-choice and constructive-response test formats. These two test formats are generally the most popular and sit at opposite ends of the spectrum; therefore, they have generated the most interest and research.

Multiple-choice tests are often selected due to their ease of grading, grading consistency, ability to cover a vast amount of topics, and for their generally high-performing results. Teachers who are evaluated or incentivized by student test scores might prefer to administer an “easier” multiple-choice test that tends to give higher scores than a constructive-response format.

Constructive-response tests are unique in their ability to award partial credit for incorrect answers and are generally considered the “harder” tests due to the inability to guess. Researchers have tried to determine the relationship between learning and test scores, but often it is hard to determine. Because multiple-choice tests usually produce higher test scores, student achievement is often considered equal or higher than constructive-response versions. This debate has carried over into standardized testing, testing throughout the term, and college entrance exams.

### **Purpose of the review**

I hope this review will help other educators think about using effective test formats to accurately measure student performance. The main questions are the following:

1. What are the factors that influence a teacher’s decision to use each test format?
2. How do multiple-choice and constructive-response test formats affect student learning and retention?
3. Is a multiple-choice or constructive-response test format better to measure student learning and teacher performance?
4. What are solutions for teachers to be able to administer the most effective test formats?

By investigating and gathering the research related to this topic, we can make conclusions about how these assessment formats affect student learning. It is important to investigate the procedures used for each study as well as the results in order to make informed conclusions about the topics. If we investigate the factors that influence an educator’s decision to use each test format that will provide insight into their research. It is also important that once the best test format has been determined, solutions are discussed that make administering that test an achievable

### **Resources**

There have been many studies conducted measuring different effects multiple-choice and constructive-response test formats have on students. Many of these studies have followed the same general set-up: give a set of students a series of either multiple-choice or constructive-response tests and compare the results. The true difficulty lies in the fact that it is not an exact science. There is research to support both sides of the argument and this is why there is so much debate in the education system.

One problem with some of these studies is that the subjects were not math students. I wonder if those research studies would have more dramatic results if they were measuring performance on math tests because of the ability to work backwards. In many other subjects, if a student were blindly

picking multiple-choice items, (without any knowledge of the subject) he would probably receive a better score than a student in the same situation taking a free-response test. However in math it is often possible to work backwards and arrive at the correct answer without knowing how to do the problem. In this situation the scores might be significantly different, with a possibility for a perfect score without knowing the material for the multiple-choice version. The issue of whether or not multiple-choice and constructive-response test formats are better has been debated and studied, but this issue specifically in a math education context has not been researched thoroughly enough.

In the Chaoui (2011) study, participants were given the mock California High School Exit Exam (CAHSEE) in mathematics in both a multiple-choice format and a constructive-response format. The results were then compared using t-tests and other statistical analysis. The participants were freshman and sophomore algebra I, algebra II, and geometry students. The questions were selected so that they reflected standards from Number Sense, Statistics and Probability, Algebra and Functions, Algebra One, and Measurement and Geometry.

The Gay (1980) study was interesting because, although the subjects were not math students, the study measured the ability to recall information on both multiple-choice and constructive-response tests, when the students had received either multiple-choice or constructive-response tests up until that point. The mean test scores and standard deviations were found and compared with each other. The participants in this study were educational research students at Florida International University. Test questions measured equivalent concepts involving knowledge, comprehension, and application items.

The Elbrink and Waits (1970) study participants were Calculus II students at Ohio State University. The entire population of students enrolled in the course was split into two groups where one half was given multiple-choice examinations and the other half was given constructive-response examinations. The questions on the examinations were identical except for the method of response. An analysis of covariance was used to find differences in the effects of mathematical achievement.

The Frary (1985) simulation study was not performed on actual students, but simulated using a computer program. "The simulation was replicated three times for each of 30 variations reflecting format and the extent to which examinees were (a) misinformed, (b) successful in guessing constructive-response answers, and (c) able to recognize with assurance correct multiple-choice options that they could not produce under constructive-response testing" (p.21).

The participants of the O'Neil and Brown (1997) study were eighth grade math students. The length of the study was relatively short, with only seven multiple-choice items and one constructive-response question. Although the length of the study was short, the primary objective of the study was to research the metacognitive effects of math assessments and not as focused on measuring mathematical achievement. The study was still able to accomplish its goal through the attached questionnaires that each student answered.

## **Discussion**

Multiple-choice tests are often selected because of the ease of grading. Teachers can have students use scantrons and then use a machine (provided by the school) to grade for automated grading. Each question is either right or wrong, there is no partial credit. This significantly cuts down the time each teacher needs to spend grading exams. Another reason why multiple-choice tests have been so popular is for grading consistency. Because there is no partial credit and the correct answer is either selected or not selected, it makes grading tests a very impartial task. Other formats leave room for interpretation and for inconsistent grading (Chaoui, 2011).

Teachers who are evaluated or incentivized by their students' test scores might prefer to administer an "easier" multiple-choice test that tends to give higher scores than a constructive-response format. This leads to a culture of apathy towards meaningful testing. Chaoui (2011) states, "since teachers are being held accountable for their teaching by virtue of their test scores, they may prefer to give the students tests on which they are more likely to be successful" (p.128).

The ability for a student to guess can be both an advantage and disadvantage for multiple-choice tests. On one hand, the student will have a higher score on a problem they have no idea how to solve. On the other hand, it is not very reflective of the student's knowledge on the subject and provides a false sense of retention. Yet, the scores are usually higher than the constructive-response questions, so many teachers prefer it. Since teachers are evaluated based on the performance of their students, it is understandable why they would prefer to give a test they believe they will score higher on. Chaoui suggests that "Integrating open-ended math problems, as well as implementing performance tasks, which promote cognitive thinking, will prepare the students to be more confident and efficient problem solvers. Teachers must strive to incorporate multiple-choice and constructed response items on their tests to assess skills as well as literacy" (Chaoui, 2011, p.130).

Constructive-response formatted test questions can vary in difficulty, much like multiple-choice test questions. A criticism of constructive-response tests is that you cannot ask as many questions, because they take

longer for the students to complete. Chaoui (2011) states “Part of effective instruction is giving students opportunities to explain their thinking in writing, using proofs, multiple steps, organizers and written sentences” (p.9). Many instructors in math education focus on the students’ problem solving abilities and do not focus enough on explanation. If it is our goal, as educators, for students to retain the information they are taught, then our primary focus should not be on the students’ ability to score well on a test. Rather, our focus should be on their ability to consistently perform these same tasks in the future and be able to explain how to perform these operations to others.

Sometimes wrong answers tell us more about a student’s learning than the right answers. When a student selects an incorrect answer on a multiple-choice test it doesn’t tell you very much about how they got to that answer. In a constructive-response test, however, you can often see exactly where the student went wrong. “Open-ended questions provide insights into the misconceptions of students and allow the teacher to evaluate the various techniques they use” (Chaoui, 2011, p.18). Not only are seeing mistakes beneficial to an instructor, but it is very advantageous to the student as well. If the student is able to see exactly what they were thinking while they were testing, they have a better chance of learning from their mistake. When they try to recall that information later on, they will think about the mistake they made the last time and be less likely to make the same mistake again.

A disadvantage to constructive-response tests is the extra time it takes to grade. Because each response may be slightly different it takes more time to assign partial credit, which also leads to grading inconsistencies. Various follow up procedures would need to be in place to ensure fairness, which would be expensive.

Another issue with multiple-choice tests is the distracter element. When instructors are trying to make their tests harder they will sometimes add an incorrect answer that may be close to the correct answer to the list of available choices. This may cause a student to select a wrong answer when they might have solved the problem correctly without that distracter, in a constructive-response format (Frary, 1985, p.26). This also may lead to incorrect retention. One study found that “Multiple-choice testing may inadvertently lead to the creation of false knowledge” (Roediger, 2005, p.1156).

Another question that is raised when comparing these two test formats is the type of thinking that is involved in solving the problems. “Multiple-choice (MC) tests are depicted as assessing simple factual recognition, and constructive-response (CR) tests are depicted as evaluating higher order thinking”(Chaoui, 2011, p.1). This leads to the question about the purpose of education and educational psychology: Is the purpose of

education to get the student to advance along their educational path, or is the purpose to instill knowledge that they will be able to recall years later? The student should be able to answer questions not because they were able to memorize the answer, but because they understood what it really meant or why they learned it.

Many times assessments are compared based on their reliability and validity. In theory, a good test is defined as both reliable and valid. In actuality, a good test is difficult to develop. "Test validity refers to the degree to which the test actually measures what it claims to measure. It is the extent to which inferences, conclusions, and decisions, made on the basis of test scores are appropriate and meaningful" (Chaoui, 2011, p. 8). Chaoui argues that validity is not harmed by educated guesses because it involves narrowing choices down based on some knowledge of the material. Test reliability concerns a test's ability to measure what is intended to be measured, or the purpose of the test.

The Frary (1985) simulation study found that both reliability and validity of constructive-response scores were higher than multiple-choice scores, and therefore recommended that constructive-response tests be used over multiple-choice tests in certain settings. It was also concluded in this study that "the potential gain might be considered too small to warrant the use of constructive-response tests, given factors such as labor required to score them" (p.31). This suggested that the extra time required to grade constructive-response tests might not be worth it.

In the Elbrink and Waits (1970) study at Ohio State University, students taking multiple-choice math tests outperformed students taking constructive-response math tests in the same subject. It was concluded that although multiple-choice tests were easier than constructive-response tests, they were just as effective in "evaluating students' mathematical achievement" (p.4). The authors made this conclusion after taking into account the ability to guess, however their definition of "mathematical achievement" is essentially the student's ability to problem solve, i.e. not their ability to explain thinking or prove concepts.

In the Gay (1980) study, the researcher tried to determine which testing method resulted in better retention. The study found that students who had been used to taking constructive-response tests performed just as well on the multiple-choice items as the students that had been used to taking the multiple-choice tests. Yet, the constructive-response students tested much better on the constructive-response items than the multiple-choice students. This implies that constructive-response testing results in better retention because otherwise, the multiple-choice students would have performed just as well or better on the constructive-response items.

From the O'Neil and Brown (1997) study, differential effects of multiple-choice and constructive-response test formats in math assessment on metacognition and effect was approached. The study found that constructive-response questions induced more cognitive strategy usage than multiple-choice questions. Meaning students thought about their own thinking to develop strategies to solve the problems more in constructive-response test questions than in multiple-choice test questions.

## **Results**

Although the magnitude of the results was often small, the results support my hypothesis that constructive-response tests promote student learning better than multiple-choice tests.

In the Gay (1980) study, where retention was measured, she found that “the results of this study indicate that [short-answer] testing results in equal or greater retention than [multiple-choice] testing, depending upon the mode of retention testing” (p.50). Students who had been used to taking constructive-response tests performed just as well on the multiple-choice items as the students that had been used to taking the multiple-choice tests, yet the constructive-response students tested much better on the constructive-response items than the multiple-choice students.

Educators should want meaningful test scores from their students in order to be better teachers and help students learn. Constructive-response test scores are simply more meaningful than multiple-choice test scores. The Frary (1985) simulation study found that both reliability and validity of constructive-response scores were higher than multiple-choice scores, and therefore recommended that constructive-response tests be used over multiple-choice tests in certain settings.

According to the National Council of Teachers of Mathematics (1991), “although the commonly used [multiple-choice] format may yield important data, it can have a negative impact on how students are taught and evaluated at the school level because: a) Student scores are generated solely on the basis of right and wrong answers with no consideration or credit given to students' strategies, b) Routine timing measures how quickly students can respond but not necessarily how well they think, and c) Mathematics tools such as calculators and measurement devices are not permitted” (p.8).

Although there has not been extensive research in this field, the research we conduct suggests there is a relationship between greater learning and constructive-response test formats. The strength of that relationship is debatable and depends on the factors you consider.

We need to define success in more ways than the ability to problem solve in mathematics education. We cannot measure that success from multiple-choice tests alone. Although making more constructive-response



tests would add a significant amount of time to the grading process, it would give us a more accurate depiction of how our students are performing. With the new technologies in grading free-response math answers, soon it may be possible to grade them even faster.

An important factor of this topic is in the difference between long term and short-term learning. Although a student may be able to select the correct answer on a multiple-choice question, this may be due to short-term memorization rather than long-term understanding of the topic. In fact, many schools teach to the test specifically for this reason. They want students to recognize questions or question types and memorize the correct answers so that they can meet certain educational performance standards. But once these tests are over, the student does not retain the information for a reasonable amount of time.

As an educator, your overall goal is that a student leaves your class having learned something. Many teachers believe that a student can greatly benefit from seeing exactly where they went wrong on a question. This way when you try to recall that information later, you remember that mistake and you are careful not to make it again. This is a huge advantage to constructive-response tests.

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# **Incomes And Expenditures Among Polish Students – A Case Of Students From Czestochowa University Of Technology**

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## **Abstract**

The living condition of almost every human being is primarily determined by the financial aspect - because in most cases, the quality and standard of living depends precisely on the income. And it will not be a mistake, the statement that most people are seeking to obtain higher and higher income that, maybe can not "make you happy" but make the life much easier. In Poland, the financial condition of its population is the subject of research conducted by the. An income per capita is being, the average wage is calculated and the level of satisfaction with the current financial situation is being tested as well. However, in their analysis, Central Statistical Office omits a certain social group - the students - now, this group represents 4.2% of the entire Polish population. Having this in mind, a research has been conducted in order to characterized the structure of income and expenditure in relations to Polish students. In the introduction of this article a brief description of the country has been presented and the structure of income and expenditure of the whole Polish population has been characterized as well. In the further part of the article, the purpose of the research, the used methods and obtained results are presented. The article ends with a summary, which contains the most important conclusions.

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**Keywords:** Students, incomes, expenditures, full-time student, part-time student, men, women

## **Introduction**

Poland is situated in the Central part of Europe, having neighbors as follows: Germany from the West, Czech Republic and Slovakia from the South, and Latvia, Ukraine, Belarus and Russia from the East. Poland has also an access to the Baltic Sea from the North. Poland is a member of the European Union from the 1st May 2004, this year is a final year for the first decade of being an UE member. The capital of Poland is Warsaw (it is the biggest city as well) and other big cities such as: Cracov, Wroclaw, Poznan, Lodz, Gdansk and Szczecin. Also Poland is divided into 16 voivodeships, where the largest is Masovian voivodeship and the smallest is Opolskie.

In the year 2013, Poland recorder a GDP per Capita (PPP – Purchasing Power Parity rates) of 17,500 Euro, which represent 68% of the EU average, what gives Poland the 6th place from the end. According to the World Bank, the GDP per Capita of Poland was 21 214 USD. The inflation rate in the year 2013, was 0,9%, went down from 3,7% in the previous year (Central Statistical Office of Poland).

By the end of the year 2013, the population of employees was 8,5 mln, the unemployment rate has remained the same in according to 2012, every employee worked for 435 hours and the average salary was about 860 Euro per month. The population is mainly employed in service (66,9%), industry (29,5%), trade (13,8%) and education ( 12,3%) sectors (Central Statistical Office of Poland).

According to the forecasts of the Polish National Bank, in the years 2014 – 2016, the following changes should occur:

- GDP growth will accelerate to 3.6%, as the Polish economy is currently in the recovery phase,
- Inflation will be below 0.2% in 2014, 1.4% in 2015 and 2.3 in 2016, in the longer term, inflation will rise, but it will remain at a moderate level,
- The unemployment rate will decline to 9.7 level this year, to 8.8% at the end of 2015 and 8% by the end of 2016. Reduction in the unemployment rate is due to greater labor market flexibility.

## **Income and expenditure in Poland**

There is a visible a differentiation in salaries in Poland, variation occurs in terms of provinces, the private sector and the public as well as gender. In 2013, the average salary was 862 euros per month. In the case of wage inequality in terms of provinces, in 2013, the highest salary received residents of Mazovia - 1144.2 Euro/month, on the second place were found the citizens of the Silesia province -934.38 Euro/month, and on the third - the citizens of Pomerania - 910, 56 Euro/month. The lowest salaries, earned the citizens of Warmia and Mazury, on average, 761.89 Euro/month. The difference between salaries in the Mazovia and Pomerania is up to 382.31

Euros/month. The level of the wages above, is influenced by the following facts: In Mazovia voivodship is located the Polish capital - Warsaw, being Polish business center, as well, focusing largest number of entrepreneurs and attracting foreign investors. In the case of the Silesian province is a former industrial area (coal mines and steel mills). The province also includes the so-called. Katowice Agglomeration - a 14 towns lying close to each other, and connected by a dense network of roads and rail networks, they lead a common strategy for regional development and have attractive areas for potential investors. In turn, proximity to the sea and sea-developed infrastructure contributed to the Pomeranian is on the third place in terms of the earned wages.

In the case of poverty, it's been a few years when this ratio is maintained at the same level of 6.5%. Since the fall of communism, this rate steadily decreased, due to the period of increased economic development. As Rutkowski said "those who have gained from income changes are outnumbered by those who have lost. However, while the gains have been significant, the losses have been relatively small".

Regarding the differentiation of wages between the public and private sectors, the public sector workers earned 9.1% more than private sector employees. The same better wages can boast of men, whose wages on average by 6.1% higher than the wages of women Lubusz Business Portal.

In the case of expenditure incurred by households, the chart below shows the percentages of the major expenditure groups in 2014:

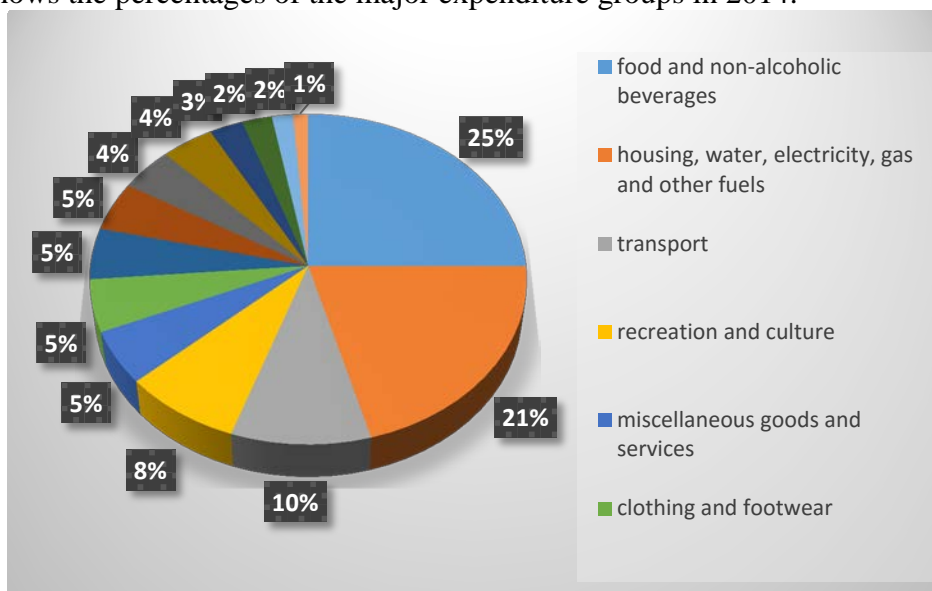


Fig. 1. The structure of expenditure incurred by households.

Source: Central Statistical Office of Poland "Household Budget Survey in 2014", Warsaw 2015.

As the figure 1 presents, the expenditures on food and non-alcoholic beverages and housing, water, electricity gas and other fuels are characterized by the biggest share. They account for almost half of the total expenditures of Polish society. On the further places are fuels and recreation and culture. Despite the fact that the fuel prices have been decreasing for the last year, still the price for one litre of petrol or diesel is quite high. And having in mind that in Poland, there are almost 600 cars for every 1000 people (which located Poland higher than Germany, UK, Spain and France), this high share should not be surprising. Instead, the expenditures on recreation and culture can be. But the biggest surprise may raise the fact that the smallest share in total expenditures is education - only 1%. This can be explained by the fact, that in Poland education is free and except for private kindergartens, schools and universities which charge fees in the form of tuition, studying in public educational centers cost no money. In the case of alcoholic beverages and tobacco, they represent 3% of total expenditures, but are higher than the expenses incurred for restaurants and hotels, which account for only 2%. It follows from this that still the majority of the population eat at home and during travelling use the hotels only when necessary.

It is worth noting that in the year 2014, population from Poland perceived their financial situation rather good or very good - 27.1% of households, while only 17.8% of them perceived this as bad or rather bad. These results are slightly better than in the year 2013, amounted accordingly 22.7% and 20.5% (fig. 2)

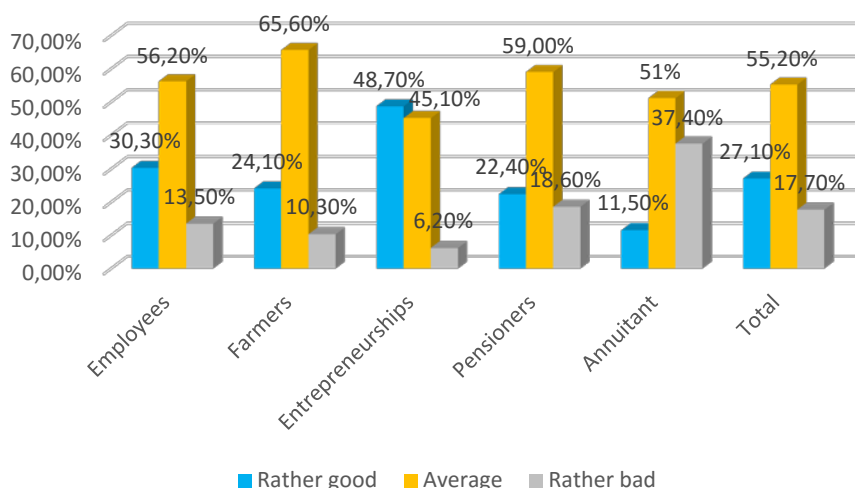


Fig. 2. The financial situation perception by Polish social groups.

Source: Central Statistical Office of Poland "Sytuacja gospodarstw domowych w 2014 r. w świetle wyników badania budżetów gospodarstw domowych", Warsaw 2015.

The households of self-employed have estimated their financial situation as a very good or rather well - 48.7% and households of employees - 30.3% (Respectively in 2013: 42.0% and 25.5%). The highest percentage of assessments of bad or rather bad was recorded among households of pensioners (37.4%), and this result is lower by 4.1% than in the year 2013.

**The purpose of the research**

As can be seen in Figure 2, the different social groups have been listed, excluding students who, however represent a large social group in Polish population.

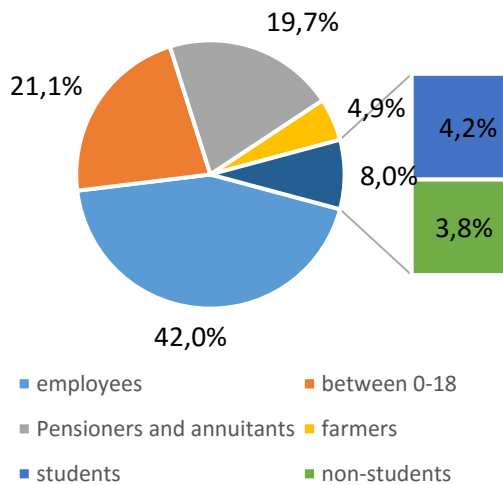


Fig. 3. The structure of social groups in Poland in 2014.  
Source: Own work

As shown in the figure 3, the largest social group are the working people, including employees as well as entrepreneurs. On second place are youth and on the third - pensioners. Students are counted among the age group 19-24, because it is at this age usually they undertake studies and end them as well. It is the fact, that for three years, in Poland people of all ages can study, but they are promil at all students. Taking account the social group between 19-24 years, it is clear that the students represent more than half of this group. There were 2 957,9 thousand people aged 19-24 years in Poland in the year 2014, which 1 549,8 of them were students, approx. 52%, and the total share of student in the whole polish population was 4.5%.

Such a large social group also has the revenue and expenditure, which, however, may differ from the structure of expenditures presented in Fig. 1, so the purpose of the study was to examine the sources from which

Polish students receive their income and how looks the structure of their expenditure.

To carry out the research, students of the Faculty of Management of Czestochowa University of Technology were selected, both students in full-time and part-time. More than 500 questionnaires research have been distributed among the students. This questionnaire consisted of three parts:

- Specifications (gender, age, type of study)
- The structure of revenue and expenditure,
- Feelings for their own financial situation,

The entire research took account many issues but for the purposes of this article, only a few of them, the most important ones, have been selected.

For the final study only 396 questionnaires have been classified, some of them have not been returned and some did not meet the formal requirements.

The minimum sample size for estimating the probability of p success in a general population, was calculated on the basis of the formula for sample size with a very large population:

$$N_{min} = \frac{N_p (\alpha^2 * f(1 - f))}{N_p * e^2 + \alpha^2 * f(1 - f)}$$

Where:

$N_{min}$  = the minimum sample size,

$N_p$  = the size of the population,

$\alpha^2$  = the confidence level for results,

$e^2$  = accepted level of highest error,

f = the size of the fraction.

This formula allows to obtain a predetermined accuracy of the estimation of population structure ratio. After substituting into the formula adopted values, the following equation have been received:

$$\begin{aligned} N_{min} &= \frac{1549800 (1,96^2 * 0,5(1 - 0,5))}{1549800 * 0,05^2 + 1,96^2 * 0,5(1 - 0,5)} = \frac{1549800 * 0,96}{3,8745 + 0,96} \\ &= \frac{1487808}{3875,46} = 384 \end{aligned}$$

As is evident from the calculations, the minimum sample size, with the adopted confidence level  $1-2 = 0.90$ , and the accepted level of highest error  $e = 5\%$ , should be 384 questionnaires. Due to the fact that the study involved 396 questionnaires, it can be assumed that this condition has been met.



### The research results

As was mentioned earlier, the research questionnaire consists of three parts: the specifications, questions relating to the structure of income and expenditure and questions related to feelings of students with respect to its financial resources.

The study involved 396 students, of which 186 were women (46%) and 210 - men (54%). The figure 4 presents the age structure.

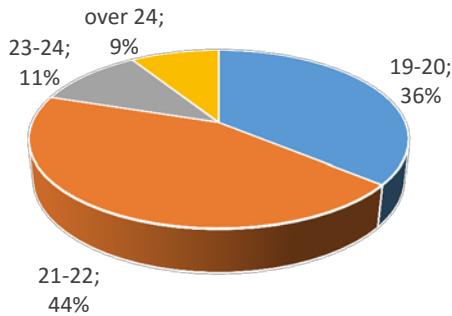


Fig. 4. The structure of students' age.  
Source: Own work

As the above figure presents, the largest share of the respondents were students in the age group 21-22 years, the second place were students between 19-20 years. The smallest percentage were students whose age exceeded 24 years. On the other hand, taking into account the type of study, the following has been selected:

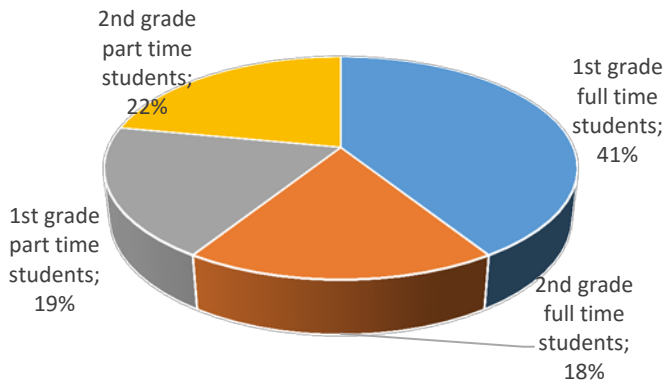


Fig. 5. The structure of students in relations to type of studies.  
Source: Own work

As the figure above shows, the largest group of respondents were students of I<sup>st</sup> degree, studying in full time mode, they constitute almost half of the study group (162 people). On the second place were students of 2<sup>nd</sup> degree, but studying in part time mode (87 people). The number of students

of 1<sup>st</sup> degree in part-time and 2<sup>nd</sup> degree in full-mode was almost the same (75 and 72 people).

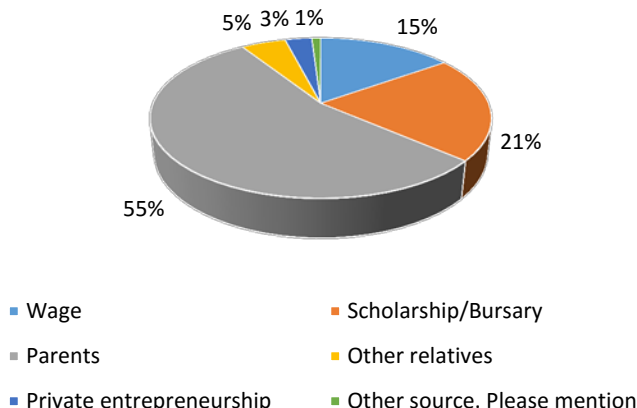


Fig. 6. The structure of students' incoming sources.  
Source: Own work

As shown in the figure 5, more than half of the surveyed students as a source of income indicated the parents, but quite a large proportion of them indicated scholarships and grants as a source of their income. Finally on the third place was the salary. A small percentage of students, less than 10% as a source of income indicated its own business and the money received from family relatives (most often were the grandparents but sometimes siblings). Only four people indicated as a source of income, "other," but did not indicate exactly the source. While comparing the structure of income distribution (Fig. 6) to the types of studies (full or part-time studies), it was shown, that in the case of full-time students up to 184 of them gets money from its parents, and they represent 85%, the remaining 15% of them are the part-time students, 32 persons. Full-time students that receive money from their parents, explain this situation by the mode of study, due to daily activities, it is impossible for them to get a job. But even in this group, 8 of them obtain income in the form of salary or wages resulting from its own entrepreneurship. In the case of income obtained from another family member, full-time students more often use this form of financing, up to 75%, the remaining 25% are the part-time students.

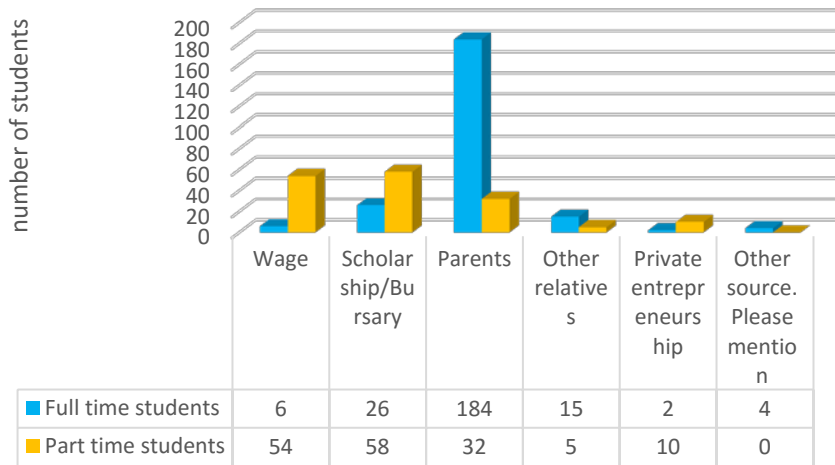


Fig. 7. The structure of students' incoming sources in relations to types of studies.  
Source: Own work

In the case of another source of income: scholarships and grants, the part-time students are more likely to use them, they account for almost 70% and the remaining 30% are full-time students. Part-time students admitted that it is much easier to get a scholarship than for full-time studies, mainly due to the tutors approach for the students. Based on the interviews with the students it can be concluded that the requirements for part-time students are not as large as in the case of full-time students.

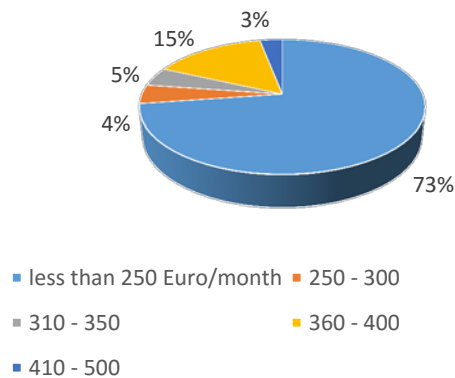


Fig. 8. Students' income level.  
Source: Own work

As the above figure shows, the overwhelming majority of students have an income not exceeding 250 Euros per month. It is related to the fact, that students' parents, scholarships and grants are the main sources. But on the next place were persons with income between 360 and 400 Euro/month which corresponds to a normal salary, obtained for the work performed. The

percentage of students with an income of 410 - 500 Euro/month is only 3%, but these are the students who run their own business. However, it can be concluded that the financial condition of Polish students is not so bad.

In the case of the structure of the incurred expenditure, in the questionnaire research this question concerned the following types of expenditure:

- Books,
- Communication,
- Dwelling- rent or instalment,
- Entertainment,
- Food,
- Household expenses,
- Transportation,
- Tuition fees,
- Other, please specify

However, in the case of this question, students were asked to give their respective rank, in the case of the most important type of expense attributed to the number 8, the next number in the series should be 7, and to the last position - the number 1. Then, the results were summed and the obtained results are presented on fig. 9.

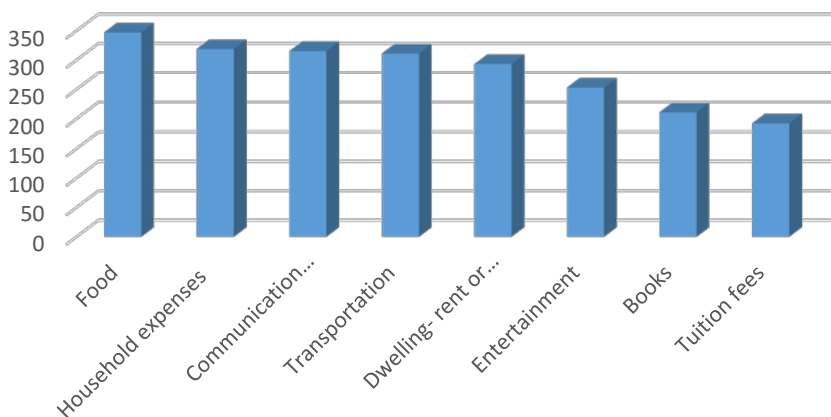


Fig. 9. The students' structure of expenses.  
Source: Own work

As the presented above figure 8 presents, the main students' expense are food expenses. But, under this category lies mostly dinners at restaurants, coffees in coffees bar or dinners in academic cafeteria. Less frequently this kind of expenses are related to purchases made in grocery stores. On second place are the household expenses - fees for rent, electricity, gas or water. This results indicate that a large part of the students do not live with their parents but they have own flats, live with the grandparents, rent with friends,

colleagues or partners. On third place were telecommunications expenses, including here charges for phone, Internet or cable TV. Transport expenses were at another place and they involve both spendings on tram and rail tickets but also fuel expenses in case of the own car possession. In the middle there were also costs associated with repaying installments of loans or credits. Much less money students spend on entertainment, books, and fees associated with tuition for college. Even among students of extramural studies, such charges were to further places, this is due to the fact that some of these costs are borne by parents and some students take grants which balance these expenses. In the case of expenses related to household bills and transport we examined the proportions of students living separately and having its own car. It turned out that 72% of all students do not live with their parents, but either already has its own apartment (usually inherited), lives in a dormitory or rent an apartment with friends or partner. The remaining 28% still live with their parents but plan to do so only until the end of study. Even more students, 83% of the respondents declared having the own car, and among the remaining 17%, a few dozen people declared their desire to buy a car in the near future and only a few, said that they did not have a car and do not plan to buy it.

In the next part of the questionnaire, students were asked whether they are satisfied with their financial situation and if they expect that after graduation would be improved.

In the case of the first issues the vast majority of students, 268 of them people responded negatively (67%) and 128 students (33%) said they were satisfied with their current financial situation. It was also examined as its financial situation perceive women and men, as well as full-time and part-time students.

In the group of people satisfied and dissatisfied with their financial situation, men are the slight majority. In the first group they represent 58% and women 42%. In the group of people dissatisfied with their financial situation, the voices were divided up equally, both 50% men and 50% of women are dissatisfied with their financial situation. Taking into account the type of study, among full-time students up to 88% of them are dissatisfied with their financial situation, and only 22% have the opposite opinion. However, among the part-time students, the percentage of people dissatisfied was counted on 36% and the remaining 64% are satisfied. So the perception of its financial opinion may stem from the fact that the majority of full-time students receive money from their parents, and the part-time students have been paid for their work. Probably, a kind of source of earned income affects the perception of their financial situation.

The last issue concerned the question whether students expect that their financial situation will improve after graduation.

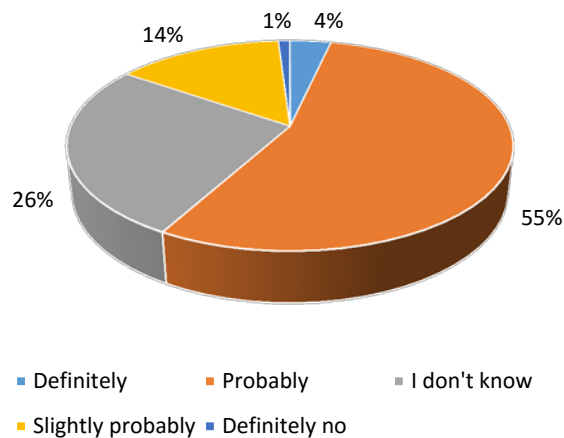


Fig. 10. The students' expectations according their financial conditions after the graduation.  
Source: Own work

As shown in the figure 10, more than most students expect to improve their financial situation after graduation, mainly due to the work undertaken in the future. And more than a  $\frac{3}{4}$  of the students indicated that they did not know whether their financial situation would improve after graduation, this kind of response is motivated by the current realities of the labor market, which do not guarantee to find a job very quickly. 14% expect small improvement, explaining it by the fact that even taking a job after graduation, the received salary will not be high. Only 1% of respondents indicated that more surely their financial situation will not improve in connection with the graduation.

The distribution of voices based on the sex of students as well as the type of study was also examined. When it comes to gender, more men acknowledged that their financial situation will improve after graduation. Among women, the highest percentage of them showed a lack of opinion on this subject and chose the „ I do not know” answer. 73% of men expect an improvement in their financial situation, the percentage for women is much lower and amounts to 40%. It is worth mentioning that only four people have indicated they do not expect any improvement in its financial position after graduation. It should therefore be assumed that the tested group of students is characterized by optimism about their future earnings or revenue sources, but the men in this case are more optimistic than women.

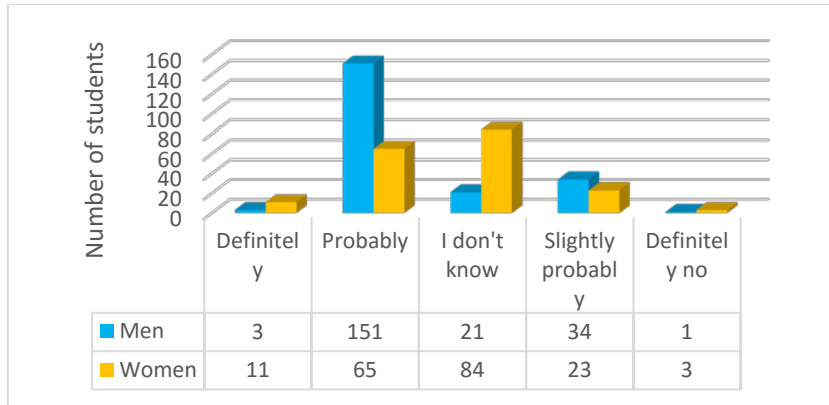


Fig. 11. The students' expectations according to their financial conditions after the graduation in relation to their gender.

Source: Own work

In the case of the division for full-time and part-time students, the first ones show a much more optimism with regard to improving their financial situation after graduation. As many as 69% of them, think that after graduation their financial situation will improve, obviously checking that they will find a job. This attitude can be explained by the fact that the majority of full-time students, receive pocket money from their parents, which is most likely, however, even lower than the minimum wage, and planning to go to work, they count just to improve their income.

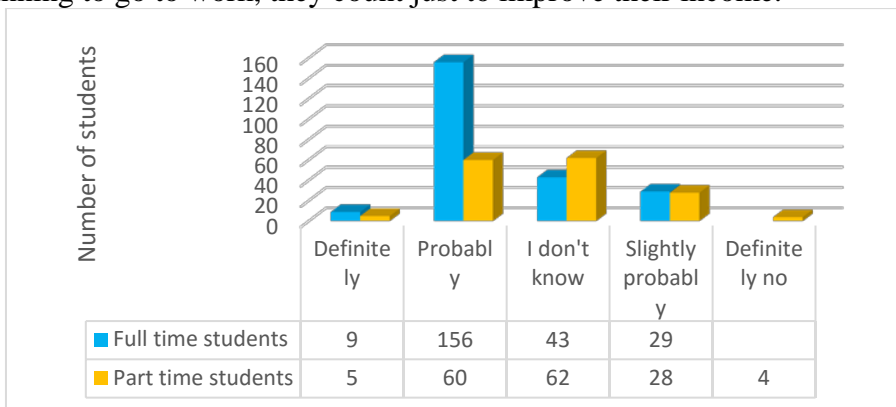


Fig. 12. The students' expectations according to their financial conditions after the graduation in relation to their studies types.

Source: Own work

In the case of part-time students, 40% of them expect to improve their financial situation after graduation. But almost as many, 38% expressed uncertainty and marked the answer "I do not know". While those 4 people, who checked that they do not expect to improve its financial situation after graduation, were the part-time students. It can therefore be assumed that, in

spite of studying, they work full time or run their own business and this situation will not change even after graduation.

## **Conclusion**

In Poland there is a stratification in the level of income, since income in Mazowieckie averages 1144,2Euro and in Pomerania 382,31Euro only. In the case of Czestochowa, which is one of the Silesian province this amount is 934.38 Euros and it is much higher than the income received by students participating in the survey, since the overwhelming majority of them, have monthly income less than 250 Euro, but we should bear in mind, they are the amounts that students receive from parents or scholarship, so on the one hand they can not be treated as income resulting from work. Despite the stratification of income and still relatively high level of unemployment, Polish society treats its financial situation as average, neither too good nor too bad. In this group most of the students describe their financial situation as unsatisfactory. But on the other hand, the greater part of them expect to improve their financial situation after graduation. In this group, only 5 people showed up pessimism in this regard. The biggest part of the students expenditures are food and household bills expenses. The lowest proportion is spent on entertainment, books, and fees associated with studies. Such a structure of expenditure may also be due to the size of incomes, that are simply too low and students mostly spend them on the most important needs. In summary it can be assumed that the financial situation of students is not very bad, since the amounts which they have allow to pay for food and households bills, but on the other hand - are low, since students rarely can afford to entertain or to buy books. With this money they are also, not able to fund trips, holidays or vacations.

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# **Internet Of Things (Iot) In A Retail Environment. The New Strategy For Firm's Development**

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## **Abstract**

The mixture of the Internet and emerging technologies such as NFC (Nearfield Communications), real-time localization, and embedded sensors (beacons) transform ordinary objects (things) into smart objects that can recognize the state of the environment and react accordingly to the changing conditions or collect data. Internet of Things (IoT) is a new revolution of the Internet that is driven by the recent advancements in the world of: sensor networks, mobile devices, wireless communications and cloud technologies. Experts forecast that by the year 2020 there will be a total of 50 billion devices connected to the internet. The digitization of machines, cars, and other elements of the physical world is a influential idea. The IoT is starting to have a real impact by changing how goods are made and distributed, how products are serviced and refined. The article discusses the new business models and new strategy for the firms in order to achieve competitive advantage due to use the capabilities of the IoT, especially in the field of mobile sensors (e.g. iBeacons). Such a business model is probably the greatest opportunity in the next years to create growth in the digital economy.

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**Keywords:** Internet of Things (IoT), business model, strategy, retail sector

## **Introduction**

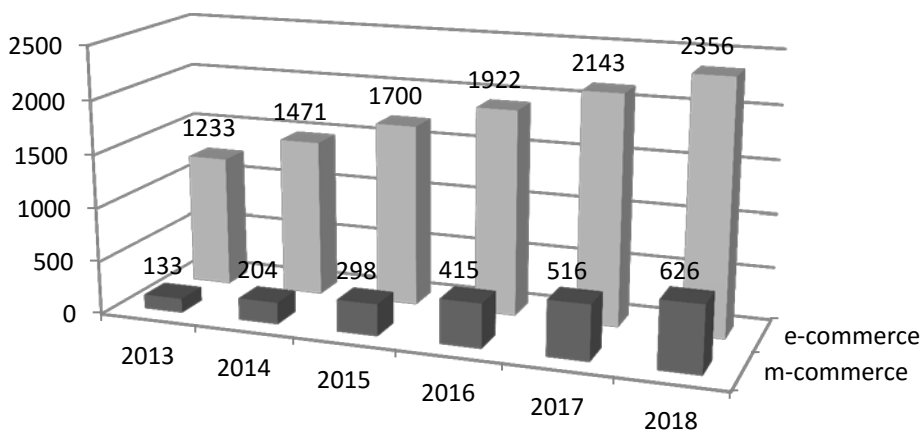
Until now, it is the technology titans and born-digital companies that have taken advantage of digital economy by realizing technology's power and developing new platform business models to gain extraordinary profits. They have dominated in terms of growth, profits, and high market capitalizations gains that have been invested back into new digital ecosystems. Today, there is an opportunity for traditional companies to implement new digital business models.

The Internet of Things (IoT) is a recent communication paradigm that envisions a near future, in which the objects of everyday life will be equipped with microcontrollers, transceivers for digital communication, and suitable protocol stacks that will make them able to communicate with one another (and with the users), becoming an integral part of the Internet. The IoT could be defined as a cohesive system where physical objects are seamlessly integrated into the information network, and where the physical objects can become active participants in business processes. Services are available to interact with objects over the Internet, query their state and any information associated with them (Haller, Karnouskos, Schroth, 2009).

According to a recent McKinsey study, the IoT can create global added economic value of up to 11 trillion dollars in 2025. This corresponds to around 11% of global economic performance. The Internet of Things has the greatest potential to influence retail networks, factories (up to 3.7 trillion dollars economic surplus value), cities (1.7 trillion dollars) and the healthcare industry (1.6 trillion dollars). In turn, the Industrial Internet of Things (IIoT) is already a reality in many places. As analysts from IDC have discovered, that 1/4 German manufacturing company utilized a predictive maintenance solution in 2014. Multiple sensors record the condition of machines and pass on the data online to analysis software, which then calculates the best time to carry out service and maintenance (McKinsey, 2015).

It's worth to notice, that fast increase in the number of smartphones worldwide, simplicity of use, functionality, together with a widespread and mostly inexpensive internet access - makes the mobile phone and the associated functions an integral part of consumer life.

Fig.1 Growth of the global digital commerce market (US\$ bn)



Source: The Mobile Economy 2015.

The mobile industry continues to grow, with a total of 3.6 billion unique mobile subscribers at the end of 2014. 1/2 of the world's population now has a mobile subscription. An additional one billion subscribers are predicted by 2020, taking the global penetration rate to approximately 60%. There were 7.1 billion global SIM connections at the end of 2014, and a further 243 million machine-to-machine (M2M) connections (The Mobile Economy 2015). The result is that the increasing percentage of purchases are made by or with the use of a mobile phone - 28% of all purchases in traditional stores is closely linked to the smartphone. The consumers use online coupons and offers, compare prices and read product reviews, use mobile payments. The producers and retailers are looking for an innovative marketing tools that will help them to identify customers. They want to transfer "marketing message" in an easy and efficient way directly to mobile consumers. This trend will deepen, reaching the point that the smartphone will be used for nearly all types of interaction between merchants and consumers.

### **The new technologies in the retail environment. The new opportunity for redefining business strategy and business model**

Companies will have to open up their business models. The companies should be more agile. There is a need to implement innovative tools related to strategic management (Nowodziński, 2011; 2013). In this case, more ideas will become available to them for consideration, and many more competitive strategies, as well. Companies that effectively build or change their business models are more likely to achieve their market goals and even exceed the expectations of stakeholders (Mahadevan, 2000). A contemporary business model performs two important functions: it creates value, and it captures a portion of that value. It creates value by defining a series of activities from raw materials through to the final consumer that will yield a new product or service with value being added throughout the various activities. The business model captures value by establishing a unique resource, asset, or position within that series of activities, where the firm enjoys a competitive advantage (Chesbrough, 2013). So we must agree, that business models are essentially linked with technological innovation, so the business model could be define as a system that solves the problem of identifying who is (or are) the customer(s), engaging with their needs, delivering satisfaction, and monetizing the value (Baden-Fuller, Haefliger, 2013).

So, it is worth considering a new factors affecting the business model which could be helpful to achieve better performance by the company – due to use the potential of IoT.

Internet of Things will provide unique opportunities to penetrate technology and automation into everything we do, and at the same time, provide a enormous playing field for businesses to develop innovative business models to capture market share (Narasimha, Vijaya. 2015).

According to latest McKinsey report on IoT, we define retail environments broadly as physical spaces where consumers engage in commerce – considering or purchasing goods or services. This includes traditional stores and showrooms. It also includes physical spaces where services are purchased, such as bank branches, theaters, and sports arenas. Retail environments have undergone significant change over the last years due to the introduction of IT technologies, including the rise of online shopping. The IoT has the potential to be a source of bigger revolution , but IoT can also provide traditional retailers with the tools to compete—and coexist—with the online retail world as “omni-channel” shopping erases the distinction between online and offline shops. The Internet of Things, for example, can guide the shopper to the item she has been looking at online when she enters the store and text her a personalized coupon to make the purchase in-store that day. IoT technology can also provide data to optimize store layouts, enable fully automated checkout, and fine-tune inventory management. These and other innovations could enable new business models and allow retailers to improve productivity, reduce costs, and raise sales. IoT adoption in the retail setting will depend not only on the evolution of technology but also the development of new business processes. IoT systems require modern store formats and investments in data systems and electronic payment systems. Widespread IoT adoption would affect players across the value chain, including employees and consumers. It has the potential to reduce the need for labor on the selling floor and at checkout, while raising the amount of revenue per customer (increasing the “shopping basket”) through customization and cross-channel (online/offline) selling. Consumers would gain more value through convenience, time saving, and more attractive customized promotions. To remain competitive, companies would need to master new ways of operating and learn to collaborate closely with technology and data vendors. Adoption of payments, security, and inventory control systems has accelerated- by adopting Internet of Things technologies, retailers can improve their economics, lowering inventory costs, raising productivity, and improving the customer experience (the largest potential are automated checkout and real-time advertising and promotion) (Manyika, et al. 2015).

In the contemporary economy, one of the significant factors determining the activities of enterprises is that of change in the behaviour of consumers on the market. These changes may be the result of the impact of various circumstances. The most important of these include the impact of the

environment in economic, demographic, socio-cultural, technical and technological dimensions, among others. Each of the aforesaid dimensions has an impact on the formation of new forms of consumption in both the short-term and long-term periods of time. One of the new forms is econsumer behaviour, which involves the realization of the process of consumption on the Internet. Its development is associated with new forms of communication. Mobile equipment (cellular phones, smartphones, tablets) with connections to the Internet facilitate the acquisition and consumption of consumer goods outside of traditional shops, which in turn has an impact on the creation of new trends of consumption (Bylok, Pabian, Tomski, 2015).

### **The building blocks of the Internet of Things in the retail sector: beacons and mobile applications**

Compared with the Internet, IoT provides a wider platform to share more information. In this situation, the information service in IoT is necessary to organize the process of getting and sharing information for the IoT user (Shang, Zhang, Chen, 2012). There are increasingly benefits for consumers from the growing range of new connected services, with a focus on mobile applications and the potential of beacon technology.

Beacon is a hardware transmitter - a class of Bluetooth low energy (LE) device that broadcasts his identifier to nearby portable electronic devices. The technology enables smartphones, tablets and other devices to perform actions when in close proximity to such device. Beacon uses Bluetooth low energy proximity sensing to transmit a universally unique identifier picked up by a compatible app or operating system. Once setup, beacons will continuously broadcast a signal (similar to a radio station) to create a mesh network connected to specified platform and API. By adding such functionality to customer mobile app, merchant can create sophisticated indoor positioning, proximity detection, and personal interaction systems – suitable for a variety of purposes inside the store, for example. The identifier can be used to determine the device's physical location, track customers, or trigger a location-based action on the device such as a check-in on social media or a push notification. One application is distributing messages at a specific POI (Point of Interest), for example a store, a bus stop, a room or a more specific location like a piece of furniture or a vending machine.

By the way, iBeacon is a communication protocol developed by Apple on top of Bluetooth Smart Technology (BST) and Bluetooth Low Energy (BLE). It allows developers to create mobile apps aware of location context provided by beacons. Beacons broadcast small packets of data, containing their iBeacon ID and information about signal strength, so that the e.g. mobile device can recognize which beacon it receives and how far it is. The transmitter may be placed inside a kind of a shell that allows it to be

easily attached to flat surfaces such as wood, concrete or glass. With the help of an beacon, a smartphone's software can approximately find its relative location to an beacon. Retail stores use the beacons for mobile commerce, offering customers special deals through mobile marketing, and can enable mobile payments through point of sale systems. Beacons enable developers and organizations of any size, to create and deliver an astounding range of experiences – from creating new ways to interact with technology, enhancing brand experiences with contextual interaction, to boosting business process efficiencies with actionable data. Beacons can be used for various purposes, as described below (Newman, 2014; Willmott, 2014; Shankara 2015):

- Show customers available product options or provide additional information (e.g. transfer of business information at the POS - coupons, discounts, promotional offers) (Puto, Koscielniak 2015),
- Payments making - Allow customers to pay / identify themselves using their smartphone (Flamme, Grieve, 2014),
- Provide rewards and incentives based on actionable customer behaviors,
- Transmission of information during sporting or cultural events - create an interactive tour through e.g. an art exhibition or historical journey,
- Providing content (free newspapers and magazines in digital form),
- Transmitting of real-time information on train stations, airports, stations, public transport taking account of delays, changes in the schedules or weather conditions (Dziekan, Kottenhoff, 2007).

The application that receives the signal sent by a transmitter beacon immediately sends information about logging within it to analysis software that collects data and presents it in the administration panel formatted and calls on the phone pre-programmed actions. At the present time, the most popular ways to use such technology are those that are related with the displaying the information to customer in retail stores. Analytical engines which is powered by the information based on the behavior of the consumer and application usage patterns sends a personalized offer, notification or commercial information (Niemeier, Zocchi & Catena, 2013).

The customer value is growing steadily, in the oversupply of products era. So, companies have to look for the innovative solutions that enable them in very effective analysis of customer behavior at the point of sale (Skowron-Grabowska, Sukiennik, 2015). Analysis of customer behavior at the point of sale is becoming increasingly important. Companies try their best to meet the consumer requirements and needs their manufacturing capabilities. Only comprehensive knowledge about consumer behavior may provide the market success. The modern market is also about optimizing the operating costs. In this context, the Information about the consumer is necessary in order to better staff management. The managers want to know more and more about

traffic at the point of sale and the average length of time the client spends there. The platform provides information on consumer behavior at the point of sale, based on data from the mobile application. One of the possible features is data management and grouping records according to certain criteria (eg. age of customers, first time customers and returning ones). Unlike other methods of measuring customer behavior beacon technology gives results with 100% accuracy, eliminating uncertainty factor in interpreting the observations and desktop research. Service based on analysis of customer behavior and their customer journey along the store, can be a source of commercial information and gives a possibility to communicate with the customer in real time with the tailored offer. The system is based on the 3 main subsystems, as described below:

- Software engine - collecting and processing the data sent by a mobile application from the phone located within the transmitter (beacon),
- Customer panel - available from the website, along with the software engine generates analysis and allows data management,
- Dedicated mobile application supporting sales and connecting the brand with consumers, supporting mobile marketing channel.

Communication between the transmitter and the mobile device allows to:

- survey the number of visits in a given period of time,
- measure the period of time spent in the store,
- mapping of customers at the point of sale (time and number of visits in a given area),
- create and manage marketing campaigns and events in stores,

Examples of functionality to the end-user (eg. retail network customer):

- The ability to send personalized offers and coupons to customers who visit the shop, they decide to leave the store or looking for a specific product,
- The ability to adjust messages according to data such as the status in a loyalty program or transaction history of the customer,
- Pointing the way to a specific product within the store,
- Notification about promotions in the store,
- Mobile payments.

One of the key challenges for today's retailers is not only to encourage customers to use the service or product, but most of all is to establish strong and real connection, commitment to service or product. The customer satisfied with the level of service will probably come back, and in an ideal scenario even recommend the offers to another customer in the near future (Griffin, et al., 2012; Giovanis, Athanasopoulou 2014). There are a number of marketing tools that allow you to build a loyal customer base and undoubtedly one of the most widely used are loyalty programs including



those using all kinds of loyalty cards, stamping, as well as coupons or discount vouchers. The application not only allows you to store all of the above cards, but first of all eliminate spam advertising and concentrate on offers and brands sought after by consumers (Rego, Morgan, Fornell, 2013). Through personalized selection of brands and spatial capabilities the customer will always receive the most relevant information. Taking advantage of the proximity marketing, and beacon technology the consumer receives only offer tailored to their needs in the most appropriate time, when making purchase decisions, and the purchases made. This property provides marketers with the opportunity to target location-sensitive promotional offers to mobile device users. Conventional marketing media such as billboards also allow location-specific messages, but with mobile devices, such information can be targeted to the location of the individual user based on their stated preferences and revealed behaviors (Shankar, 2012). Loyalty cards transferred to the application are always within reach, and their number is unlimited, helping consumers always use occasions. The mobile application can be adapted to customer needs. It is worth to notice, that mobile channel has 3x greater efficiency of marketing activities in comparison to the online actions.

### **Conclusion: Strategy for the future. The Internet of Everything**

More and more machines, products and everyday items are going to be fitted with sensors and wireless chips, enabling them to communicate with each other. In terms of the overall economy, the Internet of Things seems poised to make a gigantic leap. Experts are predicting that 24 billion devices will turn into “smart” devices and start connecting to the internet in the next four years. This will include at least 10 billion smartphones by 2020.

Potentialities offered by the IoT make possible the development of a huge number of applications, of which only a very small part is currently available to our society (Atzori, Iera, Morabito, 2010).

The 'Internet of Everything (IoE) whereby each human on average is currently connected to about 200 things (smart phones, tablets, sensors and systems) has had a radical impact on business but also on communities. Actually, the idea of IoT transformed into the more broadly conceived Internet of Everything (IoE)—a term described as “bringing together people, process, data, and things to make networked connections more relevant and valuable than ever before—turning information into actions that create new capabilities, richer experiences, and unprecedented economic opportunity for businesses, individuals, and countries”. By extension, this concept has much in common with the emerging idea of hypernetworks—all - encompassing nonlinear ecosystems in which discrete, nonlinear networks federate to produce a veritable network of networks (Bojanova, Hurlburt, Voas, 2014).

Decade ago, wearable computerized devices, personalized advertising commercials and billboards and autonomous cars are appeared as a class B science fiction movie. The rapid technological revolution has become a reality. With the spread of smart devices, mobile networks, cloud computing, Big Data analysis, innovative technologies related to sensors and micro controllers the new era of the Internet of Things has finally arrived. Over the last decades new technologies have transformed our lives. Mobile technologies and related to ones have evolved from voice-centered communication to data communication. Today's smartphone-based lifestyle services revolutionizing how people work, communicate and even play. In the IoT era the result of innovations taking place in every industry and sector will be connected and optimized, followed by meaningful convergence, to constantly create greater value and infinite opportunities.

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## **Imitation, Myth and Violence, Today and in the Past**

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### **Abstract**

In this article on imitation and violence I wish to interpret violent relations between human beings as founded on imitation of each other desires. (A desire for what other people desire.) Imitation, the desire to have what other people desire, is both the root to success and the root to violence. The article is inspired by the French philosopher, René Girard's (1923-2015) theory on imitative desire. In my view, societies are continually threatened by violent imitation, and, at the same time, imitation is the factor which creates dynamic societies and cultures. Human beings are driven by desiring what other people desire, by wanting what others want. The challenge is to be able to create a society where one can freely follow one's imitative desires and, at the same time, prevent violence. Desire today is, because violence is less accepted, manifest in a less physically violent way than before. Nonetheless, desire today creates scapegoats in a more psychological manner.

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**Keywords:** Imitation, Violence, Desire, Competition, Rivalry

### **Aim**

In this article I wish to discuss the relation between imitation (mimesis) and violence by combining the cultural theory of René Girard with the anthropological insights of Marcel Mauss. My aim is to show that the source of violence lies in an acute desire to have what others have. This is a universal phenomenon, which is becoming more and more acute as prohibitions in traditional societies are waning and the freedom to act on one's desires is more and more common.

### **From Friend to Foe**

The reason why mimesis is so closely associated with violence is that it easily leads to rivalry. Violence always seems to be mingled with desire,

and, even if it is 'righteous', a response to some kind of injustice, violence is often located in some sort of rivalry.<sup>42</sup>

Terms such as "imitation", "identification", and "comparison" do not have to turn out to be violent – even when a great deal of competition is involved. In this respect, I disagree with they who say that imitative desire must be violent, thus restoring an insight going back to Heraclitus that violence is the source of all.<sup>43</sup> The all-decisive factor is the shift from competition to rivalry, from being allies to becoming enemies. The transition from being competitive friends to rivals comes as a result of imitation. Thus, imitative desire is the generative force behind violence, the snake that turns friends and lovers into rivals.

### **Reciprocal Violence**

Traditional societies tried, and often very successfully, to protect individuals through prohibitions and taboos. These prohibitions and taboos were directed against any kind of activity which could possibly unleash violent rivalry. The killing of adulterers, thieves and foreigners can be seen as a way of ridding society of pollution, and cleansing it from the potential imitation of bad desires. In this way a society's violence functions in a protective and anti-mimetic way. The violence against transgressors is a kind of mimetic anti-mimesis, a way of telling people to follow the rules of society so that they would become mimetically immune to the forces that threaten society.

Violent victimizing appears to fulfil a generative function by preventing transgressions, 'cleansing' morally and restoring peace. But, at the same time, it bears (unconsciously for the participants) a similarity to what one wishes to expel, namely the feared violence and pollution of the person(s) victimized. Despite attempts to expel violent transgressions, the attempts themselves are quite similar to the violence they are trying to exorcise. Both Freud and Girard have seen that those who conduct a rite of sacrifice are projecting onto the sacrificial victim qualities that reflect some of their own innermost concerns.<sup>44</sup>

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<sup>42</sup> In cases where injustice and exploitation have been done against a community, desires are often initially sparked by the exploiters. This rivalry can also be manifested as rivalry among the exploiters, which is then materialized into further exploitation and easily calls for violence among the exploited victims, because of the rivalistic desires among the persecutors.

<sup>43</sup> Robert G. Hamerton-Kelly. *The Gospel and the Sacred*, Minneapolis: Fortress Press, 1994, 132.

<sup>44</sup> Jurgensmeyer.(Ed) 'Is Symbolic Violence Related to Real Violence?' in *Violence and the Sacred in the Modern World* , London: Franc Cass, 1992, 3.

*In demolishing the victim they are symbolically annihilating aspects of themselves. What is destroyed is destructiveness itself: the feelings of violence and hostility that lie behind attempts to carry out violent activities. Such feelings are antithetical to the ties of friendship that bond a community together, and feelings of violence towards one's peers and associates must be banished if a closely knit community – such as a tribal brotherhood, a spiritual fellowship, or a modern nation – is to survive. (Jurgensmeyer. 'Is Symbolic Violence Related to Real Violence?' in *Violence and the Sacred in the Modern World*, London: Franc Cass, 1992, 3.)*

Sacrificial violence, seen from a modern, non-sacrificial standpoint, is a kind of suicide. By killing the other, one also kills something in oneself. Modern societies are full of these projections of one's own desires onto the other, which expose the modern variant of sacrifice and which are often less physically and more psychologically violent yet still victimizing in their attitude of projecting.

This Freudian act of projection resembles the act of doubling, the intense mimesis of the other that creates doubles. From a Girardian perspective it is double desire that leads to violence.<sup>45</sup> The imitation of each other's desires will sooner or later lead to rivalry, and then to violence.<sup>46</sup> This doubling does not only have to involve two people; it can be two groups, two countries. But the effect is always negative. Raymund Schwager explains it in the following terms.

*Whoever is desirous has to expect that the others will too. Whoever succumbs to rivalry arouses the same passion in others. Whoever resorts to violence is imitated in his or her actions until, sooner or later, the deed falls back upon his or her own head. (Raymund Schwager. *Must There be Scapegoats?*, N.Y./Herefordshire: The Crossroad P.C./Gracewing, 2000, 81.)*

*This excellent description of reciprocal violence shows just how inevitable the escalation of violence is. There is something organic in mimetic rivalry; the contamination is so strong that the way out of violent conflicts seems to require a change of heart, an act of forgiveness in order to stop the never-ending cycle. The process of violence, as we can see, is only different variations on the structure and strength of desire. It is the desire between the subject and the desired person in different configurations. And the initial objects, such as for example money, which started the rivalry,*

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<sup>45</sup> 'Mimesis and Violence' in *The Girard Reader*, Ed. James Williams). NY: The Crossroad Publishing Company, 1996, 12.

<sup>46</sup> "The more a tragic conflict is prolonged, the more likely it is to culminate in a violent mimesis; the resemblance between combatants grow ever stronger until each presents a mirror image of the other." (René Girard. *Violence and the Sacred*, (5<sup>th</sup> Ed.), Maryland Baltimore: The John Hopkins University Press, 1986, 47.

*seems to get lost in the turmoil. Girard explains this escalation of violence as an increase in resistance.*

*The more desire is attached to resistance the more it is oriented towards violence. (René Girard. Things Hidden, since the Foundation of the World, London: Athlone Press. 1987, 334.)*

According to mimetic theory, there is little rationality in violence because, in exactly the same way as in rivalistic love, violence seems to be motivated less and less by any object, and more and more focused on reciprocal violence. There is, of course, a rationality attached to the balance, the reciprocity, but the objects, which are usually seen to introduce and motivate violence, gradually become less motivational.

*Any object at stake in conflict will ultimately be annulled and surpassed, and acquisitive mimesis, which sets members of the community against one another, will give way to antagonistic mimesis, which eventually unites and reconciles all members of a community at the expense of a victim. (Girard. Things Hidden, 95.)*

This rivalry towards nothingness is marvellously illustrated in the movie, *American Psycho*, based on Ellis' novel, showing how a young New York yuppie can become a serial-killer. In one scene the young and successful New York businessmen begin rivalling about which of their business card is the most slick & subtle. The protagonist, Patrick Bateman, gets sick with envy and reacts by committing his first murder. This is actually one of the best examples on *desire according to the other's desire*, as there is absolutely nothing real at stake, only desire.

Thus imitation is the force which both begins and ends violence. And in this respect imitation is primary to violence. First there is mimesis; violence then stems from the inevitable conflicts aroused by mimetic desire. In this respect violence is always caused by imitative desire. Violence is not originary. It is a by-product of imitative desire.<sup>47</sup>

*Violence is mimetic rivalry itself becoming violent as the antagonists who desire the same object keep thwarting each other and desiring the object all the more. Violence is supremely mimetic. ('Mimesis and Violence' in The Girard reader (Ed. James Williams). NY: The Crossroad Publishing Company, 1996, 12-13.)*

If there were a violent inclination in human beings, violence would have been instinctual and one would not label it as violence. Calling it violence means that the killing is not instinctual but is related to moral problems. The specificity concerning humans and killing is this lack of ability to kill without consequences, and without the accompanying moral and religious implications. This is the result of an expanded imitation.

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<sup>47</sup> 'Mimesis and Violence. Perspectives in Cultural Criticism' in *The Girard Reader*, 12.

Human violence has no braking mechanisms against intra-specific aggression. This means, according to Burton L. Mack, that rivalries and conflicts, once unleashed, cannot stop short of manslaughter.<sup>48</sup> According to Girard, the growth of violence among human beings is a result of imitative activity linked to the increase in brain size.<sup>49</sup> This does not mean that human nature has become more violent, on the contrary, but it does mean that increased intelligence makes violence more effective and far-reaching. Also, the fact that human beings have no instinctual stoppage mechanism makes violence complex and seemingly irrational because of the vast range of violent expressions caused by the variations in conflictual mimesis.

When discussing imitation in relation to violence, almost all variations of violent imitation can be labelled acquisitive. There is a tendency to interpret imitation as representation, especially when the level of conflict is low. If, however, the level of conflict rises, it would seem that everything revolves around acquisition. Thus imitation should be related to the desire to acquire goods, not least to obtain things which are difficult to obtain. But Girard only follows up to a certain point economists who attribute violence to the scarcity of essential objects,<sup>50</sup> as the connection between scarcity and violence is relative. In some cases there is only a minor degree of scarcity before there is violence, and in other cases there is no scarcity whatsoever. This means that the relation between violence and scarcity must be understood in the context of desire rather than in relation to the scarcity itself. Girard, however, has never related his understanding of imitation to a real discussion related to the scarcity of goods. Clearly, scarcity is taken into consideration too little in mimetic theory, especially in the global perspective. This might possibly be because it would weaken his mimetic theory. The external desires due to scarcity of food and other goods are, in certain areas of the world, motivated by the *desires to survive and not by metaphysical desire*. Mimetic desire, when not confined to desires in the Western world, would, I suppose, become less related to internal mediation, as the individual in most parts of the world is more regulated by sacrificial institutions.

### **Violence and Desire in Myth**

Mimesis and violence play such an important role in understanding of myths that without the presence of violence and imitation, a myth would not be a myth, but either a straightforward true story, or a fairy tale. Instead of seeing the homogeneity of myth in common textual structures, like Lévi-

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<sup>48</sup> Burton L. Mack. 'The Innocent Transgressor: Jesus in Early Christian Myth and History,' *Semeia* 33 (1985): 139.

<sup>49</sup> Girard. *Things Hidden*, 94-95.

<sup>50</sup> *The Girard Reader*, 10.



Strauss,<sup>51</sup> Girard sees the homogeneity of myth in the violence from which it stems and tries to hide. Myths try to cover up the violence which has been inflicted by divinizing the violence and transcribing the events in such a way that the violence of the society is not revealed as such.<sup>52</sup> Myths function in a society both as legitimation and preservation.<sup>53</sup> In this way Girard's understanding of myth corresponds to that of Durkheim when the latter claims myths hide more than they reveal.<sup>54</sup> According to Girard, one cannot trust the myth's message, one has to uncover layers of mythology in the myths to discover the real accounts hidden in myths.<sup>55</sup> Golsan, in his book on Girard and myth, writes that while Girard 'shares the view that myths are not precise accounts of historical occurrences, he does argue that they originate in real or historical events.'<sup>56</sup> Thus, one of the most important features in Girard's understanding of myths is that there are real events behind sacrifices.<sup>57</sup> Despite his suspicion about the messages of myth, Girard believes they refer to violent historical events.

*All myths...have their roots in real acts of violence against real victims.* (René Girard. *The Scapegoat*, Baltimore, Maryland: The Johns Hopkins University U.P., 1986, 25.)

One of Girard's main hermeneutical challenges has been to find out how myth was transcribed.<sup>58</sup> The attempt seems extremely hypothetical, built on an extraordinary confidence in modern rationalism as a tool with which to demythologize the non-violent cover-up. The hermeneutics of suspicion is so acute that Girard actually claims that myth basically tells the opposite of what really happened. This claim is only possible when seen from a non-sacrificial standpoint, where the sacrificer's point of view is questioned. The view that myths will always, in some way or another, refer to some kind of sacrificial event, differs dramatically from Levi Strauss' concept of myth as language without any necessary referentiality. The sacrifices or murders are the events from which the myths are compiled. Mythology partly distorts this reality, often by turning it into fantastic events, which shows a certain inability to cope with violence. Violence engenders

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<sup>51</sup> Claude Lévi-Strauss. *Myth and Meaning*, New York: Schocken Books, 1995. See chapter four 'When Myth Becomes History'. See also 'The Structural study of myth' in T.A. Sebeok. *Myth – A Symposium*, Bloomington: Indiana U.P., 1958, 83-84.

<sup>52</sup> See Girard. *The Scapegoat*, 23-99.

<sup>53</sup> Mariasusai Dhavamony. *Phenomenology of Religion*, Rome: Gregorian U.P., 1973, 140.

<sup>54</sup> Ivan Strenski. *Four Theories of Myth in Twentieth century History*, Houndmills: Macmillan, 1987, 138.

<sup>55</sup> See Girard. *The Scapegoat*, 23-99.

<sup>56</sup> Golsan. *René Girard and Myth. An Introduction*, New York & London: Garland Publishing, 1993, 61.

<sup>57</sup> *The Girard Reader*, 12.

<sup>58</sup> See Chapter 6, 7 and 8 in *The Scapegoat*.

myths, and turns the real events into something fantastic. As in a war, the real facts are censored. Violence distorts reality, and myths are one way of doing away with or transforming the actual events. At the same time, myths are often the only source for uncovering the events narrated, and it is through a suspicious reading that one can decipher the reality behind myths. This process of being able to go behind the myths to discover remnants of real events, reveals Girard's belief in a structural thinking which is not governed by desire.

Myths are linked to sacrificial crises and thus to violence. The most important function of myth is to establish a sacred reality.<sup>59</sup> The mythmakers are imitators of the norms of society; they are a kind of spiritual storyteller who produces myths within which a society can function. Both myths and rituals are rationalizations of the sacrificial crises that threaten to make their society dissolving into violence.

*Myths are the retrospective transfiguration of sacrificial crisis, the reinterpretation of these crises in the light of the cultural order that has arisen from them. (René Girard. Violence and the Sacred, (5<sup>th</sup> Ed.), Maryland Baltimore: The John Hopkins University Press, 1986, 64.)*

## **Myth and Ritual**

Myths come into play following the sacrificial crises, and are interpretations of the mimetic turmoil which a society has gone through. But because the mythmakers imitate the norms of society, and tell/write from a society's victimizing point of view, the act of copying is not drawn from the events themselves. There is actually an anti-mimetic tendency concerning the real event, which explains the blurred report of reality. The act which should be imitated is the act of *divinization, which is enacted through ritual*. Mimetic theory, when considering myths should, in my view, embrace Malinowski's claim that the power of myths does not stem from the collective force, but rather from the imitation of each other.<sup>60</sup> This, as I see it, is going one step beyond a sociological reference when looking for the source of myths in mimetic desire. Ritual is a symbolic imitation of the events (sacrifice) as described in the myths.<sup>61</sup> In this respect there is a much

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<sup>59</sup> Dhavamony. *Phenomenology of Religion*, 150.

<sup>60</sup> Strenski. *Four Theories on Myth in Twentieth century History*, 52.

<sup>61</sup> Girard seems, in *Violence and the Sacred*, to agree with the anthropologists Hubert and Mauss in dismissing relating myth to ritual, and ritual to myth. (See *Violence and the Sacred*, 90). But as far as I can see, this is exactly what he does in his analysis of sacrifice as the centre in myth and ritual. (*Violence and the Sacred*, 90-96.) In later works he more or less admits this: In an article called 'From Ritual to Science' Girard writes: 'Far from opposing rites from myth, as is done today, we must bring them together as was always done

simpler imitation to ritual. Ritual re-enacts the mimetic crisis and the transformation brought through by the victimage mechanism. This theory is not new though; already in the book *Myth and Ritual: Essays on the Myth and Ritual of the Hebrews in Relation to the Culture Pattern of the Ancient East*, published in 1933, myth is seen to be the story which the ritual enacts.<sup>62</sup> In this way ritual does not necessarily imitate the real acts, but the acts described in the myths. Ritual is a mimetic representation of myths. (It can also, possibly, be the other way round: myths can be imitations of rituals.)<sup>63</sup> Ritual can be seen to be a rationalized, simplified and purified version of myths. One could say that myths transcribe and transform violent imitation. In ritual, the violent imitation is often removed when the violent acts are represented. Rituals seem, more openly, to represent the official version of the myths. Therefore, in rituals the censor's position is much weaker, because the myths have already censored the events. The myths have already done away with the original violence, while the rituals present the crisis in order to emphasize the way out of chaos into a new, differentiated existence. Therefore, the imitation of the sacrifice through ritual is also largely preventive.<sup>64</sup> The attempt (in myth) to hide violence may be seen as the desire to establish a mythic representation. The act of purging the myth of its acquisitive and raw origin, is simultaneously an act of turning myths into representations of violence, not of violence in itself. This again underlines my view that representation is often established to moderate mimetic violence. But in so doing, it runs the risk of covering up the real violence.

### **The Anti-Mimetic Tendency in Myth**

Myths are anti-mimetic towards the actual violent events, because they are restricted by the sanctions of society. Myths tend, just like rituals, to legitimate society. In this respect the killing (narrated in myth) is transformed. When claiming that there is an anti-mimetic tendency in myth, I mean that the myth, based on the persecutor's point of view, is usually

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before. We must recognize in the rite the operation of mythological speech, but without seeking to make the latter the original of the former, or vice versa. The original is elsewhere.' (Girard. 'From Ritual to Science,' in *Configurations*, Johns Hopkins U.P., 2000, 172-173.)

<sup>62</sup> Blackman/Hooke. *Myth and Ritual: Essays on the Myth and Ritual of the Hebrews in Relation to the Culture Pattern of the Ancient East* (London: Oxford U.P., 1933), 3.

<sup>63</sup> According to Walter Burkert, ritual probably is far older in the history of evolution than myths since it goes back even to animals. (Walter Burkert. *Homo Necans*, Berkeley Los Angeles London: University of California Press, 1983, 31.)

<sup>64</sup> Violence and the Sacred, 102.

written from the standpoint of a warning, of not enacting the violence. This is clearly the case regarding tragic myths, for example the Oedipus-myth. On the other hand, there are myths which require imitation. Myths of fertility, for example, clearly require imitation, as this fertility must be renewed. Girard's understanding of myth only considers violent myths.

For Girard myths are not basically concerned with identity and world-explanation, rather they function as a way of upholding society by means of a *cover-up*. Myths do not encourage violence. On the contrary, they seek to hide the real violence. (Therefore they are mythical.) But, on the other hand, they do not intentionally reveal violence either. Rather, they indicate violence. Myths are violent in that they try to hide the persecutor's violence. The violence is the act of writing from the persecutor's point of view. Myth, despite its violent norms, hides a society's guilt at having killed the victim(s). It is this urge to hide the murder which makes myths anti-mimetic, and, usually, does not directly encourage violence. Nevertheless, such cover-up myths are violent in that they legitimate the killing (despite rewriting the cause). Myths, as they are written from a society's point of view, are mimetic in the way that they seem to propagate and uphold the norms of the persecutors in a society. Thus, violent events are not described from a totally non-mimetic point of view; rather, mimesis is primarily based on the mimesis of society, and the events can only be made mimetically acceptable when transformed by these norms. Myths are representational as regards the events, but the mimesis that dictates the myth is secondary, engendered by the norms of society. When historical 'reality' becomes transformed into myths (and rituals), it becomes mimetically acceptable.<sup>65</sup> *In fact myth and ritual represent the community's cultural foundation.* But myth, compared to ritual, is usually more complex textually, so there will always be room for heretical presentations of a society's myths, even if this is more an option for the modern scholar than for the individual in a traditional society, regulated as the latter is by a set of rigid norms. However, taking this heretical possibility into consideration, I would agree with Lévi-Strauss (against Girard) that myths have a more individualized tendency than rituals.<sup>66</sup> The myths presented from the persecutor's point of view may be

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<sup>65</sup> According to Gebauer and Wulf, the great problem in Girard's understanding of myths is that Girard claims that all myths of cultural origins are encoded representations of real events in which order is established as the result of originally violent acts. Gebauer and Wulf claim that there is little basis for locating any original event: '(...) the analysis of the mythical series of events as crisis of the religious institutions is undertaken in regard to a text that does not exist, but must first be produced. The extant mythical texts are systematically distorted; they must be read anew with the distortion filtered out.' (Gebauer & Wulf. *Mimesis*, California: University of California Press, 1995, 262.)

<sup>66</sup> See Claude Lévi-Strauss. *The Raw and the Cooked*, London: Jonathan Cape, 1970, 53.

seen as an attempt to hide the acquisitive tendency in the original. The mythmakers, however, expose and rewrite the events as representations of reality. In this way the mythic texts need to be demythologized in order to be seen as myths. By questioning the representation, the acquisitive dimension in myth suddenly exposes itself beneath the layers of representation. This is evident in the representations of the Passion where the death of Jesus is described as violent and sides with the victim against the aggressors. The aggressor's violence cannot easily be mythologized.

Demythologization in mimetic theory is based on the victim's revelation of violence. The victim's revelation of violence can only be a revelation so long as there is the understanding that the victim is innocent. By means by which Girard deconstructs myths is reflection on the Passion narrative. Through the Gospel stories of Jesus' innocence, the innocence of other passions and sacrificial deaths is illuminated. However, this intertextuality is hidden in Girard's work. He never explicitly tells the readers where he is speaking from. In *Things Hidden* he claims that he does not care to know where he is speaking from.<sup>67</sup> But now, as the theory seems to be fully developed and the Christian roots are more to the fore, the Passion drama plainly seems to be the main hermeneutical tool upon which the theory rests. This is, of course, more directly evident in relation to the scapegoat mechanism than to violence and myth. But if Girard had not seen violence and myth from a non-sacrificial Passion-perspective, he would probably *not have had such a negative view on both*.

Both myth and rituals must, in mimetic theory, be seen in the context of desire. The urge to hide desires means disregarding mimesis. Especially myth can be seen to be desirous; both in transforming the victim and in covering up of violence.

## **Acquisition and Rivalry**

### **Mauss: Anthropology and Rivalry**

Let us shift the perspective from myth to conflict, in order to grasp the acquisitive dimension in violence. Conflict can be seen as an initial stage of violence. In psychology, sociology and anthropology mimesis is understood, more than in philosophy and religion, as acquisitive mimesis, an acquisition which also is based upon the other. Marcel Mauss' work, *The Gift*, illustrates the acquisitive basis of human societies in a most intriguing way. The strength of Mauss work (a work on how primitive societies are governed by the laws of exchange) lies in the emphasis he puts on rivalry in the act of exchange. Mauss shows that all kinds of gifts (within the societies he has researched, mainly Polynesian) are based on a system of *reciprocity*.

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<sup>67</sup> Girard. *Things Hidden*, 435.

This reciprocity, which governs different kinds of exchange, clearly contains acquisitive elements. The balancing of accounts can contain virtually anything. This indicates a system of imitative reciprocity. Imitation contained in the receiving of a gift in an attitude of reciprocity, establishes a bond towards each other. This double nature is, as Mauss writes, already inherent in the word *gift*, which in Germanic languages can mean both a gift (present) and a poison.<sup>68</sup> In receiving a gift all kinds of obligations are required. In this respect, reciprocal imitation means surrendering to the laws of society. Also religious sacrifices are built upon a principle of reciprocity. When there is reciprocity, the system, according to its own laws, is governed by good mimesis. And when there is some kind of breach, bad imitation is always near at hand. Among the Polynesian clans refusing to give, failing to invite, or refusing to accept, is tantamount to declaring war, indicating that violence is near at hand whenever there is a breach in reciprocity.<sup>69</sup> Mauss writes in his *Conclusion* that throughout a considerable period of time, in a considerable number of societies (up until modern times) there was no middle way: either one trusts completely or distrusts completely, either one gives everything or one goes to war.<sup>70</sup> The rivalry is not only limited to necessities, there is rivalry in all spheres, not least in the act of generosity; the will to outdo the other with presents and feasts<sup>71</sup> is also imbued with the same mimetic rivalry.

Mauss talks about the ability to attract and dazzle the other person.<sup>72</sup> At certain potlatches there is a rivalry over who is the richest and the most madly extravagant. Mauss clearly perceives rivalry in generosity, and cunningly concludes that ‘everything is based upon the principles of antagonism and rivalry.’<sup>73</sup> In some instances there is a violent transcending of the reciprocal system of giving and returning gifts. Instead of a controlled reciprocal imitation, there is a shift towards a chaotic imitation where one destroys in order not to give the slightest hint of desiring one’s gift to be reciprocated. Mauss gives an example from the American Northwest where houses and thousands of blankets are burnt, and the most valuable copper objects are broken and thrown into the water ‘in order to ‘flatten’ one’s rival.’<sup>74</sup> This indicates a development from a rational and upholding imitation based on reciprocity, to a violent, almost apocalyptic frenzy. In such cases it is *insufficient* to restrict imitation to *reciprocity*. Mimesis based

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<sup>68</sup> Marcel Mauss. *The Gift* (London, N.Y.: Routledge, 1990), 81.

<sup>69</sup> *Ibid.*, 17.

<sup>70</sup> *Ibid.*, 104-105.

<sup>71</sup> *Ibid.*, 20.

<sup>72</sup> *Ibid.*, 36.

<sup>73</sup> *Ibid.*, 47.

<sup>74</sup> *Ibid.*, 47.

on exchange is only one part of imitative desire. The more destructive examples given by Mauss indicate the metaphysical and non-materialistic forces in human societies. As long as there is reciprocity, everything is fine. But a breach in etiquette, a lack of honour (which is probably more important in primitive societies than in modern ones)<sup>75</sup> transforms the rationality of a mimetically based exchange system into destructive forms, indicating that acquisitive mimesis can mean something more and something worse than mere imitation based upon exchange. The system of gifts, of exchange, has a balancing function, but its reasons and its dialectical nature are far from rational.

Mauss' research is limited to particular cultures, but, as he indicates, many of these phenomena or mechanisms have something universal about them.<sup>76</sup> He claims that it is possible to extend his observations to our own societies.<sup>77</sup> In fact, it is difficult to find anything more universal than rivalry and violence even if the forms vary greatly. The strength of Mauss' research lies in the way he sees the rivalistic tendency in all kinds of exchange,<sup>78</sup> and therefore regards rivalry as something inevitable. Mauss' work on exchange clearly corresponds to the acquisitive nature of imitation and human coexistence.

### **The Economy of Rivalry**

Girard does not limit rivalry to any specific object. Even something totally insignificant as a stick can cause rivalry and end up as something sacred if it becomes something desirable for a group of people. Girard, however, emphasizes rivalry in love, which indicates this special area as being potentially rivalistic.<sup>79</sup> According to both Lacoue-Labarthe and Derrida, imitative desire has always been a problem in relation to money and economy. When the economy is a part of the picture, there are possibilities for both rivalry and hatred, Lacoue-Labarthe writes.<sup>80</sup> Economy, alongside love, is the most common ground for rivalry. Economic rivalry, in its initial stages, has something clearly rational about it; for example, when applying for a job. If I don't persuade the committee that I can do a better job than the other applicants, I will be without work, meaning I will have less money, less social contact, a less

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<sup>75</sup> Ibid., 48.

<sup>76</sup> Ibid., 59.

<sup>77</sup> Ibid., 83.

<sup>78</sup> Mauss' attempt to synthesize and show certain universal traits in his research actually corresponds to Girard's approach. There is, however, a tendency in Girard's work not to mention those critics with whom he is in tune. Instead his texts are written against a background of adversaries.

<sup>80</sup> Phillipe Lacoue-Labarthe. *Typography: mimesis, philosophy, politics*, Cambr. Mass.: Harvard U.P, 1989, 124.

bright future and so on. Economic rivalry in its initial stages is a kind of rationale for survival, a survival arising from a scarcity of goods and scarcity of jobs.

### **Metaphysical Desire**

When, however, rivalry is not based on survival, but on prestige, it becomes a part of *metaphysical desire*, a desire based on the other, on having a more exclusive car, house, boat than the other. The objective value, if one can use such a term, plays an entirely secondary role; the aim is to beat the rival in an on-going economic race where things play a symbolic and highly decisive role. In economic rivalry, when scarcity is the problem, rivalry seems profound, and when we analyse the relationship between the economy and mimesis, money is very easily transformed into the cause of rivalry. The interesting fact is that it is the initial, more rational stages of economic rivalry that are the most violent. The scarcity of jobs, food or other goods will often spark off violence, while using the economy to enhance prestige, is, in a modern society at least, not directly violent, even if this kind of rivalry creates scapegoats among the rivals who do not make it, and also exploits suffering people in the Third World to an even greater degree.<sup>81</sup>

### **Rivalry, Christianity and Capitalism**

From an historical point of view desire has become more acute. Even if firms manage to create a rivalistic atmosphere towards other firms, all kinds of internal rivalries may arise within a group. This tendency is clearly not new, but the individuality stemming from the sacrificial breakdown, has made rivalry more internal, less clear cut, less based on collective desires. The sacrificial breakdown which clearly moderates violence, however, produces more subdued, individual versions of expulsion. When the illusive balance between us and them crumbles, rivalry creeps into all private areas such as families, friendships, rivalry with relatives and colleagues and so on, leaving no stone unturned, unless there are prohibitions and ethical norms to stop the rivalry creeping in and disintegrating the smallest social entities.

This makes ethics and, in moderate forms, prohibitions so acute in the modern world. Without the sacrificial checking and balancing of our desires, desires threaten to rule the making of the world. Religion often questions different forms of desire, helping people quit desires which do violence towards the self and the other. But Christian mimesis, an imitation of Christ in the Western world, does not seem to propagate prohibitions against rivalry in itself. Violence brought about by the freedom to rival

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<sup>81</sup> Although suffering people in the Third World are only indirectly a part of the metaphysical rivalry in the Western world, they become, partly, when considering the economic systems, the scapegoats of our metaphysically motivated mass consume.



anyone and leading sometimes to a scapegoating, where people fall out of competitive niches, can, in fact, be seen as a modern form of victimizing. From such a point of view, the imitation of Christ consists in the Christian part of the world in seeing Christ in any victim, either brought about by rivalry or, more indirectly, by the market mechanism. The encouragement of this relatively new global ideology seems to create victims out of a market system where the most brilliant, the most lucky and, at times, the most brutal possess the greatest value.

### **Conclusion**

Violence must be seen as stemming from the desire to have what others have. In the past violence was moderated by systems of prohibitions and taboos. Today prohibitions and taboos are clearly weakened, allowing the individual to act on his or her desires in ways which was unthinkable in previous times. The imitation of Christ has, through history, created a softer society by emphasizing forgiveness and love of one's neighbour. The freedom to imitate and follow one's desires has, at the same time, created a freedom to compete in all areas. This is becoming global. The freedom to imitate seems to create an extremely dynamic society and, at the same time, creates a society where the individual is continually trapped by the effects of desires, making him fall prey to illusion and deceit.

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# **A Comparative Analysis Of The Regional Development Agencies In Europe And Turkey**

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## **Abstract**

The Regional Development Agencies were put into effect in Turkey within 26 agencies with the Law number 5449 that was passed in 2006 after European countries as a foundation highlighting the understanding of territorialisation, localization and competition. The aim of the study is to compare the recently founded Development Agencies in Turkey with the long-established system in Europe. Moreover in this study, the concepts of region and regional development are described and the origination conditions of development agencies in Turkey and in the world are explained shortly. The structure of the development agencies in European countries, especially in those in the European Union (EU), which have been active for a long time, is compared with that of the development agencies in Turkey from many perspectives. This study reveals that the development agencies in Turkey and Europe show differences in terms of their aims, legal positions, and supervisions, whereas, they show similarities in terms of their founders, general characteristics, organizational structures, fields of activities, staff employment, financial sources and project centers.

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**Keywords:** Region, Regional Development, Regional Development Agency, Turkey

## **Introduction**

The understanding of development has changed in parallel with economic developments under the effects of globalization process and international institutions (Keleş, 1998: 3). Nowadays, this understanding has changed from the central planning and development to decentralized development within the economic progress. Development policies have come to a state of determining and applying bottom to top politics rather than top to down politics. The concept of region has gained more importance within this period.

Region, is a geographical management level (Bulut, 2002: 18), and a government unit, which serves a functional or political aim (Keleş and Erbay, 1999: 6). The concept of region, which is scaled between the local and national, is bigger than the local, but smaller than the whole country. Region represents sub-executive units for a country. The fact of region that national states do not lean towards was used as means in the development politics of countries after Second World War and its importance increased with the implementation of public services and the needs for planned development (Keleş, 1999: 56). Today, regions develop if they possess a competitive structure to withstand the changes in global marketplace. Regional Development Agencies take on the task of gathering many local actors, coordinating and leading the way in terms of regional development (Allen 2002: 34-35).

The first development agency is Tennessee Valley Authority<sup>82</sup> (TVA) that was founded in the USA in 1930. It became a current issue in Europe upon interregional differences that came into focus as a result of the Second World War and technological advances. The advancement of Paris' and its surroundings' in France to a big development level compared to other regions, the differentiation of north and south in Italy, the reconstruction problems of old industrial zones which turned into collapse region in England, Scotland and Wales, paved the way for forming politics and mechanisms for regional planning and regional development in European countries (Çavuşoğlu, 1992:76-84). Even though the Development Agencies are the development foundations that have high incidence of spatial differences and constantly change (Halkier, 2006:3), they have been working for reviving the economics in regional scale, mobilizing economic potential and reducing interregional development differences since 1950s and 1960s. Whereas Austria, Belgium, Ireland and France became acquainted with the Development Agencies in 1950s, Germany, Holland, England and Italy became acquainted with after 1960s and also Greece, Spain, Finland, and Denmark met in 1980s. The agencies operate in the form of planning, programming, running projects and using sources with this aim. There exist nearly 20.000 foundations called as development agencies in the world (Özen, 2006).

In Turkey, the interregional difference of development is explicit particularly between the eastern and western regions. Regional plans and development plans have been prepared for long years with the aim of reducing regional differences. In Turkey, which realized many reforms within the process of EU membership, the development agencies have been founded to reduce regional differences, to benefit from the funds which EU

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<sup>82</sup> For further information about TVA, follow <http://www.nber.org/papers/w19293.pdf>.

provides to the member countries and to adapt to EU from the angle of regional politics. *Law no. 5449 Law on the Establishment and Duties of Development Agencies*, which can be accepted within the structural reform studies in our country and is a very important step in terms of localization, was accepted in January 2006 and came into effect in February. Today, there are 26 Development Agencies<sup>83</sup> in Turkey. Thus, “region management” has come to the agenda as a new concept which have never taken place in the management structure of Turkey. The law has been criticized from different perspectives starting from the proposal phase. In literature, the approaches towards the regional development agencies differ for each discipline in Turkey. While the academicians in the field of economics look the agencies positively, favoring effects such as adaptation to EU, benefits from structural funds and development based ideas; some of the researchers in the discipline of public administration take negative perspectives to these agencies for their legal positions, discrepancies with our country’s governing structure, measures on the clustering of provinces, their supervisions, and staff structure. In following parts, the structure of development agencies, which have been active for a long time in European countries, especially in the countries having EU membership, are compared from various angles with that of the development agencies that law no. 5449<sup>84</sup> proposes.

### **The Development Agencies in Europe and Turkey**

The regional politics are also the most important economics politic applications of EU. The general purpose of EU’s regional development politics is to provide an economic and social harmony among EU members. In EU countries, the development agencies are seen as the agencies, which “determine sectoral and general development problems, then identify the possibilities about their solutions, improve these solutions and support the projects”. (Lagendijk, Kayasu ve Yaşar, 2009: 384; EURADA, 2006).

The development agencies in Turkey are described as “...an institution which has a governing structure independent from the centralized governments, and is established with the aim of developing and reviving the entrepreneurship potential of a region, whose borders are drawn and thus, contributing to the economic development. Its activities are financed by the public or private sector...” (DPT, 2000; 54) in the 8<sup>th</sup> Five-Year Development Plan, Specialization Commission Report.

The conclusion that can be deduced from these descriptions is that the development agencies are far from bureaucratic structure, exhibit

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<sup>83</sup> See for the detailed information about the agencies, Ministry for EU Affairs, <http://www.ab.gov.tr/index.php?p=45921>.

<sup>84</sup> Law no.5449 The Law About the Foundation, Coordination and Tasks of Development Agencies accepted on the 25th January 2006 will be mentioned only with the article number

autonomous or semi-autonomous unit characteristics and their financing sources are public or private sector. The scope of activity of these agencies is limited to a certain region and they are purposed to advance the economic development of their specific regions. These development purposes in the regional level have to be coherent with the development politics applied in the national level (Dura, 2007; Hughes, 1998: 620).

### **The Foundation Purpose of Development Agencies**

The purpose of the agencies in EU is to provide interregional competition. This description calls to mind the question that to what extent the policy of providing interregional competition will contribute to the removal of interregional imbalances. The interregional imbalances are a serious problem in candidate and member countries within EU. The interregional competition politics increase the inequality instead of bringing equality in some candidate countries. Moreover, encouraging the interregional competition leads to a competition among the ones that are not equal and so, this situation can deepen the existing imbalances much more (Özer, 2009: 41-43). England serves as a model for this case. The differences of the development agencies between the south and the north part in England have increased the interregional differences significantly. It was decided in England that the development agencies were closed in 2012 and the agencies were replaced by Local Enterprise Associations (Huggins, 2014:183; Morgan, 2002: 8).

The development agencies in Turkey are founded with the aim of eliminating the regional inequalities (# 1). However; the Development Agencies have not still provided an interregional equality since they began their mission in the last nine years in Turkey. It cannot be expected from the Development Agencies to remove the regional inequalities completely by simply ignoring the natural and geographical reasons, terror, cultural differences, and the other reasons, which are also significant causes of the interregional inequality.

### **The Founders of Development Agencies**

Although the Development Agencies in Europe operates on a regional base, which is independent from the central government, their founders can be local governments, local authority and foundations in addition to the centralized governments. The Development Agencies were founded in America and England with the aim of realizing the regional development cooperatively in terms of the private and public sector (Özen, 2006).

The decrease of regional support by the centralized government and its bulky structure has caused the small-scaled private and local actors that

recognize the region well to become active. Nowadays, the management of regional development has turned into a bottom to up understanding (Keleş, 1998:4). The foundation and construction of the development agencies, which have developed in Europe within this understanding have had a top to down structure. The foundation of development agencies in Turkey (# 3) is carried out with the relevant ministry application and the confirmation of the council of ministers.

### **The Organizational Structures of the Development Agencies**

Even though the Development Agencies in Europe differ with respect to the applications of their countries, they consist of a general assembly, executive board, chairman, board of supervisors, and secretary-general as means of a general classification. The internal organization of the development agencies is a legal structure, which consists of the key elements like general assembly, board of supervisors, supervisory committee and general manager (Berber and Çelepçi, 2005: 1).

Regional development council, executive board, office of secretary-general and investment support offices take place within the construct of the agencies in Turkey (# 1). In the regions consisting of a single province, the executive board includes governor, metropolitan mayor, provincial assembly chairman, chamber of industry chairman, chamber of commerce chairman and three delegates who are selected from the private sector and/or nongovernmental organizations by the development council. In the regions consisting of more than one province, the board includes province governors, metropolitan mayors (city center mayors in, non-metropolitan towns), assembly chairmans and one representative chairman of the chamber of commerce and industry from every province. The chairman of executive board is governor and he or she represents the agency. Secretary-general is the executive organ of the agency and reports to the executive board. The agency bodies in Turkey mainly exhibit public nature. Regional actors (listed in the part of founders) have to participate in the agencies. The centers of agencies and their close collaboration with the government are definitely important, however; the relationships that will be established with the regional and local managements also become more of an important issue as Berber and Çelepçi state (2005).

The law provides active roles to the institutions like chamber, which are delegates of the capital part, association and foundation in the management of development agencies. The centralized government in Turkey has also gathered the private sector to itself in terms of solving the planning and development problems in the regions and given the regions more freedom economically in the fields of attracting foreign capital, obtaining finance and investing. Yet, the fact that the management of

agencies depends on Ministry of Development organically prevents this idea unarguably from being accepted.

### **The Legal Positions of the Development Agencies**

The legal positions of agencies in Europe can be in the form of public body, stock company, limited company, non-profit foundation, inter-municipalities agencies, non-departmental public body and autonomous organization (Berber and Çelepçi, 2004; 1). This variety is also seen among the agencies that are established in the states with the same administrative organizations and even exist among the agencies within the same country. In the USA, there is no just one Development Agency model.

The legal positions of agencies in Turkey are not stated clearly, but they are subject to the private law provisions in all the transactions that are not regulated by the law and they are provided with legal entity. Also, they are decentralization management agencies in terms of service within the scope of regional development. The development agencies have been associated with Ministry of Development in the central level and associated with metropolitan municipalities, municipalities and special provincial administrations in the local level. With Oyan's (2006) statement, a structure which is unsuitable to the constitutional descriptions and has no clear identity has been constituted and it bears neither private administration nor public administration qualification. The agencies are a legal entity which uses the public resources and contains the important public agents in itself, but are not public corporate entity.

### **The Field of Activities of the Development Agencies**

The activities the Development Agencies in Europe were centered around the goals of contributing to the economy by attracting the foreign investors in 1950s and 1960s to provide service to the local and regional companies by itself or in the form of partnership in the following years. EU states the duties of the Development Agencies as: internal development, drawing foreign investors, the services provided for entrepreneurs, the services given to the local and regional authorities, education services, international activities, financial intermediation, providing technical support and supporting the research institutes (EURADA, 2006).

The activities of the agencies in Turkey are stated in the law (# 5) shortly as the following: the preparation of regional development plans, the support of local management plans, providing regional cooperation, to support the researches and studies for regional development financially, presentations for foreign investors, the follow-up of legal transactions necessary for entrepreneurs and to support firms.



### **The Financial Resources of the Development Agencies**

On which resource the financial structure of the Regional Development Agencies will depend differs according to the politic, economic and institutive structure of country. Besides, their financial resources change according to the size of the field that the Regional Development Agencies operate, their legal status, and the scope of the service presented (Aktakas, 2004: 108). The most important financial resources of the Development Agencies operating in Europe are public revenues and EU funds. On which resource the financial structure of the Regional Development Agencies will depend differs according to the politic, economic and institutive structure of country. Besides, their financial resources change according to the size of the field that the Regional Development Agencies operate, their legal status, and the scope of the service presented (Özen, 2005:6). Significant amounts of monetary assistance by decentralization foundations (subnational structures) in order to realize EU's interregional competition and sustainable development policies in member and candidate countries and their desire to provide this support only via the regional organizations focused on this issue, not via the local managements in the level of province or county led to a quick increase in the number of regional development agencies in 1990s (Özden, 2006).

The financial resources of development agencies in Turkey consist of (# 19): the transfers that will be made in the rate of 5 per thousand after the proportion allocated for the special provincial administrations and municipalities from the general budget tax yields are deducted, the resources that will be provided from the European Union and other international funds, activity revenues, the proportion in the rate of one in a hundred that will be transmitted from the budget revenues of special provincial administrations and municipalities in the region, the proportion in the rate of one in a hundred that will be transmitted from the budget revenues of chamber of industry and chamber of commerce in the region finalizing in previous year, the donations and aids made by national and international foundations and establishments. The fact that the agencies in Turkey are financed mostly by public revenues supports the idea that they resemble administrative regulation body and have top to bottom development understanding depending on centralized government.

### **The Staff Structure of the Development Agencies**

If the staff structure of the development agencies is examined, it is difficult to observe a common staff structure. Because the staff structure of each agency is developed in a way to serve the regional requirements, it does not exhibit a common structure. Generally, it can be said that the Development Agencies are subject to their own foundation laws in terms of

financial rights and wage and are subject to the law which the public staff depends on in terms of social securities. The continuity of staff employment depends on the performance (Güneşer Demirci, 2005a: 73). Since the agencies in Europe adopt a more flexible structure as the staff regime, the number of their staff changes according to the region and the activities they do. Besides, flexible regulations, which provide possibility for the staff employment, can be made in the working parties formed with the purpose of supporting the activities that are supposed to be undertaken within the scope of the agencies and committees. The staff that will be employed in the Development Agencies is directly employed by the agency (Güneşer Demirci, 2005a: 73)

The staff system brought for the Development Agencies in Turkey: Services of the agencies are carried out by the support staff and the expert staff employed according to the labor legislation clause. According to the regulations no. 27440 Article 3; competitive examination for the staff is performed under the presidency of the secretary-general by an assessment board of five, which includes the two people chosen from the faculty members by Executive board and the two people appointed by the Ministry. The Development Ministry assigns the secretary-general among the candidates that are determined by the Development Ministry and/or proposed by executive board and it can dismiss him officially if appropriate. It could have been a more suitable way for locality, if the secretary-general was hired with the proposal or the decision of executive board and/or development committee or the agency shareholders who know the local dynamics rather than the Development Ministry.

### **The Supervision of the Development Agencies**

Most of the agencies in Europe are responsible to local and/or regional executives and some of them are responsible to co-founders or executive board. Some of them also report to the relevant minister and parliament. Internal and external audit are made in agencies in Turkey. In internal audit; the activities of the agency, its accounts, transactions and performance are inspected by the board chairman or secretary-general and an internal auditor. Internal audit reports are presented to executive board and development council. External audit is made by the independent auditing firms, which are established according to the Capital Market Board regulations. The independent auditing firms present their reports synchronously to the Ministry of Interior and Ministry of Development (# 25). The fact that the institutions, whose public force and public resource are transferred, are left out of the audit office supervision and made subject to the market control as external audit rather than internal audit has received serious criticism.

### The Project Centers of the Development Agencies

There are One-Stop Shops as the project centers in America. They provide service to investors and are responsible for the project coordination. Small and relatively weak agencies establish data banks and information services in order to accomplish their purpose and they open offices abroad, in the capital cities of their own countries and in the presence of EU. The 70% of agencies in Europe are in this way. The powerful agencies that can also be expressed as multifunctional agencies develop particularly organized industrial zones, science parks and trade centers, mediate for giving regional aid grants, ease the technology transfers and offer consulting service in various subjects (Güneşer Demirci, 187). In Turkey, according to the Development Agencies Investment Support Offices Regulations (# 5); the investment support offices are established and consists of a maximum of five experts, of whom one has to be the coordinator with the decision of the executive board. If the number of expert staff working in the investment support offices can not meet the needs of region and province, this number can be increased with the decision of executive board and the consent of Ministry. The investment support offices are responsible to the office of secretary- general about their missions and the services offered to the investors in the investment support offices are completely free of charge. Among their services, it includes inventory studies, cooperation with foundations and institutions, having mutual studies, the presentation of working and investment atmosphere in the province, attracting the investors to the province, conducting the transactions about state aids, following and coordinating the permit and license transactions, informing and reporting. The offices conduct all these works within the knowledge and coordination of the Ministry.

**Table 1:** The comparison of Regional Development Agencies in Turkey and Regional Development Agencies in Europe<sup>85</sup>

<b>CRITERIA</b>	<b>Regional Development Agencies in Europe</b>	<b>Regional Development Agencies in Turkey</b>
<b>Aim</b>	Providing interregional competition	Eliminating interregional inequality
<b>Constituent</b>	Centralized government, local government, local authority, foundation	Established with the confirmation of the Cabinet
<b>General Characteristics</b>	A semi-autonomous position, easy politics for the firms, wide-ranging devices, flexibility, directing the developments	Compulsory participation for the regional actors, the governor who is the highest delegate of government in the province and

<sup>85</sup> It has been benefited from also the manifesto of Dulupçu and Çankaya (2004) while preparing the table

		chairman of the board, flexibility within the regional development policies, mechanical working
<b>Organizational Structure</b>	General Assembly Executive Board, Chairman Board of Control Secretary-general	Executive Board, Development Council, Secretary-general, Investment Support Offices
<b>Legal Position</b>	Public Corporation Stock Company Limited Company Non-profit Foundation Public- Private Legislation Institutions Inter-municipalities Agencies Non-departmental Public Body Autonomous Organization	They are the institutions which are subjected to the private law provisions in terms of agencies, being provided with legal entity and all transactions that are not regulated by this law, and they are decentralization institutions in terms of service within the scope of regional development
<b>Fields of Activity</b>	Internal development, Attracting the foreigner investors, The services provided for entrepreneurs, The services provided for local and regional authorities, Education services International activities Financial intermediation Providing technical aid Supporting the research institutions	The preparation of regional development plans, Supporting local government plans, Providing regional cooperation, Supporting the researches and studies about regional development financially Presentations to the foreigner investors Following the legal transactions that are necessary for the entrepreneurs Supporting the firms
<b>Financial Resources</b>	The funds provided by participants Centralized government funds Revenues from services Donations EU funds	Transfers that will be made from the general budget EU and other international funds Activity revenues The proportion in the rate of one in a hundred that will be transmitted from the budget revenues of special provincial administrations and municipalities in the region finalizing in previous year The proportion in the rate of one in a hundred that will be transmitted from the budget revenues of chamber of industry and chamber of commerce in the region finalizing in previous year The donations and aids made by national and international foundations and establishments

<p><b>Staff Structure</b></p>	<p>Dependent on its own establishment laws with regards to financial rights and wage</p> <p>Dependent on the laws that public officials depend with regards to social security</p> <p>Staff is employed directly by Development Agency</p> <p>Between 11-500</p>	<p>Determined by the executive board on condition that the wages and daily pages of secretary-general and other staff and their other financial and social rights do not exceed the sub and upper limits determined by Ministry</p> <p>Agency staff is subjected to Law of Social Insurance in terms of retirement and social security. The employment of internal auditor, expert and support staff is realized directly within the scope of agency under the presidency of secretary-general and a examining board.</p> <p>Ministry of Development is responsible for the employment of secretary-general</p> <p>Between 28-56</p>
<p><b>Supervision</b></p>	<p>They are mostly responsible to local or regional directors and some of them are responsible to the related minister and parliament, co-founders and executive board.</p>	<p>Internal audit: responsible to executive board, secretary-general, Internal auditor, executive board and Development Council.</p> <p>External audit: responsible to Ministry of the Interior and Ministry of Development by Independent External Audit Foundations.</p>
<p><b>Project Centers</b></p>	<p>One-stop shops</p>	<p>Investment Support Offices</p>

## Conclusion

Even though the Regional Development Agencies differ from each other in terms of the way of establishment, their functions and structures, they have common characteristics such that they are development – oriented, carry on a business in a certain geographical region and mobilize the region by determining its potency. While the Development Agencies, which can be described as the organizational form of new developmentalism mentality, are clarifying the tradition of public state considerably, they are also candidates to use their public power so as to legitimize their relations in public space. The initiative in the development agency applications in Europe is mostly on private sector delegates nongovernmental organizations. The agencies, which aim the development in their regions through the investments made by the private sector, are completely managed and act with the mentality of private sector.

When the construct in Turkey is observed, although the aim is to improve cooperation among the public sector, private sector and nongovernmental organizations, and to provide the active contribution of these parts to the processes of decision making and implementing these decisions, it only remains as the extension of center in the province in terms of financial support and the regional planning of development agencies. The Development Agencies in Turkey resemble the field service of the Development Ministry. On the other hand, the Development Agencies should work independently from central, local and regional managements, mobilize the potency of region and devise site-specific projects about providing developments in social, cultural and economic fields. The Development Agencies should stay out of the centralist structure and mentality in order to be successful in Turkey.

It can be concluded from the results of the comparative analysis that the Development Agencies in Turkey and Europe differ from each other in terms of their purposes, legal positions and supervisions and they have some similarities in terms of their founders, general features, organizational structures, the field of activities, staff employment, financial resources and project centers.

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# **For Education: Evaluation Of The Sustainability Of Universal Architecture Which Includes Social Issues: Culture, Aesthetics, And Landmarks As An Emotional Aspect**

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## **Abstract**

The research project indispensably complements to assess the sustainability of the architecture, which was developed at the University of Cuenca. This has followed a path that is not based on the main international tools such as LEED, BREEM, CASHBE, GREEN, etc. which has been read previously. This was for the purpose of avoiding it from being an adaptation or a summary. This study is based primarily on the knowledge of an emerging and diverse country like Ecuador. It also involves having a knowledge of its different climates, cultures, and other countries of the world. It has a comparison of the results with the main international tools and proposes a tool with respect to all cultures. It assesses human welfare and social deprivation. In addition, it includes something that is not addressed by these tools i.e. the evaluation of the aesthetic milestones identity. It assesses different buildings in the world, and highlights the value of aesthetics and milestones. This brings about a strong presence of creativity in teaching and the results of creative architecture design.

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**Keywords:** Education, architecture, sustainability, esthetics, culturally, milestones

## **Introduction**

*Poor countries, in general, consume a little amount of energy. As a result, they have a little influence on the carbon footprint and the ecological damage to the planet. Thus, they have a lot of social-like dwelling. In other cases, the houses do not have basic services which leads to health problems, unemployment, etc (Macías & Navarro (2010) [1], Ihlen (2009) [2]).*

On the other hand, different cultures must be adequately understood. These areas include their characteristics in some aspects that are subjective and cultural like overcrowding. For example, the Western world has indicators such as two people in a room. The Shoaras, for example, live several families in a big space because of their sexual life.

*These tools evaluate the heritage, the identity, esthetics, and the milestone architectonic like part of the social aspects of the country. These aspects should be evaluated all around the world. Subsequently, this is accomplished by putting into consideration the different places and cultures, where the carbon footprint and the energetic consumption are not the only aspects for the evaluations.*

**Objective:** To search a different tool that is not an abstract or an adaptation of the most common. This tool is considered as sustainability in a broad and comprehensive sense. However, in their definition, it is also considered as part of the social, cultural, and emotional aspects.

In addition, this broad view is applied to the teaching and practice of architectural design which focuses on creativity and milestones.

## **Methods**

a. It is principally based on experimenting in an emergent and in a different country like Ecuador, visiting all their different climatic zones, and visiting other countries of the world too.

In this project, the path is not considered as the primary international tools such as LEED, BREEM, CASHBE, GREEN, etc. Thus, this was done such that the result is not an adaptation, a copy, or a reduction of any of them.

b. This state confronts the proposal with the principal international tools. It proposes a tool with respect to all cultures and the assessment of the contributions that architecture does to the social wellbeing, human wellbeing, and the assessment of the emotional aspects.

c. Application of this tool to different buildings all around the world.

e. Application of the importance of creativity to teaching and architectural design.

## **Results and Discussion**

A. Travelling to different climatic regions

Ecuador is a country with practically all the climates of the world from the warm damp of the Amazon rainforest to the dry warm beaches and deserts. Thus, the Moor is 3000 m high, while the glacier is over 5000 m high.

It even also has ancestral and local cultures as well as Western culture. This project has been participating in events in different continents. In addition, it is applying and testing the tool in any context.

Based on the summary of the trips carried out so far, we have produced a series of papers and articles which are recorded in table 1.

Consequently, each trip entails the testing and the refining of the tool used for development.

Table 1. Resumen de las viajes efectuadas

<b>Destination</b>	<b>Cities</b>	<b>Events and Date</b>
<b>SIERRA SUR, COSTA CENTRO</b>	Cajas Guayaquil, Montañita, Salinas. Confort diferente casa sana	Seminar sustainability, 2013.
<b>SIERRA CENTRO, ORIENTE TAMBO</b>	Cañar, Chimborazo, Baños, Puyo, Macas, cola de San Pablo, Paute Cuenca	Seminar sustainability, 2014.
<b>SIERRA NORTE, COSTA NORTE</b>	Quito, Mitad del Mundo, Same, Atacames, Casa Blanca Esmeraldas	Reflections Plus aspects, 2015.
<b>España y Emiratos Árabes</b>	Madrid Valencia Dubái y Abudabí	Congress Conama Madrid
<b>Galápagos</b>	Balra y San Cristóbal	Evaluation of ecological Galapagos Balra airport
<b>ESPAÑA GRECIA ITALIA</b>	Granada Córdoba, Sevilla, Florencia, Pisa	Exhibition in Seville 2015 and evaluation of aesthetic and milestones

These visits are emerging in several reflections. Below, we mention some of these visits:

Energy and environmental aspects are not the only ones that are important to assess in most countries of the world. Other aspects include the contributions to social problems such as unemployment, housing, services, health etc.

The influence of the modern architecture of cement concrete and aluminum has spread widely. This constitutes the same architecture or the same House in different contexts, such as warm climates and fells. Thus, this results to inappropriate behavior against climate and culture architecture.

Therefore, it will be important to assess and reward the inclusion of technical systems, local building materials, and bioclimate.

Aspects such as aesthetics are an essential part of the architecture. They differ from other forms of construction, and are largely supporters of the wonder of the beauty of the world. In the same way, milestones give

cities identity, self-esteem, tourism, and revitalization of the economy. Thus, each of these points will not be treated extensively in this article by their extension.

B. In this State, we will do a revision of the best known international tools to see if content existent may be important in the new scheme, and that it has not been considered.

Table [2], Comparison with tools and places, show the aspects detected. Its difference or coincidence with the tools, shows more frequently that the social aspects are more important in poor countries. Other aspects of carbon footprint are more common in rich countries, while aspects of emotion are very important in the whole world today. However, they were almost not been considered as part of the tools up till now.

**RELATIONAL MATRIX OF ASPECTS CONSIDERED AND THEIR WEIGHT**

Aspects to be considered in the proposed tool	Considered in other tools			Importance or weight weighted relative		PESO PONDERADO PROPUUESTO PARA HOY	aspecto	objetivo	subjetivo
	Much	little	almost nothing	poor countries	rich countries				
SOCIAL ASPECTS lacks and social deficits				C No tienen ese problema					
Contribution to reduce the housing deficit									
Creation of national sources of work, in materials, constructive system and use									
Stimulate the economy to produce work and income for the poorer classes									
Availability of basic services, potable water, electric light, convenient sewage treatment									
Avoid risks of disasters									
Good condition of the facilities									
Minimal material, non-toxic, but according to the cultures, climate and use									
Innovation with good results									
Good condition of the building							25%		
Climate comfort, luminous, auditory, others, but according to the cultures									
each culture (2 hab per room does not in any culture)									
healthy House that does not cause disease									
SYNTAX OR ASPECTS OF FUNCTIONAL QUALITY									
Well-being of their occupants									
Accessibility and inclusion of all									
QUALITY OF CONTEXT									
Green spaces. Special value for the native landscape									
Trade, sport, Osio, education, health									
Availability of transport						0,25			

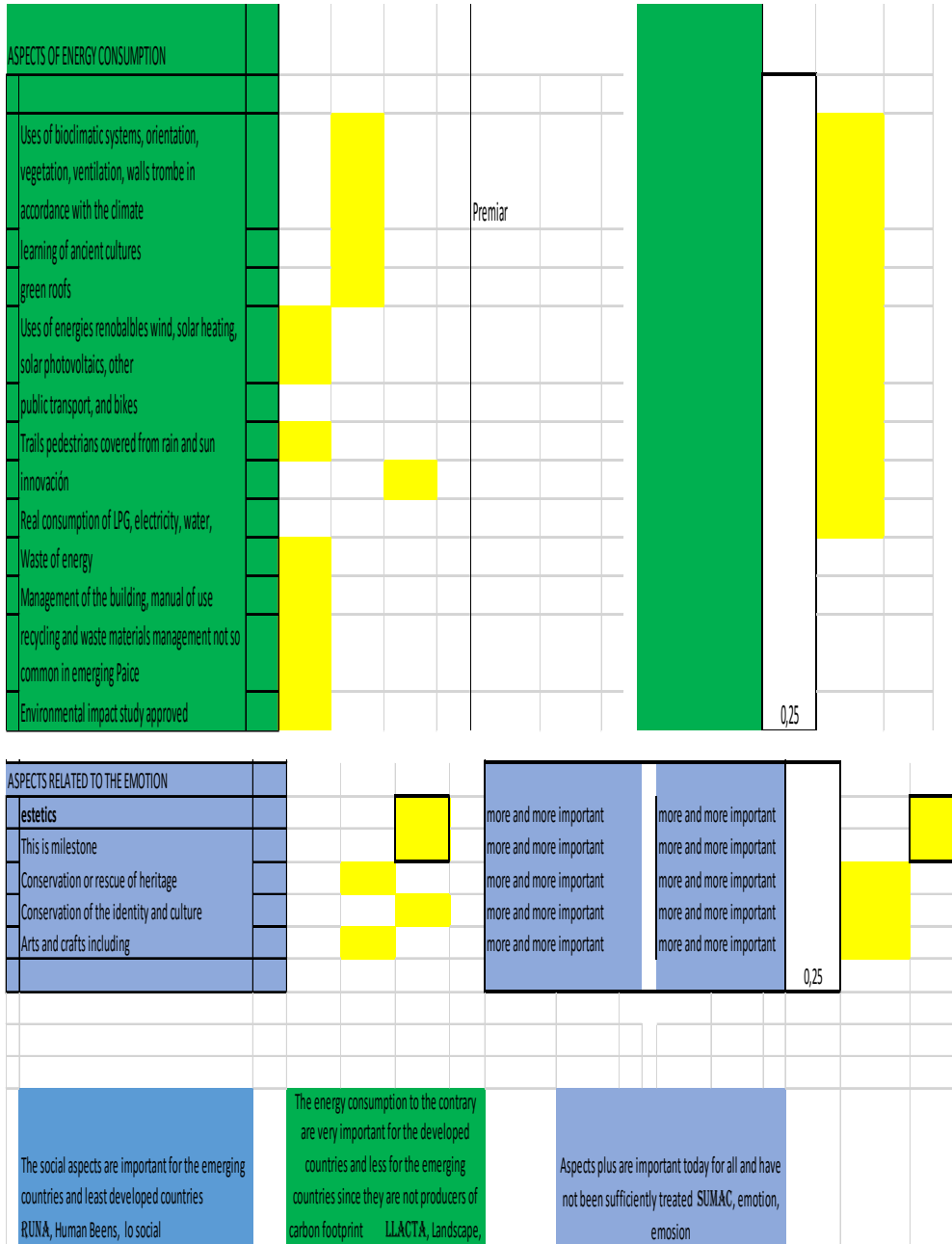


Table [2]

Therefore, we can see that there are areas considered with sufficiency in the international tools as the energy footprint carbon recycling. On the other hand, there are others considered as little or few tools such as social and human shortcomings. There are others that have not been considered as virtually nothing. They include the emotion, the aesthetic, the milestone, the

art, and the identity being the very last important for developed countries, emerging countries, and the underdeveloped countries. Nevertheless, they are means or strategies for improving this economy.

### C. Tool Runa Allpa Sumac

The proposed tool collects all the aspects raised, and the different consideration in different cultures. It pretends to be a universal tool for the evaluation of architecture and sustainability approaches.

Then, the certification granted in this case was applied to ecological Baltra airport in Galapagos.



Figure [1]

It was written in Kecha, Spanish, and English. Also, it can be produced in any additional language such as in Chinese or Arabic language.

Aspects of energy consumption and carbon footprint are important and are in a skyrocketing rate in more developed countries.

Consequently, the social aspects and its shortcomings are more important in poor countries of the world.


Nevertheless, aspects of emotion are fundamental all over the world. They have not been considered virtually in the evaluation of sustainability. As a result, greater learning and contribution of this tool is the evaluation of aesthetic and milestones. In addition, other aspects of emotion such as the heritage art and identity are, in reality, closely related to these aspects.

Therefore, some evaluations of aesthetics and the constituents of the milestones can be shown in the figures.



## The Beauty And The Milestones

The milestones are not only fruits of the vanity of a few architects, but also of his genius. Thanks to these architects that the world have today. However, they have helped in finding them.

Being so useful and important, it is used to evaluate its presence. However, it is a subjective issue with a specialized method of surveys. It is followed by different groups of humans such as those who are experts, users, and the public in general.

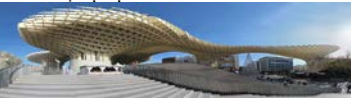
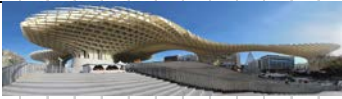
ASPECTOS SOCIALES QUE ATIENDEN A LA EMOCION Y SON SUBJETIVOS		Los aspectos subjetivos considerados en este acápite, son parte del bienestar de las personas tanto de las que habitan la arquitectura como de un																	
evaluación de la estética		Plaza España Sevilla España		1				2				3							
OBJETIVO	MÉTODO	1				2				3									
1	Reconocer y premiar una serie de aspectos importantes de la arquitectura y de la vida que generalmente no son valorados.	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo.		usuarios de la edificación				usuario del barrio o ciudad				experto calificado con título de arquitecto o afín a la tierra							
CRITERIOS DE EVALUACIÓN	CRITERIOS DE EVALUACIÓN																		
ESTÉTICA	Considera que la construcción es la mas agradable del Barrio o la zona.	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	Considera que la obra estan entre las 5 mas agradables de la ciudad	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	Considera ud. Que la construcción es bella.	poner 2 si es si, 1 si es tal vez, y cero si es no																	
SUMAS						6 6 6 6				6 6 6 6				6 6 5 6 6					
PORCENTAJE EN CADA UNO DE LOS GRUPOS						100%				100%				96%					
POCENTAJE de valoración de la Belleza		99%																	
evaluación de la condicion de ser o no un hito urbano arquitectonico		(arquitectura diferente y destacada por la cual se reconoce una zona, ciudad o país)																	
OBJETIVO	MÉTODO	1				2				3									
N	Reconocer a aquellas obras que hacen que un lugar o ciudad o incluso país sea conocido y reconocido, visitado y que por ello dinamizan la economía	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo.		usuarios de la edificación				usuario del barrio o ciudad				experto calificado con título de arquitecto o afín a la tierra							
CRITERIOS DE EVALUACIÓN	CRITERIOS DE EVALUACIÓN																		
CREA HITOS DE ALGÚN NIVEL	Considera ud que la obra constituye un hito para el barrio	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	Considera ud que la obra constituye un hito para la ciudad o la provincia si es rural	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	Considera ud que la obra constituye un hito para el País	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	Considera ud que la construcción atrae turismo nacional o extranjero al país	poner 2 si es si, 1 si es tal vez, y cero si es no																	
	SUMAS					8 8 7 7				6 8 7 8				8 8 7 6 5					
PORCENTAJE EN CADA UNO DE LOS GRUPOS						94%				91%				81%					
PROMEDIO		89%																	
LA OBRA EN LOS MEDIOS DE DIVULGACION		esta parte la llena el evaluador y equipo de evaluacion																	
La obra consta en la mayoría de catálogos folletos o articulos que promociona turisticamente a la ciudad, o al país.		95%																	
Porcentaje la obra es original, apreciacion en porcentale		70%																	
Calificación en constituir un hito importante		85%																	

Realizado por: Arq. Raúl Cordero  
Revisado por equipo



ASPECTOS SOCIALES QUE ATIENDEN A LA EMOCION Y SON SUBJETIVOS		Los aspectos subjetivos considerados en este acápite, son parte del bienestar de las personas tanto de las que habitan la arquitectura como de quienes usan o son parte de una ciudad													
evaluación de la estética		LA GIRALDA Sevilla España													
1	<b>OBJETIVO</b>	<b>MÉTODO</b>	1 usuarios de la edificación				2 usuario del barrio o ciudad				3 experto calificado con título de arquitecto o afín al tema				
	Reconocer y premiar una serie de aspectos importantes de la arquitectura y de la vida que generalmente no son valorados.	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo													
ESTÉTICA	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>													
	Considera que la construcción es la mas agradable del Barrio o la zona.	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	1	2	2	2	2	1	2	
	Considera que la obra estan entre las 5 mas agradables de la ciudad	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	1	2	2	2	2	2	2	
	Considera ud. Que la construcción es bella.	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	1	2	2	2	2	1	2	
SUMAS			6	6	6	6	6	3	6	6	6	6	4	6	
PORCENTAJE EN CADA UNO DE LOS GRUPOS			100%				88%				92%				
POCENTAJE de valoracion de la Belleza			93%												
evaluacion de la condición de ser o no un hito urbano arquitectonico		(arquitectura diferente y destacada por la cual se reconoce una zona, ciudad o país)													
N	<b>OBJETIVO</b>	<b>MÉTODO</b>	1 usuarios de la edificación				2 usuario de barrio o ciudad				3 experto calificado con título de arquitecto o afín al tema				
	Reconocer a aquellas obras que hacen que un lugar o ciudad o incluso país sea conocido y reconocido, visitado y que por ello dinamizan la economia	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo													
CREA HITOS DE ALGÚN NIVEL	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>													
	Considera ud que la obra constituye un hito para el barrio	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	2	2	2	2	2	2	2	
	Considera ud que la obra constituye un hito para la ciudad o la provincia si es rural	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	2	2	2	2	2	2	1	
	Considera ud que la obra constituye un hito para el País	poner 2 si es si, 1 si es tal vez, y cero si es no	2	1	2	2	1	2	1	2	2	0	0	1	
	Considera ud que la construcción atrae turismo nacional o extranjero al país	poner 2 si es si, 1 si es tal vez, y cero si es no	2	1	2	1	1	2	0	2	2	0	1	1	
	SUMAS			8	6	8	7	6	8	5	8	8	4	5	5
PORCENTAJE EN CADA UNO DE LOS GRUPOS			91%				84%				69%				
POCENTAJE PROMEDIO			81%												
LA OBRA EN LOS MEDIOS DE DIVULGACION		esta parte la llena el evaluador y equipo de evaluacion													
La obra consta en la mayoría de catálogos folletos o artículos que promociona turisticamente a la ciudad, o al país, Porcentaje		99%													
La obra es original, apreciacion en porcentaje		85%													
Calificación en constituir un hito importante		88%													

Realizado por: Arq. Raúl Cordero  
Revisado por equipo



	<b>ASPECTOS SOCIALES QUE ATIENDEN A LA EMOCION Y SON SUBJETIVOS</b>	Los aspectos subjetivos considerados en este acápite, son parte del bienestar de las personas tanto de las que habitan la arquitectura como de quienes usan o son parte de												
	evaluación de la <b>estética</b>	METROPOOL PARASOL, "Zetas" Sevilla España												
1	<b>OBJETIVO</b>	<b>MÉTODO</b>	1				2				3			
	Reconocer y premiar una serie de aspectos importantes de la arquitectura y de la vida que generalmente no son valorados.	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo	usuarios de la edificación				usuario del barrio o ciudad				experto calificado con titulo de arquitecto o afin al tema			
	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>												
ESTÉTICA	Considera que la construcción es la mas agradable del Barrio o la zona.	poner 2 si es si, 1 si es tal vez, y cero si es no	2	1	2	1	0	0	2	2	2	2	1	2
	Considera que la obra estan entre las 5 mas agradables de la ciudad	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	0	1	2	2	2	2	1	2
	Considera ud. Que la construcción es bella.	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	0	1	2	2	2	1	1	2
SUMAS			6	5	6	5	0	2	6	6	6	5	3	6
PORCENTAJE EN CADA UNO DE LOS GRUPOS			92%				58%				83%			
POCENTAJE de valoración de la Belleza 78%														
	evaluación de la condición de ser o no un <b>hito</b> urbano arquitectonico	(arquitectura diferente y destacada por la cual se reconoce una zona, ciudad o país)												
N	<b>OBJETIVO</b>	<b>MÉTODO</b>	1				2				3			
	Reconocer a aquellas obras que hacen que un lugar o ciudad o incluso país sea conocido y reconocido, visitado y que por ello dinamizan la economía	Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo	usuarios de la edificación				usuario del barrio o ciudad				experto calificado con titulo de arquitecto o afin al tema			
	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>												
CREA HITOS DE ALGÚN NIVEL	Considera ud que la obra constituye un hito para el barrio	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	0	2	2	2	2	2	2	2
	Considera ud que la obra constituye un hito para la ciudad o la provincia si es rural	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	2	2	2	2	2	2	2	2	1
	Considera ud que la obra constituye un hito para el País	poner 2 si es si, 1 si es tal vez, y cero si es no	2	2	2	1	2	2	2	2	2	2	1	1
	Considera ud que la construcción atrae turismo nacional o extranjero al país	poner 2 si es si, 1 si es tal vez, y cero si es no	2	1	2	1	2	2	2	2	2	1	1	1
SUMAS			8	7	8	7	6	6	8	8	8	7	6	5
PORCENTAJE EN CADA UNO DE LOS GRUPOS			94%				88%				81%			
POCENTAJE PROMEDIO 88%														
LA OBRA EN LOS MEDIOS DE DIVULGACION			esta parte la llena el evaluador y equipo de evaluacion											
	La obra consta en la mayoría de catálogos folletos o artículos que promociona turisticamente a la ciudad, o al país, porcentaje	80%												
	la obra es original, apreciacion en porcentaje	100%												
	Calificación en constituir un hito importante	89%												

Realizado por: Arq. Raúl Cordero  
Revisado por equipo

<b>ASPECTOS SOCIALES QUE ATIENDEN A LA EMOCION Y SON SUBJETIVOS</b>		Los aspectos subjetivos considerados en este acápite, son parte del bienestar de las personas tanto de las que habitan la arquitectura como de quienes usan o son parte de una ciudad													
evaluación de la <b>estética</b>		TORRE PELLI Sevilla España													
1	<b>OBJETIVO</b> Reconocer y premiar una serie de aspectos importantes de la arquitectura y de la vida que generalmente no son valorados.	<b>MÉTODO</b> Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo		1 usuarios de la edificación			2 usuario del barrio o ciudad			3 experto calificado con título de arquitecto o afín al tema					
	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>													
ESTÉTICA	Considera que la construcción es la mas agradable del Barrio o la zona.	poner 2 si es si, 1 si es tal vez, y cero si es no		2	1	1	2	2	0	0	2	2	1	0	2
	Considera que la obra estan entre las 5 mas agradables de la ciudad	poner 2 si es si, 1 si es tal vez, y cero si es no		2	1	2	2	1	0	0	2	1	0	0	2
	Considera ud. Que la construcción es bella.	poner 2 si es si, 1 si es tal vez, y cero si es no		2	1	1	2	2	0	1	2	1	1	1	2
SUMAS				6	3	4	6	5	0	1	6	4	2	1	6
PORCENTAJE EN CADA UNO DE LOS GRUPO				79%			50%			54%					
PORCENTAJE de valoración de la Belleza <b>61%</b>															
evaluación de la condición de ser o no un <b>hito</b> urbano arquitectonico		(arquitectura diferente y destacada por la cual se reconoce una zona, ciudad o país)													
2	<b>OBJETIVO</b> Reconocer a aquellas obras que hacen que un lugar o ciudad o incluso país sea conocido y reconocido, visitado y que por ello dinamizan la economía	<b>MÉTODO</b> Se llenaran opiniones y de por lo menos 3 tipos de entrevistados entrevistados, minimo 2 de cada tipo		1 usuarios de la edificación			2 usuario del barrio o ciudad			3 experto calificado con título de arquitecto o afín al tema					
	<b>CRITERIOS</b>	<b>CRITERIOS DE EVALUACIÓN</b>													
CREA HITOS DE ALGÚN NIVEL	Considera ud que la obra constituye un hito para el barrio	poner 2 si es si, 1 si es tal vez, y cero si es no		2	2	2	2	2	1	2	2	2	2	2	2
	Considera ud que la obra constituye un hito para la ciudad o la provincia si es rural	poner 2 si es si, 1 si es tal vez, y cero si es no		2	2	1	2	2	1	2	2	1	1	2	2
	Considera ud que la obra constituye un hito para el País	poner 2 si es si, 1 si es tal vez, y cero si es no		2	2	2	2	2	2	2	2	2	2	2	1
	Considera ud que la construcción atrae turismo nacional o extranjero al país	poner 2 si es si, 1 si es tal vez, y cero si es no		1	0	1	1	1	0	0	1	0	0	0	1
SUMAS				7	6	6	7	7	4	6	7	5	5	6	6
PORCENTAJE EN CADA UNO DE LOS GRUPO				81%			75%			69%					
PROMEDIO <b>75%</b>															
LA OBRA EN LOS MEDIOS DE DIVULGACION		esta parte la llena el evaluador y equipo de evaluacion													
La obra consta en la mayoría de catálogos folletos o artículos que promociona turisticamente a la ciudad, o al país, <b>Porcentaje</b>		5%													
la obra es original, apreciacion en <b>porcentaje</b>		15%													
Calificación en constituir un hito <b>importante</b>		32%													

Realizado por: Arq. Raúl Cordero  
Revisado por equipo












Tables [3].


The examples show the assessments of historical buildings and the news of Sevilla, carried out by the project during a Congress of sustainability.

Here, we could show a comparison of the results. This has been the reason for other work extensively; and now, we are trying to show the evaluation of buildings in these subjective aspects. Subjective research has become a quantitative surveys based on methods such as Delphy for subjective investigations.

### D. Application Of The Tool To 29 Cases Of Architecture In The World

This tool is one of the thousands used for averting the cost and the lack of universality. However, it is not intended to serve only those who requested for it, but to reward them. This measure is applied to 29 buildings and sites regarded as outstanding in one or more aspects: RUNE HIMANEN BEENS, ALLPA or LANDSCAPE, and SUMAC or EMOTION. As shown in the example, we can process the instructions below:

		ESTADIO DE BEIGIN				
		TOOL FOR ASSESSING THE SUSTAINABILITY OF ARCHITECTURE AND LANDSCAPE				
	Aspectos Sociales	  	 	Aspectos de la Emoción	 	
	<ul style="list-style-type: none"> <li>crea trabajo</li> <li>aporta a las carencias de vivienda de servicios</li> <li>dinamiza la economía</li> <li>confort</li> <li>casa sana</li> <li>sitaxis</li> <li>funcionalidad</li> </ul>	 		<ul style="list-style-type: none"> <li>belleza</li> <li>es un hito patrimonio identidad</li> <li>arte artesanía</li> <li>cultura local</li> <li>culturas apropiadas</li> </ul>		
		uso de tecnologías alternativas	Poco con	energias no renovables		
		tecnologías y savidurias ancestrales	Paisaje			
		innovación tecnológica	limpieza y salud del entorno		estrella	
		Las estrellas son meritos menores en cada aspecto, la luna es un merito mayor, y el sol es un reconocimiento alto, equivalente a oro o platino.				
		Cuenca 22 de agosto del 2015				sol medio
	Director	colaboradores	autoridad		sol gigante	

		TOOL FOR ASSESSING THE SUSTAINABILITY OF ARCHITECTURE AND LANDSCAPE						
	<b>Aspectos sociales</b> crea trabajo aporta a las carencias de vivienda de servicios dinamiza la economía confort	 <b>Reina</b> Hombre Fuerzas Reinas		 <b>Sumaq</b> Emocion Belleza Emocion	<b>Aspectos de la Emocion</b> belleza es un hito patrimonio identidad arte artesanía cultura local culturas apropiadas			
	casa sana sitaxis funcionalidad					 <b>Allpa</b> Landscape Tierra		
	uso de tecnologías alternativas tecnologías y saavidurias ancestrales innovacion tecnologica					 <b>Poco consumo de energias no renovables</b>	 Paisaje	
			limpieza y salud del entorno					
	Las estrellas son meritos menores en cada aspecto, la luna es un m...		reconocimiento alto. equivalente a oro o platino.					
			Cuenca 22 de agosto del 2015					
Director	colaboradores		autoridad					
								
								

Tables [4]

## US-Ukraine Relations In The Post-Soviet Era

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### Abstract

The fall of the Soviet Union in 1991 radically altered the world order. The Cold War was over, and the USSR became 15 independent states. This interdisciplinary research focuses on the political history of the bi-lateral relationship between the US and Ukraine in the post-Communist Era, primarily by analyzing executive-level interactions between both states. The purpose of this study is to explain how US-Ukrainian relations have evolved from Ukraine's independence from the USSR to the present day in an effort to determine the future of US-Ukrainian relations in the short- and long-term future. This study includes an analysis of US government documents, official communications by the US, Ukrainian, and Russian governments, media reports from all three states, and the integration of numerous academic publications on the subject. Our central argument is that the policies pursued by the United States and Ukraine in this time frame reflect what International Relations scholars term "realism". In sum, all of the realism criteria are met in the case of US-Ukraine Relations. This leads us to conclude that as states, the US and Ukraine will continue to act in a rational self-interested manner, for their own self-preservation, without regard to the expressions of international organizations.

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**Keywords:** United States-Ukraine Relations, Ukraine, United States, International Relations, Realism, Former USSR, Russia, Donbas, Crimea, Orange Revolution, Maidan, US Foreign Policy, Leonid Kravchuk, Leonid Kuchma, Victor Yushchenko, Viktor Yanukovich, Petro Poroshenko, Vladimir Putin

## **Introduction**

The fall of the Soviet Union in 1991 radically altered the world order. The Cold War was over, and the USSR became 15 independent states. The United States of America was then faced with reinventing its foreign policy in the region, and began the process of establishing formal political relations with each newly independent state of the former-USSR. Among these is Ukraine, a state that has undergone tremendous changes over the past twenty-five years.

This interdisciplinary research focuses on the political history of the bi-lateral relationship between the US and Ukraine in the post-Communist Era, primarily by analyzing executive-level interactions between both states. Therefore, the subject matter is neatly divided into the following eight historical periods of US-Ukraine Relations that mirror the executives elected to the presidency of each state:

### **1. 1991-1992: Leonid Kravchuk & George H.W. Bush**

Relations between the US and Ukraine begin with Ukraine's transition to democracy and the election of longtime Communist Party Leader Leonid Kravchuk as the newly independent state's first democratically elected president. Then-US President George H.W. Bush assisted Ukraine's transition with an eye toward dismantling the country's nuclear arsenal.

### **2. 1993-1994: Leonid Kravchuk & Bill Clinton**

Bill Clinton pressured Ukraine to become a non-nuclear state to sign a Non-Proliferation Treaty and establishing a Trilateral Statement between the US, Ukraine and Russia to guarantee Ukraine's security.

### **3. 1994-2000: Leonid Kuchma & Bill Clinton**

During Clinton's second term in office, which coincided with Leonid Kuchma's reign of power in Ukraine, the pursuit of NATO membership for Ukraine, the resolution between Ukraine and Russia over the stationing of Russia's Black Sea Fleet in Crimea, the adoption of the Trilateral Statement and Budapest Memorandum that was to guarantee Ukraine's territorial integrity, and funding to shut down the Chernobyl plant were all major themes.

### **4. 2001-2004: Leonid Kuchma & George W. Bush**

By the time George W. Bush ascended to the US presidency, Kuchma's scandalous involvement in the Heorhiy Gongadze murder and Ukrainian sales of military equipment to Iraq were beginning to unravel and had dire effects on US-Ukrainian relations.

### **5. 2004-2008: Victor Yushchenko & George W. Bush**

The Orange Revolution popular movement that brought Victor Yushchenko to power, and George W. Bush's reelection set the tone for a revival in US-Ukraine relations.

### **6. 2009-2010: Victor Yushchenko & Barack Obama**

The demise of the Orange Revolutionaries resulting in the ironic election of Victor Yanukovich, and the shift in US foreign policy objectives brought upon by the election of Barack Obama to the US presidency resulted in a new era for both Ukraine and the United States.

**7. 2010-2014: Viktor Yanukovich & Barack Obama**

Ultimately, Yanukovich's rejection of the EU Association Agreement would bring US-Ukraine relations to the forefront of politics in both states. Unlike the Orange Revolution a decade before, the protest movement that came to be known as the Euromaidan would turn violent, serving as a catalyst that would result in a dramatic series of events including Yanukovich's self-exile to Russia, the Russian annexation of Crimea, revolts by pro-Russian forces in the Donbas; US economic and military assistance to Ukraine, the downing of a Malaysia Airlines by pro-Russian forces acting in Ukraine, and a series of US economic sanctions on Russia.

**8. 2014-Present: Petro Poroshenko & Barack Obama**

Eventually, the election of chocolate magnate Petro Poroshenko to the Ukrainian presidency, and the pursuit of the Minsk I & II ceasefires between Ukrainian and Pro-Russian forces would lead the US and Ukrainian foreign policies to become intertwined.

The purpose of this study is to explain how US-Ukrainian relations have evolved from Ukraine's independence from the USSR to the present day in an effort to determine the future of US-Ukrainian relations in the short- and long-term future. This study includes an analysis of US government documents, official communications by the US, Ukrainian, and Russian governments, media reports from all three states, and the integration of numerous academic publications on the subject. Our central argument is that the policies pursued by the United States and Ukraine in this time frame reflect what International Relations scholars term "realism".

**US-Ukraine Relations 1991-1992: Leonid Kravchuk & George H.W. Bush**

Following Ukraine's independence, the US and in particular the 41<sup>st</sup> US President George H. W. Bush administration (1989-1993, referred to hereafter as Bush I to avoid confusion with his son and 43<sup>rd</sup> President George W. Bush), viewed Ukraine as a delicate area with a potential to ignite and disrupt relative peace in the region. Therefore, American authorities initially backed Russia as a regional power because they believed Russia's central power could maintain democracy and peace in the region and had agreed to continue the track towards the Treaty on the Non-Proliferation of Nuclear Weapons (NPT) (Yekelchuk 2015, 69).

The Bush I administration initially preferred to deal with Russia and not so much Ukraine because it had a prior history of negotiation with the USSR (Kubicek 1999, 548). The 1991 Nunn-Lugar Act was initiated to secure and dismantle nuclear weapons in the former USSR. The 1991 act also provided funding and expertise for former Soviet states, including Ukraine to dismantle their nuclear weapons (Gak 2004, 106-135).

The Ukrainian Parliament declared its independence from the USSR on August 24, 1991, Leonid Kravchuk was elected as Ukraine's first president as an independent nation, and on December 25 1991, the USSR was dissolved. A month later, the US approved a memorandum for the Secretary of Defense for humanitarian assistance to provide the former USSR, including Ukraine (US Government Publishing Office 1992a). On January 22, 1992, President Bush I stated, "As we begin a new year and chart our course for the rest of this decade, let us bring equal commitment to the challenge of helping to build and sustain democracy and economic freedom in the former U.S.S.R., just as we did in winning the cold war. Let us help the people throughout the Independent States to make the leap from communism to democracy, from command economies to free markets, from authoritarianism to liberty. And then let us pull together to win the peace in this post-Cold-war era (US Government Publishing Office 1992b)."

The nuclear weapons stationed in Ukraine, and Ukraine's inability to negotiate with its former partner Russia, meant the US would have to assist in negotiating an agreement between the three in order to reduce and disarm some of the nuclear weapons located in the former Soviet Union (Fink 1997, 12). Roman Popadiuk became the first US ambassador to Ukraine on March 27, 1992, and the first US embassy was established in the country (American Reference Library 2001, 1) Following Popadiuk's installment, Bush sent a letter to congressional leaders stating "we have already seen an improvement in the willingness of these new governments to adhere to arms control obligations (US Government Publishing Office 1992c).

President Kravchuk then visited the US on May 6, 1992 and met with Bush I to sign agreements on economic and security issues. After the "successful meeting", Bush I voiced his opinion on the outcome of the negotiations, "We welcome President Kravchuk's assurance that Ukraine will remove all nuclear weapons from its territory and join the Non-Proliferation Treaty as a non-nuclear weapons state (US Government Publishing Office 1992d)." Kravchuk said that about 50% of the nuclear tactical weapons had been withdrawn and the rest would be removed by July 1, 1992 (US Government Publishing Office 1992d). The meeting also included talks about economic assistance from the US to help rebuild and establish a new currency in Ukraine through a commodity credit of \$110 million dollars to allow the sale of American commodities that could possibly strengthen the



free market system and expand trade with Ukraine (US Government Publishing Office 1992d). After the meeting, Bush I thanked Kravchuk for the agreements signed by both governments and changed Ukraine's status to a most-favored nation, which was a long way from its status only two years prior, and hinted toward the establishment of future agreements. President George H. W. Bush expressed the US stand to support a "democratic" Ukraine, which sent a clear signal that Ukraine should remain on a road towards democracy or face losing US assistance.

Ukrainian concerns over the heavily ethnic-Russian population regions in Ukraine became apparent soon after the USSR's dissolution. Significantly, Kravchuk addressed his concerns over the issue of Ukrainian security during a joint press conference with Bush I by discussing political forces in Russia and their attempted territorial claims to parts of Ukraine. Kravchuk wanted some form of guarantee to ensure the national security of Ukraine, specifically from Russia. There was a question on whether Ukraine was afraid of losing the Crimea region to Russia. Kravchuk responded that the 1954 Act to transfer Crimea to the Republic of Ukraine from the USSR was "totally legitimate", but that there are "some forces from the outside that stimulate and instigate separatist moods" (US Government Publishing Office 1992d). Kravchuk provided the Russian vice-president Alexander Rutskoy's statement that "Crimea is Russian" as an example and proclaimed his wish for peace in the region (US Government Publishing Office 1992d). The highly ethnic Russian populated Crimea region has been vastly contested by ethnic Ukrainians, Crimean Tatars, and Russians alike. In sum, while Bush I's concerns dealt specifically with the NPT, President Kravchuk was more focused on the territorial and economic issues that revolved around the future security of an independent Ukraine. On July 2 1992, Bush I submitted a yearly report on NPT and thanked the presidents of Ukraine, Kazakhstan, Russia and Belarus for their cooperation to fulfill the withdrawals of tactical nuclear weapons from the former Soviet Republics (US Government Publishing Office 1992e).

### **US-Ukraine Relations 1993-1994: Leonid Kravchuk & Bill Clinton**

William Jefferson Clinton (Bill Clinton) became president of the United States of America in January 1993 and served two terms until January 2001. The Clinton administration believed that improving relations between the US and Ukraine was critical because if Ukraine returned to Russia it would also mean the return of Russia as an empire (Yekelchuk 2007, 195). In addition, Ukraine's nuclear armament was a threat to the US and world peace in general. Therefore, the Clinton administration switched from the "pressure" tactic mostly used by the previous Bush I administration and focused more on making Ukraine a partner in the negotiations in order to

gain international security through the NPT. The strategy pursued early on by the Clinton Administration illustrates a change from the previous administration, and was more inclusive of Ukraine in its negotiations.

On January 8 1994, President Clinton sent a memorandum to the Secretary of Defense on the assistance to the states of the former Soviet Union (US Government Publishing Office 1994a). In the memorandum, President Clinton expressed the importance in assisting Ukraine and the region to improve security for the US and the world in general. President Clinton stated, “The political and economic transformation of the Newly Independent States (NIS) of the former Soviet Union into peaceful market-oriented democracies will directly reduce the security threat to the United States and lead to substantial savings in the cost of the defense of the United States (US Government Publishing Office 1994a).” In a news conference held in Kyiv on January 12, 1994, President Clinton spoke about the willingness of all three presidents (Clinton, Kravchuk, and Russian President Boris Yeltsin) to sign the agreement that would commit Ukraine to eliminate its nuclear arsenal and how the agreement would increase Ukraine’s security as well as the entire world. Their meeting centered around the strategic importance of the Ukrainian territory, a US invitation for Ukraine to participate in NATO’s Partnership for Peace (PFP), and the enhancement and expansion of economic relations between both countries (US Government Publishing Office 1994b). President Clinton also announced an enterprise fund set up for the region to assist new small businesses and existing firms that sought to privatize and he expressed that US policy guarantees to assist Ukraine economically and in terms of security, depended on Ukraine’s pledge to follow through with its plan denuclearize. President Kravchuk recognized nuclear weapons as the most important problem facing the world during that time period and acknowledged the importance of economic support to Ukraine as well as his willingness to participate in NATO’s PFP (Clark and McGwire 2008, 1281-1287).

The process to make Ukraine a Non-Nuclear State would become closer following the signing of the Trilateral Statement between US, Russia, and Ukraine. On January 14, 1994, the Trilateral Statement was signed by all three leaders at a meeting in Moscow. After the signing ceremony, President Kravchuk said that Ukraine was also guaranteed compensation for the enriched uranium once the nuclear warheads had been dismantled as well as security assurances from both US and Russia (US Government Publishing Office 1994c).

In March 1994, President Clinton informed Congress about his resolution to add Ukraine to the Generalized System of Preferences (GSP), which would allow Ukraine access to the US market by adding it to the list of developing countries (US Government Publishing Office 1994d). At a

news conference to welcome President Kravchuk and his delegation at the White House, President Clinton expressed his contentedness with Ukraine's signing of the TA, which allowed the removal of 1,800 nuclear warheads from Ukraine and also ratified START I (US Government Publishing Office 1994d). President Clinton thanked and praised the Kravchuk administration and Ukrainians for their ability to move forward with democracy in Ukraine.

Notably, President Clinton re-assured Ukraine of US support for the independence, economic stability and territorial integrity of Ukraine. Clinton also hinted at additional economic support from international financial institutions, Nunn-Lugar funds and G-7 nations that totaled to \$700 million in assistance for the year 1994 (US Government Publishing Office 1994d). Clinton was asked about Russian imperialism and whether it threatened the stability of an independent Ukraine. President Clinton responded by pointing to the "Crimean issue" as an example that things could be worked out through Ukrainian/Russian policies (US Government Publishing Office 1994d). However, President Clinton seemed more concerned for the immediate issue of the NPT and less attentive to any territorial disputes between Ukraine and Russia. When asked about additional US assistance, President Clinton reiterated the US willingness to assist Ukraine with \$700 million for denuclearization and economic assistance.

In sum, President Leonid Kravchuk left a lasting image as a great compromiser for Ukraine because of his ability to accommodate both sides of the political spectrum. President Kravchuk led the way for the independence of Ukraine and followed through with policies that appeased both the US and Russia while at the same time assuring Ukraine's place as a new democracy. During his administration, Kravchuk was able to negotiate Ukraine's deal on NPT in exchange for economic and security assistance from the US. The US was more focused on the denuclearization of the region and most of the necessary steps to remove the nuclear weapons from Ukraine had been worked out. Kravchuk succeeded in making the Ukrainian language the national standard for education and civil service that contributed to a sense of Ukrainian identity. However, the language issue, the use of the new blue and yellow Ukrainian flag and the new national anthem led to serious opposition in the heavily ethnic Russian areas of the east, which contributed to the division of Ukrainian society. This, along with blatant corruption, and economic collapse led to early presidential elections held in June and July 1994 when Kravchuk was defeated and succeeded by his Prime Minister Leonid Kuchma.

### **US-Ukraine Relations 1994-2000: Leonid Kuchma & Bill Clinton**

During Kuchma's first presidential term, Ukraine became the first country of the Commonwealth of Independent States (CIS) to sign a

cooperation agreement with NATO as part of the Partnership for Peace Program in 1995, and announced its desire to join the European Union in 1996 (Yekelchik 2015, 70). It was also at this time that there was a coincidence of interests that inflated US-Ukraine relations to what was then called a “strategic partnership” where Ukraine was described as the “keystone in the arch” of European security (Kuzio 2003b). It seemed that during Kuchma’s first term, Ukraine was on its way to becoming a successful functioning democracy and forging strategic partnerships with other democratic countries. US-Ukraine relations improved between 1994-1996 because the US saw Kuchma as a reformer whose government program would obtain support from the IMF and World Bank; Ukraine’s reward for this was becoming the third-largest recipient of US aid (Kuzio 2003b). With the US by its side, it was hopeful that Ukraine in the 1990s could become a functioning democratic state and a future member of NATO.

Five months after Leonid Kuchma was elected president of Ukraine, Kuchma met with US President Bill Clinton on November 22, 1994, to discuss economic and nuclear reform. During the November 1994 meeting, President Clinton assured President Kuchma that the United States would continue to work with Ukraine to dismantle its nuclear arsenal while providing foreign aid (Clinton & Kuchma 1994). Kuchma and Clinton signed the Charter of Ukrainian-American Partnership, Friendship, and Cooperation and the Agreement of Cooperation on Space Research for Peaceful Purposes. As for Ukraine’s interest in joining NATO during Kuchma’s presidency, Clinton encouraged it economically, politically, and in terms of security; and assured that he would not get in the way or do anything that would exclude the possibility of Ukrainian membership to NATO (Clinton & Kuchma 1994). The Ukrainian parliament voted overwhelmingly to make Ukraine a nuclear-free country and agreed to carry out two major arms control agreements on December 5, 1994.

Ukraine’s parliament placed a few conditions on the treaty, known as the Budapest Memorandum on Security Assurances, whereby the US, Russia, and the United Kingdom agreed they would respect Ukraine’s borders and never use nuclear weapons against it (Greenhouse 1994). The Budapest memorandum was reaffirmed in 2009 by the United States and the Russian Federation. Within the memorandum, the Russian Federation, the United Kingdom, and the United States express their commitment to respect the independence, sovereignty, and the existing borders of Ukraine. The US, Russia, and UK agreed to refrain from economic coercion designed to subordinate Ukraine’s sovereignty and also stated that the three countries would seek immediate United Nations Security Council action to provide assistance to Ukraine if Ukraine should become a victim of aggression or an object of a threat of aggression in which nuclear weapons are used. Finally,

Russia, the US, and the UK agreed not to use any nuclear weapons against any non-nuclear weapon state of the NPT, except in the case of an attack on themselves, their territories or dependent territories, their armed forces, or their allies (Budapest Memorandums on Security Assurances 1994).

In February 1996, Freedom House honored Kuchma as the 43<sup>rd</sup> recipient of the Freedom Award for contributions to world peace, regional security, and inter-ethnic cooperation. The organization had strong ties to Ukraine in 1996 and chaperoned Kuchma's trip to the US, where he met with President Clinton and spoke about Ukraine's painful transition from an authoritarian regime to a democratic system of government, and the importance of Ukraine's new constitution that would help deepen the democratic development of Ukrainian society and legally provide safeguards against the threat of returning to authoritarian political control (Lew 1996).

On May 31, 1997, Russian President Boris Yeltsin visited Kuchma in Kyiv to sign a Friendship Treaty. Yeltsin specifically stated that within this treaty, Russia would respect and honor the territorial integrity of Ukraine, despite the urging of Russian leaders to try to claim the city of Sevastopol in the Crimea as Russian (Specter 1997). The main points of the treaty stress political and commercial cooperation between the two countries, and it includes a joint statement on the Black Sea Fleet that permitted Russia to operate on Ukrainian territory. The Agreement on Status and Conditions of Deployment of the Russian Black Sea Fleet on the Territory of Ukraine established the terms of the Russian Black Sea Fleet presence in Ukraine for 20 years, and stipulated that its activity would be carried out in accordance with universally accepted norms of international law (Ukrainian Weekly 1997). It also assured the people of Sevastopol that their social well-being would remain important to the leaders of both countries and that the city would not become a military annex of Russia (Specter 1997).

That same year, the Congressional Ukrainian Caucus was founded in the US House of Representatives. The creation of the Caucus was announced to the public at a reception held at the Embassy of Ukraine in the US, commemorating the first anniversary of the adoption of the Ukrainian Constitution written under Kuchma. The Caucus is aimed at expanding bilateral Ukraine-US cooperation, including authoring legislation, disseminating information to members of Congress about current political, economic, social, and cultural events occurring in Ukraine, as well as drafting recommendations on the further development of US policy toward Ukraine (Embassy of Ukraine in the United States of America 2012). The main goal of the Caucus is to support Ukraine in democratization and market-oriented reforms, as well as to shape the US Congress official position regarding Ukraine's success in their implementation.

President Kuchma narrowly won a second term as president in 1999 thanks to his control of the media and his willingness to engage in political manipulation, including ballot stuffing (Yekelchik 2015). The following year, President Bill Clinton visited Kyiv to advance and deepen the strategic partnership between the US and Ukraine. Clinton announced that President Kuchma would shut down the Chernobyl nuclear power plant and the US would pledge \$78 million for the Chernobyl Shelter Fund to contain any radiation from the destroyed reactor, and another \$2 million to expand efforts to improve safety at Ukraine's other power plants (Clinton 2000). Clinton announced a 5-year, \$25 million business development program to help small and medium-sized businesses in Ukraine to participate in the growing economy. It was also mentioned that because of Ukraine's efforts to prevent missile proliferation, the US eliminated commercial space quotas to expand US cooperation with Ukraine's space program (2000).

Ukraine's record on human rights and democratization since the late 1990s has been negatively assessed by many Western governments and think tanks (Kuzio 2003a, 23). This is due, in part, by a stream of allegations on the inner workings of the Kuchma regime known as "Kuchmagate" that were publicized in the Western media. On September 16, 2000, a journalist named Heorhiy Gongadze disappeared. Gongadze was known for speaking out openly against the government and used his popular radio show and website to expose the widespread corruption in Kuchma's cabinet (Bailey 2013). Gongadze's body was found decapitated and burned in November 2000. The questionable handling of the body and the autopsy reports created the impression that someone was trying to hide something, and suspicion focused on Kuchma's government (D'Anieri 2007). Gongadze's body was found the same month the tapes were released that contained a recording of Kuchma ordering his Interior Minister, Yuriy Krawchenko, to deal with Gongadze. Krawchenko is then heard on the tapes telling Kuchma that this was to be undertaken using his "White Eagles" special police unit (Kuzio 2003a, 23). Due to this political scandal, the Committee to Protect Journalists, based in the US, ranked President Kuchma in the top ten worst "enemies of press freedom" in 1999 and 2001 (Kuzio 2003a, 23). The Kuchmagate scandal was also one of the first scandals that led to a decline in the relationship between the US and Ukraine. Beginning around the year 2000, the US-Ukraine strategic partnership that had developed under President Clinton floundered and Ukraine's relationship with the US fell to its lowest level by the end of Clinton's presidency; Kuchma became isolated in the West (Kuzio 2003a, 26).

### **US-Ukraine Relations 2001-2004: Leonid Kuchma & George W. Bush**

On December 15, 2000, student protesters known as the Pora Youth Group gathered in Kyiv's Independence Square and demanded accountability from their government, calling on Kuchma to step down from office (Bailey 2013). By February 2001, the opposition parties that ran in the 1999 elections joined the protesters, and the European Union began an inquiry into the Gongadze murder case (Bailey 2013). The movement also gained support from the Ukrainian Socialist party, represented by Oleksandr Moroz, and a selection of other marginalized political groups in Ukraine. Protesters carried signs and created slogans to protest the corruption and oppression of their government, calling their movement "Ukraine Without Kuchma." On March 9, 2001, the government ended the crisis by forcibly removing the protesters, arresting many of them, as the Berkut (special police forces) struck protesters with batons (Bailey 2013). These violent actions by the Kuchma government solidified the Ukrainian opposition around Victor Yushchenko and Yulia Tymoshenko.

In the United States, George W. Bush (hereafter referred to as Bush II to avoid confusion with his father), assumed power on January 2001, and within two months of taking office wrote a letter to Kuchma assuring him of the important place Ukraine held in American foreign policy and the important role Ukraine had in building a stable and prosperous Europe (Bush 2001). Nevertheless, Bush II refused to meet with Kuchma until the Gongadze scandal was resolved. After the September 11 terrorist attacks on the US, everything that was not directly related to the war on terror was downgraded in the list of US foreign policy priorities, and the entire post-Soviet space found itself in that category (Dubovyk 2006, 2).

By September 2002, US-Ukraine relations took an even sharper turn for the worse as an FBI probe showed Kuchma had authorized the sale of Kolchuga aerial surveillance systems to Iraq (Kuzio 2003a, 25). In response to the military equipment sales, the US put a hold on a portion of its aid to Ukraine. US foreign assistance to Ukraine, which had been the third largest after Israel and Egypt in the 1990s, declined by nearly half from \$229 million in 2001 to \$125 million in 2002 (Kuzio 2003a, 26). After the Iraqi scandal became public, Kuchma was cold-shouldered by Western and NATO leaders at a November 2002 NATO summit (Kuzio 2003a, 25). US Congressman and co-chairman of the Ukrainian Caucus, Bob Schaffer, wrote a letter to Bush II urging him against meeting with Kuchma during the summit.

Prior to Bush II attending the 2002 NATO summit in Prague, the letter stated that Kuchma clearly expressed his intention to violate United Nations sanctions imposed in Iraq by approving the sale of Kolchuga aerial surveillance systems (Brama 2002). Schaffer wrote that Kuchma's behavior

was reckless and he directly threatened the lives of US soldiers and those of US allies. Schaffer also urged Bush II to isolate Kuchma and his associates while improving relations with other Ukrainian officials. Schaffer claimed that Ukraine is vital to the long-term security of the US and NATO allies, and it is in America's interest to support the people of Ukraine in their quest for permanent independence.

By 2003, Relations between the US and Ukraine were at their lowest level since the USSR disintegrated (Kuzio 2003a, 26). However, Kuchma sent Ukrainian troops to Iraq in September of 2003 as part of the international stabilization force to win the good graces of the US and Great Britain, and on June 5, 2003, the Ukrainian parliament approved to send 1,800 peacekeeping troops to Iraq. (Zalizniak 2003). During the Iraq War, the Ukrainian newspaper *Dzerkalo Tygnia* published a poll that showed 90% of Ukrainians opposed military solution to the crisis and only 4.6% approved the war; while 38% of Ukrainians agreed that Saddam Hussein was dangerous for peace in the world, 57% said the same for George W. Bush (Zalizniak 2003).

On September 11, 2004, Kuchma sent a letter to Bush II promising that Ukraine would remain true to its commitments as an active participant in the Anti-Terrorism Coalition and would do its best to counter terrorism (Ukrainian Weekly 2004). Clearly this letter was written to Bush II as a way to regain the US's trust after the Kuchmagate and Kolchuga scandals. US-Ukraine relations towards the end of Kuchma's second term were in decline, to say the least, and many US officials were hesitant to trust Kuchma's politics. The stage was now set for a *de facto* referendum on Kuchma's ten years in office marred by crises and scandals, with the presidential election scheduled for October 31, 2004 (Kuzio 2005).

### **US-Ukraine Relations 2004-2008: Victor Yushchenko & George W. Bush**

The 2004 Ukrainian presidential election was mired in controversy. Victor Yushchenko and Viktor Yanukovich had received 39.22% and 39.88% of the vote, respectively. Since neither gained the required 50% to win the election outright, a run-off election was scheduled to be held three weeks later. The election was serving as a benchmark for Ukrainian democracy- future relations with the United States and the West as a whole depended upon free and fair elections for the next Ukrainian president. The United States did not officially prefer either candidate, though Yushchenko was viewed as more friendly with the West. The US emphasis was on free and fair elections.

After the election, the Ukrainian Central Election Commission reported that Mr. Yanukovich had won the run-off, with 49.42 percent of the



vote in comparison to Mr. Yushchenko's 46.7 percent, though most exit polls had shown former Minister of Finance Yushchenko having a significant lead over Prime Minister Yanukovich (108 S.R. 485). Nongovernmental organizations (NGO), Ukrainian observers, and representatives for foreign governments, among them US Senator Richard Lugar, an Indiana Republican, had witnessed brazen violations of Ukrainian campaign law and "international standards for democratic elections" (108 S.R. 485). Less than a day after the election ended, before the winner had even officially been declared, tens of thousands of protesters had gathered at Independence Square (the Maidan) in Kyiv. Protests broke out across Ukraine, as more and more Ukrainians gathered at the Maidan. The United States government, the Organization for Security and Cooperation in Europe (OSCE), and other international actors were quick to condemn the election, with the exception of the Commonwealth of Independent States (CIS). Russian President Vladimir Putin allegedly congratulated Prime Minister Yanukovich on his win before the Central Election Commission (CEC) had even officially declared the results; the Bush administration filed a complaint with the Russian ambassador to the United States in response (Torbakov 2004). The Orange Revolution, as the protests were now being called, remained remarkably nonviolent, with neither the protestors nor Ukrainian government resorting to violent measures.

On 24 November, the Ukrainian Supreme Court barred the CEC from publishing the official election results, preventing Mr. Yanukovich's inauguration as president until the court could review the allegations of voter fraud. Eventually, both candidates agreed on the need for another election. The Ukrainian Supreme Court ruled that the November 21 election was invalid and that a new runoff election would be scheduled for December 26 (108 S.R. 487). The US Department of State was quick to respond to these developments and provided an additional three million dollars in funding for the 26 December election to "support election observers, exit polling, parallel vote tabulations, training of election commissioners, and voter education programs" in addition to the \$13.8 million in election-related assistance that had already been provided in 2004 (US House 2004). Future policy, regardless of which candidate won, depended upon a free and fair election.

After the rampant fraud of the earlier elections, early reports of the December 26 run-off by observer organizations were promising. Overall, the electoral process had improved significantly over the past month with international observers reporting more balanced media coverage, the ending of editorial instructions for journalists by the government, and less abuse and misuse of state resources in pressuring voters. As in the prior elections, CIS observers differed from their Western counterparts in their analysis of the

election. The Russian reaction was a sole voice of dissent against the other observing organizations. Yushchenko announced his victory just hours after the polls closed, though his rival Yanukovych refused to concede the election until the CEC announced the official results on January 10. Though the United States commended Ukraine for a democratic election immediately after it had taken place, it reserved its congratulations for Yushchenko's election until the official results were announced. On January 22, 2005, the evening before Yushchenko's inauguration, Bush II personally telephoned Yushchenko to congratulate him on his victory and affirm the United States support of Ukraine.

In early February 2005, Senators John McCain and Hilary Clinton, a Democrat from New York, led a delegation of 11 members of Congress to Kyiv and met with newly appointed Prime Minister Tymoshenko and other members of the Ukrainian government to discuss Ukraine's dependency on Russian energy and the normalization of trade relations between the US and Ukraine (Nuzhinskaya 2005).

In Ukraine, in contrast to the optimism of the United States, the reaction to the Orange Revolution and second run-off election was somewhat mixed. Less than six in ten Ukrainians believed that the December 26 election was "completely or mostly fair;" that number rose to 87% for Yushchenko supporters and plummeted to 13% for Yanukovych supporters (IFES 2005a, 3). More importantly, the revolution had somewhat alienated Crimea and eastern Ukraine from the rest of the country. The differences reported between Yanukovych and Yushchenko supporters were magnified in these areas. Reflecting their ethnic makeup, they were far more likely to support strengthening relations with Russia in comparison to Ukrainians in other areas. This rift would continue to grow over the upcoming years.

The next significant step in US-Ukraine relations was at the NATO Summit in Brussels in late February 2005. President Yushchenko was the only non-NATO head of state to attend, and he met with Bush II in person for the first time before the summit. President Bush stressed that "it's up to President Yushchenko and his Government and the people of Ukraine to adapt the institutions of a democratic state... but we want to help them achieve that work" (US Government Publishing Office 2005a). To that end, he announced additional funding from the United States towards NATO's newly created small arms disarmament program for Ukraine (US Government Publishing Office 2005a). Separately, a few weeks later the House authorized an additional \$33.7 million in assistance for Ukraine in an emergency appropriations act (*Cong. Rec.* 2005, 151, pt. 31, H1471), although this amount was nearly doubled after President Yushchenko's visit to the United States in April 2005.

At the summit President Yushchenko announced, “Ukraine has made its position clear about joining the Membership Action Plan” (NATO 2005). Shortly after the summit, however, the government of Ukraine announced that it was withdrawing all Ukrainian troops from the NATO mission in Iraq by the end of the year. In response, Senator Lugar stated that this withdrawal “was not a plus factor” in Ukraine’s relationship with the United States but the Yushchenko administration was handling the situation “tactfully” and he remained enthusiastic about the prospects of economic reform in Ukraine (Bihun 2005).

President Yushchenko’s visit to the United States in April 2005 was a marker of the growing relationship between Ukraine and the US. Together, Yushchenko and Bush II reiterated Ukraine’s intention to “move closer to, and ultimately join European, Euro-Atlantic and international institutions” with full US support (US Government Publishing Office 2005b). The press release announced the two presidents’ support of permanent normal trade relation status between the two nations, mirroring bills that had already been introduced in Congress (US Government Publishing Office 2005b). They announced the creation of a dialogue about Ukraine’s energy sector between the energy departments of each nation for the “restructuring and reform of Ukraine’s energy sector,” which was dependent on Russian natural gas (US Government Publishing Office 2005b). In addition to a general expansion of healthcare-related assistance for Ukraine, the United States provided an additional \$45 million towards the Chernobyl Shelter Implementation Plan, though it was noted that in the future “US assistance to Ukraine will particularly focus on solidifying democratic advances through anti-corruption and rule-of-law programs... and other steps to improve electoral institutions and practices” (US Government Publishing Office 2005b). Last, to facilitate contact between Ukraine and the United States, visa requirements in Ukraine for Americans were eliminated while the United States reduced visa fees for Ukrainians. President Yushchenko addressed a Joint Session of Congress during his visit. He stressed the reforms that Ukraine had been undertaking for the past several months, noted the increased independence of the media and the government’s commitment to judicial reform, and assured that the parliamentary elections scheduled for March 2006 would be free and fair. He reiterated his government’s intentions to strengthen ties with the West, with a “vision of the future [with] Ukraine in a united Europe” and that “Ukraine wishes to guarantee security to its citizens... it is only logical that we target our efforts towards the integration to NATO” (*Cong. Rec.* 2005, 151, pt. 38, H1785). The goal of Yushchenko’s visit to the United States was to “establish a new era in Ukraine-US relations... a new Ukraine offers the US a genuinely strategic partnership” (*Cong. Rec.* 2005, 151, pt. 38, H1785). Overall, President Yushchenko’s visit

marked the beginning of a major step forward in Ukraine-US relations that continued to manifest through the rest of 2005.

In early May 2005, at the administration's request, Congress increased the emergency appropriations allocated to Ukraine in March from \$33.7 million to \$60 million in aid earmarked for the "government of Ukraine's highest priorities for political and economic reform, including anti-corruption initiatives and support for the upcoming parliamentary elections" (*Cong. Rec.* 151, pt. 38, H3007). In June, US Senator Chuck Hagel, a Republican from Nebraska, led a high level delegation to Kyiv to meet with senior Ukrainian officials where they discussed "strengthening bilateral ties in defense and economic affairs" and he "congratulated the new Ukrainian government on its commitment to adopting market-oriented economic reforms that will promote a healthy business climate and ensure long-term prosperity" (Embassy of the United States to Ukraine 2005).

In late August, Senator Lugar, escorted by freshman Senator Barack Obama, a Democrat from Illinois, travelled to Kyiv to discuss an expansion of the 1991 Nunn-Lugar Act, which had established the Cooperative Threat Reduction Program to fund the elimination of weapons in the former Soviet Union. The new agreement brokered by Senators Lugar and Obama included initiatives to expand biological threat capabilities in Ukraine by funding the creation of "epidemiological laboratories that store biological pathogens and [to] establish a national network of epidemiological monitoring stations" that could effectively combat outbreaks of infectious disease "whether naturally occurring or as a result of bioterrorism" (Sedova 2005). The senators also discussed economic relations with the Ukrainian government. On August 31, the Office of the US Trade Representative announced that it would be ending a \$75 million sanction on Ukrainian imports to the United States in response to the Rada passing laws that improved intellectual property rights in Ukraine, further easing access to the WTO (US Trade Representative 2005).

In December 2005, Secretary of State Condoleezza Rice spoke to students at Taras Shevchenko University in Lviv. Secretary Rice praised the political and economic reforms that had occurred over the past year, and told the students that "the United States now imagines a Ukraine that serves as an anchor of democratic stability in Europe and Eurasia. The United States will help Ukraine to implement the necessary political and economic reforms to achieve the goal of membership in the European Union and the World Trade Organization" (US Department of State 2005).

While the prospect of strengthening US-Ukraine relations and Ukrainian efforts toward democratic and economic reform remained positive in the United States throughout 2005, it was not matched by a similar enthusiasm in Ukraine. Less than four in ten respondents believed the March 2006 parliamentary elections would be somewhat or completely free and fair

and support for President Yushchenko, the Cabinet of Ministers, and the Rada had all plummeted by around 20% in only nine months (IFES 2005b, 3). The Party of Regions, the bloc of former Prime Minister Yanukovych was already taking a significant lead over the fractured Orange coalition parties by the time of the survey as well, with just under one in five respondents answering that they would vote for the Party of Regions if the election was held on the upcoming Sunday, foreshadowing the results four years later (IFES 2005b, 21).

Early in 2006, the primary focus of US-Ukraine relations was on closer economic ties between the two nations and further improvement of Ukraine's economic situation. The Generalized System of Preferences benefits for Ukraine was reinstated and Congress passed legislation normalizing trade relations with Ukraine. Bush II signed the bill into law on March 23, remarking that it was "the beginning of a new era in our history... The cold war is over, and a free Ukraine is a friend to America and an inspiration to those who love liberty," and "our nations' friendship will grow" as a result of increased trade (US Government Publishing Office 2006). Ultimately, however, these growing economic ties in early 2006 were somewhat offset by the results of the March 26 election that propelled Yanukovych's Party of Regions back into a prominent position in the Rada, leading to a cooling of relations between the United States and Ukraine. The OSCE chose Representative Alcee Hastings, a Democrat from Florida to serve as the special coordinator for the OSCE observers present during the March 26 elections, which the organization found to be free and fair (Ukrainian Weekly 2006a).

A month later, speaking in Bulgaria, Secretary of State Rice commented that "The Ukrainian government and the Ukrainian people will have to decide whether or not [joining NATO] is something that they wish to pursue," referring to the Party of Regions opposition to Ukraine's membership in NATO (Embassy of the United States 2006). In early June, Bush II's planned trip to Kyiv was "postponed," "due to the lack of a government in Ukraine" after coalition talks between the former Orange parties had still not resulted in an agreement (Ukrainian Weekly 2006b).

Relations between the United States and Ukraine continued to deteriorate in 2007. During a speech at the Embassy of Ukraine, Minister of Foreign Affairs Arseniy Yatsenyuk summarized the political infighting in Ukraine as "domestic problems... what is going on right now is part of a normal political process" (Bihun 2007). Minister Yatsenyuk extended thanks to the United States for staying out of the affair and added, "Ukrainian political problems should be resolved by Ukrainian politicians and not by the US Congress or government" (Bihun 2007). The Bush administration maintained its distance through 2007. Early in September, USAID

announced that it was cutting all funding to the US-Ukraine Foundation (USUF), a NGO that the editors of the *Ukrainian Weekly* claimed had “an excellent track record—one that may be second to none in helping Ukraine by working with what the foundation likes to call its ‘democratic modernizers’” (Ukrainian Weekly 2007). That same month, Tymoshenko replaced Yanukovich as Prime Minister after parliamentary elections, leading to warmer relations between the Bush administration and Ukraine began in 2008. The focus during this time was on Ukraine’s eventual joining of NATO. Relations with Ukraine were viewed as part of US relations with Russia. The renewed support for Ukraine joining NATO was partially in response to Russian threats against Ukraine earlier in the year (US Senate 2008, 4). In testimony before the US Senate, James Townsend, Jr. of the Atlantic Council stated, “Ukraine represents both an emotional and strategic center of gravity for Russians, and Ukrainian membership in NATO raises, for Russians, not just misplaced fears of NATO encroachment on its borders, but a shrinking of what Russian strategists see as their sphere of influence. But, Russian pressure should have no control over the decisions that a sovereign nation like Ukraine should make about what institutions it wants to affiliate with” (US Senate 2008, 69). Notably, then-Senator Obama asserted that “Russia cannot have a veto over which countries join the alliance” (US Senate 2008, 86). Overall, the hearing concluded that a MAP for Ukraine was necessary not only in recognition of the reforms over the previous years, but also simply in an attempt to curb Russian influence in the region.

In a show of public support, President George W. Bush made his first official state visit to Kyiv on March 31-April 1, 2008, on his way to NATO’s Bucharest summit. President Bush praised Ukraine’s actions continuing cooperation with NATO, noting that “Ukraine is the only non-NATO nation supporting every NATO mission,” and pledged the full support of the United States in persuading NATO to grant MAP status (US Government Publishing Office 2008). Ukraine was not extended a MAP at the summit. At the summit, Russian President Vladimir Putin allegedly snapped at President Bush, stating “Do you understand, George [W. Bush], that Ukraine is not even a state” (Burne, Rachkevych, and Marson 2010).

The Russian invasion of Georgia in August 2008 in support of separatist movements cast serious doubts on the ability of the West to guarantee Ukrainian territorial integrity. President Yushchenko visited Washington in September and met with Bush II, but their joint statement carefully avoided any mention of the crisis in Georgia. On December 19, 2008, Secretary of State Rice and Ukrainian Foreign Minister Volodymyr Ohryzko signed the US-Ukraine Charter on Strategic Partnership. While it was an affirmation of the renewed relations between the two nations during 2008, it was also a last attempt by the Bush II administration to curb Russian

aggression in the region without the support of NATO. The first section of the charter is concerned with maintaining Ukrainian territorial integrity, with principle 1 stating “Support for each other’s sovereignty, independence, territorial integrity and inviolability of borders constitutes the foundation of our bilateral relations” (US Department of State 2008).

### **US-Ukraine Relations 2009-2010: Victor Yushchenko and Barack Obama**

The government of Ukraine was unsure where it stood in relation to the United States after President Barack Obama took office in January 2009. Both President Obama and Vice President Biden had been friendly with Ukraine during their tenure as US Senators. While the Obama administration would continue to oppose Russia’s zero-sum view of foreign relations, Vice President Biden stressed that “the last few years have seen a dangerous drift in relations between Russia and [NATO]... it’s time to press the reset button and to revisit the many areas where we can and should be working together with Russia” (The White House 2009a). To reassure Ukraine that this did not mean a similar reset for relations between the United States and Ukraine, Vice President Biden visited Kyiv in July 2009. However, Vice President Biden was careful to never state that the United States supports Ukraine joining NATO or being granted a MAP. Instead, he only brought up US support for “deepening ties” between NATO and Ukraine (Office of the Vice President 2009b). For the rest of the year, relations with Ukraine focused on economics rather than security. In December, following a visit to Washington by Foreign Affairs Minister Petro Poroshenko, the Overseas Private Investment Corporation (OPIC) restored its programs in Ukraine, stimulating investment by US companies (Embassy of the United States 2009).

The lead-up to the January 2010 presidential elections in Ukraine witnessed more in-fighting between former Orange allies Yushchenko and Tymoshenko, while Victor Yanukovich secured an early lead in the polls. By November 2009 he was the most popular candidate, with 31.2% of respondents saying they would vote for him, followed by 19.1% of Ukrainians supporting Tymoshenko (IFES 2009). President Yushchenko was by far the least popular of the major candidates with only 14% of Ukrainians having a positive opinion of him and less than 4% of Ukrainians claiming that they would vote for him in the upcoming election (IFES 2009).

None of the candidates received the required majority needed to win outright, but in a February 7 2010 run-off, Yanukovich defeated Tymoshenko by a margin of 3.5% (Zawada 2010). Thus, a grand irony emerged in Ukrainian politics when the people elected the candidate accused of rigging the 2004 election which sparked the Orange Revolution. To

further the ironic twist, President Obama congratulated Yanukovich three days before the official tally was announced, while Russian President Dmitry Medvedev cautiously only congratulated Yanukovich for his “election campaign, which received a high evaluation from international observers,” (The White House 2010a and Zawada 2010).

### **US-Ukraine Relations 2010-2014: Viktor Yanukovich and Barack Obama**

Upon assuming the presidency, Yanukovich assured various European partners that accession to the European Union was one of Ukraine’s top aims, noting “European Union membership remains Ukraine’s strategic goal” (Alexe 2010). Despite Yanukovich’s promises for a healthy balance between the West and Ukraine’s neighbor to the east, his administration pulled Ukraine closer to Russia reversing various diplomatic cleavages created by Yanukovich’s predecessor, Yushchenko.

In April 2010, US President Barack Obama and Yanukovich released a joint statement reaffirming the partnership between the United States and Ukraine, vowing to uphold and build upon the United States-Ukraine Charter on Strategic Partnership the two countries signed in December 2008. The statement was another hopeful gesture by Western actors who wished to encourage the new administration to lean further Westward and away from its historic ties with Russia (The White House 2010b). Ukraine under Yanukovich nearly fell into bankruptcy as oligarchs looted the country’s coffers and deepened decades of corruption Ukraine had yet to completely eradicate.

Though Yanukovich faced scrutiny by various international actors and Ukrainian citizens alike, the turning point in his increasingly unpopular administration came in November 2013 when he declined to sign the country’s much anticipated EU Association Agreement, an agreement that took more than two decades to secure. Described as a “miracle [that] did not happen” (Euronews 2013), Yanukovich’s government suddenly backed out of the agreement, retreating from the country’s long journey to gain closer ties to the West, instead opting to renew relations with Russia. Immediately following the decision, the US Department of State expressed its disappointment, but affirmed that the US “stand[s] with the vast majority of Ukrainians who want to see this future for their country” (US Department Of State 2013a).

In the immediate aftermath of Yanukovich bowing to Russian pressure, tens of thousands of Ukrainian citizens took to the country’s capital to protest the decision on November 21, 2013. The subsequent protests became known as the Euromaidan as demonstrators held continuous public protests in Kyiv’s main Maidan Nezalezhnosti or “Independence Square,”



the same site of the country's infamous Orange Revolution in 2004. For the second time in less than a decade, the actions of Viktor Yanukovich motivated thousands to descend upon the square in protest. The initial protests remained peaceful, with few exceptions of vandalism and outbursts of skirmishes between protestors and the Berkut, Ukraine's special police force employed by the government's Ministry of Internal Affairs.

Peaceful demonstrations turned violent on November 30 as police attacked Maidan protestors in an attempt to disperse them from the square, injuring dozens of people which triggered hundreds of thousands of protestors – roughly 700,000 according to Ukrainian media (Hanenkrat 2013) – to march toward the Maidan on December 1. Over the next few days, protestors created makeshift camps in the Maidan, complete with tents, barricades and campfires and masses gathered in downtown Kyiv in ways somewhat reminiscent of the Orange Revolution. Despite relatively peaceful demonstrations in downtown Kyiv, in the early morning of December 11, in what appeared to be a coordinated attack, Berkut police forces surrounded the Maidan where some 15,000 protestors had gathered and attempted to destroy the makeshift barricades scattered about the Maidan; protestors and police clashed violently.

The acts of violence inflicted upon protestors garnered international outrage, particularly among US representatives. Secretary of State John Kerry condemned the events, stating, “The United States expresses its disgust with the decision of Ukrainian authorities to meet the peaceful protest in Kyiv's Maidan Square with riot police, bulldozers, and batons, rather than with respect for democratic rights and dignity. This response is neither acceptable nor does it befit a democracy...” (US Department Of State 2013b). Though US officials were quick to extend their support for the protestors, the United States, particularly in terms of foreign policy, had been largely uninvolved in Eastern Europe for some time. The gesture, limited strictly to words of encouragement for the protestors, highlighted the Obama administration's tendency to prioritize issues of international concern, an administration much more hesitant to engage in conflicts that did not directly affect the nation, unlike its predecessor.

Despite the United States' verbal encouragement, Moscow outright condemned US presence and support in their former republic, calling US involvement in Kyiv “the desperate subversion of Ukraine” (Robles 2013), while Russia's Deputy Foreign Minister Sergei Ryabkov warned that “[United States] interference in domestic processes in Ukraine may have very serious consequences” (Interfax-Ukraine 2013a). Russia's contempt was historically consistent with its fear of western encroachment into former Soviet satellite states or republics. With thousands of protestors in Kyiv emboldened by US encouragement and upset with the increasingly corrupt

and pro-Russian Yanukovich, Ukraine, one of Russia's last strongholds in keeping the West at bay, seemed to be slipping away.

On January 16, 2014, Ukraine's parliament passed sweeping anti-protest legislation that were, in many ways, as outrageous as the process by which they were approved: a show of hands (BBC News 2014d). The United States was quick to condemn the laws, expressing concern over their shockingly undemocratic nature. US Department of State Spokesperson Jen Psaki issued a statement regarding the passage of this legislation, noting that the measures were pushed through "without adhering to proper procedures" and that "the substance of the Rada's actions...cast serious doubt on Ukraine's commitment to democratic norms" (US Department Of State 2014a). Additionally, Secretary of State John Kerry described the laws as "anti-democratic," "wrong," and "extremely disturbing" (US Department Of State 2014b).

The passage of the January 16 anti-protest laws pushed protests in a much more violent direction. Ukraine's Euromaidan rapidly descended into chaos deliberately orchestrated by far right, radical, and arguably fascist groups. The notable state-funded Russia Today (RT) published numerous stories describing the events unraveling in Kyiv as peaceful protests "usurped by masked rioters with guns" (Russia Today 2014a) and "an attempt at a coup by radicalized protestors" (Russia Today 2014c). The Russian media's continued and unwavering labeling of these radical protestors in Kyiv as fascists, anti-Semites, and neo-Nazis sparked fueled a passive-aggressive journalistic debate between Russian and western media outlets who insisted that "Euromaidan officials are not fascists, nor do fascists dominate the movement" (BBC News 2014e) and preferred to label Right Sector as a "right-wing coalition" with "unstinting nationalism" (Kramer 2014). Russia, however, did not buy into this narrative, and condemned the violent protestors attempting to seize control of government buildings in Kyiv.

In a series of phone conversations with President Yanukovich on January 23, 27, and 28, United States Vice President Joe Biden repeatedly urged Yanukovich to call for an immediate de-escalation of the violent standoff between protestors and police, and urged him to repeal the "anti-democratic laws" passed by Ukraine's Rada earlier that month (The White House 2014f, 2014g, 2014h). During an emergency session of the Rada on January 28, Ukrainian Prime Minister Mykola Azarov tendered a sudden resignation and the dominant Party of Regions compromised with opposition leaders to all out repeal, or at least lessen the intensity of, the anti-protest laws passed less than two weeks prior.

In an attempt to address the clear, immediate economic needs of Ukraine, officials from the US and EU began talks of assembling an aid

package for the restless country, what *The Wall Street Journal* called the US and EU's way of "stepping up efforts to sway the outcome of the political crisis in Ukraine" (Norman, Entous, and Cullison 2014). Indeed, both the United States and key members of the EU hoped that stimulating Ukraine's economy would aid in the country eventually implementing a new, more pro-Western government. Although the bid only hinted at US efforts to influence the political environment of Ukraine, an intercepted and subsequently leaked telephone conversation between two top US officials that emerged in early February all but cemented speculation about direct US involvement in Ukraine, rather than encouragement.

In a "private" conversation between US Assistant Secretary of State Victoria Nuland and US Ambassador to Ukraine Geoffrey Pyatt the two discussed how to alleviate the political and economic crisis in Ukraine by seemingly installing opposition members as leaders in a new government. The conversation between Nuland and Pyatt laid bare "a deep degree of US involvement in affairs that Washington officially says are Ukraine's to resolve" (Gearan 2014) and Russia, predictably, condemned the US for what Moscow called a "clear breach" (Macdonald 2014) of the 1994 Budapest Memorandum on Security Assurances which assured the United States would respect Ukraine's independent sovereignty.

Meanwhile, tensions in Kyiv continued to mount. Maidan protestors marched on Ukraine's parliament on February 18 where they were fired upon by Berkut forces using live and rubber ammunition, prompting US Vice President Biden to call Yanukovich and express his "grave concern regarding the crisis on the streets of Kyiv" (The White House 2014i). On February 21, Yanukovich and notable opposition leaders Vitali Klitschko, Arseniy Yatsenyuk, and Oleh Tyahnybok agreed to a deal that would hopefully end the crisis gripping the country. Despite the success of any compromise at all, opposition leaders speaking at the Maidan faced boos and jeers by protestors who remained dissatisfied that the proposed deal kept Yanukovich in power (BBC News 2014c). In the face of the first sign of negotiation in months, a Right Sector activist took the staged and threatened to begin armed attacks on the government if the President did not tender an immediate resignation (Higgins and Kramer 2014).

Reports soon began circulating that Yanukovich had fled Kyiv for the predominantly ethnic-Russian city of Kharkiv in the east. Less than 24 hours after Yanukovich fled Kyiv, the Rada, backed by 328 of its 447 members, voted to remove him from his presidential office, citing his guilt in various human rights violations and the desertion of his duties as Ukraine's president (Al Jazeera 2014; Booth 2014). In his place, parliament voted to elect their speaker, Oleksander Turchynov as interim president to serve until the early elections on May 25; opposition leader Arseniy Yatsenyuk was

voted in as Ukraine's new Prime Minister, replacing Serhiy Arbutov who took over as interim PM following Mykola Azarov's sudden resignation.

Although the United States did not overtly endorse the ouster of Yanukovich, Washington stated that it would work with its allies, including Russia, to support Ukraine in its efforts going forward as they pursued a path to democracy. Moscow, however, condemned Ukrainian protestors, opposition leaders, and the United States in one fell swoop. Prime Minister and former president Dmitry Medvedev criticized the legitimacy of Ukraine's interim government and warned that Moscow may not cooperate with or even recognize the government that emerged out of the more violent participants of the Euromaidan revolution.

The unexpected finale to Ukraine's months-long revolution raised questions about the constitutionality of impeaching Yanukovich who had recently been granted sanctuary in Russia. The runaway president had not tendered an official resignation, he had not been found unfit to due to illness, nor had he died. The hasty actions taken by the Rada on February 22 were somewhat murky in their constitutionality (Sindelar 2014), particularly because the Rada did not follow protocol as outlined in Ukraine's constitution regarding proper impeachment procedure.

In what appeared to be a direct response to the events in Kyiv, in the early hours of February 27, dozens of armed, masked men stormed government buildings in Crimea's administrative hub, Simferopol, barricaded themselves inside and effectively took control of the city. Though the gunmen were initially unidentifiable in their unmarked uniforms, the "little green men" patrolling the streets of Simferopol spoke Russian, carried guns issued by the Russian army, drove trucks with Russian plates, and perhaps, in the most telling display, raised the Russian flag over the parliamentary building once they seized control (Shevchenko 2014). Immediately, officials in Kyiv expressed outrage, calling the events "an armed invasion and occupation in violation of all international agreements and norms" (Reuters 2014); the recently disposed Yanukovich, however, called the occupation of Crimea "an absolutely natural reaction to the bandit coup that has occurred in Kyiv" (Ostroukh 2014; Walker 2014b). Any sense of moral high ground that Russia had in regards to the so-called hostile takeover of Kyiv by radicals completely collapsed following their armed invasion of Crimea.

President Barack Obama issued a statement on February 28 that warned Russia of the potential costs of intervening in Ukraine and noted that Russian military action in Crimea would be a "clear violation of Russia's commitment to respect the independence and sovereignty and borders of Ukraine, and of international laws" that would be "deeply destabilizing" and against the best interests of Ukraine, Russia, and Europe (The White House

2014m). Putin, however, denied that Russian troops were behind the events unfolding in Crimea, claiming it was local self-defense units who took up arms against what they felt was an illegitimate government in Kyiv, and that any presence of Russian troops was an attempt to control for any radicals that may move toward Crimea (Kelley 2014).

In response to Russia's audacity to move into Ukraine unauthorized, on March 6, President Obama authorized sanctions against individuals responsible for violating Ukraine's territorial integrity and sovereignty (The White House 2014b) and in a phone call with President Putin, emphasized that Russia's actions in Ukraine were not internationally acceptable (The White House 2014e). Although the crisis in Crimea defined the relationship between Russia and the US, it also shed light on the relationship between the US and Ukraine that was largely defined by strategic maneuvers to counterbalance major powers in the region. The inaction of the United States in the face of the events in Crimea, a clear violation of the Memorandum, spoke volumes about the United States' bond with Ukraine. In the days and months that followed, it appeared that the only action the US was willing to take was a bit of diplomatic finger-wagging.

On March 12, President Obama and Ukraine's Prime Minister Arseniy Yatsenyuk held a bilateral meeting to discuss the ongoing events in Ukraine, particularly the threat posed by Crimea's occupation. The meeting came just days before what President Obama called a "slapdash" referendum "patched together" in Crimea in which the autonomous region would vote to secede from Ukraine - a referendum, the President added, that the United States would "completely reject" (The White House 2014l). The referendum results claimed that votes in favor of Crimea seceding from Ukraine reached 96.77 percent (Morello, Englund, and Witte 2014), but a report accidentally released by a Russian government website in May 2014 revealed that the referendum had garnered a maximum 30 percent turnout with only half of this percentage voting in favor of annexation from Ukraine (Gregory 2014). Before the international community had ample time to react to the sham of a referendum, Putin had already signed an executive order recognizing the status of the Republic of Crimea as an independent state at 10:30pm on March 17, and at 1:00pm Moscow time the following day, signed an executive order absorbing Crimea into the Russian Federation (Putin 2014a, 2014b). In response, the United States upped the ante on sanctions put in place on March 6, placing additional sanctions on Russian officials and individuals in the Russian arms sector. By March 20, Obama had imposed another set of sanctions which included Russian energy companies and banks in the hopes that Russia would de-escalate its looming presence in the east (The White House 2014a).

While the world focused on the crisis unraveling in Crimea, several oblasts in Ukraine's Donbas region were dealing with turmoil of their own. In the weeks following the conclusion of the Maidan, pro-Russian forces took to the streets of Donetsk and Luhansk to express dissatisfaction with and distrust of the new government in Kyiv. Pro-Russian demonstrators took control of buildings, burned Ukrainian-language books and posters of the regionally despised nationalist Right Sector movement, and replaced publicly flown Ukrainian flags with Russian flags (Kushch 2014). Tensions between supporters of the government in Kyiv and supporters of greater Russian presence in the country continued to escalate, made worse by so-called "protest-tourists" flowing in from Russia, suggesting that the protests were at least at some degree coordinated by Moscow (Roth 2014).

By late March, Russian forces amassing along the Russian-Ukrainian border grew to nearly 40,000 troops according to some reports by US intelligence officials (Stewart and Hosenball 2014). The Donbas region seemed to be descending into madness, with pro-Russian separatists declaring the Donetsk Oblast to be the People's Republic of Donetsk on April 6 and a similar declaration of the Luhansk People's Republic on April 27, highlighting the deep divisions at the heart of the conflict in the Donbas. To make matters worse, on May 11, 2014, Donetsk and Luhansk declared independence from Ukraine in another round of highly unrecognized referendums in their quest to join Russia (Walker and Grytsenko 2014).

### **US-Ukraine Relations 2014-Present: Petro Poroshenko and Barack Obama**

As the Donbas effectively devolved into open revolt, Kyiv was preparing to elect a new president in the early elections scheduled for May 25. Among the candidates running were Right Sector's Dmytro Yarosh, Fatherland's Yulia Tymoshenko, Svoboda's Oleh Tyahnybok, and UDAR-backed chocolate mogul Petro Poroshenko. Poroshenko's promises to fight the debilitating corruption limiting Ukraine's growth as a democratic nation and his condemnation of the separatists in the east in part led to his victory in which he garnered over 55 percent of the popular vote (BBC News 2014a). During a meeting with Poroshenko in Warsaw, Poland, on June 4, Obama formally extended his support for the election outcome and noted that he had been "deeply impressed by [Poroshenko's] vision" for a Ukraine free of corruption and filled with democratic opportunities for all of its citizens (The White House 2014k).\_Additionally, Obama pledged to provide additional assistance to the Ukraine to support its military, bringing total US assistance to Ukraine in 2014 to \$184 million, not including the \$1 billion loan agreement signed in April (The White House 2014c). Perhaps this was the

United States' way of compensating Ukraine financially in light of its inaction regarding Crimea.

Following his inauguration, Poroshenko sat down with EU representatives in Brussels on June 27 to sign the long awaited Association Agreement whose reversal had sparked months of unrest and violence in Ukraine. In a demonstration of just how violent the conflict in the east had grown, the war took a sobering turn on July 17 when pro-Russian rebels shot down passenger jet Malaysia Airlines flight MH17, killing all 298 civilians onboard. The Boeing 777 was shot down by a Buk-surface-to-air missile fired from territory controlled by separatists in Donetsk and reports surfaced that Russians had been operating a similar missile launcher in the area just hours prior to the downing of the flight (Sweeney 2014).

In early September 2014, Ukrainian government officials met with separatists leaders in Minsk, Belarus to discuss a peace plan and ceasefire. Poroshenko visited Washington later that same month to plead with Congress about granting Ukraine's military more lethal and non-lethal assistance. During a joint session of Congress held on September 14, 2014, Poroshenko noted that non-lethal equipment and supplies such as night vision goggles and blankets were crucial to Ukraine's soldiers, "but one cannot win the war with blankets" (Poroshenko 2014). Although the United States agreed to assist Ukraine with an additional \$53 million (The White House 2014d), the flow of non-lethal support to Ukraine revealed the United States' alignment with Ukraine and subsequently its hesitation to challenge Moscow by arming Ukraine with lethal equipment.

Despite hopes that the Minsk agreement would hold, hostilities between rebels and Ukrainian forces continued to mount through October, with accusations from each side that the other had violated the fragile ceasefire. Additionally, the election of pro-Western parties and officials during Ukraine's parliamentary elections on October 26 garnered high praise from Washington, but districts in the Donbas, largely excluded from voting, held presidential and parliamentary elections of their own on November 2. Tensions thickened when NATO officials confirmed reports on November 12 that a concerning number of Russian tanks, artillery, and troops had poured into eastern Ukraine over several days in what appeared to be preparations to reengage in the military conflict gripping the region (Herszenhorn 2014). By December, tensions in eastern Ukraine remained dangerously high. In fact, Ukraine appeared to be desperately clinging to the ceasefire which had failed weeks, if not months prior; the ceasefire agreed to in Minsk was effectively fictional.

In another blow to Russia's economy, suffering under the economic sanctions imposed by the US and EU, Obama signed into law the Ukraine Freedom Support Act of 2014 on December 18, which authorized the

President to “provide Ukraine with *defense* articles, services, and training in order to counter offensive weapons” [emphasis added] (Gerlach 2014). January 2015 was largely defined by increased hostilities and violent battles between separatists and Ukrainian armed forces trying to take or hold specific territories. By the end of the month, separatists leaders in the Donbas pledged that the separatists would make no effort to talk about the ceasefire and the Minsk agreement completely dissolved (Lyman and Kramer 2015). The collapse of the Minsk agreement raised alarms throughout Washington and western Europe, but on February 12, the fears raised by the failed ceasefire quelled as Ukrainian, Russian, German, and French leaders convened in Belarus for another long round of talks that resulted in a renewed ceasefire effective on February 15, the so-called Minsk II.

As the eyes of the world remained fixed on Ukraine, desperate for the renewed ceasefire to hold, in mid-March US soldiers in Germany began a long convoy through six NATO member countries to demonstrate US presence and strength in a region of the world Russia apparently sought to bring back under its sphere of influence. Additionally, the US sent 300 Army paratroopers to Ukraine to help train the country’s forces fighting in the east. Although Russia’s Defense Ministry claimed US troops were training Ukrainian forces inside the combat zone, the activity of US troops was limited to the International Peacekeeping and Security Center in Yavoriv, one of Ukraine’s westernmost cities near the border with Poland (Reuters 2015a). In response to Russia’s accusations, the Pentagon called the allegations a “ridiculous attempt to shift the focus away from what is actually happening in eastern Ukraine” and, by extension, Russia’s own involvement (Baczynska and Alexander 2015). Relations between the US and Ukraine from June to July remained amicable, with the US extending military training efforts to members of Ukraine’s regular army, a program that brought total US security assistance to Ukraine since 2014 to over \$244 million (Reuters 2015c; Siddons 2015).

As US forces continued to train members of Ukraine’s outdated and underfunded military, by July, a growing number of far-right supporters in Kyiv became increasingly vocal in their demands for a declaration of war against the rebels in the east. The seemingly fictitious ceasefire had managed to survive nearly five harrowing months of subversive attempts to undermine it, but ultra-nationalists groups like Right Sector called for an immediate dissolution of the ceasefire and an end to all diplomatic relations with Russia who was persistently backing the separatists in the Donbas (Radio Free Europe/Radio Liberty 2015b).

Characteristic of its predictably unpredictable nature, in early September an entire week passed without a single Ukrainian casualty reported in the east. As events in Ukraine continue to hurdle toward the



present day, the ongoing relationship between the US and Ukraine raises questions about the future of Ukraine. Inaction on behalf of the US in regards to the crisis in Crimea and its continued supply of non-lethal weapons to modernize Ukraine's military spoke volumes about US hesitation to challenge the largest power in the region, Russia. However, recent developments in Washington may redefine the relationship between the two countries. On November 10, 2015, Congress passed the National Defense Authorization Act for Fiscal Year 2016 that revived the ongoing discussion about providing lethal arms to Ukraine. Of the \$607 billion budgeted, the bill allocated \$300 million to assist Ukraine in its fight against Russia and the Russian-backed separatists in the east; of that \$300 million, Congress designated \$50 million to provide Ukraine with lethal assistance such as anti-armor weapon systems, mortars, grenade launchers, small arms and ammunition (Johnson 2015). According to reports from the White House, President Obama – despite months of careful diplomatic maneuvering to prevent arming Ukraine and subsequently infuriating Russia – is likely to sign the legislation when it reaches his desk (Radio Free Europe/Radio Liberty 2015a).

## **Conclusion**

This research reveals how the relationship between the US and Ukraine has changed over time, and provides suggestions for what to look for in the future. United States foreign policy towards Ukraine has always reflected US national interest, and has often mirrored America's changing relationship with Russia. In the early Post-USSR days, there was hope around the world for an end to the possibility of a thermonuclear war, and for the normalization of relations between the United States and Russia along with the other former Soviet Republics. Back then, the focus of the United States and Ukraine went from democracy building to nuclear disarmament under Kravchuk, Kuchma, George H.W. Bush and Clinton. Thus, in the early 1990s, relations between the US and Ukraine, like those between the US and Russia, were fairly good. It was in the US national interest for the former Soviet republics to become democracies and form positive relations with the US from both a security and economic standpoint. Once Ukraine signed the Nuclear Non-Proliferation Treaty in 1994, the US and Ukraine could turn to other issues, such as the pursuit of NATO and EU membership. Ukraine was of geopolitical importance to the US, not only from the standpoint of its geographic location between Russia to the East and the EU to the West, but also by curbing Russia's imperial ambitions within the Commonwealth of Independent States (CIS). Because of Ukraine's geopolitical importance, it became the third largest recipient of US aid and the most active CIS state within NATO's Partnership for Peace in the 1990's.

However, the ascension of Vladimir Putin as Prime Minister or President from 1999 to the present complicated Ukraine's plans to "go west." Putin's stance toward Ukraine has always been clear: it has been –and will remain– under the Russian sphere of influence whether it wants to or not. In addition, corruption scandals, in particular the discovery of Ukraine's sale of military equipment to Iraq during the Kuchma regime would lead to a distancing between both nations.

By the end of 2004, the Orange Revolution led to a geopolitical reorientation of Ukraine toward the West's open arms. The United States was pleased with Ukraine's popular democratic movement, leading to a newfound period of goodwill. Nevertheless, infighting between the principal actors in the Orange Revolution would soon reveal their ineptitude in solving Ukraine's multitude of problems and corruption scandals of their own emerged. Widespread disillusionment led Ukraine back to an Eastern orientation under Yanukovich. The relatively new Obama Administration took a pragmatic approach toward Yanukovich, though as was the case in the previous administration, attention was far more focused on developments in the Middle East. That is, until Yanukovich reneged on his pledge to sign the EU Association Agreement in November 2013.

The violent protests and government crackdowns forced a renewed attention from the United States toward Ukraine, in a vain effort to come to a peaceful solution. Yanukovich's self-exile would be followed by Russia's eventual violation of Ukraine's territorial integrity by forcefully seizing Crimea and supporting Russian or pro-Russian forces violently occupying the Donbas regions of Donetsk and Luhansk. Despite the fact that such brazen action has violated the Budapest Memorandum, the United States stood by haplessly as Ukrainian territory was seized, and the toll of death in the conflict has risen to over 8,000 as of fall 2015. This has led many to question if a Cold War redub is upon us.

There does not appear to be any end to the conflict in sight, at least one that leaves Ukraine territorially intact. The likelihood of Crimea returning to Ukraine is dismal, if not completely unthinkable at this point. Infighting and disagreements continue to plague Ukraine's politics and the politicians, such as Petro Poroshenko and Arseniy Yatsenyuk, initially thought to be the guiding hope after Yanukovich's ouster, appear to be losing steam among the population. Today, the saga continues with the United States poised to pledge more economic resources than ever to reorient Ukraine to the West under Petro Poroshenko's watch.

Realism in international relations has four main tenets: The most important actors in global politics are states; international bodies do not have the authority to force states to act (or not to act); states are rational actors that always act in their own self-interest; and finally, the most important

responsibility of the state is its self-preservation. Next, we apply these foundations of realism to US-Ukraine relations.

As summarized in this section, the most important actors have clearly been states: The United States, Ukraine, and Russia. It is not possible to discuss US-Ukrainian relations without taking into account US-Russian relations and Ukrainian-Russian Relations. Even the “officially” non-state actors that are occupying the Donbas are clearly taking their cues from Moscow, and are therefore agents of a state- the Russian state.

As for the role of international bodies, the European Union, NATO, and the United Nations Security Council, all express their opinions on events transpiring in Ukraine, mostly by condemning Russian actions and activities, yet none of these organizations can --nor want-- to try to resolve Ukraine’s territorial dispute with Russia.

It is absolutely clear that the United States has always acted in its own self-interest in its interactions with Ukraine. From democratization, to nuclear non-proliferation, to support of the Orange Revolution, to not intervening militarily in the Russian annexation of Crimea, all of the US actions have been that of a rational actor. Likewise, Ukraine has acted in its own self-interest vis-à-vis its posture toward the US. Upon independence, Ukraine was in a deeply fragile state. With a floundering economy and the transition from Communism to capitalism, it had to turn to the United States for assistance. Although Ukraine would be in a stronger position today if it had retained some of its nuclear arsenal, at the time, it pragmatically decided to sign the NPT and rid itself of nuclear warheads by 1996. Ukraine even sent troops to Iraq to appease the US, despite the fact that most Ukrainians were against it. Many elements of Ukrainian society, particularly the younger generation of people that had little or no memory of living in the Soviet Union, pressed their leaders to look West with their activities in the Orange Revolution, and after gaining office, the leadership did so.

Finally, in terms of self-preservation, that is the most important focus for Ukraine, which has seen its territorial integrity violated by its Russian neighbors, and has lost thousands of people in its fight to regain control over the Donbas. The United States, for its part, is also seeking self-preservation by *not* engaging in a military conflict with Russia over Ukrainian territory. Ukraine is frankly not sufficiently in the US national interest to go to war over, particularly considering the conflicts that still rage in the Middle East, the threat of international terrorism and the necessity of collaborating with Russia in a military campaign against the Islamic State of Iraq and Syria (ISIS).

In sum, the four criteria of realism are not only met, but exceeded in the case of US-Ukraine Relations. The future of Ukraine hangs in the balance of the west’s welcoming, open arms and Russia’s greedy, grasping

hands. At the moment, nothing is certain. But the fact that this is a textbook case in realism leads us to conclude that the states of Ukraine and the US (and Russia) will continue to act in a rational self-interested manner, for their own self-preservation, without regard to the expressions of international organizations. Thus, we can expect the United States to provide the proposed funding for military aid and continued training of the Ukrainian military. It is simply too much of a risk to abandon or isolate Ukraine, as it would then be more likely to be forced to turn to Russia. We can expect the Ukrainian government to continue to work with the state of Russia to bring an end to the fighting in the Donbas, in exchange for expanded autonomous rights under a more federalist system in order to preserve what is left of its territorial integrity. Ukraine currently does not have the military might to remove the pro-Russian forces in the Donbas. And we can expect Russia to never cede Crimea. Since the US is not willing to go to war over Ukraine, and Russia knows that it may go to war if it invades the territory of a NATO member state, the current frontlines are likely to hold. Given the recently forged alliance between the US and Russia on a Syrian military campaign against ISIS, it is entirely possible, if not probable, that as Russia focuses its military attention toward the Middle East, that it will not choose to sustain (or be able to sustain) the forces in the Donbas and find a negotiated settlement. Ultimately, however, it is Russia who seemingly is in the best position to determine the outcome of what will happen to Ukraine.

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# **Womenpower: The Presence Of Women In Management, Politics And Academics In Argentina And Worldwide**

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## **Abstract**

An overview of the present situation and the future trends of women in different management positions is reviewed, including their working profile, educational trends, performance in organizations, entrepreneurship and copreneurship, current national laws ,opportunities in the job place and prospectives, in Argentina and worldwide.

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**Keywords:** Working women, education, performance, entrepreneurship, opportunities

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## **Resumen**

Se presenta un panorama de la situación actual y las tendencias futuras de las mujeres en diferentes posiciones de trabajo, incluyendo su perfil laboral, tendencias educacionales, desempeño en las organizaciones, emprendedurismo y coemprendedurismo, legislación vigente, oportunidades en el lugar de trabajo y las perspectivas futuras, en Argentina y el resto del mundo.

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**Palabras clave:** Mujeres que trabajan, educación, desempeño, emprendedurismo, oportunidades

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## **Best and worst countries to live in for women**

According to a recent study of BAV Consulting and Wharton School from Pennsylvania University, presented at the Davos World Economic Forum (2016), the best countries are:

Denmark, Sweden, Canada, Holland and Australia.

And the worst:

Argelia and Pakistan

The survey was applied to 7000 women, with the following criteria:

1. Human rights; 2. Genre equality; 3. Equal pay; 4. Safety and 5. Progress

### **The world of the working woman**

As presented in a report of Gabriela Catterberg (/Desarrollo%20Humano/Argentina-PNUD-INDH%20), although there have been important modifications, the horizontal segregation still persists, as certain occupations are considered emblematically feminine, such as domestic service, assistance to persons, teaching and secretarial activities. And vertical segregation, as the concentration in positions of lesser hierarchy, even if they have the same qualifications as the males in those jobs. However, she recognizes the greater acceptance of working mothers in the labor market, but they assume more heterogeneous tasks than men, who enjoy a more limited time distribution, meanwhile the former take care in a 75% of the offspring.

According to Ñopo et al. (2011), even with a higher education level, in Latin America women earn less, around 10%, compared to men but this gap can reach 22% when other variables are taken into account, such as home care, number of children, type of job or amount of hours of work per day. And these differences are more significant for poorer females.

The gap tends to be also greater in part time jobs, smaller firms, self-employment or in the services sector. Good news are that between 1996 and 2011 the difference was reduced in a 4-5%, and the rate of feminine participation increased a 20% in the last 20 years. And another needed initiative is to provide childcare facilities in the organizations. The maternity leave legislation provides 90 paydays and not paid extensions (3-6 months) for child care.

The worker can opt for 45 days before and 24 after childbirth, but the mandatory leave is of at least 30 days before. ([www.elsalario.com.ar/main/trabajo-decente/maternidad-e-hijos](http://www.elsalario.com.ar/main/trabajo-decente/maternidad-e-hijos)) As for paternity, the present law grants two paydays for paternity, although current labor agreements tend to be more benevolent and a possible extension for 5 to 30 days has been discussed in the Congress. ([thomsonreuterslatam.com/2015/.../licencias-por-paternidad-y-maternidad](http://thomsonreuterslatam.com/2015/.../licencias-por-paternidad-y-maternidad))

*“The Global Gender Gap Index 2015 ranks 145 economies according to how well they are leveraging their female talent pool, based on economic, educational, health-based and political indicators. With a decade of data, this edition of the Global Gender Gap Report – first published in 2006 – shows that while the world has made progress overall, stubborn inequalities remain”*. This report indicates that the gap diminished a 4% in 10 years on health, education, economic opportunities and political representation. Argentina occupies the 35<sup>th</sup>. Post in the ranking, meanwhile

Islandia is 1<sup>st</sup>. followed by two Nordic countries, the USA is 28<sup>th</sup> and is better than Brazil, 85<sup>th</sup>. If the trend, stagnant since 2010, continues as such, it will take 118 years to the worldwide closing of the gap, in 2133!

Raquel Saralegui (La Nacion, september 27, 2015) reports in an article in this newspaper that there is a scarce 23% of women occupying management positions in Argentina and 29%, demonstrating the still present resistance of the “crystal ceiling”.

But Mabel Bianco, President of the Foundation for Women’s Study and Research (Clarín, November 20) affirms that we do not have to wait till 2133, and if we analyze all the corresponding items, Argentina is much worse in the economic breach, descends to the 105<sup>th</sup> place! She stresses to attend the non paid care tasks of children, elder and disabled persons handled by women in the home, and while these responsibilities fall on them without governmental help, such as child day care centers, the limitations for their progress will persist.

The equality of sexes is a basic requisite for the development of a society, and not a sole feminine problem. Also, the access to a quality education, increasing specially the access to technological areas, is a key factor. Finally, it is essential that all women have a right to sexual and reproductive health resource

**Some important statistics:** (Corral, S., 2011)

**62,2% of working mothers**

**Feminine unemployment: 8,6%**

**47,1% of working or work seeking women (28% in 1980)**

(INDEC-National Institute of Statistics and Census, Argentina, 2015 )

## **Educational trends**

*“Even they are the half, only of every four scientists becomes a chief”*, at the Conicet ( National Council of Scientific and Technical Research), according to Dora Barrancos, member of the Directory (Roman, V., 2015).

Presently, women represent the 52% of the pool of 8.505 investigators but the 57% is in the bottom of the pyramid and only 25% has a superior category. This means that they trained human resources, produced significant research projects and obtained international recognition. And she continues: *“Many times*

*it is not acknowledged that they have lower opportunities to develop their professional career as they ar in charge of the homework chores and the care of the offspring and other relatives. So, frequently they limit themselves and don’t dare to occupy leadership positions.”* This situation might be aggravated when the husbands, parents or other relatives behave enviously or competitively

But Diana Maffia ( [www.ragcyt.org.ar/publicaciones](http://www.ragcyt.org.ar/publicaciones) ,Argentine Net of Genre, Science and Technology, 2014) reminds that in the past, the situation was much worse, as in 1994, only 8% was in the superior category and presently there is maternity leave for fellows as well as medical coverage. And the age limit to opt for a doctorate scholarship was extended to 34 if she has two children and to 35 for 3 or more.

Meanwhile, UNESCO reports a 30% of women scientists worldwide and 45% in Latin America, taking the first place internationally (14% in Japan and 27% in Germany).

So, we can consider that the situation described above is in general paradigmatic of the educational trends in this country. Moreover, *“the general image of statistics indicates an advantage in favor of women. A long term look confirms the reversion of gaps in the last decades...and the extension of these differences can be attributed not only to the greater access and attendance of women to the secondary level, but also to the better indicators of their promotion and graduation... and is worth to consider the progressive feminization of the enrollment in the successive years of secondary studies...meanwhile they represent the 48,6% in the 1<sup>st</sup> year, they are the 49,2% in the second, 51,1% in the third, 52, 2% in the fourth, 54, 2% in the fifth and 55,6% in the 6<sup>th</sup> and last. In the same direction, they are the 51,2% of the total secondary school enrollment and the 58,1% of graduates, according to the 2013 Statistical Yearbook of the Ministry of Education”*. (Bottinelli, Leandro, *Mujeres educación en Argentina* [Unipe.edu.ar/blog/mujeres-y-educacion-en-argentina/](http://Unipe.edu.ar/blog/mujeres-y-educacion-en-argentina/), 20

### **Performance in organizations**

*“They are more than 50% of the university enrollment and represent the 40% of the economically active population in Argentina and they are owners or managers in half of the industrial small businesses. But when they intend to start a business, they find more difficulties to ask for and obtain financing. So, most of the businesses run by women in Latin America don’t live through the microenterprise or can’t overcome the informal economy”* (Indice del Entorno Empresarial, Business Environment Index, 2013 [,www.iadb.org/document.cfm?id=3789455](http://www.iadb.org/document.cfm?id=3789455))

Although gender equality appears to be on the forefront of political and social issues in Argentina, the country still experiences significant gender inequalities in large corporations. Argentina’s achievements on behalf of women in local politics are notable. It is the first country in Latin America to adopt a system of political quotas requiring all political parties to include a minimum of 30 percent female candidates on ballot lists in national elections. Argentina had re-elected its female president, Cristina Fernández de Kirchner, for a second term in 2011, replaced by Mauricio Macri in 2015.

According to the Grant Thornton International Business Report, women in Argentina hold 18 percent of senior management positions in corporations. While overall this percentage is underwhelming and reflects only a slight improvement over the previous two years in which women represented 17 percent of senior management in 2009- 2010, it also reflects a notable improvement from 2007, when women occupied only 10 percent of senior management position. When focusing exclusively on large Argentine companies however, the percentage declines dramatically: women represent only 4.4 percent of senior management, 6 percent of board seats and 3 percent of general management positions. Further, while the percentage of women in corporate leadership may be growing, surveys indicate that the percentage of companies without any women in senior management has risen to 51 percent in 2011, from 47 percent in 2009. Only 8 percent of private companies in Argentina have a female CEO, however, this percentage is consistent with the percentage of women CEOs in most countries worldwide.

### **Women in government and politics**

After a severe national crisis in 2001- 2002, Nestor Kirchner assumed the Argentine presidency in 2003 and obtained satisfactory results till his death in 2007, being replaced at that year by his wife and Vice president , Cristina Fernandez, as the second women to assume to this position. This broke up a long masculine political tradition, as another example of the growing feminine influence in the world, and she was elected for a new 4 year term in 2011.

Accustomed to power and displaying an authoritarian leadership, in 2013 she intended to modify the Constitution under the motto of “the eternal Cristina”, for indefinite reelections, but it was rejected. Anyway, she stuck to an sole style till the last day of her mandate. During the last 12 years, the peronist party was dominated by the “kirchnerism” , as their orientation was denominated, but presently it is fragmented and in search of new directions.

This term leaves a heavy economic legacy for the new government , with limited central bank reserves, a poverty rate nearing 30% according to the Survey of Social Debt of the Catholic University ([fortunaweb.com.ar/2015-07-14-163899-para-la-uca-el-nivel-de-pobreza](http://fortunaweb.com.ar/2015-07-14-163899-para-la-uca-el-nivel-de-pobreza)), and an annual inflation rate over 25%.

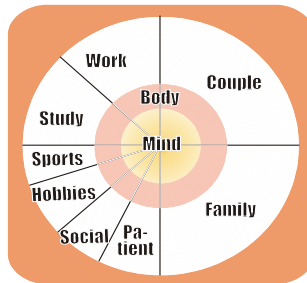
But in October 2015, an unexpected and impressive change took place, as Maria Eugenia Vidal, a representative of the opposition party “*Cambiamos*” (“*Let’s change*”) won the Government of the largest province of this country, till then a peronist and male stronghold. This was a great accolade for the elected President , Mauricio Macri, and his Vice president, also a woman: Gabriela Michetti. The previous remaining two presidential candidates did not include women in their highest cadres.

They only appeared in public with their wives, which probably had some influence on their defeat, taking account of the feminine voters. Finally, on November 22 the leader of “Cambiamos”, Mauricio Macri was elected for President and a new era commenced for Argentina.

Presently in Argentina 37% of Parliament Deputies are feminine and 39% Senators.

### **The contribution of Transactional Analysis to women’s life programs: Behavior Areas and Fundamental Roles: conflict, harmony and synergy**

In our Private Institute of Medical Psychology we have applied this model to establish the Present State and the and the Desired State for each of its 8 items; Mind, Body and the 8 Fundamental Roles, to over 10.000 patients



and students in 12 countries of Latin America and in Spain. The spaces in the diagram are not fixed and depend of the time devoted to each Role. Eric Berne (1910-1970), creator of Transactional Analysis or TA (1964), stated that every person is “programmed” in childhood by his or her family, and so the child generates a “*life script*”, similar to the literary ones, in his first 8 years, which is decided and later forgotten, but enacted through the later stages of existence. And it includes instructions for our thoughts, inner images, behaviors and Roles: do’s and don’ts.

Figure 1: Behavior Areas and Fundamental Roles

This “story” is encouraged by parents and other family members, whose life scripts were also shaped by their parents... and so on, till Adam and Eve. In this way, we become a product of our family's history and social system. Likewise, our scripts are also woven by cultural and national forces, all of which provides some kind of direction to fulfill our needs... but this has the price of giving up part of our autonomy and authenticity. For rewriting our story we can appeal to redecision therapy, also initiated by Berne, (1973) where it is possible to examine the verbal and non verbal messages we received in the past, and identify what is not working, with the help of a trained therapist or coach. It is scary as we get out of the protective umbrella, get wet sometimes, and explore our own decisions, but also exciting to develop a new identity. Which will provide to us new types of relationships and experiences, but keeping what is useful and valuable from our past.

The different Roles might be played in **conflict** with some other / s, as when a mother of several children and housewife has to work for her subsistence, a jealous husband is opposed to late meetings of his spouse in the organization, to the practice of sports in public gyms vs. the prohibition “showing her bodies” from her mates (the inverse was also observed, but less frequently).

Or a son is invited to collaborate in the family business with a competitive father. In *harmony* as all of them function smoothly and in *synergy* if one is reinforcing another, for instance with copreneurs.

Details of the definition of script : • Script is a life plan. • Script is directed towards a payoff. • Script is decisional. • Script is reinforced by parents. • Script is outside awareness. • Reality is redefined to justify the script. [script. script.\(es.slideshare.net/manumjoy/life-scripts-definitions](http://es.slideshare.net/manumjoy/life-scripts-definitions)

The early concept of Berne was psychopathological, considering that he script was some kind of trance state and that the parental recordings were unchangeable, and the only option to overcome them, was to supplant the Parent ego State by the Adult (see below about ego States).

After some 50 years, in our opinion the optimal approach is to accept that we all undergo an early educational programming , with adequate and inadequate aspects, and that we have the possibility of analyzing it and keeping what is constructive and discarding what is not, usually with some professional help.

But all this is recorded in the past and related partially to the medical model of pathology. The more recent approach of *coaching* (Cox et al, 2011, Hawkins and Smith, 2013, Kertész, 2015, Williams and Menendez, 2007), directed to facilitate the personal development with a future orientation , is diametrically opposite to the script concept, but can and should be integrated in a new and constantly evolving life plan, specifically in the case of working women.

**Sex role scripting in men and woman** (Hogie Wickoff, in Steiner, 1974)

*“As women and men we are socialized to develop certain parts of our personalities while suppressing the development of other parts...this stilted and repetitive way of acting in life has been referred to as **banal scripting**..-classically , a man is supposed to be rational, productive and hardworking , but not emotional,in touch with his feeling, or overtly loving...on the other hand, a women is not supposed to think rationally, be able to balance the checkbook, or be powerful...women are trained to accept the mystification that they are incomplete. Inadequate and dependent...*

(This reminds us about the myth of Eve’s creation from one of Adam's ribs, to be his companion, and the prejudiced and as most of

Freud's theories, indemonstrable penis envy by girls, criticised mostly by feminists as it was seen as misogynistic.

It might seem paradoxical to include this material in a book intended to recognize the achievements of professional women worldwide and also updated, but maybe it could be a good reminder of their past tribulations, and so, a homage to their accomplishments.

And after the impressive changes of the last 50 years regarding the evolution of women as professionals, academics, politicians, or in the military, at least in Latin America, we have witnessed the envy of some of their more limited mothers and also male chauvinist fathers or husbands. In these cases, we recommend our clients to attribute their achievements to their parents and to the presence of the mates, usually producing good results. And in some cases we prescribe some minor self-punishment, to placate the competitive or phobic inner Parent!

### **Entrepreneurs and copreneurs**

In Susan Garcia-Robles, (Clarín, 2015) an Argentine Catholic University graduate and MBA of Columbia University's opinion, there are a lot of prejudices regarding the way women negotiate or lead projects, especially, entrepreneurs, which in many cases produce better results than men. She runs Webchange, an encounter platform for entrepreneurs of Latin America, who in her opinion lack the support of more professional mentors that might include them in a world owned principally by men, and provide investors. She organized a forum in Mexico called "*Unafraid to dream, unafraid of failure*" in November 20, centered in the need to plan their projects with financial help. Besides, few women choose scientific or technological careers, which might originate high level enterprises, with global reach and financial support. Instead, they tend to more traditional roles, related to the tertiary sector: education, food, decoration, commerce, tourism, care of persons, sanitary, commerce, leisure, administration.

Garcia-Robles (op cit.) also recommends to transcend the mere relatives or friendly contacts and to dare to seek the advice and partnership of persons with greater professional expertise, selling oneself better, produce an attractive public profile. "*So I tell them: How is your profile in Facebook or Twitter? Which photos are you including? Do you have a blog?... We have to think big.... to find our voice and have it heard. Men tell their story easier... So I would like us to be the director of our motion picture, to make our dreams come true*".

A fascinating issue is that of copreneurship, composed by couples or "couplepreneurs": (partners or marriages) who cooperate in two domains: their bond and business:



*“Copreneurs face issues that might not come up when working alone. There are complicated interpersonal dynamics and they’re hard for some couples to navigate. When you partner with a friend, you work to preserve the friendship, and you get to go home separately at the end of the day. When you’re a married couple who share a business, you have to keep your love intact, and you have to go home together! You might be raising children together as well, which adds another potential wrinkle to the mix. Ultimately, you need optimum communication skills so that you’re both getting what you need to thrive. And, you need to stay focused on a common goal- running a successful business”.*(Garcia-Robles, *op.cit*)

Maria Naranjo (Pymes journal, august 2015, page 31 ) cites the Wegrow report “Liberating the growth potential of women entrepreneurs in Latin America and the Caribbean, “[www.ey.com/Publication/...reportes/.../EY-WeGrow-MIF-reportes-es.pdf](http://www.ey.com/Publication/...reportes/.../EY-WeGrow-MIF-reportes-es.pdf)):

1. 3 of 4 comes from enterprising families;
2. 3 of 4 has tertiary or university education;}
3. A 78% has children

We have to take into account that historically, the first businesses were mostly agricultural farms, where all the family worked. Much later, industrial revolution , beginning in the XVIIIth. Century, changed that structure, as mostly men went to work in the factories and the wives stood at home, taking care of the corresponding duties and child care, assuming dependent roles and being discriminated regarding academic training.

In our coaching practice with several dozens of coworking cases, we have collected the following empirical information:

1. Roughly , half of them reach success in both roles, and the conjoint endeavour reinforces their relationship, providing shared goals... dreams and problems to solve. The other half fails, mostly due to competitiveness and power fights, which frequently ruin also the marriage. So when the children of parents with this history are invited to start something together, the answer is “*No way!*” .

During a conference organized by our Iberian-American Family Business Institute with the Federation of Cargo Transport Owners in 2007, we asked an open question to the attendants: “*How to you feel about working with one’s spouse?*” ... whereby a typical response was: “*I would never do that, it ruined our parents and our family!*”. But the other was “*I can only work with my wife*”...and this started a lively and quite dramatic exchange.

2. Habitually, he produces the goods and she manages the company and the money

3. Competitiveness is more frequent when both parties share the same profession

According to data of the Entrepreneurs Center of our University of Flores in Buenos Aires , founded in 2006, of 100 new enterprises , only 30% remain standing after three years, and a 20% after five. This is quite regrettable, as most of them base their startups on family funds, and many of them hiring mortgages on their homes.

We have generated a questionnaire covering the fundamental skills and beliefs of our consultants, and offering training seminars in agreement with the Buenos Aires City Government , to empower the attendants for a better planning and future management.

An observation in our clinical practice related to male chauvinism is that in the Latin culture of Argentina, whose immigrants were influenced in the past by the Muslim occupation of part of Spain and Italy, men often resist the superiority of their spouses, academic or financial. So they fight them using the following options:

1. Attacking them, verbally or physically, producing a reduction of the manifestations of their talents. As the wives come from the same backgrounds, frequently they tolerate these abuses and keep their bond. In the language of

Transactional Analysis, they are part of a “game” , such as “*If it weren't for him*”, “*Poor little me*” or, in the worst cases, “*Beat me, Daddy*”. In Argentina there is a femicide every 30 hours, usually beating or burning them alive, and the wives were also “programmed” to tolerate or discount early mistreatments, present since the very beginning of their relationship: their Life Scripts (the lid and the pot) are interactive.

2. “*Rubbing*” on them a younger and more attractive lover, to put down their self-esteem in this aspect

3. To become depressed, stop working or having an accident, producing dependency and putting the work burden on her, so reducing her growth.

4. Leaving the marriage and aggressing them through the children

5. Insisting in a pregnancy, which might limit the mother's energy and development (of course, she has to agree in this decision)

The antipode and desideratum of these disgusting practices is the pride of sharing life with such a distinguished mate. Sometimes it is also observed, but depends of the degree of self-esteem of the husband.

## **National laws**

*“Argentine women still suffer postponements in the work field”*

(Soledad Vallejos -[www.lanacion.com.ar](http://www.lanacion.com.ar) > Informacion general, 2011)

Even if they study more, they hold only a 34% of management jobs. In spite of the many advances in the field, the gap is still big, and the genre inequality persists in our country in many contexts, although a 30% more of

women attends tertiary and university studies. And a masculine CEO earns significantly more than his feminine counterpart (notas.org.ar/2015/03/18/brecha-salarial-mujeres-ganan-menos-hombres/ March 2015) [tps://en.wikipedia.org/wiki/Women\\_in\\_Argentina](https://en.wikipedia.org/wiki/Women_in_Argentina)

*“Women in Argentina have attained a relatively high level of equality by Latin American standards, and in the Global Gender Gap Report prepared by the World Economic Forum in 2009, Argentine women ranked 24th among 134 countries studied in terms of their access to resources and opportunities relative to men.<sup>[2]</sup> They enjoy comparable levels of education, and somewhat higher school enrollment ratios than their male counterparts. They are well integrated in the nation's cultural and intellectual life, though less so in the nation's economy. Their economic clout in relation to men is higher than in most Latin American countries, however,<sup>1</sup>and numerous Argentine women hold top posts in the Argentine corporate world; among the best known are Cris Morena, owner of the television production company by the same name, María A. L. de Fortabat, former CEO and majority stakeholder of Loma Negra, the nation's largest cement manufacturer, Ernestina H. de Noble, director of Grupo Clarín, the premier media group in Argentina ([tps://en.wikipedia.org/wiki/women\\_in\\_Argentina](https://en.wikipedia.org/wiki/women_in_Argentina))*

### **The quota law**

(<https://soydondenopienso.wordpress.com/.../1991-ley-de-cupo-femenino>. Accessed november 15, 2015)

This law, promulgated in 1991, demanding a minimum of 30% of female candidates for legislative positions, surpassed the expectations of its own promoters, with the Argentine Congress as the first in the world applying such initiative.

And 24 years later, our country is the greatest exponent of feminine representation in the Latin - American region, as well as one of the few in the world where the top executive authority is exerted by a woman... till her replacement, from December 10 this year, by Mauricio Macri, leader of the opposition since 2007.

But, when women enter as a minority in a context where they were excluded historically, they might face severe difficulties when they propose new issues, or they intervene in the regulations of the budget. ([https://www.facebook.com/ELA-Equipo-Latinoamericano-de Justicia-u Género](https://www.facebook.com/ELA-Equipo-Latinoamericano-de-Justicia-u-Género)). *“So, their mere presence does not assure the equality of opportunities, treatment and results”*.

The percentage is similar at the provinces, where 15% of the Ministries and the 26% of the secretariats are run by women, since 2010. Also, since their permanence they have obtained the approval of several

genre-related laws, such as reproductive health, the integral law of violence (in view of the many femicides, one every 30 hours, presently).

Also, integral sexual education, as well as the debate of topics related to human rights, specially the ones of girls and adolescents. So, men tend more to face issues as the financial, meanwhile women focus principally on the social and the cultural. Doubtlessly, again, as a continuation of their traditional roles.

Although, not all women entering the Congress do it with a genre agenda, as well as some men who accompany it but others who are refractory ([www.losandes.com.ar/.../argentina-entre-paises-alto-nivel-mujeres-cargos...](http://www.losandes.com.ar/.../argentina-entre-paises-alto-nivel-mujeres-cargos...)).

Now, in Argentina the forbidden dominion for dames is represented traditionally by the single masculine leadership which holds sway in the powerful trade unions with very few exceptions. And this constituted an ongoing power play between organized labor and the centralized authority of the last President Cristina, and not only due to their economic demands. So, some time before his designation, President Macri had initiated personal contacts with those forces.

### **Corporate Governance Code**

*“Argentina received worldwide praise for its decision to impose a political quota that resulted in greater participation of women in local politics. This affirmative step did not go so far as to impact the role of women in other aspects of Argentine society, including the labor market. As the ELA observed, “While the quota applying to legislative positions establishes a minimum of 30 percent participation of women to ensure the exercise of democracy, the[analysis shows that this minimum is far from the norm in other areas.*

*Unfortunately, no similar government action specifically supports the role of women in executive leadership in public or private corporations. While Argentina does have a voluntary Corporate Governance Code, it does not contain any provisions addressing gender equity in the boardroom”.*

The Corporate Governance Code was adopted under General Resolution No. 516/2007 of the Argentine Securities Commission (Comisión Nacional de Valores). While the Code is voluntary, it imposes a reply or explain disclosure obligation requiring listed companies to include with their annual report a separate report on their level of compliance with the voluntary Code and how they are achieving its recommendations. The purpose of the Code and the reporting requirement is to further the goals of enhancing transparency in Argentine companies, imposing greater responsibility on directors and managers, and ensuring equitable treatment of minority shareholders.

## **The Trend Toward Gender Equality**

Although the Code is only a recent initiative and may be the impetus for further regulation of Argentine companies, it appears that there is only nominal focus on gender equality in corporate board rooms in Argentina at this time. However, there have been small steps by individual Argentine corporations, as well as a few recent legal developments that indicate a trend favoring gender equality in Argentina that may soon result in gender equality initiatives for corporate board rooms.

*In 2009, the Argentine legislature passed the Comprehensive Protection Act to prevent violence and discrimination against women in all areas of a woman's life.<sup>24</sup> The law is aimed at multiple facets of inequality, including discrimination in the workplace, that threatens a woman's access to employment, recruitment, promotion, and job stability through change in marital status and pregnancy.<sup>25</sup> Not only does this legislation carry penalties for acts of discrimination, but its presence promotes awareness of the obstacles faced by women in the labor market.* This recent legislation seems to indicate a general shift to greater involvement of the government in gender equality issues in private employment. For example, although judicial decisions do not hold precedential value in Argentina, two recent cases indicate the judiciary's willingness to play a more aggressive role in promoting gender equality. In *Women in Equality Foundation et. al. c/ Freddo S.A.*, the Court of Buenos Aires (el Corte de Justicia de Buenos Aires) determined that a company's preference for hiring men violated the law and, as a result, the company would be required to hire women to reasonably and fairly correct that inequality. This case marked the first instance in which the judiciary in Argentina sought to impose a type of affirmative action to address discrimination.

More recently, the Court of Salta (la Corte de Justicia de Salta) imposed a quota on professional driver (chauffeur) collectives in the city after finding that the complete absence of women in the industry was a product of gender discrimination. The Court required that 30 percent of driver positions must be reserved for women and that failure to meet the quota would result in penalty. The decision was later vacated by the Court of Appeals following the determination that the lack of women in the industry was not based on actual discrimination. The decision is currently being appealed to the Supreme Court of Argentina. These two cases are the first instances in which any branch of the government has required gender parity in private enterprise and threatened to impose penalties for a company's failure to meet those requirements. Although these cases are not binding upon other companies (because Argentina operates under a civil law system), they indicate that the government, particularly the judiciary, is now willing

to impose equality requirements on private corporations. These decisions may force a change in the country’s social climate and male-dominated work culture (Kessler, M. , 2011).

### The Legal Framework

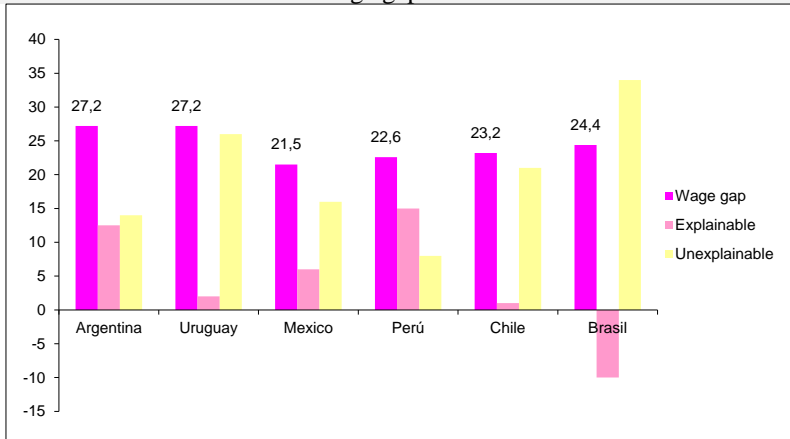
Argentina has a strong foundation in labor law and other laws promoting equality for women in the labor market. The Argentine Constitution provides for equality in access to work and employment for all people, without specifically mentioning women.

The primary source of labor law in Argentina is National Law No. 20.744, Ley de Contrato de Trabajo (Law of Contract of Employment) passed in 1975. Title VII of Law No. 20.744 provides a number of specific rights for women, including protection against termination for change in marital status and pregnancy, provisions for child care leave, and prohibitions on women working from home so that women are not required to work instead of caring for children. Unfortunately, these legal protections often have an opposite effect in the workforce. For example, an employer is required to provide a woman with paid maternity leave both 45 days before and 45 days after the birth of her child and is required to keep the woman’s job open in anticipation of her return.

In the corporate context, the obstacles women face in management may be more a matter of discrimination in hiring than in promotion, as women are discouraged from entering the workforce in the first place. The Equipo Latinoamericano de Justicia y Género (The Latin American Team of Justice and Gender, ELA), an organization that supports gender equality, reports that only 4.4 percent of applicants to large corporations are women

### Opportunities in the job place

Table 1. 1 Men- women Wage gaps in 6 Latin American countries



Source: International Labour Organization 2012/ 2013

*“Gender equity initiatives are achieving noticeable success in certain areas. The following statistics demonstrate the amazing progress women are making towards equity in Argentina:*

-Women in the workplace earn 98 percent of what men do in Argentina, while Nicaraguan women earn 64 percent, and Brazilians and Chileans earn just 77 percent of that of men.

-Illiteracy rates of Argentine men is 3.1 percent, while women illiteracy rates is almost equal at 3.2 percent.

-The percentage of female representation in the Argentine National Legislature has grown from 4.3 percent in 1983, 5.9 percent in 1992, 14 percent in 1993, and 33.7 percent in 2005.

-Argentina was the first Latin American country to adopt a quota law for women's participation in the Congress.

- The country is ranked 15th in the world for female participation in national legislation.

The statistics paint a picture of positive growth; however, this does not negate the fact that women are denied certain basic rights—particularly in lesser educated, underserved communities.

The rise of social movements resulting from the people's protest against the harsh conditions of the 2001 economic crisis contributed to the rise of solidarity between women. With the disappearances of thousands of men in working positions, women stepped up in response and defended their families. Similarly, the loss of income due to the 2001 crisis required both men and women to contribute to the family income. Both these factors motivated women to take leadership roles in many of the grassroots movements igniting throughout the country. FSD (Foundation for Sustainable Development) seeks to promote this coalition and solidarity movement of women by giving these groups the resources and skills they need to grow exponentially. Most women's groups need capacity-building activities, organization assistance, technical assistance, aid in promotion and marketing, and encouragement through solidarity with international women's support mechanisms. ([www.fsdinternational.org/country/argentina/we](http://www.fsdinternational.org/country/argentina/we) issues)

Our continent registers the highest proportion of feminine chiefs of state (5), ministers (22,9%) an parliamentarians (25,7%), as per data of june 2014... far away from the 50% parity. After the last elections, Argentina reached 5 women governors of 24 districts (Perez, P, 2015)

*“Private companies and non-profit organizations are undertaking efforts to achieve gender equity in the private sector. For example, the World Bank recently partnered with eleven large corporations, including Coca-Cola Argentina, Avon Argentina, and Wal-Mart Argentina, to design and implement a program focused on gender equity. The program targeted*

*gender equity in human resources policies, such as recruitment, promotion, and training, as well as professional development, work-life balance policies, sexual harassment, and a non-sexist company image. A survey of the participating companies revealed that only one had a stated commitment to equality in hiring, while eight companies advertised jobs with age, sex, and attractiveness requirements and four performed discriminatory tests as part of the interview process” .*

The program required, and achieved, corrective steps in all of these areas.

The country's achievements in gender equality in the corporate arena, however, have not been as impressive. In a recent analysis of gender equality worldwide, the Global Gender Gap Report rated Argentina only a 4.09 out of a 7-point rating system for women's ability to rise to leadership positions in business. The greatest obstacle against women's advancement in the business sector in Argentina appears to be rooted in the male-dominated work culture, rather than the legal landscape.

This situation might be aggravated when the husbands, parents or other relatives behave enviously or competitively, which is relatively frequent in the Latin culture.

## **Prospectives**

The government elected in November 2015 offers new opportunities, as the country has not grown in the last four years, the credit is too expensive and the international exchange is stagnant due to the “snare” or currency exchange control, which only consequence is the lack of dollars in the market. The new government eliminated this obstacle to grow in his first days, in December 2015.

A recent initiative of Congress Deputy Soledad Carrizo (<http://www.parlamentario.com/noticia-87736.html>) proposed a minimum of a 30% feminine quota for cooperatives and mutuals, without this limiting a maximum, and stating that *“The social and political participation of women has been and is considered as a central strategy for the building of equity of genre and the deepening of democracy, and is undoubtedly and advance in this sense”*

On the other hand, in her report for the United Nations on poverty and genre violence in 2015, (La Nacion, October 21, 2015) the statistician Harumi Shibata Salazar commented the lack of data in several countries, including Argentina, as the National Institute of Statistics and Censuses last data on poorness exposed a 4, 7%, meanwhile the Observatory of Social Debt of the Catholic University confirms between 29 and 33%. The new government reported the substitution of present officers of the mentioned Institute, taking back the previous technicians, and to publish updated and



dependable data, as well as acting with all the available resources to arrive to “zero poverty” in Argentina.

And several non-profit organizations, such as “*Voces Vitales*” (Vital Voices), affiliated to Vital Voices Global Partnership, FEIM (Foundation for the Study and Research on Women), Asociación Aquí Estamos Nosotras - (Association Here are We), CENDOC Women, Ciudadanas (Citizens), Fundación Instituto de la Mujer (Foundation Institute of the Women) and many others, believe in the transforming value of the feminine participation in the society. This approach is sustained on studies of organizations, such as the World Bank and the International Development Bank , which showed that to invest in the development of women is the most effective measure to reduce poverty, improve health and education and with it, to improve general wellbeing

And, according to Paula Sandoval (2015); .

### **Conclusion**

(Kessler, M., op. cit.,[ps://www.paulhastings.com/.../argentina.html](https://www.paulhastings.com/.../argentina.html)):  
“*Although Argentina still has social and culture obstacles to overcome, its evolving legal system and private sector initiatives seem to indicate that the country is taking valuable steps toward greater gender parity in the workforce. Because gender disparities in Argentina are greatest in the hiring process, it may be some time before the effects of these initiatives are reflected in the boardrooms of large companies.*”

And, according to Paula Sandoval (2015), “*Countries that by 2030 want to keep a solid and constant rhythm of economic growth, besides the creation of the necessary quantity and quality of jobs, must wager for the education, training and inclusion of women in the labor market*”

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# The Effect Of Media Use Behavior On The Preference For Smartphone Specifications

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## Abstract

The paper aims to analyze the effect of media use behavior of cellphone users on the preferences for cellphone specifications. Based on the survey data of the Korean Information Society Development Institute and data on hardware attributes of mobile phone models, we employed a mixed logit model for the estimation of the interactions between consumer attributes and product characteristics. Since cellphone producers are sensitive to cellphone customers' preferences for hardware specifications, this study's results can provide a clue to predict technological changes on cellphone hardware.

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**Keywords:** Smartphone Specifications, media use behaviour

## Introduction

The paper aims to analyze the effect of media use behavior of cellphone users on the preferences for cellphone specifications. Under the assumption that cellphone producers are sensitive to cellphone customers' preferences for hardware specifications, this study's results can provide a clue to predict technological changes on cellphone hardware.

The cellphone, especially the smartphone, has a lot of functions for media contents, so that cellphones as a new media device have substituted the traditional media devices such as the radio or the television. As new applications and media contents that can be used with a cellphone are having been developed steadily, the frequency and the use time of media contents by cellphone have increased. In fact, the average daily internet use time by mobile devices is 103.8 minute in 2014, which is a 20.4 minute increase from the 2013 record<sup>86</sup>. The average daily smartphone application use time

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<sup>86</sup> Korea Internet & Security Agency(KISA), 'Investigation Report on Internet Using Condition in 2014' source: <http://isis.kisa.or.kr/board/?pageId=060100&bbsId=7&itemId=809&pageIndex=1>

in 2015 is 143 minute, which is more than the daily meal time, while the use time for game, music and video contents is 52 minute<sup>87</sup>.

In the paper, we combined the two data sets of the survey data (the *Korean Media Panel Survey* conducted by KISDI in July 2013) on cellphone users and the information on hardware specifications of the cellphone models. The survey asked the respondent's media contents use behavior, social economic status, and the cellphone brand that she used. From the given cellphone brand information, we presumed the specific cellphone model and gathered hardware specification information from online auction sites. With the combined data set, we employ the mixed logit model for an empirical analysis.

The paper proceeds as follows. In section II, we provide the literature review. Next, we describe our estimation model with data and variables in section III. In section IV, we discuss the estimation results and their implications. In section V, we summarize the results and conclude.

## Literature Review

When companies consider the market segment which they want to target, it is necessary to investigate potential customer's needs that are strongly connected to their life styles. Already many studies have mentioned life style as tool to make the market segment, saying that life style provides a rich view of the market as a portrait of consumers (Ahmad, Omar, & Ramayah, 2010; Liu, Chang, & Lin, 2012; Rahman, 2011; Vyncke, 2002)

Prior research that investigates the product attributes is based on the laddering approach of Reynolds and Gutman (1988) that sees products as embodying a vector of characteristics (Zhu, Wang, Yan, & Wu, 2009). The ladder consists of the vector of product's characteristics on an ascending scale. However it is commonly acknowledged that consumers are heterogeneous in preferences, meaning the different satisfactions of different consumers with the same product attribute. Some studies have tried to find the link personal attributes, like lifestyle, to preferences on the product attributes (Haught, Wei, Xuerui, & Zhang, 2014; M. Haverila, Rod, & Ashill, 2013; M. J. Haverila, 2013; Mishra, 2015; Zhu et al., 2009)

Some of these prior studies have focused on a mobile phone or mobile phone use behavior. It is thought that with fast technological developments, mobile phone has become the necessity of our daily life. For example, Zhu et al. (2009) classified four consumer attributes about their preferences on fashion, such as shopping, price consciousness, habitual consumption conscious, and quality consciousness. Then they empirically analyzed the relationship of consumer attributes with mobile phone charging

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<sup>87</sup> [http://news.chosun.com/site/data/html\\_dir/2015/09/22/2015092202493.html](http://news.chosun.com/site/data/html_dir/2015/09/22/2015092202493.html)

attributes. Hamka, Bouwman, De Reuver, and Kroesen (2014) made clusters considering customers' lifestyle characteristic such as yuppies, socially concerned type, career-makers, and traditionalists. Using latent class analysis, they found that these segmentations are related to mobile service usage behavior including the usage of network and the usage of content services. Using demographic variables instead of lifestyle variables, Hong, Thong, Moon, and Tam (2008) and Peslak, Shannon, and Ceccucci (2011) found that demographic attributes are related to mobile phone usage behavior. When mobile phone functions and services were relatively simple, Kim, Lee, and Koh (2005) investigated the possible direction of device convergence through consumer preferences for product attributes, and they found that consumers generally prefer a keyboard and medium-size display while consumers are indifferent to the internet service quality and to the capability for operating many application.

Studies that focused on the mobile phone usage behavior may assume that mobile phone features are so similar that they are not necessary to consider. However people typically select their mobile phones after comparing specific features among several models. As smartphone users proliferate and the smartphone becomes an important device for consuming media services, several studies address the effect of smartphone usage on the other media use. In this paper, we direct attention to the possibility that customers' media behavior does have significant influences on the preferences over smartphone attributes.

### Research design and data

This study estimates the demand function for mobile phones, using data of individual customer's attributes and mobile phone attributes. From the estimated demand function, it is possible to find out how individual attributes like a mobile phone usage behavior have influences on the preferences for main attributes of mobile phones.

For this purpose, we use a discrete choice model called the mixed logit model. It is acknowledged that the mixed logit model is flexible to obviate the limitations of the conditional logit model by allowing for random taste variation and unrestricted substitution patterns (Ben-Akiva, Bolduc, & Walker, 2001; McFadden & Train, 2000).

We define consumer  $i$ 's utility function for alternative (mobile phone model)  $j$  as follows:

$$U_{ij} = \delta_j + \sum_k \sum_{r=1}^R x_{jkr} z_{ir} r_{kr} + d_j v_i r^u + \epsilon_{ij}, \quad \dots \quad (1)$$

where  $\delta_j$  is the mean utility level from choosing alternative  $j$  while the other terms of right-hand side indicate the utility unique to individual  $i$  received by

choosing alternative  $j$ . The second term represents interactions between the observed consumer  $i$ 's attribute and the observed attributes of the alternative  $j$  where  $x_{jk}$  is the  $\kappa$  th observable attribute of mobile phone model  $j$  and  $z_{ir}$  is a consumer  $i$ 's  $r$ th observable attribute, and  $r_{kr}$  means the coefficient of the interaction term. In the third term,  $v_i$  indicates the consumer  $i$ 's unobservable attribute that affects the utility level of alternative  $j$  while  $d_j$  is the dummy variable for alternative  $j$ .  $r^u$  is the coefficient of the third term. In the mixed logit model, it is assumed that  $v_i$  is IID (independent and identically distributed) by the standard normal distribution. Lastly,  $\epsilon_{ij}$  denotes consumer  $i$ 's idiosyncratic tastes for alternative  $j$  and it is IID by the type I extreme value distribution.

With the assumption that  $v_i$  and  $\epsilon_{ij}$  are stochastically independent, the conditional probability that consumer  $i$  selects alternative  $j$  is:

$$P_r(y_i = j | x, \xi, z_i) = \int_v \frac{\exp(\delta_j + \sum_k \sum_{r=1}^R x_{jk} z_{ir} r_{kr} + d_j v_i r^u)}{1 + \sum_d \exp(\delta_d + \sum_k \sum_{r=1}^R x_{dk} z_{ir} r_{kr} + d_d v_i r^u)} P_0(dv) \quad \dots \quad (2)$$

In equation (2),  $y_i = j$  indicates that consumer  $i$  select alternative  $j$ , and  $P_0(dv)$  is the probability distribution function of  $v = (v_1, \dots, v_n)'$  where  $n$  is the number of consumers. In this study, we conducted a simulated maximum likelihood estimation to obtain the estimates of  $r_{kr}$  as well as  $\delta_j$ .

There are two data sets of user attributes and product characteristics. Data on consumer attributes come from the Korean Media Panel Survey conducted by Korean Information Society Development Institute (KISDI) in 2013. Respondents of the survey were required to recode their media use in a diary, called *the media diary*, which includes place, time, contents, and devices to use media contents. Respondents can recode their behavior by selecting one among the given 38 behavior examples which we reclassified into the 4 groups such as video-image contents usage, traditional communications usage, chatting, and SNS or /information searching<sup>88</sup>.

As the individual demographic information, we use age, gender, and whether having a job. The age variable is a dummy variable: 1 for the person over 50s and 0 for the others. The relatively young generation less than 50 year old would be familiar with adopting new technologies and with replacing the old phone with the latest one. Gender is acknowledged as a significant variable that influences the mobile phone usage.

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<sup>88</sup> 'Video-Image contents usage' includes specific behavior as follows: watching TV programs, a movie, UCC contents, and pictures. 'Traditional communications usage' means talking on the phone and sending a text message. 'Chatting' indicates behavior such as using e-mail services and chatting through online chat applications. 'SNS or information searching' includes behavior such as using social network services and searching information through the internet, and using an e-commerce services.



The second data set is on the attributes of mobile phone models. Some questions of the Korean Media Panel Survey are about the respondent's mobile phone model name and the year that the respondent purchased the mobile phone. However the reported model names are too rough to recognize the accurate model, so that we choose the specific mobile phone model by assuming that people want to buy the latest model. Under the information of the mobile phone's model name and the purchased year that the respondent reported, we searched the latest model and its specific attributes from the e-commerce websites<sup>89</sup> that provide hardware attributes of all the released mobile phone models. If there are the several latest models for the same brand and the same released year, we chose the best seller according to the mobile phone's sales record that the e-commerce websites provided. Finally 13 models are used in this study as follows:

Table 1: The mobile phone models

Num.	Manufacturer_Brand	Model	Model Num.	Frequency	Share (%)
1	Samsung_Galaxy S	Galaxy S4LTE	SHV-E300K	711	40.19
2	Samsung_Galaxy Note	Galaxy Note3	SM-N900S	395	22.33
3	Samsung_Galaxy	Galaxy Win	SHV-E500S	58	3.28
4	Samsung_Omnia	Ozomnia	SPH-M7350	14	0.79
5	Samsung	Minimal Folder	SHW-A301S	94	5.31
6	LG_Optimus	G2	LG-F320S	279	15.77
7	LG	WineSherbet	LG-SH840	43	2.43
8	Apple_iPhone3	iPhone3Gs	iPhone3Gs	5	0.28
9	Apple_iPhone4	iPhone4s	iPhone4s	13	0.73
10	Motorola	MotoG	XT1032	3	0.17
11	Apple_iPhone5	iPhone5s	iPhone5s	42	2.37
12	PenTech_Vega series	Vega Secret Up	IM-A900S	103	5.82
13	PenTech_Sky Series	Dupont folder	IM-U700S	9	0.51
Total				1,769	100.00

After collecting product attributes information for the 12 models, we selected the important attributes that would have some influences on customer's choices. We visited the mobile phone stores and investigated attributes that customers asked frequently. From the interviews with five mobile phone sellers, we found seven attributes which are commonly mentioned by the sellers such as whether it is a smartphone or not, the display size, the number of pixel of the mobile phone camera, the battery capacity, the weight, the storage capacity, and the price. Among these attributes, the display size is correlated with the battery capacity and the weight. And the price information has a problem to use in this study because

<sup>89</sup> [www.enuri.com](http://www.enuri.com) / [www.danawa.com](http://www.danawa.com)

of subsidies that a seller provides for the purpose of sales promotion. Such subsidies may distort the market price of mobile phones and make a difference between the official price and the real price in markets. Hence, among diverse attributes, we selected four such as whether it is a smartphone or not, the display size, the camera pixel, and the storage capacity. The attributes of each mobile phone model is as follows:

Table 2: The hardware attributes of the selected mobile phone models

Num.	Model Name	Manufacturer	Smartphone	Released Year	Display Size(Inch)	Camera Pixel	Storage capacity (Gbyte)
1	Galaxy S4LTE	Samsung	Yes	2013	5	1300	32
2	Galaxy Note3	Samsung	Yes	2013	5.7	1300	32
3	Galaxy Win	Samsung	Yes	2013	4.66	500	8
4	Minimal Folder A301	Samsung	No	2013	2.6	200	0.082
5	G2	LG	Yes	2013	5.2	1300	32
6	WineSherbet	LG	No	2012	3	200	0.03
7	MotoG	Motorola	Yes	2013	4.5	500	8
8	iPhone5s	Apple	Yes	2013	4	800	16
9	Vega Secret Up	PenTech	Yes	2013	5.6	1300	16
10	Ozomnia	Samsung	Yes	2010	3.7	500	8
11	iPhone3Gs	Apple	Yes	2010	3.5	300	16
12	iPhone4s	Apple	Yes	2011	3.5	800	16
13	Dupont folder	PenTech	No	2010	3	300	0.08

Table 3: Variables

category	Number	Variable name	Variable definition and measurement	
Consumer attributes	1	video	the ratio of a mobile phone usage time to enjoy video-image contents	
	2	call/text	The ratio of a mobile phone usage time to call or to text message	
	3	chatting	the ratio of a mobile phone usage time to chat through mobile applications	
	4	sns	the ratio of a mobile phone usage time to use SNS or on-line searching	
	5	age	the over 50s and the others	1: the over 50s 0: the others
	6	gender	gender(female)	1: female 0: male
	7	job	whether a job retention	1: unemployed 0: employed
Product attributes	1	display	the size of display of the mobile phone	the diagonal length of a mobile phone display
	2	pixel	the number for camera pixel	
	3	storage	the storage capacity	Gbyte

Table 4: Summary statistics on mobile phone attributes

Category	variable	Measurement	num.	mean	standard deviation	minimum	maximum
non smartphone	display	Inch	3	2.867	0.231	2.6	3
	pixel	Million		2.333	0.578	2	3
	storage capacity	Gbyte		0.064	0.029	0.03	0.082
smart phone	display	Inch	10	4.536	0.836	3.5	5.7
	pixel	million		8.6	4.061	3	13
	storage capacity	Gbyte		20	10.832	8	32

Table 5: Summary statistics on mobile phone usage attributes

variable	scale	observation	mean(ratio)	standard deviation	minimum	maximum
video	Min./day	1769	4.664(6.23%)	11.391	0	195
call/text	Min./day	1769	31.492(42.11%)	33.989	0	490
chat	Min./day	1769	18.324(24.50%)	29.248	0	315
sns	Min./day	1769	2.524(3.37%)	13.784	0	385
total_time	Min./day	1769	74.771	63.778	0	745

**Result**

The estimation results of the mixed logit model in (1) are given in table 6.

Table 6: Estimation results

Independent Variable			Estimate	Standard error	t-value
alternatives	Samsung Galaxy S Series (GalaxyS4LTE)		-18.762	13.698	-1.373
	Samsung Galaxy Note (Galaxy Note 3)		-77.218	48.174	-1.611
	Samsung Galaxy (Galaxy Win)		-52.136*	28.033	-1.860
	Samsung Omnia series (OZomnia)		-25.187*	14.374	-1.750
	LG Optimus(G2)		-30.782	18.872	-1.632
	Apple-iPhone3		-48.306**	24.113	-2.001
	Apple-iPhone4		-20.739	13.467	-1.541
	Motorola-Moto G		-57.821*	31.862	-1.813
	Apple-iPhone5		-64.464	41.475	-1.554
PenTech Vega Series (Vega Secret Up)		-23.067*	13.998	-1.653	
Interaction terms	video	display	-0.031	0.054	-0.576
		pixel	0.015	0.011	1.333
		storage	-0.002	0.002	-0.946
	call/text	display	0.049***	0.017	2.827
		pixel	-0.006*	0.003	-1.786
		storage	0.002***	0.001	2.927
	chat	display	-0.012	0.014	-0.827
		pixel	0.0069**	0.003	2.026

		storage	-0.001	0.001	-1.583
	sns	display	-0.008	0.034	-0.242
		pixel	0.002	0.008	0.183
		storage	-0.001	0.002	-0.611
	age(over 50s)	display	5.053**	2.219	2.281
		pixel	-1.047***	0.385	-2.723
		storage	0.222**	0.093	2.481
	gender(female)	display	1.241	0.803	1.542
		pixel	-0.212	0.182	-1.167
		storage	0.009	0.041	0.232
	the unemployed	display	4.955***	1.151	4.311
		pixel	-0.971***	0.237	-4.174
		storage	0.200***	0.052	3.812
	unobservable individual attributes	Samsung Galaxy S Series (GalaxyS4LTE)	1.596	1.028	1.557
		Samsung Galaxy Note (Galaxy Note 3)	70.397	47.368	1.493
		Samsung Galaxy (Galaxy Win)	-12.129*	6.203	-1.965
		Samsung Omnia series (OZ omnia)	-2.328	1.435	-1.621
		LG Optimus(G2)	12.515*	7.501	1.676
		Apple-iPhone3	7.823	5.738	1.365
		Apple-iPhone4	0.106	1.499	0.072
		Motorola-Moto G	-10.084	6.538	-1.544
		Apple-iPhone5	-27.998	18.523	-1.513
		PenTech Vega Series (Vega Secret Up)	1.776	1.392	1.282

Among the results of interaction terms, the mobile phone display size has significant interactions with variables of the age and the call/text usage time. It is possible that people over 50s using mobile phones for mainly traditional communications such as calling and texting would have strong preference for the large screen smartphones because of their weak visions and conveniences of typing.

However display size is not significant in the interactions with video-image contents usage by the mobile phone. It means that watching video-image contents such as movies or TV programs is not related to the preference for the large display size. There are some alternatives to the smartphone to enjoy the video-image contents, such as the tablet PC and the small size notebook. If a consume spends more time enjoying video-image contents and if the consumer is very sensitive to the quality of display, she

would prefer a device which has a special advantage in the display quality while she uses the mobile phone mainly for searching for the video-image contents.

The camera pixel indicates the quality of video-image contents. It turns out that as people spend more time using chatting services or email services, they would have more preference for a higher camera pixel. The function of chatting applications and email services is not limited to transfer text message but extended to include exchanges of pictures. On the other hand, people use mobile phones for the simple communications via calling or texting have lower preference for the camera pixel.

It is likely to think that heavy users of video-image contents would prefer more storage capacity. However, it did not turn out like that. As mentioned above, these users may have alternative devices for video-image contents. Rather, like the case of the display size attribute, the people who use their mobile phones to communicate by traditional ways showed the high preference for the storage capacity attribute. The storage of the smartphone is used to install the operating system and to upgrade. Although the latest smartphone models have large size storage, it is hard to say that it is enough for heavy smartphone users who may use secondary or alternative storage devices.

Other interesting results are about the gender. Prior studies have said that the gender is an important variable that has a significant influence on mobile phone usage. However we cannot find any significant result related to the gender variable.

## **Conclusion**

In this paper, we analyzed whether the consumer's preference for smartphone characteristics is affected by individual attributes that include media usage behavior. The results show that some consumer attributes have significant influences on the preference for the smartphone attributes such as the display size, the camera pixel, and the storage capacity.

For this analysis, we used the survey data of the KISDI and then combined it with data on hardware attributes of mobile phone models. The 1,769 survey respondents who purchased the new mobile phones in 2013 are selected and their attributes about age, gender, and job status are gathered.

We employed a mixed logit model for the estimation of the interactions between consumer attributes and product characteristics. In the estimation, we assumed that the outside alternative is a non-smartphone. Our results imply that the relationship between the media use behavior and the smartphone attributes is not straightforward, depending on the media environment in digital convergence.

Despite the limitation of the cross-sectional data, the paper contributes to the existing literature as a first step to quantitatively analyze the way in which and the extent to which the consumer's media use behavior affects her preference for the smartphone specifications. With more data over a longer period of time, we will be able to fully analyze the interaction between consumers' media use behavior and the evolution of the smartphone industry.

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# **Workplace Violence And Effects On Turnover Intention And Job Commitment: A Pilot Study Among Healthcare Workers In Turkey**

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## **Abstract**

Workplace violence is not only a critical health and safety issue but also is a serious problem which can have devastating effects on the productivity of organizations and on the quality of life of employees. The purpose of this study was to investigate physical, verbal and sexual violence in the workplace and the effects on employees' commitment and job turnover intention in the health sector. A self-made questionnaire about workplace violence, a general condition, job commitment questionnaire and job turnover intention questionnaire were applied to 169 health employees to determine who had suffered workplace violence in the previous year. The relationship between job commitment, workplace violence and job turnover intention were investigated in two different hospitals. A statistically significant relationship was determined between job turnover intention and workplace violence. According to the data obtained, 57% of the respondents had been confronted with physical, verbal or sexual harassment at least once in their professional life in the previous year. Additionally, 67% of the study respondents had witnessed one form or another of harassment behaviour. The t-test analysis results determined a significantly higher rate of job turnover intention for health workers who had been exposed to workplace violence than those who had not. The commitment rate of that group was determined to be low but the difference was not statistically significant.

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**Keywords:** Workplace violence; job turnover intention; employee commitment; Harassment; Health workers



## Introduction

Violence has been a significant social problem throughout history. Although violence has been defined as a concept in different ways, the most quoted definition is that of the World Health Organization (WHO); *'the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community, that either results in or has a high likelihood of resulting in injury, death, psychological harm, maldevelopment, or deprivation'* [1].

Violence may be encountered in every aspect of life. Therefore as a significant portion of a person's life is spent at work, the possibility of encountering violence there is high. Within an individual's working life, there is constant interaction between colleagues, superiors and subordinates and also with those they are serving such as customers or patients.

This intensive interaction and communication can lead to unwanted situations such as workplace violence. This can be defined in different ways, such as the European Commission's definition of workplace violence; *"Incidents where staff are abused, threatened or assaulted in circumstances related to their work, including commuting to and from work, involving an explicit or implicit challenge to their safety, well-being or health"* [2]. Workplace violence includes not only physical but also non-physical violence. For example, the range of workplace violence includes physical assault, homicide, robbery, verbal abuse, bullying/mobbing, swearing, shouting, sexual and racial harassment, name calling, threats, interfering with work tools and equipment [3, 4].

When studies on workplace violence are examined, there is nothing to identify victims of violence from sector or the work done. Studies have revealed that there is a higher risk of violence in occupations where there is intensive interaction whether inside or outside the business. In this respect, it can be stated that employees in the healthcare sector are at a higher risk of being exposed to violence compared to other sectors [5, 6, 20, 21].

Previous studies have shown that employees exposed to workplace violence suffer from psychological problems such as stress, depression, increased levels of anxiety [7], emotional exhaustion [8] family problems, low self-esteem, isolation in private life, alcohol problems, lack of concentration at work [9] and fear [10]. In addition to these psychological or mental problems, several physical conditions have been seen such as head, back and abdominal pain, insomnia, heart conditions, eating disorders, panic attacks and fatigue [9]. Previous studies have also shown that exposure to workplace violence causes lower levels of job satisfaction, increases job turnover intention [11, 19], reduce the emotional attachment to the organisation [12] and causes accidents at work [13].

The first aim of this study was to evaluate whether workplace violence was physical violence, emotional pressure, intimidating behaviour, verbal assault or sexual harassment. The secondary aim of this study was to investigate the effects of workplace violence on employees' job commitment and turnover intention in the healthcare sector.

## **Method**

In this study, workplace violence questionnaire, Demographic questions, job commitment scale and job turnover intention scale were used on healthcare employees to determine who had suffered workplace violence in the previous year in two different hospitals in Bursa city in Turkey. Outcome assessments included quantitative self-report questionnaires. The study protocol was approved by Uludag University Research Ethics Committee.

## **Measure**

### **Instruments**

The instruments that were used were as follows.

- *Demographic questions*: Participants were asked to indicate their sex, age range, marital status, educational background, working years and their duty in the facility.

- *The Workplace Violence Questionnaire (WPVQ)* developed by the International Labor Organization (ILO) and the World Health Organization (WHO) was combined and translated into Turkish by Aytac et al. [14]. In 3 different dimensions, the questionnaire measures whether employees have been exposed to physical violence, verbal violence or harassment in the workplace within the last year. Questions are asked in the form of 'In the last year have you been subjected to a physical attack in the workplace?' with a choice of responses of 'yes', 'no' and 'I don't know'.

- To measure *job commitment*, the 8-item job commitment scale which developed by Kurml (1999) and Lodahl and Kejner (1965) and adapted to Turkish by Öz (2007) was used [15].

- To measure *job turnover intention*, we used the 3-item turnover intentions scale developed by Grandey (1999) and revised by Öz [15].

## **Participants**

The sample consisted of 169 healthcare workers such as doctors, nurses, managers and other health workers who were employed at a two public sector hospitals. Data were collected anonymously by printed questionnaires from the respondents who participated voluntarily in the study. In the pilot phase of this study, the first draft of the questionnaire was distributed to 30 participants. The results of the pilot study and feedback

from participants enabled the questionnaire to be revised and clarified. Out of the 200 questionnaires distributed, 169 were returned, giving a response rate of 85 %.

**Results**

Out of the 169 workers who participated in the study, 30.8% were male and were 69.2% female, 46.2% were single, 53.8% were married, 65.5% were university graduates, 30.4% were high school graduates and 4.1%, primary school graduates. The mean age was (mean±S.D) 31.39±8.36 years. The mean of working years was 8.84±7.70 years. The distribution of the study group according to their professions is presented in Table 2.

The reliability analysis of the different scales which used in this study is shown in Table 1.

**Table 1:** The Reliability Analysis

Scales	Number of items	N	Mean	S.D	C. Alpha
Job commitment	8	165	3,09	0,96	0,78
Job turnover intentions	3	165	2,13	1,16	0,86

The reliability coefficients of all the scales ranged between 0.78 and 0.86, and all the coefficients were at acceptable limits (Table 1).

Table 2 shows the exposure to violence according to the types of violence.

**Table 2:** Exposure to Violence and Types

Type of Violence	Exposed	Not- exposed	Total
Physical violence	44 (%26)	125(%74)	169(%100)
Verbal abuse	92 (%54,8)	76 (%45,2)	168(%100)
Sexual assault and harassment	10 (%6)	158(%94)	168 (%100)
<b>Any other type of violence</b>	<b>96 (%57,5)</b>	<b>71 ( %42,5)</b>	<b>167(%100)</b>

As can be seen in Table 2, the most common form of violence experienced by the respondents was verbal violence at a rate of 54.8%. This was followed by physical violence at 26%. The lowest rate was 6% for sexual violence. When evaluated as a whole, 57.5% of the respondents had been exposed to some form of violence and 42.5% had not experienced any type of violence.

The relationship between being subjected to any kind of violence and commitment to the job and job turnover intentions is shown in Table 3. Results of t-test analysis on job commitment and job turnover intention with exposure or non-exposure to any form of violence, as beloveld.

**Table 3:** Results of t-Test Analysis

	<i>Any form of Violence</i>						t	p
	Exposure			Non-Exposure				
	N	Mean	S.D	N	Mean	S.D		
Job Commitment	95	3,17	,94	68	2,98	1,00	1,250	<b>,213</b>
Job Turnover Intention	93	2,31	1,27	70	1,89	,94	2,325	<b>,017</b>

According to the results shown in Table 3, the job turnover intentions of those employees exposed to some form of violence was found to be statistically significantly higher than that of those not exposed to any violence ( $p < 0.05$ ). No significant relationship was determined between experiencing violence and commitment ( $p > 0.05$ ).

The results of the t-test analysis of the effects of witnessing violence are shown in Table 4. Results of t-test analysis on Job commitment and job turnover intentions with witnessing any form of violence as beloved.

**Table 4:** Results of t-Test Analysis

	<i>Any Form of Violence</i>						t	p
	Witnessed			Not Witnessed				
	N	Mean	S.D	N	Mean	S.D		
Job Commitment	112	3,10	,95	52	3,09	1,00	,0821	,935
Job Turnover Intention	109	2,25	1,15	55	1,93	1,14	,631	,105

It can be seen from Table 4 that the rate of turnover intention of those who had witnessed violence (2.25) was higher than that of those who had not witnessed any violence (1.93). However, this difference was not found to be statistically significant. No significant difference was determined between commitment and witnessing violence.

## Discussion

Workplace violence is a leading work health and safety problem in working life. The frequency of this violence can vary depending on the characteristics of the occupation or the work being undertaken. It can be said that employees who have intense interaction with people outside the organisation such as customers or patients and their relatives, are at greater risk.

In this study, the form of violence that the respondents were most exposed to was seen to be verbal violence at a rate of 54.8%. Although the rate of those exposed to physical violence at 26% is lower than that of verbal violence, it is of an extent not to be undervalued. It can be said to indicate a high rate of physical violence in the intense interaction with patients and their relatives in the healthcare sector. The lowest rate of a form of violence experienced by the respondents was sexual violence at 6%. When these results are evaluated as a whole, 57.5% of respondents had been exposed to at least one form of violence within the last year.

When previous studies on this subject in the Turkish healthcare sector are examined, different results are noticeable. A study of emergency services nurses by Ergun and Karadakovan [16] determined rates of verbal attack to be 98.5% and physical attack 19.7%. In a study by Erkol et al. [17] of healthcare employees the rate of those exposed to any kind of violent incident was found to be 87.1%.

The violent incidents experienced at work can have a negative effect on the employee's feelings towards their occupation or the organisation. In this study, those who had experienced or witnessed violence were seen to have high job turnover intention. However, in the analysis in respect of job commitment, no significant difference was observed. In a study by Wang et al. [18] of healthcare personnel workplace violence was determined to have a direct effect (through fear or work satisfaction) on the intention to leave the organisation. In another study by LeBlanc and Barling [12] on 254 people in different occupations, it was observed that co-worker aggression in particular had an effect on the intention to leave the organisation.

The right to work is one of the basic human rights. In this respect, the prevention of cases of violence in working life carries importance in fulfilling this right. The requirements for this to be done can be listed as follows:

- Violent incidents occurring in the workplace should be regarded as crimes rather than as a type of aggression and the necessary legal infrastructure should be formed for this.
- Employees must be given training on what kind of incident or behaviour comes within the scope of violence, what they can do when they are subjected to violence and the importance of reporting violent incidents whether minor or major.
- Employees subjected to violence should be given organisational and social support. Thus, the possibility of violent incidents will decrease and the individual subjected to the violence will be less negatively affected.
- It must be accepted that prevention of workplace violence is an inseparable part of health and safety at work, and organisations must take the necessary steps to prevent violence. Prevention of violence must be an inseparable part of the organisation culture and organisation climate.
- Finally, there must be collaboration between organisations to combat violence. To achieve the creation of a safe and healthy work environment by preventing violence, the common struggle must be managed by the state primarily, and workers and employers associations, and various non-governmental organisations etc.

### **Limitations of the Study**

The sample size was limited to only two public hospitals in Turkey and responses may have been influenced by personal bias. Due to time constraints and busy schedules of the hospital health workers was difficult to interact with them completely so data were only collected through a questionnaire.

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## Test Food Materials On Stretching

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### Abstract

In the article proposes a device for determining the structural and mechanical properties of visco-plastic food mass at a stretching, in conditions, excluding the effect of its own weight of the sample. In the study of the influence of the quality of flour, humidity, duration of aging, mechanical processing revealed that during long time aging and mechanical processing a temporary tensile strength is reduced and relative elongation is increased, that is, the dough becomes more plastic. On tensile strain we define the values at which begins the gap of the dough: the dough from flour of the premium humidity of 40% - 550 Pa and a humidity of 45% - 650 Pa; the dough from the flour of the first grade humidity of 40% - 450 Pa and a humidity of 45% - 600 Pa.

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**Keywords:** Dough, uniaxial stretching, rheological properties

### Introduction

Food production at the present level, including conduct more different technological processes, it is impossible without the use of tools (objective) of measurement methods and instrumentation technology for monitoring, regulation and quality management of raw materials and finished products. In this important and responsible role is assigned to rheology as a science dealing with the structure formation of food materials, the study of structural and mechanical properties, the development of methods and instruments for their determination [1-8].



Processing and shaping the dough mass is accompanied by complex physical-chemical, biological and mechanical processes, the study of which allows to organize an effective and objective rheology control, management of production cycle.

The process of forming dough for flour dishes is composed and results mainly from tensile strain and shear flow. Therefore, the definition of structural and mechanical characteristics of the dough at uniaxial tension is of interest to determine the deformation properties and to calculate the kinematic parameters of processing machines and devices.

Existing devices used to define the characteristics of the plastic food mass, can not be applied in the study shaping process of unleavened dough, since it ignores the effect of the mass of material during the time on the size of the test sample [2,4]. Therefore, it was suggested tool for determining the structural and mechanical properties of visco-plastic food mass at a stretching in conditions excluding the effect of its own weight of the sample.

The purpose of the study is to determine the structural and mechanical properties of visco-plastic food mass at a stretching.

## Materials and methods

### Determination of rheological properties of dough under uniaxial tension

For the study of the rheological characteristics of the dough during forming is regarded in our case - unleavened dough. Under the unleavened dough understand semi-finished product from which subsequently made various dishes flour and bakery products.

To determine the rheological properties of the dough at uniaxial tension we have created a device for measuring the stretch dough (Figure 1) [9].

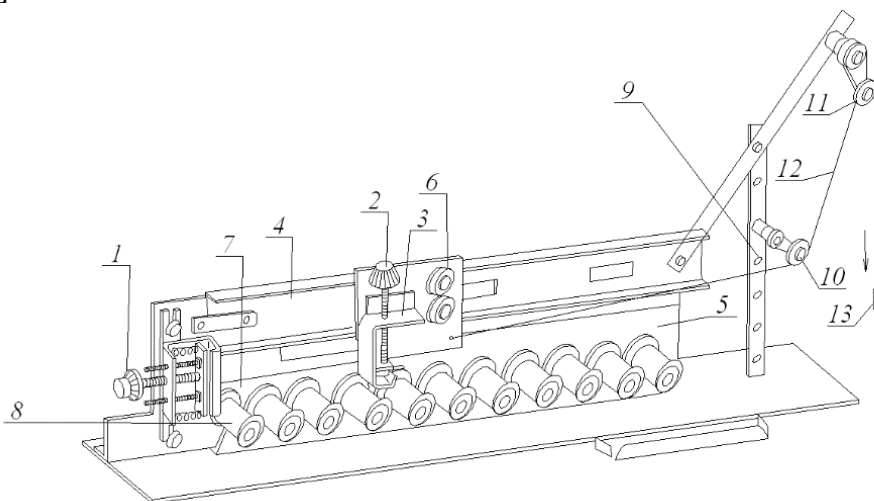


Figure 1. Scheme of the device for measuring the stretch dough

1,2 - spring clips, 3 - movable clamp, 4 - metal frame, 5 – base, 6 - twisting rollers, 7 - graduated scale, 8 – rollers, 9 - folding rack, 10, 11 – rails, 12 – thread, 13 - cargo.

Device for measuring the tensile dough contains fixed and movable clamps for the test sample, each of which is in the form of spring clips 1,2. The movable clamp 3 is fixed to the guide metal frame 4 fixed to the base 5 by means of twisting rollers 6, the device for counting values moving the movable grip is made as a graduated scale 7. Maintenance the test sample is made by sequentially assigned on basis of the device support rollers 8. The loading mechanism consists of a folding rack 9 on which are fixed the rails 10,11 for tensioning thread 12 with cargo 13 and that attached with movable clamp 3.

The device works as follows: test sample diameter of 5 mm, length 50 mm, its ends are placed in a nest of movable and fixed clamps and mounted by means of spring clips 1,2. When releasing of cargo 13, in loaded mechanism movable clamp moves along the guide metal frame 4 by twisting rollers 6. The sample is stretched along the axis of support rollers 8.

Moving the movable clamp continues to rupture of the sample. Tensile of test sample was determined by the index graduated scale 7.

Deformation of the dough is subjected to a constant size of 5 mm diameter 100 mm maximum absolute elongation of the specimen 300 mm.

For investigations in the laboratory were prepared samples of the dough humidity of 40% and 45%.

We used premium grade flour (gluten 32%), the first grade flour (gluten 28%). Amount of wet gluten was determined by washing it from the dough [10]. Extensibility gluten over the ruler determined by the method of determining the quality of wet gluten. For this, from completely of washed, wrung and weighed gluten take a sample of mass 4g and give it a spherical shape with a smooth surface without tearing. With both hands clutching gluten from both sides pull along the length of ruler to rupture [10]. Gluten is considered unsatisfactory strong - up to 10 cm extensibility, satisfactory strong - more than 10-20 cm extensibility, good - over 20 cm extensibility.

A uniaxial tensile sample of the finished dough shaped into a cylinder with a diameter of 5 mm and a length of 100 mm. The sample is subjected to a smooth immersion by tensile load of 0.09; 0.29; 0.49; 0.69 N.

## **Results and discussion**

Uniaxial tensile test more fully reflect the plastic characteristics of the dough. For all of the samples during immersion, after reaching value of the relative deformation, was observed plastic elongation with decreasing cross-sectional area, formation neck and rupture.

Since the beginning of formation neck sample loses its shape, strain and deformation is not distributed more or less uniformly over the length of the sample yet, and is concentrated in the section where the cross-sectional area is smallest.

The test material is cannot be of uniform quality throughout the length; in some sections quality of the material should be the lowest. At the same time, the sample cannot be completely cylindrical, but should have the smallest cross-section. Therefore, when immersed in one of these sections will be greatest elongation. In the same section will be the largest reduction in cross-sectional area. This, in turn, increase the tension and reach a maximum at the smallest cross section. In this section of the yield strength increases. In accordance with Figure 2 shows that all this leads to rupture of the sample.

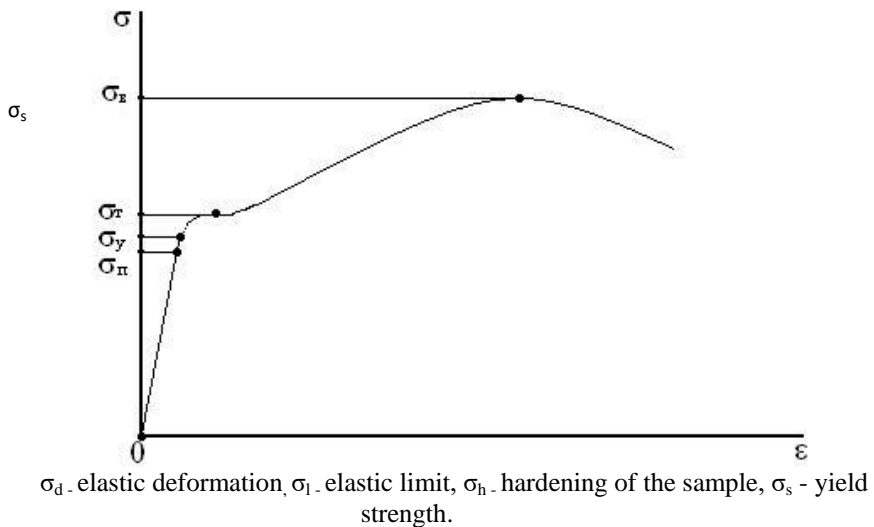


Figure 2. The curve of the dependence tension from deformation.

The deformable sample at different stages of tests have different resistance, depending on the properties of dough. The process of extension of the sample (Figure 2) occurred at four sites:

- $\sigma_d$  elastic deformation, where tension is proportional to the load and the initial part of the diagram can be viewed as a straight line, it is characterized by a corresponding portion of the diagram;

- $\sigma_l$  the elastic properties of the material are retained to tension, called the elastic limit, i.e. it is the greatest tension, to which the material does not get permanent deformations;

- $\sigma_h$  hardening of the sample, where the load increases again, but stretching is much slower;

- $\sigma_s$  yield strength of dough without increasing the load, where the deformation of the sample is increasing rapidly without any appreciable

increase in tensile strength. This stage is characterized by a horizontal section the diagram.

At the end portion of the diagram in the result of stretching dough formation of neck and rupture. In the formed neck, occurs destructive deformation and in a result of rupture of the sample occurs minimal elastic recovery of dough.

From Figure 2 shows that the region  $\sigma_d, \sigma_l, \sigma_h$  characterizes the elastic properties of dough, and the region  $\sigma_h, \sigma_s$  - plastic properties. For the forming process unleavened dough the most interesting is the region  $\sigma_h, \sigma_s$  at uniaxial tension, because here occurs the greatest deformation of dough.

Results of researches extensibility of all samples are shown in Table 2 and Figure 3.

Table 2. Results of the experiment on the extensibility of the dough

Sample of the dough	Humidity, %	Time aging, min		
		15	30	40
		Extensibility, cm		
Premium flour, 0,1kg	45	20	27	36
	40	19	25	32
Flour of the first grade, 0,1kg	45	17	23	29
	40	15	21	27

Results of researches showed that the grade of flour, humidity dough, the duration of the pre-aging effect on the structural and mechanical properties of dough. With increasing humidity dough, duration aging and mechanical processing, plastic characteristics of dough is increase. For example, at a temperature of 35 °C, duration aging 30 min and humidity 40%, the maximum linear deformation increased on average 1.7 times, and at the duration aging 90 min and humidity 45% maximum linear deformation increases in average 2.6 times. The dough is made from premium flour more extensible than the dough made from the flour of the first grade.

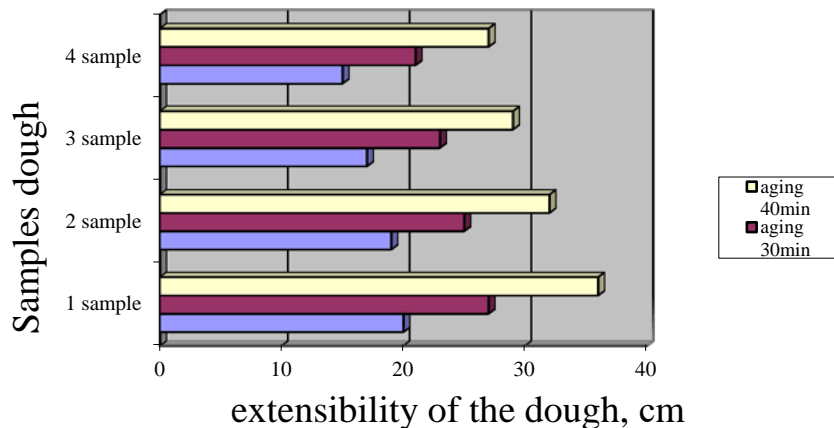


Figure 3. Diagram of the results extensibility of the dough.

Processing of experimental data showed that the tension diagram dough are well described by the equation:

$$\sigma = \frac{F}{A}, \quad (1)$$

where:  $\sigma$  - normal strain, Pa;  $F$  – load at the moment of deformation, N;  $A$  – cross sectional area,  $m^2$ .

If we denote  $A_0$  initial cross-sectional area of the sample, then

$$A = A_0(1-\gamma\varepsilon)^2 \quad (2)$$

where:  $\gamma$  - Poisson coefficient;  $\varepsilon$  - deformation at tensile, m.

Deformation at tensile is equal to

$$\varepsilon = \frac{l_f - l_i}{l_i} \cdot 100 \quad (3)$$

where:  $l_i$ ,  $l_f$  – initial and final length of sample, m.

## Conclusion

Tests uniaxial tensile most fully reflected the plastic characteristics of the dough. In the study of the influence of the quality flour, humidity, duration of aging, mechanical processing revealed that during long time of aging and machining temporary resistance at strength is reduced and relative extension increased, that is, the dough becomes more plastic.

On tensile deformation, we defined the conditions under which dough begins destruction. In order to prevent rupture of dough, operating load must not exceed the following values, respectively: the dough of premium flour humidity of 40% - 550 Pa, and a humidity of 45% - 650 Pa; the dough from the flour of the first grade humidity of 40% - 450 Pa and a humidity of 45% - 600 Pa.

Processes that contribute adsorption and especially osmotic binding of water and swelling of colloids dough, and therefore increase the amount and volume of the solid phase improve the rheological properties of the dough, making it dense in consistency, elasticity, extensibility. One of the most important indicators, responsible for the quality and rheological properties of dough is the sugar content and protein in the dough, which increases during aging.

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## **CEDAW: Compliance and Contestation in Latin America**

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### **Abstract**

Integrating legal history and social science method of analysis is helpful for understanding women's human rights in comparative context. This study examines the roles of Latin American states in the development of CEDAW, the international treaty on women's rights. By then reviewing reports on Peruvian and Chilean compliance with CEDAW, the study begins to assess whether the international women's convention has relevance for non-governmental organizations (NGOs) and practitioners who seek to promote women's rights. At the state level, women's human rights are neither imposed by the CEDAW Committee nor are rights simply constructed locally within the confines of isolated states. In-depth analysis of Peru's and Chile's recent compliance efforts suggests policymakers and activists have used CEDAW as a tool to push for more equitable legal, institutional, and social reforms.

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**Keywords:** CEDAW, Women's Rights, Peru, Chile

### **Introduction**

Following the establishment of the Convention on the Elimination of All forms of Discrimination Against Women (CEDAW), the international women's bill of rights, many scholars of international relations doubted the treaty would have more than a negligible impact on signatory states. Thirty-five years later, 189 states have agreed to become party to the treaty. Despite considerable social scientific research into women's transnational activism, there is still a dearth of investigation into national compliance with international women's rights law. Classical international relations scholarship has ignored the efforts of local women's organizations to promote women's human rights, and legal studies focused at the state level have neglected global influences on human rights. By reviewing the role of Latin American states in the development of women's human rights, and Latin American states in the development of women's human rights, and

then examining reports on Peruvian and Chilean compliance with CEDAW, this study begins to assess whether the women's convention has relevance for non-governmental organizations (NGOs) and practitioners who seek to promote women's rights.

### **Women's Human Rights**

The antecedents of the women's convention began with the establishment of the United Nations. If it were not for the insistence and the pressure of a group of countries, primarily from Latin America, and non-governmental organizations (NGOs) from a host of states, who participated in the drafting of the UN Charter in San Francisco in April 1945, it is unlikely that the U.N. Charter would have incorporated a commitment to human rights (Sikkink, 2004, pp. 32-35; Snyder, 2006, pp. 25-26). Delegates from Brazil and the Dominican Republic advocated for equality between men and women, and Article 1 of the Charter specifically mentioned the rights of women when it called for "...promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion" (Reilly, 2009, p. 48; Bruce, 1998, p. 72; UN Charter, 1945).

Further groundwork for the establishment of the women's rights convention included the efforts of the UN Commission on the Status of Women (CSW), Latin American countries, and non-governmental organizations (NGOs) to secure the inclusion of human rights in the 1948 Universal Declaration of Human Rights (UDHR). Draft bills submitted by Panama, Cuba, and Chile helped provide the basis of the UDHR, and Chile's Hernán Santa Cruz played a key role, working closely with Eleanor Roosevelt, to include a commitment to economic, social, and cultural rights in the UDHR (Sikkink, 2004 p. 37).<sup>90</sup> The UDHR became the basis for two successor treaties, the *1966 International Covenant on Civil and Political Rights (ICCPR)* and the *1966 International Covenant on Economic, Social, and Cultural Rights (ICESCR)*. Together, the UDHR and its successor treaties, provided the core foundation of international law.<sup>91</sup>

With more prodding from developing states and the UN Commission on the Status of Women, the UN General Assembly adopted a resolution on women's rights on November 7, 1967, but like the UDHR, the resolution

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<sup>90</sup> In addition to Roosevelt and Santa Cruz, the drafting committee included René Cassin of France, Peng-Chun Chang of China, and Charles Malik of Lebanon.

<sup>91</sup> Unlike UN resolutions, treaties provide a mechanism for states to incorporate human rights into domestic law. The ICCPR affirmed support for the rights to freedom of speech, assembly, religion, the right to a fair trial, equality before the law, and other protections against state intervention while the ICESCR promoted social, cultural, and economic rights.



provided no basis for securing a state's agreement to incorporate women's rights into domestic law (Hawkesworth, 2012, pp. 253-254). Momentum for the establishment of a women's rights treaty grew as social movement activists and women's rights advocates lobbied the UN Commission on the Status of Women to organize the first *World Conference on Women* in Mexico City in 1975. Representatives from 133 governments convened to develop a World Plan of Action, and over 4000 women representatives of NGOs met in a parallel forum to share strategies on how to pressure their governments to advance women's equality (Friedman, 1995, p. 23; Reilly, 2009, p. 54). Following the Mexico City World Conference, the UN Commission on the Status of Women produced a draft of the Convention on the Elimination of All Forms of Discrimination Against Women and the UN General Assembly declared 1976-1985 the UN Decade for Women (Reilly, 2009, p. 55).

In 1979 the UN General Assembly voted to approve the treaty for women's rights, and the treaty entered into force, as required in the convention, with the ratification of CEDAW by twenty countries in September, 1981. CEDAW defined discrimination against women and laid out 30 articles in the attempt to promote gender equality. Although the treaty was an international creation, responsibility for implementation rested with state governments. A head of government could sign the treaty signaling support, but ratification by a state's legislature was crucial to implementation. Article 2 of CEDAW "...mandates that state parties ratifying the Convention declare intent to enshrine gender equality into their domestic legislation, repeal all discriminatory provisions in their laws, and enact new provisions to guard against discrimination against women." Ratification also indicated the party's willingness "to establish tribunals and public institutions to guarantee women effective protection against discrimination, and take steps to eliminate all forms of discrimination practiced against women by individuals, organizations, and enterprises." (UN CEDAW, 1979).

Support for ratification of CEDAW grew quickly, and approximately 100 states ratified or voted for accession to the treaty within a decade. Legal scholars of international human rights have characterized this first international treaty specific to women's human rights as an important turning point in human rights law, but support for CEDAW was not universal. Many leaders and activists from outside of the United States and Western Europe viewed attempts to promote international human rights as efforts on the part of Western diplomats and women's rights activists to exert Western

hegemony (Rao, 1995, p. 167; Yuval-Davis, 2006, p. 290).<sup>92</sup> While some Western European states promoted CEDAW, critics within the United States viewed the treaty as a threat to U.S. sovereignty and traditional gender roles.<sup>93</sup> Opponents within the U.S. Senate were particularly opposed to CEDAW's reporting process. Under Article 18 of the Convention, each state would be required to submit periodic reports documenting their progress in implementing the convention. The reports would be reviewed by the CEDAW committee, a treaty monitoring body, comprised of twenty-three international experts, and the committee would recommend reforms to strengthen compliance.<sup>94</sup>

Following the creation of CEDAW, women's organizations met at World Conferences on Women in Copenhagen (1980), and Nairobi (1985) and Latin American women and Caribbean women also met at a series of regional feminist meetings, or *Encuentros*, beginning in 1981 (Frazier, 2009, p. 22). In most Latin American countries, women's civil organizations had emerged in opposition to authoritarian regimes or in response to economic difficulties. Women who sought the return of their missing loved ones played key roles in the establishment of women's organizations and the downfall of dictatorial governments (Friedman, 2010, p. 293). As transnational networks were established, national and local women's organizations were able to strategize about ways to challenge authoritarianism, sexism, racism, and economic inequalities. Although participants were precluded from discussing specific human rights violations, the 1993 Vienna Conference on Human Rights provided opportunities for Latin American women to promote the notion that "women's rights were human rights" (Friedman, 2010, P. 296).

Despite significant support among industrialized states for the establishment of international rights for women, CEDAW has not simply been a tool of western hegemony. As of 2016, the United States has still not ratified the treaty. Only Iran, Somalia, Sudan, Tonga, the Republic of Palau, and the United States have failed to become parties to the treaty (UN Treaty

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<sup>92</sup> This is not surprising given U.S. Cold War policy of supporting repressive authoritarian governments. In Latin America this policy involved promoting the National Security Doctrine (NSD) and supporting allies as they carried out political repression and state terror against a wide range of civil society.

<sup>93</sup> U.S. President Jimmy Carter called for an emphasis on human rights and signed CEDAW on July 17, 1980, but it soon became clear that he lacked the support needed for ratification by the US Senate. Throughout the decades, powerful US Senators, used their influence on the Senate Foreign Relations Committee to prevent ratification. As of 2016, only the United States, Iran, Somalia, Sudan, Tonga, and the Republic of Palau have failed to become parties to the treaty.

<sup>94</sup> Both the Convention and the review committee are known by the acronym CEDAW. For clarification purposes, CEDAW is used when referring to the Convention, and Committee or "treaty monitoring body" used refer to the review committee.

Collection, 1979).<sup>95</sup> The US refusal to ratify the treaty precludes its representatives from participating in the treaty monitoring process as the members of the review Committee are drawn only from member states. US leaders overwhelmingly oppose gender quotas, while many countries, including those facing significant economic challenges, have used CEDAW's temporary special measures to achieve significant gains in the election of women to national legislatures. According to data provided by the Inter-Parliamentary Union as of December 15, 2015, Rwanda ranked number one in terms of the percentage of women (63.8%) serving in the lower house of its legislature and Bolivia ranked number two with women holding 53.1% of its lower house. Eight of the twenty top ranking countries in terms of the percentages of women serving in the lower houses of national legislatures were located in Africa, and five of the top twenty countries were located in Latin America<sup>96</sup> (Interparliamentary Union, 2015). Although Nordic states implemented party quotas and have been supportive of expanding temporary special measures to corporate boards, support for these quotas has varied considerably among the more privileged western states.

Among those scholars and practitioners who have criticized the convention as inconsequential, most point to the large numbers of reservations filed by the member states as evidence that states are trying to appear as if they are supporting CEDAW without actually taking significant steps to advance women's rights (Henderson & Jeydel, 2014, pp. 244-245). When a state issues a reservation at the time of ratification, the state thereby asserts its intention to reject or alter the impact of some provisions of the treaty (Reilly, 2009, p. 28). States filed more reservations to CEDAW than to any other human rights treaty. Three South American states filed reservations to Article 29, a provision of the convention allowing states to refer disputes about interpretation of the treaty to arbitration and, failing resolution, submit the disputes to the International Court of Justice. This Article did not, however, make arbitration mandatory. The reservations filed by Argentina, Brazil, and Venezuela concerning Article 29 thus reject the option of using the International Court of Justice measure for dispute resolution but do not contradict the treaty (UN Treaty Collection, 1979).

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<sup>95</sup> Signing a treaty indicates that the state supports it in principal and, if state law or the constitution requires legislative approval of treaties, the state's signature signals the state's intent to seek approval through ratification. Ratification commits the state to be bound by the treaty.

<sup>96</sup>Only 19.4 percent of the seats in the U.S. House of Representatives were held by women as of January 2016 while women held 37 percent of Argentina's Chamber of Deputies in 2013 (Interparliamentary Union 2016 & International Institute for Democracy and Electoral Assistance 2015).

While reservations are sometimes indications of weak support for a treaty, a state's reporting patterns may also demonstrate unwillingness to comply with the convention (Zwingle, 2005, p. 406). CEDAW Art 18 requires states to submit periodic reports to the Committee for its review. In theory, the first report was to be due within one year of ratification and periodic reports were to be required every four years thereafter. In practice, CEDAW often extends the reporting periods.

To gain a better understanding of CEDAW's implementation among American states, it is worth examining more thoroughly treaty compliance among states which share some common characteristics. States located in South America whose cultures have been influenced by Spanish colonization are likely to share some similarities because of common historical, linguistic, and religious influences despite significant variations. These South American states also have in common their status as early supporters of the women's convention. Representatives of all but one of these governments signed the CEDAW treaty during 1980 or 1981, and all of the states completed the ratification process by July of 1990. If CEDAW has relevance to the gains achieved in women's human rights in Latin America, we might expect a more compliant member country to have adopted more significant legislative reforms than those agreed to by a more resistant state. Peru has been among the more compliant states in terms of its ratification and periodic reporting. Peru has filed periodic reports 1-8 and is currently in compliance with CEDAW's reporting timetables. The government has also signed and ratified the Optional Protocol expressing its willingness to grant the Committee authority to receive and consider allegations of treaty violations from individuals or groups within Peru.<sup>97</sup> Examining in detail the documents related to the most recent periodic report of Peru, including those provided to the Committee by Peruvian and transnational NGOs, may provide further insight into the state's commitment to CEDAW.

The government of Peru submitted its 7<sup>th</sup> and 8<sup>th</sup> periodic reports for review by the Committee on September 7, 2012. The treaty monitoring body reviewed the Peruvian government's report and used input from an independent Shadow report to produce its review document, the *Concluding Observations*. Sixteen non-governmental organizations began collaborating under the leadership of the Flora Tristán Center of the Peruvian Women in 2011 in an effort to provide the Committee with a *Shadow Report* on the Peruvian government's compliance.<sup>98</sup> The investigation by Peruvian and

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<sup>97</sup> In 2000, Peru signed the Optional Protocol and in April 9, 2001 the Peruvian Congress ratified the Protocol.

<sup>98</sup> These non-governmental organizations included: *CLADEM Perú*, *Centro de la Mujer Peruana FLORA TRISTÁN*, *DEMUS-Estudio para la Defensa de los Derechos de la Mujer*, *Lesbianas Independientes Feministas Socialistas-LIFS*, *Movimiento El Pozo*, *Centro de*

regional Latin American NGOs was submitted to the Committee and reviewed during the fifty-eighth session, June 30<sup>th</sup>- July 18<sup>th</sup>, 2014 (CLADEM, 2014 & UN CEDAW/C/PER/CO/7-8).<sup>99</sup>

The treaty monitoring body began the *Concluding Observations* by commending Peru for implementing significant reforms since its 6<sup>th</sup> periodic review. Among these were the 2007 Supreme Decree to establish equality between men and women as “the mandatory national policy that includes the elimination of domestic and sexual violence” and the establishment of a National Commission on Discrimination with the authority to review national legislation. New laws were passed in the effort to prevent and criminalize femicide (2013), prevent and punish sexual harassment (2009), combat human trafficking (2007), and promote the reintegration of pregnant girls and teen mothers into the educational system (UN CEDAW/C/PER/CO/7-8).

Other reforms included the use of quotas to ensure at least three members of each gender would serve on the Constitutional Court and gender quotas would be mandated for judicial and magistrate appointments. In addition, the new government introduced several national plans: the 2012-2017 National Plan for Gender Equality, the (2011-2016) National Plan to Combat Trafficking in Persons, a 2013-2021 Plan for Preventing Teenage Pregnancy, the 2009 Plan to Combat Violence Against Women, the 2013 Plan on Forced Labour, and the adoption of new guidelines on “therapeutic abortion” (UN CEDAW/C/PER/CO/7-8).

While commending Peru for initiating the above reforms, the Committee called on the government to dedicate more material and human resources to its efforts and recommended additional reforms concerning access to justice, political representation, violence against women, health, rural women, and marriage and family. The Committee expressed concerns about access to justice, especially in remote areas and particularly among those facing linguistic and economic barriers. The treaty monitoring body also recommended Peru increase its training of those involved in the administration of justice (including: Judges, lawyers, police, border officials, etc.) to improve their understanding and implementation of the convention (UN CEDAW/C/PER/CO/7-8).

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*promoción y defensa de los derechos sexuales y reproductivos—PROMSEX, Movimiento Manuela Ramos, Asociación Aurora Vivar, Asociación Pro Derechos Humanos-APRODEH, Instituto de Defensa Legal—IDL, Kolectiva Rebeldías Lésbicas-KRL, Instituto RUNA, Movimiento Homosexual de Lima, Red Peruana de Migración-REDPEMIDE, Paz y Esperanza, Capital Humano y Social—CHS, Articulación de Lesbianas Feministas de Lima, and Red de Educación de la Niña—Florecer.*

<sup>99</sup> “A Shadow Report At Seventh and Eighth Periodic Report of the Peruvian State, for the 58th Session of the CEDAW Committee.”

Recommendations concerning political rights focused on temporary measures for promoting equality, specifically Peru's weak mechanisms for enforcing electoral gender quotas. Twelve Latin American states have adopted some form of quotas in the effort to increase women's political representation and strengthen the influence of women on the policymaking process. Although Peru has legislated quota laws, the state was criticized for not sanctioning political parties which failed to elect women. Peru's quota laws thus tend to elect fewer women than do states with compulsory quota laws such as those of Argentina and Bolivia (Frazier, 38-41). CEDAW's recommendations to Peru called for strengthening its targets and timelines for ensuring women's representation and revoking the registration of political parties that placed women at the bottom of party lists thereby undermining existing regional and municipal quotas (UN CEDAW/C/PER/CO/7-8).

In contrast to recommendations focusing on political rights, CEDAW called for social and cultural reforms including a recommendation that the government adopt a comprehensive law to combat violence against women through "prevention, protection, and punishment of perpetrators" (UN CEDAW/C/PER/CO/7-8). The Committee's recommendations concerning women's health were focused predominantly on abortion rights. Peru recently revised its legislation so as include provisions for what it characterizes as "therapeutic abortion." Under these guidelines, the state alleges women may be given authorization to have abortions in cases in which the pregnancy represents a threat to the mental or physical health of the mother. The guidelines, however, require the timely signature of a witness and the approval of a board to certify the need for "therapeutic abortion." Both the treaty monitoring body and the NGOs viewed these guidelines as overly restrictive and maintained that they may lead women to seek unsafe, illegal abortions. The Committee reminded Peru that in 2004 it had reported that unsafe abortions were the leading cause of maternal mortality and morbidity. The Committee called on the government to extend legalization of abortion "to cases of rape, incest, and severe foetal impairment," and to reform the General Health Act and Code of Criminal Procedure so as to remove "punitive measures in harmony with the Constitutional right to privacy" (UN CEDAW/C/PER/CO/7-8).

The *Concluding Observations* of the treaty monitoring body suggest Peru has made significant progress in its efforts to comply with CEDAW since the review of the sixth periodic report in 2007. Given this progress and the input of civil organizations into the critiques and recommendations of the *Concluding Observations*, it appears that CEDAW is being implemented through an interactive process involving the participation of state actors, civil society organizations, and international reviewers. The women's convention

is not a ruse in which the Peruvian state pretends to promote women's rights nor is it simply an effort on the part of external actors to undermine Peruvian institutions and civil society. Peru's civil organizations played an instrumental role in contributing to the critiques and recommendations of the Committee and the Peruvian state has implemented a wide range of reforms pursuant to its participation in the monitoring process.

In contrast to Peru, the Chilean state has been a more reluctant party to the Convention. Since its ratification, Chile has only submitted periodic reports 1-6. At the time of its signing of CEDAW, the Chilean government issued a declaration acknowledging it would take time for the state to reform its laws in accordance with the treaty, but it did not file any formal reservations to the treaty. Chile simply declared it had created a "Commission for the Study and Reform of the Civil Code" and endowed the study group with the responsibility "...to amend *inter alia* (*in other words, among other things*), those provisions which are not fully consistent with the terms of the Convention" (UN Treaty Collection, 1979).

Unlike Peru, Chile has not fully incorporated a comprehensive definition of discrimination into its constitution or laws allowing the Convention to supersede national law in cases of conflict (CEDAW/C/5 Add.60). President Eduardo Alfredo Frei Ruiz-Tagle signed the Optional Protocol on December 10, 1999, but the Chilean legislature has thus far failed to ratify the Protocol allowing individuals and civil society organizations to file complaints with the treaty monitoring body in cases where the state has allegedly violated the Convention. Previous studies of women's movements in Chile have documented the role of women's NGOs in the establishment of Chile's National Service for Women (SERNAM) and the studies attribute the push for legal changes in the equality law, marriage law, nationality rights, and child custody rights to the combined efforts of SERNAM, Chilean civil organizations, and transnational NGOs (Craske, 1999: 117 and Matear, 1997: 93).

Chile submitted its fifth and sixth periodic reports on March 16<sup>th</sup>, 2011 and the Committee evaluated the reports at its fifty-third session during October 2012. In its "Introduction" to the *Concluding Observations*, the Committee admonished Chile for its lack of current statistics but commended the state for its election of its first woman president, Michelle Bachelet, and its legislative advances in women's rights since 2006. The legislative gains since 2006 included: broadening the crime of parricide so as to include the killing of women by spouses and former partners (2010), protecting domestic workers from discrimination (2010), requiring public schools to provide some form of sexual education and the free distribution of birth control (2010), criminalizing human trafficking and the smuggling of migrants (2011), protecting refugees (2011), and prohibiting discrimination in civil

services (2012) (CEDAW/C/CHL/CO/5-6). In addition to these legislative changes, the treaty monitoring body recognized Chile's establishment of a National Institute of Human Rights (2010), SERNAM's new Gender Agenda plan (2010-2014), a new National Health Strategy (2011-2020), the state's third Plan for Equal Opportunities (2011-2020) and a new advisory panel on Trafficking in Persons (2008). (CEDAW/C/CHL/CO/5-6).

One area of great concern expressed in the *Concluding Observations* of 2012 was the lack of coordination between SERNAM and civil society organizations (CEDAW/C/CHL/CO/5-6, 13). Similar criticism were also emphasized by civil society organizations in two shadow reports submitted to the CEDAW Committee prior to the fifty-third session in 2012. The first shadow report, submitted jointly by Chilean civil society organizations, was particularly harsh in characterizing the Chilean state's process for preparing its periodic reports as top-down and centralized under the direction of the National Service for Women (SERNAM) and the Office of Human Rights of the Ministry of Foreign Affairs of Chile (CEDEM et. al., 2012).<sup>100</sup> The second independent report from Chile's civil society organizations, produced by groups calling themselves, *Articulación Feminista por la Libertad de Decidir*, also recommended greater collaboration between the Chilean state and women's organizations. While the Peruvian NGOs appear to have been more involved in an interactive, discursive process of preparing the state's report, Chile's NGOs appear to have had a much more adversarial relationship with the Chilean state. CEDEM accused SERNAM of prioritizing a pro-family approach rather than focusing on women's rights and empowerment (NGOs). Chile's NGOs were not only critical of the state for not carrying out sufficient consultations and shifting the focus from women's empowerment, they also voiced skepticism of the state's willingness to follow through with its commitments (CEDEM et. al., 2012).

Other criticisms directed at Chile by the civil society organizations and the CEDAW Committee involved the limited scope of sexual harassment law, the use of sexual violence by police forces against protesters, a persistent wage gap, the minimal state efforts to address the trafficking of women and girls, the lack of protections and housing for indigenous (particularly, Mapuche) women, insufficient protections for lesbian and

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<sup>100</sup> The second group of Chilean civil society organizations, collaborating under the name, *Articulación Feminista por la Libertad de Decidir*, included: *Ideas sin Género*, *Fundación Instituto de la Mujer*, *Red de Salud de las Mujeres Latinoamericanas y del Caribe (RSMLAC)*, *Feministas Feas*, *Red Chilena contra la Violencia hacia las Mujeres*, *Observatorio de Equidad de Género en Salud*, *Comité de Servicio Chileno (COSECH)*, *Movimiento pro Emancipación de la Mujer Chilena (MEMCH)*, *Colectivo Conspirando*, *Foro de Salud y Derechos Sexuales y Reproductivos*, *Educación Popular en Salud (EPES)*, *La Ciudad de las Diosas*, *Warmipura-Mujeres Inmigrantes (Articulación Feminista, 2012)*.



transsexual women, and the need for more temporary shelters for victims of trafficking (Articulación Feminista, 2012; CEDAW/C/CHL/CO/5-6; CEDEM et. al., 2012). In its effort to expand women's political participation in political and public life, the Committee and the NGOs called on the Chilean state to reform the electoral system and adopt temporary special measures to increase the representation of women (CEDAW/C/CHL/CO/5-6; CEDEM et. al., 2012).

Like the *Concluding Observations* and shadow reports for Peru, the reports for Chile encouraged the government to increase its dissemination of concluding comments and information about CEDAW, particularly among rural and minority populations, and to provide additional funding and human resources for addressing inequality. Other recommendations made to both Chile and Peru concerned the need to improve data collection and measurement protocols for assessment (CEDAW/C/CHL/CO/5-6; CEDAW/C/PER/CO/7-8 ). The treaty body experts and the authors of the shadow reports for both states expressed particular concerns about the lack of sufficient data on prostitution and trafficking of women and girls, including multidimensional data that would enable differentiation according to sex as well as ethnicity, age, disability, and rural dimensions. In the case of Chile, however, the Committee was particularly harsh in its criticism of the state for providing outdated statistical information (CEDAW/C/PER/CO/7-8).

The treaty monitoring body and local NGOs also encouraged Chile to reduce restrictions on abortion. Whereas Peru took steps to provide some, albeit limited, possibility of allowing abortions in cases involving threats to the life of the mother, the Chilean state asserted its claim to state sovereignty "...our legal system protects the life that is by birth" and expressly prohibits abortion "...in all its forms" (CEDEM et.al, 2012). Chilean nongovernmental organizations and the Committee expressed concerns that the criminalization of abortion has contributed to a high level of maternal mortality (Articulación Feminista, 2012; CEDAW/C/CHL/CO/5-6; CEDEM et. al., 2012). Although the civil society organizations accuse the state of being willing to violate international standards, the state claims to have introduced over 10 bills in 2011-2012 in the effort to weaken its restrictions on abortion (UN CEDAW/C/CHL/5-6).

While the treaty bodies and the NGOs called on the governments of Peru and Chile to increase women's involvement in the political process, the Peruvian government began the establishment of quotas much earlier and has been more effective at expanding temporary special measures and increasing women's representation. Since establishing its first Congressional quotas in 1997, Peru has continued efforts to strengthen legislative quotas and expand the use of quotas in other levels of government. In Peru, women made up

22.3% of the Single Chamber in 2011 and as of 2013, women held 15.8% of the seats in Chile's lower house, the Chamber of Deputies (Interparliamentary Union, 2015). During the 2011 elections, Peru elected a woman Vice-President, Marisol Espinoza, and in 2015 Chile reelected a woman president, Michelle Bachelet, for a second, nonconsecutive, term (UN CEDAW/ & UN CEDAW/C/CHL/5-6 p. 21). Given Bachelet's experience serving as the first executive director of the newly created United Nations Entity for Gender Equality and the Empowerment of Women (UN Women) during her interregnum it seems likely the Chilean executive will continue working to advance women's rights in Chile.

### **Conclusion**

This comparative review of Chile's compliance efforts with those of Peru suggests both states have taken seriously their responsibilities under the women's Convention. The governments of Chile and Peru have introduced legislative reforms, created national plans for addressing the needs of women, and attempted to implement these plans at the national level. Although Chile seems to have been less compliant, it has made notable progress in implementing the CEDAW Committee's recommendations and advancing women's rights. More collaboration between Chile's state agencies and non-governmental organizations, may further these gains.

Despite expectations that CEDAW would be at best ineffectual or at worst a tool of Western imperialism, this overview of the history of the women's Convention and the treaty monitoring process in Peru and Chile suggests dialogue and contestation among international treaty monitoring bodies, state governments, and local women's advocacy groups may help advance women's rights. Women's human rights are neither the product of foreign imperialism nor are rights simply constructed locally within the confines of isolated states. Policymakers and activists have used CEDAW to push not only for representation of women through political reforms of electoral procedures, but for more equitable laws, institutions, and social policies. Unlike classical international relations scholarship which ignores local efforts to promote human rights, and case studies of human rights policy within single states which have often neglected global influences on human rights, this analysis suggests that human rights develop through a process of cross-fertilization involving global, state, and non-governmental actors.

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## **Internationalization Of Higher Education In The Light Of Some Indicators**

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### **Abstract**

At all the conferences held by the actors involved in the provision of Higher Education internationalization is seen as a new and indispensable dimension which must be considered within the mission of Higher Education Institutions (HEIs). Several reasons, of national as well as international nature, support this recommendation. Among the first ones, the development of human resources; the creation of strategic alliances; the generation of income/commerce and transactions; the construction of Nation and institutions; social and cultural development; and mutual understanding are worth mentioning. Whereas the enhancement of the international image and reputation; quality improvement; human resources development; income generation; the creation of strategic alliances; research and knowledge production are among the institutional reasons that lead to the internationalization of HEIs (Knight, 2005). Likewise there are several different higher education internationalization modalities that may be adopted by a HEI such as students and teachers mobility; distant education or education delivered by institutions located abroad; the design and strengthening of strategies and programs which are oriented to regional integration and international cooperation; formation of nets and projects for international cooperation and the celebration of inter institutional alliances, and the incorporation of the international dimension in the study programs. This presentation intends to assess the degree of internationalization of three Argentine HEIs by means of a group of indicators.

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**Keywords:** Higher Education Institutions- Internationalization- Strategies

## Introduction

Although during the first decades of the 20th century international mobility of teachers has been found to take place in some degree, especially from Europe to USA, it is from the second half of that century onwards that the internationalization of higher education started to grow. (Gracia Guadilla, 2005)- Certainly, at all the conferences held by the actors involved in the provision of Higher Education internationalization is seen as a new and indispensable dimension which must be considered within the mission of Higher Education Institutions (HEIs).. Precisely, the chapter devoted to the analysis of the *Internationalization, regionalization and globalization* of higher education of the declaration of the World Conference on Higher Education held by UNESCO (2009) highlights the importance of this process pointing out that HEIs are responsible for designing strategies to foster the transference of knowledge so that all countries are able to reach developmental aims. In addition, the aforementioned declaration indicates that access to quality education must be guaranteed so that the benefits of the globalization of education are spread over the whole society. Besides the importance of the promotion of academic values, the respect for human rights, diversity and national sovereignty, always taking into account the pertinence of each institution, that is to say, its anchorage to its own historic, cultural and socio political reality, is recognized. (Morresi, 2015)

Along the same lines, the creation of the Iberian-American Space for Knowledge was boosted at the XV and XVI Iberian-American Summits. The development of this space is the aim of the countries in the region to strengthen the creation of postgraduate university nets, students and teachers' mobility and the cooperation of Iberian-American researchers who are working outside the region. Their main pillars are the increase of the number of researchers in each country and their mobility as well as the sustained increment in the investment for research and development (OEI (Organización de Estados Iberoamericanos-Organization of Iberian-American States-, 2010)

Internationalization of Higher Education is defined by Knight (2005) as a process consisting of the design and implementation of policies and programs which have as their goal, on the one hand, incorporating the international and intercultural dimensions in the missions, objectives and functions of teaching, investigation and extension of university institutions, and, on the other hand, channeling the benefits derived from international cooperation (Knight, 2005). This process involves several actions such as students and teachers' mobility, curriculum internationalization, double degrees, joint teaching as well as investigating activities and the formation of nets, among others.

Internationalization is understood as a means which allows HEIs to develop activities tending , on the one hand, to improve the quality and pertinence of university functions-teaching, research and extension- and, on the other hand, to link and project institutions within the world of higher education.( Sebastián, 2011)

This presentation aims to analyze the extent of internationalization in three public management Argentine universities –Universidad Nacional del Centro (UNICEN-National University of the Centre), U. Nacional de San Luis (UNSL-National University of San Luis), U. Nacional del Sur (UNS-National University of the South)-. To that end, firstly we will briefly describe the internationalization decisions and actions implemented by each of the selected institutions. Then these decisions and actions will be analyzed and quantified, using some of the indicators developed by several National Universities grouped up in the National Universities International Cooperation Net (RedCIUN) (Mérrga, 2014). Then, the obtained results will be interpreted and, lastly, a synthesis will be presented so that some conclusions of general nature may be reached.

### **The internationalization dimension in the selected HEIs.**

#### *Internationalization decisions and actions*

At UNSL, especially in the most consolidated areas and disciplines, international cooperation activities have taken place since the university's very beginnings. They were materialized in the formation of postgraduates abroad; joint investigations and scientific productions within the framework of agreements or calls for international programs.

In 2008, with the creation of the Inter-institutions Relations Office, in charge of, on the one hand, facilitating the publicity and management of the international cooperation activities and, on the other hand, generating an updated and pertinent regulative framework for them, international relations have intensified, with special emphasis on students' mobility. (Pedranzani, 2010)

Thus, UNSL participates, on the one hand, in diverse multilateral programs, such as the Programa de la Organización de Estados Americanos (OEA) (the Program of the American States Organization), the Programa Iberoamericano de Ciencia y Tecnología (CyTED) (the Iberian-American program of Science and Technology), Programas de Cooperación de la Unión Europea (Cooperation Programs of the European Union), the Programa de Cooperación Interuniversitaria (PIC) de la Agencia Española de Cooperación Internacional (AECI) (the Program for Interuniversity Cooperation of the Spanish Agency for International Cooperation) On the other hand, it promotes and manages projects within the framework of the



PPUA and PIESCI<sup>101</sup> calls through different work groups which participate in or direct the said projects.

Also, teachers and students of the institution take part in mobility programs within the framework of the Projects of Programa JIMA (JIMA Program), AEI, Fullbright, Fundación Carolina, Mobility Short Time Program for Teachers of the Mercosur as well as in the reciprocity program of Academic Mobility within the framework of the agreements signed with the universities of Colombia-U, Pedagógica (Pedagogic U.); from Spain-U. de la Laguna, U. de Almería, de Valencia, Politécnica de Valencia- Universities from Italy-U. Perugia-, from Venezuela-U. de los Andes-, universities from Brazil-U. de Sao Pablo-, universities from Chile- U. de la Frontera. U. de Temuco and U. de Valparaíso- (Pedranzani, 2010)

In addition, the UNSL participates in International Macro Nets as the OVI, and in the AUSA (Asociación de Universidades Sur Andinas-South Andes Universities Association-) and in the CIUN Net (Red de Cooperación Internacional de Universidades Nacionales-International Cooperation Net of National Universities) and, together with other Argentine HEIs in the Spanish for foreigners Program whose aim is to institutionalize a recently developed disciplinary area such as the teaching, assessment and certification of Spanish as a Second Language and Foreign Language (Español como Segunda Lengua y Lengua Extranjera-ELSE).

The teachers, researchers and students at UNS have not only participated in different activities in foreign institutions but have also received teachers and students from the rest of the world for a long time now. Since these activities were arranged by the interested parties, it could be assumed that the internationalization process, conceived and designed as a strategy tending to renew and improve the quality of education by means of opening towards abroad, took shape as from the creation of the International Relations Department in 2007.

The participation of students, teachers and non-teaching staff in programs of mobility is arranged and facilitated by this Department, with the purpose of promoting the participation of the whole university community in the different modalities of internationalization and cooperation. Agreements with institutions of well-known prestige are signed, agreements are also formalized to get joint degrees and to carry out joint investigations with foreign groups, participation in regional and international nets is encouraged, and the international educational offer is publicized. (Universidad Nacional del Sur, 2013).

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<sup>101</sup> A detailed analysis of the aims and actions of the PIESCI was made by this group in *La Internacionalización de la Educación Superior: una mirada desde las políticas públicas* at the II Jornadas de Estudios de América Latina y el Caribe. Desafíos y debates actuales. Buenos Aires, 2014

Among the internationalization activities the attendance to courses and research stays by members of the UNS in institutions abroad are outstanding, as well as the presence at UNS of students and teachers from foreign institutions within the framework of different programs-JIMA, MARCA, IEASTE, ARFITEC- or of bilateral agreements celebrated with Latin-American and European institutions (Universidad Nacional del Sur, 2013).

On the other hand, we can mention the participation of teachers in the Mobility programs to Paris and Madrid as well as the movement to universities abroad of teachers to complete doctoral studies, most of them with *Erasmus Mundus* scholarships

Moreover, several groups have presented projects which resulted to be satisfactorily assessed in the successive calls for the Program for the Strengthening of Postgraduate Studies (CAFP- BA), for the Program of Associate Postgraduate Studies (CAPG-BA) and for the Program of Joint Research Projects Association of Mercosur (PCCP)

Furthermore, some teachers from UNS participate as coordinators and members in the Academic Nets and Missions Projects which are presented at the Promotion of the Argentine University Program (PPUA).

The UNICEN, via the Area of International Relations dependent of the Institutional Relations Department, in line with the institutional policy in recent years, has carried out a sustained policy of internationalization. To that effect it has participated in an active and joint way with International Institutions, and with the Governmental Organisms, in the present national public policy of internationalization of Argentine Universities.

At the international level, links of bilateral and multilateral cooperation are kept by means of numerous agreements with foreign Universities and other Educational Institutes, Development and Research Centers, Foundations-Foundation for Chinese-Argentine Educational Exchange (FIECA) and Iberian-American Foundation for Occupational Security and Health (FISSO)-, Governmental Organisms, Organizations, among others.

These links together with the participation in the internationalization programs of the Argentine Universities have secured and consolidated mobility as one of the pillars of the international area. At present there are programs of mobility in force, which allow students, teachers and non-teaching staff to be inserted in the different universities around the world. The following programs can be mentioned: Iberian-America-Santander Scholarship, Teacher Mobility Madrid/Paris, Mexico-Argentina Scholars and Managers Mobility Program (MAGMA), Missions Abroad Program dependent on the University Policy Office, Regional Academic Mobility Program (MARCA), Academic Mobility Program for undergraduates in Art

(MAGA), Argentina. France Engineers Technology Program (ARFITEC) among others.

Also, teachers from the institution, as its representatives, take part in different Projects of Academic Nets either as coordinators or as participants, and the UNICEN is a full member of the International Cooperation Net of National Universities of the National Interuniversity Council (Red-CIUN).

### **Internationalization indicators**

If we understand internationalization as a process formed by the incorporation of international variables within the activities of the university, it is possible to consider the evaluation of the extent of this process by means of a group of indicators. Selecting as well as obtaining these indicators is not an easy task. The members of the RedCIUN, after months of debate, proposed a group of indicators which make possible a quantitative diagnosis.

The suggested indicators form two clearly differentiated groups. One group aims at identifying the penetration of internationalization in the organization, objectives and planning of the institutions by answering nine questions.

The others, twenty-five altogether, cover the academic, research and development level, the transference dimension, the extension dimension and the international cooperation dimension. All of them are quantitative indicators and result indicators and they are expressed as percentages over a total. (Marega, 2014).

The estimation of the first group is relatively simple and the information is accessible, whilst the calculation of the second group requires a clear definition of the units of analysis and a strict systematization of information, which is not always available.

For this reason, and, to quantify the extent of internationalization of the HEIs under study, in this paper, we will only use the indicators of the first group from those suggested by the members of the RedCIUN and we will complement them with others which may show the participation of the HEIs in activities developed within the framework of the PPUA and PIESCI programs.

Based on the analysis of the first group of indicators, it can be stated that in the HEIs under study internationalization and cooperation constitute one of the pillars of their institutional plan, incorporating them as a strategic activity for the fulfillment of their mission. To this end, the three institutions have an area devoted to promote and foster activities proper of internationalization

The consolidation of the links with foreign universities as a key tool for the generation and growth of the exchange, mobility and interuniversity cooperation activities, the progress in the development and strengthening of

scientific-technological research, teachers' specialization, and the improvement of undergraduate and postgraduate formation as well as the promotion of their academic offer, are among the objectives of the three institutions.

Furthermore, these departments accompany and lead the members of the university community in the search of opportunities for scholarships to go on research stays or to take undergraduate or postgraduate courses in foreign institutions and to participate in teacher and non-teaching staff mobility programs either to take courses or to take part in research groups among others (Table 2).

Table 2 Selected HEIs. Internationalization indicators

	UNICEN	UNSL	UNS
There is an area responsible for international relations	YES	YES	YES
There is an internationalization strategy at the University including a list of defined actions.	YES	YES	YES
The internationalization process is incorporated within the strategic aims/guidelines of the University.	YES	YES	YES
Specify the aims of the institution in relation to the regional and international integration processes	Generation of activities functional to the development and strengthening of scientific technological research. Human resources formation and their transference	Increasing the academic and research formation of students and teachers with exchange and collaboration experiences with foreign institutions.	Improving the substantive functions of the UNS and generating employment opportunities for graduates, deepening the capacities of its members to face regional, national and global problematic situations.
List the actions proposed in the Institutional Plan for strategic development in relation to internationalization.	Support to mobility Signing cooperation agreements with foreign institutions. Promoting the participation in national programs of internationalization.	Materializing actions based on current agreements in force and signing new Cooperation agreements at international level. Encouraging the participation in Nets of international cooperation and in the programs designed and evaluated by the SPU.	Internationalization of the study programs Internationalization at home..
List the ones that are being carried out and the estimated degree of achievement in percentage.	Participation in Programs evaluated and financed by the SPU. Signing agreements with foreign institutions. Students, teachers and non-teaching staff mobility	Participation in Programs evaluated and financed by the SPU. Signing agreements with foreign institutions. Students, teachers and non-teaching staff mobility	Participation in Programs evaluated and financed by the SPU. Signing agreements with foreign institutions. Students, teachers and non-teaching staff mobility

	Participation in fairs and other events.	Participation in fairs and other events.	Participation in fairs and other events.
Human resources in the area of international relations		4/5 persons	
Does the University have an infrastructure offer at the service of mobility?	NO	NO	YES
Does the institution have a plan of continuous self-evaluation of the internationalization process?	Yes, at the level of faculty./college.	The development of a system of information enabling the monitoring of the different international activities has been contemplated.	Yes. Based on the generation of indicators in line with those used at national level which include the peculiarities proper of UNS.

Table 3. PIESCI. Accepted quality improvement programs(in absolute values)

		2007	2008	2009	2010	2011	2012
<b>CAPG-BA</b>							
Institutions <sup>102</sup>		21	20	14	13	12	
Projects <sup>103</sup>		36	33	24	21	25	
	UNICEN	2	2	2	2	2	
	UNSL		1	1	1	3	
	UNS					1	
<b>CAFP- BA</b>							
Projects		13		21	25	37	26
Institutions		9		11	13	14	
	UNICEN	-		-	-	-	
	UNSL	1		1	1	1	
	UNS	2		3	2	2	1
<b>CUAA</b>							
Projects						15	
Institutions						14	
	UNICEN					-	
	UNSL					1	
	UNS					-	
<b>PPCC</b>							
Institutions						9	8
Projects						26	24
	UNICEN					-	-
	UNSL					-	-
	UNS					2	2

Source: our own elaboration based on SPU-Ministry of Education.

<sup>102</sup>.The total number of institutions participating in the call is registered<sup>103</sup> It corresponds to the current projects in force.

Table 4. PIESCI. ARCUSUR Program. Accredited programmes of study. (absolute values).

Accredited study programmes	2012	
Total	45	
UNICEN	1	Medicine Veterinary
UNSL	-	-
UNS	3	Agronomical Engineering Chemical Engineering Electronic Engineering

Source; Our own elaboration based on Ministry of Education.

Table 5. PPUA. Strengthening of Interuniversity Nets

Calls	II		IV		V		VI	
	Coordinator	Participant	Coord.	Part.	Coord.	Part.	Coord.	Part.
UNICEN	1	3	2	1	4	4	7	8
UNSL	3	3	3	3	4	5	2	8
UNS	1	6	-	4	1	5	2	6

Source: our own elaboration based on SPU-Ministry of Education.

Based on the reduced number of quantitative indicators presented, together with a revision of publications and comments on the different actions related, either to the presence of the university abroad or the reception of representatives of foreign institutions, to the signing of agreements, to the participation of its members in different mobility programs, at least two comments can be made. On the one hand, although in absolute terms the number of projects presented at the SPU calls by the HEIs analyzed is not big, in relative terms it is important if we take into consideration that less than half of the total number of HEIs in our country present projects at these calls (Tables 3, 4, 5). On the other hand, we should consider that year after year the incorporation in internationalization activities of members of the institutions under analysis is greater (López, et al 2015, Morresi, 2015)

### Final considerations

In line with Pablo Beneitone, who holds that “*From the internationalization perspective, it is not enough to have international activities in the spheres of teaching, research or extension, the concept implies the development of a process of incorporation of the international aspect in the actions that the University performs in those spheres*” (2014:30) we can confirm that the process of internationalization is already installed in the three institutions analyzed. Although the progress achieved in the activities could not be fully measured because the data was insufficient, the numeric indicators obtained make clear that the process is under way-and that it shows a tendency to build up in the future. The declarations made in

institutional communications by the authorities of each institution as well as by the agents in charge of the international relations area, confirm this evaluation.

It is made clear all along this work that, although the development process of the international areas of the universities analyzed has been promoted by the actions of the PIESCI and PPUA programs, among others, a genuine and consolidated internationalization policy has already been installed in the genesis of the educational project of each institution, which is passed onto university teaching as well as research. Some of the indicators analyzed confirm this statement.

The importance of this paper resides in the fact that it is the first diagnoses comparing three Argentine HEIs of public management and similar size. Nevertheless it must be warned that it should be complemented by a qualitative analysis to be able to check if the aims listed in the strategic plans are fully accomplished.

It should be pointed out that the fact of studying internationalization and its benefits does not mean that we agree with the concept of its commodification. On the contrary, it is considered a strong element present inside the institutions, where the process of promoting, making known and establishing academic, scientific and cultural links with other institutions around the world, integrated with the development aims of the region where the institutions are inserted, would result in the improvement of the quality of their functions and would give “the graduates the international, intercultural and global profile the new century requires” (Fernández Lammara, 2014).

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# **Maximizing The Benefits Of Corporate Social Responsibility. How Companies Can Derive Benefits From Corporate Social Responsibility**

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## **Abstract**

Corporate Social Responsibility can be used as a business strategy by firms to improve many different areas of their business. Research has shown that, if implemented correctly, the benefits of CSR tend to outweigh the costs.

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**Keywords:** Corporate social responsibility, benefits

## **Introduction**

Corporate Social Responsibility (CSR) has recently been receiving a lot of attention by many companies looking to improve their businesses. There have been countless studies conducted to determine the costs and benefits of CSR, including Lin, Yang, and Liou's 2009 study of businesses in Taiwan and research conducted by Porter and Kramer (2006). Even with this information, some companies are hesitant to fully commit to CSR initiatives. These companies could be missing out on many opportunities, such as increased profitability, competitive advantage, and various long-term benefits.

Most companies are continually searching for ways to improve all aspects of their business. This can include profitability, competitive advantage, employee satisfaction, company reputation, and many other facets. There are many ways that each of these things can be individually improved but it is sometimes difficult for companies to improve one area without harming another. For instance, if a company tries to increase profitability by cutting corners and decreasing quality, their reputation will most likely suffer. By putting some time and effort into CSR, firms can expect their businesses to improve.

It can be very problematic for a company to focus on improving certain areas of their business while not taking into consideration the

consequences there could be to other areas of business. Companies need to look at the big picture in order to become successful although this can be difficult. There are only a few strategies that a company could implement that may be able to address most or all facets of their business.

Although the idea of Corporate Social Responsibility has been around for decades, it has been recently been gaining popularity as a strategy for management to use in order to improve the company as a whole. By properly implementing CSR, companies may be able to increase profitability, competitive advantage, employee satisfaction and their reputation. Many studies have shown that the benefits of engaging in Corporate Social Responsibility tend to far outweigh the costs.

In recent years, Corporate Social Responsibility has gained popularity among firms that are looking to improve many facets of their business. This can include increasing profitability, creating better competitive advantage, improving customer satisfaction, and improving company reputation. Unfortunately, many firms still have not realized the potential positive influence that CSR can have on their business. This can either stem from improper implementation of initiatives or hesitation to fully integrate CSR into their company because of costs.

Although many companies may believe that they are saving money by not implementing CSR initiatives, the opposite may actually be true. If a company's competitors are engaged in CSR, they may have a better reputation, higher employee satisfaction, and therefore higher profits. Companies without CSR are not able to keep up with their competitors and can incur higher costs these costs include poor reputation among customers which decreases revenue, higher costs due to employee turnover, and higher environmental costs.

In order to remain competitive, it is becoming essential that companies engage in CSR activities. By educating management of the benefits versus the costs of Corporate Social Responsibility, they will be better equipped to implement initiatives properly so that they will benefit the company as a whole. CSR education should also include how to involve employees so that they are aware of how their actions influence the company, the community, and the environment. By giving management and employees the tools to understand and engage in CSR, they are more likely to succeed and in turn, improve the company as whole.

### **Definition of CSR**

The World Business Council for Sustainable Development defines Corporate Social Responsibility as "the continuing commitment by business to contribute to economic development while improving the quality of life of the workforce and their families as well as of the community and society at

large” (Watts & Holme, 2000, p. 3). CSR has also been defined as a business strategy or management approach in which the company takes all stakeholders’ interests into account during the course of business (White, 2006). Although there is no single universally accepted definition, CSR essentially means companies acting for the benefit of others, while also improving their own business.

### **CSR as a Business Necessity**

With all of the attention that CSR has garnered in recent years, it has become something of a business necessity. All else being equal, many customers will choose a company with CSR initiatives over one without when choosing whom to give their business to. Similarly, potential employees, especially recent college graduates, are looking to work for companies that are involved in CSR and seem to care about society and the environment. CSR may also attract more investors, which can result in increased capital and potential growth. Those companies without CSR may find that they are behind the curve and suffer from decreased competitive advantage (Carroll & Shabana, 2010)..

### **Objections to CSR**

There are many reasons why companies may be hesitant to implement Corporate Social Responsibility into their firms. Some of the major objections include cost, time and effort of implementation, and lack of quantifiable benefits. It can be difficult for some companies to justify the costs of CSR when they do not know how to properly quantify the gains. Other issues arise when companies try to implement CSR initiatives, but do not fully understand how to derive benefits from them.

### **Costs**

One of the first reasons companies cite for not engaging in CSR is the cost to do so. For many CSR activities, the initial costs can be seen by management as too high to even think about taking on, before even looking at potential benefits. Many companies hold onto the argument presented by Milton Friedman (1962) that a company’s sole responsibility is to maximize profits and that social issues should not be a concern of that company (Carroll & Shabana, 2010). By looking at the problem from this view, the costs associated with implementing CSR will only dilute profits for owners and shareholders. Many companies also view the cost of time and training as too extreme to make CSR activities worthwhile.

### **Unrealized Potential Benefits**

Many companies fail to fully understand the potential benefits that could be generated by CSR. There has recently been a lot of research about the relationship between CSR and profitability, but there have been varying and inconclusive results (Lin, Yang, & Liou, 2009). Without having strong evidence that CSR engagement can increase profitability, some businesses are hesitant to begin such a venture. It can become quite complex when a company tries to put a dollar value on the potential benefits derived from CSR initiatives. This can lead to the view that since the benefits cannot easily be monetized, they do not add to profitability. Companies trying to value the benefits of CSR may need to look beyond dollar amount and take into consideration non-monetary, intangible benefits. Some researchers have found that by applying the Balanced Scorecard, companies can make decisions “based upon values and metrics that can be designed to support these long-term cognizant benefits” (Jena & Chowdhury, 2006).

### **Improper Implementation**

Another reason why companies may be failing to see the benefits of CSR is due to improper implementation. If a company has tried to implement CSR initiatives in the past and has failed, they may be hesitant to try again. When a company’s business objectives do not align with their CSR activities, an increase in profitability is not likely and could even become a liability (Lin, Yang, & Liou, 2009). Lack of training or ineffectual training can also be a source of improper implementation. When managers and employees do not understand the objectives of CSR activities, it is difficult for them to align their actions towards those goals (Jena & Chowdhury, 2006). Without proper execution, it could be hard for companies to realize the potential benefits that CSR can provide.

### **Benefits of CSR**

Companies that have effectively incorporated corporate social responsibility into their firms have been able to reap many benefits. Research has shown that CSR can have a positive effect on financial performance, competitive advantage, employee satisfaction and retention, and overall reputation (Carroll & Shabana, 2010). Other benefits of CSR can include various positive long-term effects as well as the creation of intangible assets. By aligning business objectives with CSR, companies can expect many benefits, both monetary and non-monetary (White, 2006).

For instance, Dhaliwal, Li, Tsang and Yang find direct benefits to Corporate Social Responsibility Reporting (2011). The find firms benefit from a lower cost of equity capital if they introduce Corporate Social Responsibility disclosures. The evidence is consistent with their predictions

that a reduction in the cost of equity capital motivates firms to publish stand-alone CSR reports. Furthermore, these firms are more likely to conduct equity offerings in the two years following the introduction of CSR reports (p. 61).

### **Financial Performance**

Many companies have noted improved financial performance as a direct result from implementing CSR. Although it can be hard to determine the exact effect on financial performance, most researchers agree that the effect is a positive one (Carroll & Shabana, 2010). In a study on multiple Taiwanese companies, Lin, Yang & Liou 2009 found that socially responsible activities can “have a strong economic rationale in certain conditions of earning profit and serving society” (Lin, Yang, & Liou, 2009, p. 62). Improved financial performance can result from the positive effect that CSR has on efficiency within the company, which leads to decreased operating costs (Nurn & Tan, 2010). Although there seems to be a positive correlation between CSR and corporate financial performance, there are some inconsistencies within the current research (Weber, 2008). With time, more research will be done on this matter to determine the cause and effect relationship.

### **Competitive Advantage, Employee Satisfaction, and Reputation**

Corporate Social Responsibility also seems to have a positive effect on competitive advantage, employee satisfaction and retention, and overall company reputation. By using CSR-driven product or market development, CSR can result in revenue increases from higher sales and market share (Weber, 2008). This increase in revenue and market share can lead to an increased competitive advantage over a company’s rivals. Research has shown that CSR can have a positive effect on employee satisfaction and retention (Weber, 2008). This can stem from better working environments, increased motivation from participation in CSR activities, and overall increased company reputation (Weber, 2008). CSR can also lead to better employee recruitment as potential employees view the company more favorably as a result of their socially responsible actions (Weber, 2008). CSR has also been shown to improve reputation and legitimacy in the eyes of customers, employees, and stakeholders (Carroll & Shabana, 2010). By engaging in corporate social responsibility, companies can experience a positive domino effect. With an improved reputation, more consumers will choose their products or services over competitors. Employees will also be more satisfied within their jobs, leading to improved efficiency and quality of work. With an increased market share, the company will experience a

greater competitive advantage. Many benefits that are derived from CSR are inter-connected and can multiply these positive effects.

### **Long-term Benefits**

Continued research has shown that CSR has provided many long-term benefits (Carroll & Shabana, 2010). Many companies are beginning to believe that it is in their best interest to be socially responsible because “if business is to have a healthy climate in which to function in the future, it must take actions now that will ensure its long-term viability” (Carroll & Shabana, 2010, pp. 88-89). These long-term benefits can be both tangible and intangible. Long-term tangible benefits can include reduced costs and risks (Weber, 2008). By engaging in certain CSR activities, companies can decrease their impact on the environment and therefore reduce the risk of future environmental costs. Intangible benefits can include brand value, reputation, and trust and capacity to innovate (White, 2006). Although hard to quantify, intangibles can play a pivotal role in value creation (White, 2006). CSR can help companies achieve long-term sustainability through capital formation in terms of financial, human, and natural resources. This can also lead to long-term wealth creation. As Allen White stated, “the continuous evolution and enhancement of non-financial capital is not only a core purpose of business, but a prerequisite to its durability and vitality.” (Business Brief: Intangibles and CSR, 2006, p. 8)

### **Deriving Benefits from CSR**

There are many factors that can inhibit a company from reaping the benefits of corporate social responsibility. If companies can overcome these obstacles, they may be able to secure a future for themselves. Following are a few ways that companies can ensure that their CSR activities are effective and benefit the company. These include initial proper implementation; communication, disclosure, and transparency; and employee education and engagement. By putting in the time and effort to implement CSR correctly, firms can obtain many of the benefits that were previously discussed.

### **Proper Implementation**

When a firm first decides to implement one or more CSR activities, it is most important that they properly implement them. Researchers agree that in order for CSR implementation to be successful, the company’s business objectives must coincide with the CSR activities.

In their CSR implementation process, organizations must redefine their essential business objectives. These objectives must be aligned with the strategy of the company and have to be coherent with the change in organizational culture that CSR represents. The new attitude, forms and

perspectives should be the result of a deep internal reflection that will increase the core value of the firm (Souto, 2009).

If done correctly, CSR can be used as a business strategy, similar to research and development, to benefit the company. Although this may require significant initial costs, it should be considered a long-term investment into the company's future. As Porter and Kramer contend, "organizations that make the right choices and build focused, proactive, and integrated social initiatives in concert with their core strategies will increasingly distance themselves from the pack" (Porter & Kramer, 2006, p. 13).

### **Communication and Disclosure**

Communication is also a key factor in successful CSR implementation. This involves communication with customers, employees, and stakeholders. Some recent studies have shown that awareness of CSR activities among internal and external stakeholders is usually low (Du, Bhattacharya, & Sen, 2010). This can result in lost opportunities to reap benefits that should be derived from strategic CSR activities. Another challenge is to decrease stakeholder skepticism about a company's CSR engagements (Du, Bhattacharya, & Sen, 2010). Disclosure and transparency can help to alleviate this skepticism. Two of the biggest questions that companies must ask themselves are what and where to communicate about their activities. This can require some time, research, and effort on the part of management to determine the correct message to portray and how to do so.

### **Employee Education and Engagement**

The final factor that can help ensure a successful CSR venture is employee education and engagement. Through engagement and learning in CSR, firms can "develop new or better competencies, skills, and knowledge" (Nurn & Tan, 2010, p. 363). Higher levels of organizational learning, such as those competencies that are acquired internally through the CSR process, can also lead to increased efficiency and organizational commitment by employees (Nurn & Tan, 2010). By engaging and educating employees on why and how the company is investing in CSR, the company can expect benefits that include increased employee motivation, retention, and satisfaction.

### **Conclusion**

There are many potential benefits that companies can derive by implementing CSR. This is not to be considered a fool-proof way for companies to improve themselves, though. Companies must put in the time

and effort to make sure that their business objectives align with their CSR initiatives. It is an ongoing process that needs to be continually monitored and adjusted based on the company and its environment. By doing this efficiently and effectively, firms may be able to see improvements in many different facets of their business that can lead to increased profitability and market share, among many other benefits.

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# Implementación De Una Filosofía De Mejora Continua En Una Organización Privada De Servicios

*Gabriela Alejandra Valdéz*

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## Abstract

We report about the implementation of the philosophy of continuous improvement with Transactional Analysis in a private services institution, in order to incorporate the best possible practices and a process of continuous improvement, including the discovery of unknown personal potentials. This positive philosophical change in the culture of the organization, allows us to apply a plan for the development of people, engaging all the staff of the company. According to the specific needs of the company, we developed a set of social activities, including seminars, workshops, brainstorming sessions. The main activity is to promote creativity as part of the work culture.

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**Keywords:** Leadership, Motivation, Teamwork, Productivity, Mental Health

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## Resumen

Se informa la propuesta de implementación de la filosofía de mejora continua con el Análisis Transaccional en una organización privada de servicios, a fin de incorporar el empleo de buenas prácticas y un proceso de mejora continua, incluyendo el descubrimiento del propio potencial. Este factor positivo de cambio en la cultura de la organización nos permitirá aplicar un plan para el desarrollo de las personas, involucrando a todo el personal. Acorde a las necesidades específicas de la empresa, programamos una serie de actividades sociales, incluyendo seminarios, talleres y sesiones de “brainstorming”. La actividad fundamental es la de promover la creatividad como parte de la cultura laboral.

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**Palabras Clave:** Liderazgo, Motivación, Trabajo en Equipo, Productividad, Salud Mental

## Objetivos

- ❖ Cambiar de paradigma en la cultura organizacional.
- ❖ Impulsar cambio cultural con nuevo estilo de liderazgo.

- ❖ Generar apertura mental hacia el cambio.
- ❖ Desarrollar las potencialidades de su capital humano.
- ❖ Impulsar un clima participativo y comprometido con los planes de la empresa.
- ❖ Recopilar y actualizar conocimientos sobre las principales normativas en vigencia que deben aplicar.
- ❖ Transmitir el sentido positivo de las actividades a realizar en conjunto.
- ❖ Alentar expectativas graduales a mediano - largo plazo.
- ❖ Activar, dirigir y mantener la conducta activa hacia la motivación.
- ❖ Transmitir, establecer y conservar el sentido positivo del trabajo en equipo.
- ❖ Facilitar el análisis de las formas en que las personas interactúan entre sí mediante transacciones psicológicas.
- ❖ Integrar nuestra capacidad de pensar, sentir y actuar, en pos de una vida saludable.
- ❖ Observar las diferencias existentes entre la autoestima en empleados nuevos en contraposición a los antiguos.
- ❖ Evaluar el sentimiento de satisfacción o insatisfacción personal de los empleados en relación a su desempeño diario.
- ❖ Impulsar la calidad de vida y salud del trabajador.
- ❖ Desarrollar las habilidades sociales “social skills”.
- ❖ Promover los cinco pilares de la comunicación efectiva.
- ❖ Cambiar de creencias limitantes a creencias potencializadoras.

## **Introducción**

El siguiente trabajo es un caso real. El nuevo directorio de la compañía me convoca para impulsar y desarrollar un cambio positivo en lo que respecta a la cultura organizacional. Una cultura que, a lo largo de muchos años, se había establecido bajo un liderazgo inadecuado en el cual gran cantidad de su capital humano fue desmotivándose y perdiendo el sentido de pertenencia, con líderes aferrados al pensamiento de no compartir el conocimiento, con falta de comunicación efectiva y desconfianza entre sus trabajadores. Asimismo, estas falencias generaban problemas para resolver conflictos y toma de decisiones, y la carencia de trabajo en equipo. Asociados todos estos temas con los libros de Liderazgo Transaccional: *¿Cómo hacer que la gente haga?* (Kertész, R., Atalaya, C. y Kertész, V., 1992), *Técnicas de comunicación* (Kertész R. y Atalaya, C., 2007) y *Dinámica de grupos* (Kertész, R., Atalaya, C. y Kertész, A., 2010).

Los errores más comunes siempre tienen que ver con la división de responsabilidades, es decir, quién tiene la autoridad para “qué”, pero cuando el ego profesional predomina en una cultura organizacional, ocurre que

pueda haber gerentes cumpliendo funciones con mayor jerarquía dentro de una misma clasificación. Sus debilidades eran tan visibles que, al ingresar nuevos empleados con el nuevo directorio, se había generado una división entre los empleados de mayor antigüedad y los nuevos. Asocié este tema con el autor Zygmunt Bauman, hablar del “otro”, de la otredad, apunta a que hay un “otro” y un “nosotros”, un grupo al que pertenecemos y que comprendemos, pero asimismo hay “otro” al que no pertenecemos, desconocemos y no tenemos acceso. Se analizan los objetivos mediante el análisis del modelo de toma de decisiones (Kertész, R., et al. 2006).

**Estado Actual:** análisis de la situación actual, problemas y oportunidades. Redefinir los problemas como oportunidades para mejorar.

**Preguntas:** ¿qué ocurre? ¿De qué nos ocuparemos? ¿Qué anda mal? ¿Qué, cuándo, dónde, cómo, por qué, para qué? ¿Qué queremos mejorar u optimizar?

**Estado Deseado:** definir los objetivos o metas a lograr. Recabar más información.

**Pregunta:** ¿qué queremos lograr?

**Soluciones:** comenzar por redefinir el Estado Deseado, si corresponde. Generar opciones para alcanzarlo y criterios para elegir la mejor opción. Analizar las consecuencias probables de cada opción.

**Preguntas:** ¿de qué formas podríamos lograr el Estado Deseado? O ¿cuál sería la mejor forma de lograr el Estado Deseado?

Los estilos de liderazgo Adecuados e Inadecuados: Kertész, R., 1992.

### Estilos de liderazgo adecuados

ESTILO	VALORES	CONCEPTO DEL HOMBRE	CONCEPTO DE SÍ MISMO	CONSECUENCIAS EN EL SUBORDINADO
<b>CONDUCTOR</b>	Disciplina Orden Responsabilidad	Disciplinado Ordenado Responsable	Directivo Ético	Disciplina Cumplimiento de normas Confianza
<b>PROTECTOR</b>	Apoyo Bienestar del subordinado	Potencial de desarrollo	Dispuesto a dar Apoyar	Crecimiento personal
<b>RACIONAL</b>	Racionalidad Igualitariedad	Lógico Racional	Lógico Racional Ético	Pensar juntos Resolución de problemas Autonomía
<b>CREATIVO</b>	Creatividad Innovación Sinceridad Disfrute	Creativo Curioso Inquieto Divertido	Creativo Curioso Inquieto Divertido	Nuevos productos, servicios, soluciones

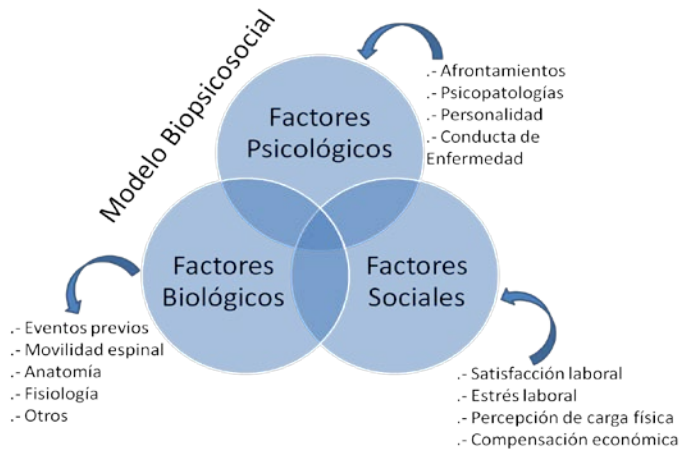
### Estilos de liderazgo inadecuados

ESTILOS	VALORES	CONCEPTO DEL HOMBRE	CONCEPTO DE SÍ MISMO	CONSECUENCIA
<b>ESTRICTO</b>	Poder Obediencia Sumisión	Irresponsable Cómico Desobediente	Severo Superior Juez	Sumisión o rebeldía Dependencia
<b>SALVADOR</b>	Compasión Lástima	Desvalido Dependiente	Salvador	Dependencia Inseguridad
<b>FRÍO</b>	Beneficio Ventajas propias	Utilizable Explotable	Hábil Astuto	Temor Resentimiento
<b>INDIFERENTE</b>	Nihilismo Cinismo	Devaluada	Cínico Desmotivado	Improductividad Depresión

Independientemente de la ideología, filosofía, religión, la vida cotidiana es la vida de la persona, su existencia misma, es la historia individual de cada sujeto en un aquí y un ahora, la cual está inmersa en una determinación de pluralidades y generalidades, que no son más que un producto del complejo sistema de relaciones interpersonales, que se establecen a partir de la conformación de los distintos tipos de grupos en los cuales él confluye, a partir de las condicionantes económico-sociales en las cuales se desenvuelve la persona dada.

La vida cotidiana muestra un mundo subjetivo, que el sujeto experimenta. Pero a la vez ese mundo es intersubjetivo, social, compartido. Para cada uno de nosotros "mi mundo" es un mundo que vivo con otros. Los hechos se aceptan como parte de un todo conocido.

La repetición de lo que vemos y hacemos a diario, como lo normal, provoca en cada persona la sensación de que esa forma de conducirse es la única posible; nos impide reflexionar sobre nuestras propias vidas (Pichón R. *Psicología de la vida cotidiana*, 1970).



### El modelo Biopsicosocial:

- Bio: significa vida.
- Psico: significa alma, mente o actividad mental.
- Social: relativo a una compañía o sociedad, o a los socios o compañeros.

Las enfermedades mentales y los trastornos de la conducta son un problema cada vez mayor, que afectan a una de cada cuatro personas. Las estrategias destinadas a mejorar la salud mental de la población son una posibilidad real no solo para el sector de la salud, la educación, la vivienda y el trabajo.

### Técnicas de recolección de datos

**El cuestionario** es un instrumento de investigación que consiste en una serie de preguntas y otras indicaciones con el propósito de obtener información. Aunque a menudo están diseñados para poder realizar un análisis estadístico de las respuestas, no es siempre así. Fue introducido por Sir Francis Galton. Es un documento formado por un conjunto de preguntas que deben estar redactadas en forma coherente, organizadas, secuenciadas y estructuradas de acuerdo con una determinada planificación, con el fin de que sus respuestas nos puedan ofrecer toda la información.

**La encuesta** es un procedimiento de investigación dentro de los diseños de investigación descriptivos (no experimentales), en el que el investigador busca recopilar datos por medio de un cuestionario previamente diseñado o una entrevista a alguien, sin modificar el entorno ni el fenómeno donde se recoge la información, ya sea para entregarlo en forma de tríptico, gráfico o tabla. Los datos se obtienen realizando un conjunto de preguntas normalizadas dirigidas a una muestra representativa o al conjunto total de la población estadística en estudio, integrada a menudo por personas, empresas o entes institucionales, con el fin de conocer estados de opinión, ideas, características o hechos específicos.

### Métodos Aplicados

	<b>Fortalezas</b>	<b>Debilidades</b>
<b>Análisis Interno</b>	¿Cuáles son las fortalezas de mi empresa? ¿Cómo puedo potenciar las mismas?	¿Cuáles son las debilidades de mi empresa? ¿Cómo puede mitigar las mismas?
	<b>Oportunidades</b>	<b>Amenazas</b>
<b>Análisis Externo</b>	¿Cuáles son las oportunidades en el mercado? ¿Cómo puedo aprovechar estas oportunidades?	¿Cuáles son las oportunidades en el mercado? ¿Cómo puedo proteger mi empresa de estas amenazas?

**FODA:** Fortalezas, Oportunidades, Debilidades y Amenazas.

El FODA es una herramienta clásica que sirve para evaluar la situación estratégica de una empresa y definir cursos de acción. Con esta herramienta se busca detectar y aprovechar oportunidades, eludiendo sus amenazas, mediante el buen uso de sus fortalezas neutralizando sus debilidades.

**PDCA:** (Plan+Do+Control+Act):

- **Planificar** la instalación de la mejora.
- **Desarrollar** la instalación.
- **Controlar** su funcionamiento hasta que sea el correcto.
- **Actuar** desde ese momento con la mejora incorporada.

El círculo PDCA es una estrategia de mejora continua de la calidad en cuatro pasos, basada en un concepto ideado por Walter A. Shewhart. Es muy utilizado por los sistemas de gestión de la calidad (SGC) y los sistemas de gestión de la seguridad de la información (SGSI).

Los resultados de la implementación de este ciclo permiten a las empresas una mejora integral de la competitividad, de los productos y servicios, mejorando continuamente la calidad, reduciendo los costes, optimizando la productividad, disminuyendo los precios, incrementando la participación del mercado y aumentando la rentabilidad de la empresa u organización.



## Los cinco pilares de la Comunicación Efectiva y sus objetivos

**Los 5 Pilares de la Comunicación Efectiva y sus Objetivos**

- 1. Observación y escucha activa  
(Identificarse con el otro, lograr empatía)
- 2. Reflejo, acompañamiento, paráfrasis  
(Establecer rapport, confianza, lograr el sí)
- 3. Formular preguntas  
(Obtener información, invitar a pensar, recordar, asociar, generar cambios internos)
- 4. Dar "caricias" positivas  
(Cargar la "batería biológica", aumentar autoestima)
- 5. Brindar información  
(Proveer datos útiles sobre sí mismo, la relación, el mundo, otras personas)

## Estructura Funcional del Análisis Transaccional



## **Las 27 reglas de la Comunicación Efectiva**

1. Es imposible no comunicarse.
2. Fije previamente su objetivo y conozca a su receptor.
3. Toda comunicación se mide por sus resultados.
4. El mensaje real enviado (el significado de la comunicación) es la conducta producida en el receptor.
5. Tener en cuenta el contenido (el qué) y el proceso (el cómo) y dónde, cuándo y con quiénes se comunica.
6. El mensaje puede ser además una "caricia" (reconocimiento de la existencia de alguien).
7. La comunicación es bidireccional.
8. No es posible cambiar a otro, sino solamente podemos invitarlo a hacerlo, mediante nuestra conducta verbal y no verbal.
9. Si no consigue su objetivo, varíe su mensaje (el responsable es el emisor).
10. Más opciones producen mayores resultados (¡sea rígidamente flexible!).
11. No hay fracasos, solo resultados.
12. La comunicación se potencia empleando simultánea o sucesivamente varios canales.
13. La acción pesa más que las palabras.
14. Sea congruente con lo que dice, cómo lo dice y lo que hace.
15. Escuche y observe activamente, demostrando interés.
16. Refleje y parafrasee lo escuchado y visto demostrando que lo comprendió.
17. Frases breves, lenguaje simple, observando siempre la reacción.
18. Adopte el marco de referencia de su interlocutor (empatía).
19. Formule preguntas vinculadas a su objetivo (que pueden contener sugerencias ocultas), para dirigir la comunicación en el sentido deseado.
20. Refuerce (dé "caricias positivas") en forma auténtica.
21. Ofrezca información útil sin imponerla y en forma modesta.
22. Aplique su intuición aclarando que es solo una hipótesis.
23. Reconozca sus errores pero manteniendo su autoestima.
24. Permanezca fiel a sus valores.
25. Manténgase en la Posición Existencial Realista ("Yo estoy bien, tú estás bien").
26. A la gente en general le gusta más hablar y que la escuchen, que escuchar.
27. El que escucha puede orientar o controlar el proceso mediante su realimentación.

## **Resultados y conclusión**

- El rol del nuevo director en la empresa provocó que su equipo crea y confíe en él. En consecuencia, las personas están dispuestas a trabajar motivadas.



- El capital humano nos acompaña en los nuevos objetivos, es muy grato observar día a día el cambio gradual en la nueva cultura, muchos saliendo de la zona de confort, comprometiéndose y tomando con responsabilidad los objetivos que se plantean.
- Confianza y confiabilidad: son la base del nuevo liderazgo.
- Se ha generado confianza y respeto profesional entre las personas que se interrelacionan.
- Crece la inteligencia emocional junto a la capacidad de la comunicación efectiva.
- Se observa la creatividad en el desarrollo de las tareas a partir de la observación diaria del personal, por lo cual surgen nuevas ideas sugeridas por ellos mismos en pos de mejorar los procesos y la calidad de los servicios.
- El trabajo en equipo crece mediante la escucha activa y la participación.
- Prosperan las creencias potencializadoras y se exterioriza en el personal la conducta participativa e integradora.
- La motivación crece en el ambiente laboral.

A saber: solo lograron alcanzar altos niveles de desarrollo los países que asociaron la motivación en las labores organizacionales, a partir de su propia motivación y desarrollo motivacional interno.

Las recomendaciones para el futuro son esenciales para la mantención de los objetivos del Estado Deseado. Debemos formular estrategias motivacionales que nos abran paso a un proceso de mejoramiento continuo, reconociendo como valor principal en la organización al ser humano y su talento además de:

- ❖ Continuar impulsando las habilidades sociales para el éxito.
- ❖ Acompasar.
- ❖ Salvaguardar el rapport.
- ❖ Conservar la flexibilidad.
- ❖ Compartir la información.
- ❖ Mantener la observación, escucha activa y empatía para fortalecer la comunicación.
- ❖ Reconocimiento, caricias positivas adecuadas.
- ❖ Evitar las distorsiones de la comunicación: Criticar, ordenar, imponer, adivinar y generalizar.
- ❖ Reforzar continuamente la estrategia para optimizar los procesos y la calidad siempre de la mano de su personal.
- ❖ Lema de Mejora Continua: **“¡Hoy mejor que ayer, mañana mejor que hoy!”**.

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## **Humanitarian Price Of Technological Progress: Main Outlines Of The Research**

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### **Abstract**

The article is worked out with support of the Marie Curie FP7-PEOPLE-2011-COFUND program - NEWFELPRO (The new International Fellowship Mobility Programme for Experienced Researchers in Croatia) within the project «Rethinking Territory Development in Global Comparative Researches (Rethink Development)», Grant Agreement No. 10. Current decline in competitiveness of many highly developed capitalist countries with innovation-driven economy stimulates scientists to find explanations for this by rethinking territory development's conceptual framework. Based on relevant publications of A.Toffler (1970, 1980), Ch.Murray (2003), G.Easterbrook (2004), R.Wright (2004), own research findings as well as ideas of Development Economics and Philosophy of Technology, the research hypothesis is as follows: territory development in the modern world declines when humanitarian price of technological progress begins to outweigh benefits, and this *price determines different paths of development for concrete territories*. Scientific approach proposed for using in this research is based on the fundamental economic Law of Diminishing Marginal Productivity applied for technological progress and humanitarian price of the progress in different parts of the world, which are perceived – based on the conception of F.Braudel – as “worlds-economies”. Therefore, the main objective of this article is to outline key elements and tasks of the further empirical and econometrical researches aiming to propose a relevant methodology and techniques of measuring humanitarian price of technological progress for different territories as well as to define mechanisms to reduce this price in existed “worlds-economies”

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**Keywords:** Price of progress, humanitarian price, technological progress, *Law of Diminishing Marginal Productivity*, “worlds-economies”

## Introduction

Within the author's currently realized scientific research project "Rethinking Territory Development in Global Comparative Researches (Rethink Development)" supported by the Marie Curie FP7-PEOPLE-2011-COFUND program - NEWFELPRO the Global Rating of Territory Development<sup>104</sup> was created. Using this IT application, a current tendency that growth capacity of competitiveness of many countries which we use to perceive as "developed" is not just lower than in the case of the so called "developing" countries (as it is by the scientifically proved convergence principle - Sala-i-Martin 1995; Barro, Sala-i-Martin 1991, 1992; Cheshire, Carbonaro 1995; Cheshire, Magrini 2000; Quah 1993, 1997) but often it is even negative – for instance, in USA, Finland, Germany, UK, Denmark and Sweden, was identified (Boronenko, Lonska 2013).

Analysis of the statistics of the World Health Organization it has been discovered that while 5% of women and 3% of men suffer from obesity in the countries with a low level of income, 22% of both men and women suffer from obesity in the countries with a high level of income (World Health Organization 2013). As it can be concluded from health statistics, obesity can be referred to the so-called "civilization diseases" which start to occupy top places among human death factors in "developed" countries (nowadays even obesity of pets in these countries is an actual problem). These diseases increasingly depend on the lifestyle that people choose, as well as on their ability to use the available resources (Pakholok 2013). In general, the interrelation between the level of income in the country and crude death rate is rather interesting: 9.4 per 1000 population in low income countries, 8.0 – in lower middle income countries, 7.0 – in upper middle income countries, and 8.4 – in high income countries. It turns out that countries pay for the increase in income from upper middle level to high level with the increase in crude death rate.

All above mentioned facts make us question the efficiency of the use of resources by people and sustainability of the progress in so called "developed" countries - those ones with a high income level which have chosen a development path based on a market economy and consumers'

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<sup>104</sup> The Global Rating of Territory Development (<http://cler.uniri.hr/rethinkdevelopment/web/>) is the interactive IT application created by the specialists of the Center of Local Economic Development (CLER) of the Faculty of Economics of the University of Rijeka (Croatia). By the content it is some kind of alternative to the Rating of Global Competitiveness annually published by the World Economic Forum (WEF) in Global Competitiveness Report. Using data on the Global Competitiveness Index (GCI) provided by the above mentioned annual Reports, growth / decline of GCI (difference between GCI for current and previous year) – both annual and average for the period of 2005-2014 – was calculated, and countries were rated by their growth capacity as it was did by the WEF with current competitiveness level (GCI) of the world countries.

society - as well as about their further growth capacity. There arises the question about the humanitarian price of this progress which possibly becomes too high nowadays and, therefore, restrains and in some cases even turns back the further progress in the countries which have achieved a high level of competitiveness and high living standard.

### **The state of the art of the field**

Adherents of market fundamentalism and liberalism in economics – starting with the 18<sup>th</sup> century's classicists-physiocrats, who substantiated the efficiency of the "laissez faire" principle, and to the relatively recent and very recent modern times (Mises 1927; Schumpeter 1934; Hayek 1941; Friedman M. 1962; Friedman D. 1973, 1989, 1998, 2014; Rockwell 2014) – have been actively searching for a moving force and factors of progress but not for the analysis of its social consequences.

However, social consequences of the unprecedented technological progress accumulated and intensified in real life have become the problem space which is dealt with in such science discipline as social economics (Milgate, Newman 1989), institutionalized within the Association for Social Economics (ASE), founded in New York City in 1941 by American Jesuits Thomas Divine (Divine 1959) – he was the 1<sup>st</sup> President of it – and Bernard William Dempsey (Dempsey 1943, 1958), who received his PhD in Economics from Harvard University in 1940, and was a student of J.Schumpeter (!).

American philosopher, sociologist and futurologist, one of the authors of the concept of post-industrialized society A.Toffler can be referred to as the father of the study of the issues close to the topic of the proposed research - PRICE OF PROGRESS,<sup>105</sup> and as the opponent of the adherents of "radical capitalism" (Friedman D., 1989). Two of A.Toffler's classic works seem to be the most interesting in relation to the proposed research: "Future Shock" (1970) and „Third Wave" (1980). In the first work A.Toffler argued that society is undergoing an enormous structural change, a revolution from an industrial society to a "super-industrial society". A.Toffler stated that the majority of social problems are symptoms of this

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<sup>105</sup> However, this topic has been touched upon in the art literature even earlier than in social science. Karel Capek, a Czech writer, first detected and introduced a new type of conflict into the world art literature. He wrote about an opposition between a science-technological progress and moral-spiritual progress, and their contradiction which is dangerous for humanity in the conditions of a proprietary society (Capek 1955). He also thought about those tragic consequences which are caused by the uncontrolled and chaotic, based on selfish economic interests, dramatic and even revolutionary development of science and technology. An Austrian satirist, Karl Kraus claimed that "spiritual sterilization of masses is one of the ways capitalism supports its own existence" (Kraus 1974).

future shock. In his discussion of the components of such shock, he popularized the term "information overload" (Toffler 1970). Toffler's idea that the rates of changes are too fast for society to perceive them and it reflected the attitudes existed in the 1960s: the Third Wave of changes which transformed all aspects of human existence replaced industrialism. Computer, jet plane, contraceptive pills and high technologies are the symbols of the Third Wave (Toffler 1980).

According to L.Mises, the basis for contradictions in understanding of social consequences of technological progress is the West-East conflict: "The East never developed the idea of scientific research - the search for knowledge and truth for its own sake – which the Greeks gave to civilization. A second achievement of the Greeks, which has always been foreign to the East, is the idea of political liberty of government - of political responsibility of the individual citizen. These ideas, widely accepted in the West, never found counterparts in the East. Even today, only a small group of Eastern intellectuals follow these ideas" (Mises 2004). But the matter is that his opponents – A.Toffler, R.Wright, G.Easterbrook – are American intellectuals, but not Eastern ones.

The Human Capability Approach to territory development (Sen 1983) is possibly the most vivid example of the fact that the decrease in the humanitarian price of technological process is the problem of both West and East (as well as of North and South); and East is able to propose effective solutions in this field. Ideas of A.Sen and other Eastern scientists are recognized worldwide and they are taken up for further development by West, for example, the Human Development and Capability Association (HDCA)<sup>106</sup> which was launched in 2004, as well as a peer-reviewed journal, the Journal of Human Development and Capabilities: A Multi-Disciplinary Journal for People-Centered Development.<sup>107</sup>

In spite of this "West-East union" in the field of people-centered development it is possible to suppose that L.Mises's skepticism to some extent can be justified by the fact that the notion of human capabilities is hardly interpreted in the same way by West and East. This entails the "trap of progress" which was well described by Ronald Wright in his book "A Short History of Progress" (2004): "Paleolithic hunters who learned how to

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<sup>106</sup> Amartya Sen was the founding president of the HDCA and remained President until 2006 when philosopher, Martha Nussbaum, took over. She was succeeded in 2008 by Frances Stewart, who specialises in development studies. Economist, Kaushik Basu became president in 2010, and was replaced by another economist, Tony Atkinson in 2012.

<sup>107</sup> It was established in 2000 as the Journal of Human Development, obtaining its current title in 2009. Its founding editors-in-chief were Khadija Haq (Mahbub ul Haq Human Development Center), Richard Jolly (Institute of Development Studies), and Sakiko Fukuda Parr (United Nations Development Programme).

kill two mammoths instead of one had made progress. Those who learnt how to kill 200 by driving a whole herd over a cliff [improving human capabilities, by some understanding of the Human Capability Approach] had made too much. Many of the great ruins that grace the deserts and jungles of the earth are monuments to progress traps, the headstones of civilizations which became victims of their own success”.

In “The Progress Paradox” (2004), G.Easterbrook draws upon three decades of wide-ranging research and thinking to make the persuasive assertion that almost all aspects of Western life have vastly improved in the past century—and yet today, most men and women feel less happy than in previous generations. Charles Murray in his book “Human Accomplishment: The Pursuit of Excellence in the Arts and Sciences, 800 B.C. to 1950” (2003) explains this paradox, “Innovation is increased by beliefs that life has a purpose and that the function of life is to fulfill that purpose; by beliefs about transcendental goods and a sense of goodness, truth and beauty; and by beliefs that individuals can act efficaciously as individuals, and a culture that enables them to do so. Murray argued that there is an absence of this in the current secularist and nihilist society which has caused the decline”.

It seems that R.Wright managed to identify the modern global challenge connected to unprecedented economic progress: “Capitalism lures us onward like the mechanical hare before the greyhounds, insisting that the economy is infinite and sharing therefore irrelevant. Just enough greyhounds catch a real hare now and then to keep the others running till they drop. In the past it was only the poor who lost this game; now it is the planet” (Wright 2004). Technology generated a deep contradiction between those who create civilization and those who would only like to use its products. The tragic meaning of the consequences of this new stratification is that modern world needs, first of all, representatives of “self-programmable” labour, and a relatively small number of “generic labour”, which the vast majority of population belong to. Millions of people turn out to be “socially excluded”. They are not needed in the modern world even as an object of exploitation, there is just not place for them here. Neither ruling classes nor society in general needs the class which is subjected to exclusion, and they do not depend on it, at least, economically (Tihonova 2006).

### **Key elements of the research**

**Research problem:** Analysis of scientific literature, statistics and research outcomes showed that alongside achievements and successes in the economic development, there is also the price which the humanity (or a part of humanity) pays for new benefits received as a result of unprecedented technological progress. This price of technological progress has been already for decades the subject of heated debates between the supporters and

opponents of technological progress and its “ecological environment” – market economy, radical capitalism, liberalism etc. However, these debates are of a rather emotional character and they contain few scientifically founded arguments and facts which confirm or disprove the high humanitarian price which mankind pays for its technological progress. Therefore, there is a contradiction between the necessity to clearly identify and precisely measure the humanitarian price of technological progress in various countries/regions of the modern world and the lack of scientifically-founded tools for identification and measurement of the price of progress, as well as mechanisms for its reduction in various “worlds-economies”.<sup>108</sup>

***Aim of the further empirical and econometrical researches:*** to work out and test scientifically-founded tools for identification and measurement of humanitarian price of technological progress, as well as the ways to decrease it which are applicable for various “worlds-economies”.

***Subject of the further empirical and econometrical researches:*** humanitarian price of technological progress understood as a difference between benefits (employment, improved living conditions, expectancy of life, education, health etc.) and losses (unemployment, death rate, diseases, suicides, crime rate, etc.), which are direct or indirect consequences of technological progress.

***Research hypothesis:*** territory development in the modern world declines when the humanitarian price of technological progress begins to outweigh benefits from it, and as a result, humanitarian price of technological progress determines different paths of territory development.

***Research questions*** which have to be answered within the research: 1) How humanitarian price of technological progress could be identified and calculated? 2) What are the differences in humanitarian prices of technological progress between existing “world-economies”? 3) What is the potential of each existing “world-economy” to reduce the humanitarian price of technological progress?

### **Scientific approach**

The scientific approach / thinking paradigm, which will be used in the *further empirical and econometrical researches*, is basing on two pillars: conceptual understanding of humanitarian price, and spatial understanding of the modern world. First one will be understood via economic Law of Diminishing Marginal Productivity applied to technological progress, second – via conception of “worlds-economies” which form a spatial framework for

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<sup>108</sup> A “world-economy” is an economically independent part of the globe, which in general is able to be self-sufficient; that one, whose organic unity is based on its internal linkages and interchanges (Braudel 1967) (see detailed description of methodological applying of this conception for the research in the next Chapter “Scientific approach”).



differences in humanitarian price of technological progress and mechanisms of its reduction.

***Conceptual understanding of humanitarian price via Law of Diminishing Marginal Productivity applied to technological progress.*** Law of diminishing marginal productivity is an economic principle that states that while increasing one input and keeping other inputs at the same level may initially increase output, further increases in that input will have a limited effect, and eventually no effect or a negative effect, on output. The law of diminishing marginal productivity helps explain why increasing production is not always the best way to increase profitability. The law of diminishing marginal productivity shows that instead of continuing to increase the same input, it might be better to stop at a certain level, and to increase a different input, or produce an additional or different product or service to maximize profit.

This law was first discovered in the 17<sup>th</sup> century. The law claimed that a permanent increase in the labor applied to a certain piece of land leads to a decrease in productivity of this piece of land. Economists in the 19<sup>th</sup> century applied this theory only to the sphere of agriculture, and did not attempt further application of the theory. In the 20<sup>th</sup> century the law of diminishing marginal productivity became universal and applicable for all types of activities once and for all. The authors suppose that in the 21<sup>st</sup> century this fundamental economic law can be applied to technological progress (production, output) and territory development (profit). In its turn, inputs (resources, factors of production) could be imagined as resources or factors of progress.

There are three main resources or factors of production in classical macroeconomic theory – land (all natural resources), labor (the ability to work) and capital (equipment, finances, buildings etc.); later the ability to combine resources – entrepreneurship – was added to three classical resources or factors of production, more later – information. Thinking about technological progress and territory development, the authors propose one more vital resource or factor of production – people's moderation / abstinence (the ability to satisfy needs, consuming less material resources), even morality / goodness. Although they are not economic categories, in modern reality of explosion of civilization diseases and vices, people's moderation / abstinence become economically valuable.

Coming back to the research hypothesis that *territory development in the modern world declines when humanitarian price of technological progress begins to outweigh benefits from it, it can be argued that previously mentioned humanitarian price's outweighing the benefits from technological progress happens when, according to the law of diminishing marginal productivity, the rate of science-technological progress (one input) does not*

correspond to *the level of* people's moral-spiritual progress (another input) on the concrete territory. Speaking figuratively, if a person has such level of moral-spiritual development that only necessity of physical needs' satisfaction can get him up from the sofa, let him live in material poverty, as prosperity (which is the result of technological progress) will just spoil him in this case.

*Spatial understanding of the modern world via conception of "worlds-economies"*. The second part of the research hypothesis - the *resulting* humanitarian price of technological progress determines different paths of territory development – states that in various countries and regions of the modern world the humanitarian price of technological progress and, as a result, path of territory development, could be different. But there arises the question of what qualitatively different spatial parts modern world consists of, and what the nature of significant differences between territories is. A conceptual answer to this question can be found in the paradigm of "worlds-economies" suggested by F.Braudel.

F.Braudel argued that the world's economic history is presented as an alternation of dominance of certain economically autonomous regions of the world - "worlds-economies" (Braudel 1967). Then, in the 1970s the first report of the Club of Rome "The Limits to Growth" was published (Meadows et al. 1972), later - the second report as well as "The 30-Years Update" (Meadows et al. 2004), which developed the concept of "organic growth", considering every territory as a separate cell of the living organism of the world with its own function (or even mission), which have to be fulfilled instead of aspiration for universal quantitative indices of development (Mesarovic, Pestel 1974).

The authors have chosen two key indicators as a methodological basis for identification and empirical interpretation of modern "worlds-economies": the use of natural resources (within the framework of this research – use of energy) – "nature-friendly" dimension (Meadows et al. 1972, 2004; Lahart et al. 2008; Global Footprint Network, Mediterranean Ecological Footprint Initiative 2015), and the quality of social infrastructure – "human-friendly" dimension (Hall, Jones 1998; Pakholok 2013; UNDP 2013; Schwab 2014). The data on 124 world countries are the basis for empirical interpretation of modern "worlds-economies", the information on whose resource consumption was available, in particular, on energy consumption as the empirical indicator "energy use per capita (kg of oil equivalent) (World Bank 2015) – average meaning for 2007-2011, as well as the second indicator – the index of social infrastructure as the empirical indicator "Institutions" (score by the scale 1-7) – average meaning for 2009-2013 (Schwab 2009, 2010, 2011, 2012, 2013).

The whole set of 124 investigated countries has been divided into groups in relation to the average values of energy consumption and social infrastructure:

*Table 1 Methodical matrix of countries' groups classified by energy use per capita and index of social infrastructure*

Energy use Social infrastructure	<i>Higher than average</i> <i>("bad" situation)</i>	<i>Lower than average</i> <i>("good" situation)</i>
<i>Lower than average</i> <i>("bad" situation)</i>	"Energy consumers with poor social infrastructure" (1st group)	"Ecologists with poor social infrastructure" (2nd group)
<i>Higher than average</i> <i>("good" situation)</i>	"Energy consumers with strong social infrastructure" (3rd group)	"Ecologists with strong social infrastructure" (4th group)

Source: elaborated by the authors.

The largest group – almost half of the investigated countries (most likely also in the world) is comprised of “ecologists with poor social infrastructure” – mainly, the countries of former communist block in Central and Eastern Europe, Africa and South America (the leaders are Brazil and India). The second largest group (32 countries) is comprised of the countries opposite to the first group in terms of both indicators – “energy consumers with strong social infrastructure”. They are mainly the economically developed countries of Western Europe, Scandinavia and North America (the leaders are UK and USA), as well as oil Muslim countries which consume quite a lot of energy, but – surprisingly for the authors – they have a strong social infrastructure which enables the efficient distribution and use of the available resources.

The analysis of the data shows that on the background of the above mentioned relatively large “world-economies” there appears the beginnings of new “worlds-economies” which most probably are new centers of the future dominant “worlds-economies”. These two groups of countries – “energy consumers with poor social infrastructure” (the leader is Russia) and “ecologists with strong social infrastructure” (the leader is China).

In order to reduce the distrust of scientific community on empirical identification of “worlds-economies” was suggested by the authors, it is useful to compare differences in the average GDP between these four above described “worlds-economies” for statistical significance. Results of multiple comparisons’ procedure made in SPSS showed that there are statistically significant differences in economic performance of the “worlds-economies” traditionally measured by the GDP per capita (Hanks 2009; Sala-i-Martin et al. 2013; Stankevics et al. 2014; Simpson 2015).

Table 2 Statistically significant differences between average GDP per capita (during the period of 2009-2013) in identified “worlds-economies”

“World-economies”	“Energy consumers with poor social infrastructure”	“Ecologists with poor social infrastructure”	“Energy consumers with strong social infrastructure”	“Ecologists with strong social infrastructure”
“Energy consumers with poor social infrastructure”	Average GDP per capita is 15661 USD	<b>There is a statistically significant difference (p=0.007)</b>	<b>There is a statistically significant difference (p=0.000)</b>	There is no statistically significant difference (p=0.420)
“Ecologists with poor social infrastructure”	<b>There is a statistically significant difference (p=0.007)</b>	Average GDP per capita is 4686 USD	<b>There is a statistically significant difference (p=0.000)</b>	<b>There is a statistically significant difference (p=0.033)</b>
“Energy consumers with strong social infrastructure”	<b>There is a statistically significant difference (p=0.007)</b>	<b>There is a statistically significant difference (p=0.000)</b>	Average GDP per capita is 46337 USD	<b>There is a statistically significant difference (p=0.000)</b>
“Ecologists with strong social infrastructure”	There is no statistically significant difference (p=0.420)	<b>There is a statistically significant difference (p=0.033)</b>	<b>There is a statistically significant difference (p=0.000)</b>	Average GDP per capita is 11839 USD

Source: elaborated by the authors using SPSS software and data of the Schwab 2009, 2010, 2011, 2012, 2013.

According to the data in Table 2, the countries of traditional capitalist “world-economy” (into which, as it has been discussed above, a group of Arabian oil monarchies has been added) has the highest average GDP per capita, and in this way it statistically significantly differs from all others “worlds-economies”. Its opposite – “ecologists with poor social infrastructure” – have the lowest average GDP per capita, and also statistically significantly differs from all others “worlds-economies”. There are no any statistically significant differences in the economic performance between two new emerging “worlds-economies”: “energy consumers with poor social infrastructure” and “ecologists with strong social infrastructure” – both “worlds-economies” have approximately the same average GDP per capita. This is achieved mainly whether by means of intensive use of resources (in the first case), or by means of creating a social infrastructure which promotes a productive activity of economic subjects (in the second case). Therefore, the “worlds-economies” which were identified empirically have not only a specific combination of two characteristics chosen by the authors (scientific feasibility of these can be subjected to criticism and can be the topic for debate) but in the majority cases these “worlds-economies”

have also statistically significantly different level of economic performance measured by the average GDP per capita for the period of 5 years.

### **Conclusion**

- 1) *Technological progress creates deep contradictions between those who built a civilization and those who just use its products.* The humanitarian price of this progress possibly becomes too high nowadays and restrains the further progress in the countries which have achieved a high living standard.
- 2) Humanitarian price of technological progress, for several decades, as the analysis of scientific literature showed, have been the subject of emotional debates among scientists and social activists, but not the subject of methodological discussions and econometric calculations which would enable researches to precisely and objectively evaluate humanitarian price of technological progress.
- 3) The scientific approach / thinking paradigm, which is proposed for using in the further researches on the issue of price of progress, is basing on two pillars: conceptual understanding of humanitarian price, and spatial understanding of the modern world. First one is understood via economic Law of Diminishing Marginal Productivity applied to technological progress, second – via conception of “worlds-economies” which form a spatial framework for differences in humanitarian price of technological progress and mechanisms of its reduction.

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# **Disolución Societaria De Una Empresa Constructora Y Propuesta De Sostentamiento De Desempeño Y Calidad Del Trabajo**

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## **Abstract**

In the analyzed work group there was a breakup between the partners. As result of this disolution, significant shortcomings were produced in the working structure of the organization, namely: 1. Disruption of the group members. 2. Disorientation regarding the direction and planned goals of the business unit. 3. Endangered mission and vision of the enterprise. 4. Crisis of current values. 5. Enhancement of the lack of clear and shared objectives and shared functions and tasks of each member, which that already existed. 6. Some vacancies were filled and others resulted obsolete. 7. Some tasks were neglected, seriously hindering the achievement of the objectives and the quality of customer service delivery. 8. Intensification of informal communication, which in many situations misrepresent the true reality of the situation presented, seriously impending normal decision making for their solution. 9. All decisions focus on the principal director, producing delays in decisions.

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**Keywords:** Communication, Job Descriptions, Leadership, Decisions, Conflicts

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## **Resumen**

En el grupo de trabajo analizado, se ocasionó la ruptura entre los socios. Como consecuencia, esta disolución produjo importantes carencias en la estructura de trabajo de la organización, a saber: 1. Desarticulación de los miembros del grupo. 2. Desorientación con respecto al rumbo y el destino planificado de la unidad de negocio. 3. Peligro de la razón de ser del emprendimiento: su misión, visión. 4. Crisis de los valores actuales. 5. Acentuación de la ausencia de objetivos claros y compartidos en las funciones y tareas de cada integrante, que ya existían con anterioridad. 6. Ocupación de puestos vacantes, mientras que otros terminaron obsoletos. 7. Se observan tareas que se desatienden, entorpeciendo seriamente el logro de los objetivos y la calidad de prestación del servicio al cliente. 8.

Intensificación de la comunicación informal, comentarios de pasillo, que en muchas situaciones tergiversan la verdadera realidad de la situación o problema presentado, impidiendo seriamente un normal desenvolvimiento en la toma de decisión para su solución. 9. Todas las decisiones se centran en el director principal, produciendo retrasos en las mismas.

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**Palabras clave:** Comunicación, Funciones, Liderazgo, Decisiones, Conflictos

**Los objetivos propuestos son:**

- Revisar la razón de ser, el rumbo y el destino deseado del emprendimiento. Misión y Visión.
- Redefinir valores acordes a la situación de la vivencia actual.
- Describir y redefinir responsabilidades de cada puesto de trabajo: a quién se reporta y de quién depende, alineándolos a la misión de la organización, y sostener su desempeño y calidad del trabajo.
- Emplear los estilos adecuados de liderazgo en forma situacional con el enfoque Ganar-Ganar.
- Optimizar los circuitos de la información para agilizar y mejorar la toma de decisiones.
- Capacitar en técnicas de comunicación efectiva, describir responsabilidades de cada puesto de trabajo, a quién reporta y de quién depende, para el proceso de cambio e integración.
- Confeccionar un organigrama actualizado, con la ubicación de cada miembro; con ello se busca incrementar el sentido de pertenencia, sintiéndose los miembros aceptados psicológicamente. Así, tenderán a buscar sus metas a través del grupo, en vez de individualmente: relaciones de interdependencia que le agregan otro valor a la independencia.
- Redactar un reglamento de convivencia que permita mejorar el clima emocional del grupo.
- Técnicas sugeridas para el logro de este cambio: emplear la comunicación efectiva para motivar y persuadir al presidente y luego los demás miembros.

**Introducción**

Se desarrollarán los siguientes temas teóricos:

- Valores, Misión, Visión, ¿para qué existimos y adónde nos dirigimos? (Kertész, R. et al., 2006).
- Importancia de confeccionar un organigrama. Definir puestos de trabajo por orden y jerarquía (Kertész, R. et al., 2006).
- Técnicas de comunicación (Kertész R. y Atalaya C. ,2007).

- Liderazgo Transaccional, ¿cómo hacer que la gente haga? (Kertész, R., Atalaya, C. y Kertész, V., 1992).
- Un modelo de toma de decisiones (Kertész, R., et al., 2006).
- Dinámica de grupos (Kertész, R., Atalaya, C. y Kertész, A., 2010).
- El esquema FODA y PALT: su combinación (Kertész, R. et al., 2006).
- Toma de decisiones, solución de problemas y manejo de conflictos (Kertész, R. et al, 2006).

### **Misión, Visión, Plan Estratégico del Negocio**

Definir la razón de ser, el rumbo y el destino planeado para mi emprendimiento:

1. Valores, Misión, Visión. ¿Para qué existimos y adónde nos dirigimos?
2. El plan de negocios y de marketing. El flujo de caja: ¿dónde está el dinero? Las formas legales.
3. ¿Dónde quiero trabajar?; vocación profesional versus lealtad familiar. Los ocho factores de la decisión vocacional.
4. El plan de sucesión: delegando poder y pasando la antorcha.

### **Misión**

La misión de un grupo u organización es la definición de su propósito básico (qué es, qué hace, para qué y para quiénes existe): su razón de ser. La misión brinda un sentido compartido de la organización para todos sus componentes y representa su esencia. Está basada en sus valores fundamentales. Es lo que sus clientes, empleados y la comunidad en general perciben como su negocio; cuáles son y deberían ser sus productos y servicios y el valor que brindan a sus clientes.

La misión general de la organización, además de ser compartida, es desdoblada en las misiones de cada sector y finalmente en la misión personal de cada integrante.

La misión de la organización es un agregado de misiones personales de quienes trabajan en ella. Cuanto más coherentes sean, más productiva y satisfactoria será su labor, al “ponerse la camiseta”.

El enunciado conviene que sea breve y responda a las siguientes preguntas:

1. ¿Quiénes somos?
2. ¿Qué hacemos? (cuál es nuestro negocio).
3. ¿Para qué lo hacemos?
4. ¿En qué nos distinguimos o somos los únicos?.
5. Otro parámetro si se desea añadir.

## **Visión**

Es el estado/ imagen que deseamos alcanzar en un lapso de tiempo determinado.

Es lo que queremos crear o ser en el futuro.

Es el desarrollo de nuestra misión en el futuro.

Una brújula que nos indica el rumbo.

La misión define el estado actual de nuestra Institución, su razón de ser, sus datos actuales y su potencial, que tiene en cuenta a los clientes actuales y futuros y al ambiente en que nos desempeñamos.

La visión define el estado deseado en un lapso que para las organizaciones suele variar entre tres a diez años, que emana de la misión. Si bien se enfoca en el futuro, se experimenta en el presente en los pasos que damos cada día para realizarla. Debe ser lo suficientemente amplia para durar varios años, pero con los pies en la tierra.

## **Algunas sugerencias útiles para redactar su visión**

- Trabajar en un lugar tranquilo, sin interrupciones ni presiones.
- Tener en cuenta los valores, la misión, y lo que más nos importa lograr.
- Concentrarse en los resultados (los qué) no en cómo lograrlos (eso va en el plan estratégico).
- Trazar visiones para dos, tres, cinco y diez años en una línea de tiempo.
- ¿Cómo sabremos, tanto nosotros como los demás, que la hemos alcanzado? (incluir datos objetivos).
- Evitar redacciones competitivas (“Ser los mejores en...”). Es preferible hablar de calidad o excelencia, porque si no, cuando seamos “los mejores”, ¿qué nos queda por hacer? Además, es imposible prever quienes entrarán en la competencia.
- ¿En qué nos distinguimos de nuestros competidores?
- ¿Qué resulta atractivo, motivante, con “gancho”, en la redacción?
- Redactarlo en presente “En cinco años, ser o somos” o “hacemos” en vez de “seremos”, para evitar la brecha entre el presente y el futuro.
- Que represente un desafío, sea ambiciosa pero logable, realista.

## **Los valores en el trabajo**

Una necesidad superior del ser humano es asignar un sentido a lo que hace para ganarse la vida, más allá de la tarea específica que realice: algo que beneficie a otros de una manera positiva y significativa. Al compartir los valores definidos por la organización, sienten que se dirigen hacia las mismas metas. Esto incrementa su motivación y responsabilidad.

La coincidencia de los principales valores organizacionales con los personales es esencial para estos fines, así como para la eficacia y la salud

mental y física. Cuando son divergentes tienden a generar conflictos y una actitud de descreimiento y cinismo.

Las nuevas corrientes filosóficas organizacionales condujeron a fines del siglo XX a la dirección por valores. Esta orientación respeta las decisiones del personal mientras se ajusten a los valores de la firma, dejándoles libertad de criterio y mayor “empoderamiento”.

### **¿Qué es un organigrama?**

El organigrama es esencialmente un gráfico que representa:

- 1.- La estructura de una organización.
- 2.- Los puestos de trabajo con sus designaciones.
- 3.- Las jerarquías: los jefes, los subordinados que les reportan, los pares (en las líneas de mando) y las funciones staff (asesores sin poder de mando).

¿Qué significa un organigrama en una empresa PYME familiar, donde lo grato es la informalidad y libertad con que “todos hacen de todo”? ¿Dónde la ausencia de reglas formales y estructuras permite una gran libertad? Ya hemos visto que los valores familiares de afecto, lealtad, protección mutua, confianza y colaboración predominan sobre las normativas más propias de grandes organizaciones burocráticas. La carencia del organigrama facilita los dobles mensajes y los juegos psicológicos, donde se mezclan los roles familiares y organizacionales.

Para trazar un organigrama que funcione en la práctica, es necesario contar con comunicaciones efectivas. Mientras tanto, el responsable del liderazgo para su confección deberá escuchar atentamente a cada integrante, solicitar sus contribuciones y asesoramiento si lo requiere y llegar a un diagrama final, que tendrá que ser expuesto en lugar visible. Acorde a los cambios del negocio, puede ser actualizado cuantas veces sea necesario. Su implementación sin duda limitará las fricciones, trastornos de las comunicaciones y mejorará los cumplimientos de las indicaciones para las tareas.

Para ser eficiente, el organigrama debe representar en forma realista las jerarquías, líneas de comunicación y la descripción de funciones. También, si tenemos en cuenta las personalidades de los seres humanos que se desempeñarán en cada puesto, tenemos que anticipar cómo se vincularán. Una vez construido y comparado con lo que realmente ocurre, puede develar deficiencias en las comunicaciones y el cumplimiento de las tareas asignadas para ser resueltas. Si existen conflictos o juegos de poder, son resolubles por otros medios, en lugar de dibujar un organigrama que oculte la realidad.

### **Usos valiosos de dicho organigrama**

- 1.- Ayuda a reforzar que los subordinados lleven sus consultas y problemas a sus jefes inmediatos.

2.- Facilita la rápida identificación de los interlocutores de la organización, para los proveedores, clientes y otras personas vinculadas con ella.

3.- Es un recurso esencial para implementar un plan estratégico y sus objetivos específicos, asignando las responsabilidades correspondientes a cada departamento.

4.- Identifica a los posibles sucesores futuros al trazarse un organigrama futuro tentativo.

### **Estructura de un organigrama eficiente**

No hay una escala universal de medición, actualmente cada quien establece una nomenclatura a sus puestos acorde con su realidad interna, más que haciendo una comparación en el mercado laboral. Lo normal es que la escala sea:

1.- Accionista o consejo de accionistas.

2.- Director (puede ser por áreas operativas o geográficas pero no deben haber de las dos divisiones en una misma organización, por ejemplo: director de recursos humanos y director de zona norte).

3.- Gerente (puede ser por áreas operativas o geográficas pero no deben haber de las dos divisiones en una misma organización).

4.- Subgerente.

5.- Supervisor, jefe, encargado.

6.- Empleados.

7.- Funciones staff (líneas horizontales donde corresponda); abogados, contadores, etc.

Los errores más comunes siempre tienen que ver con la división de responsabilidades, es decir, quién tiene la autoridad para qué, pero cuando el ego profesional predomina en una cultura organizacional, ocurre que pueda haber gerentes cumpliendo funciones con mayor jerarquía dentro de una misma clasificación.

Otro error muy común y que ocurre sobre todo en las PYMES, es el tener dos jefes, nada más contradictorio para los objetivos y alcances de un puesto que estar bajo esta condición. A veces es adecuado, por ejemplo, en el caso de secretarías o profesionales de informática.

Siempre es necesario que, aunque se tomen instrucciones de uno o varios puestos, se establezca una prioridad de ejecución, por ejemplo en la pequeña empresa es muy común que normalmente el dueño del negocio dé órdenes a su secretaria, pero cuando esté su esposa ahí la tome como asistente personal. Siendo así: ¿qué instrucciones deberá seguir la secretaria? ¿está claro su rol en la empresa así como su línea de ejecución? ¿o esperamos a que ocurra algún problema para corregir y rectificar instrucciones?

## Descripción de funciones o tareas

Una vez armado el organigrama, donde se hayan descrito los cargos, el paso lógico siguiente es “quién hace qué”, es decir, la descripción de funciones. Este orden puede funcionar si se cumplen otros requisitos más como la oferta de productos o servicios de calidad, buena atención al cliente y control de gastos. Ahora se pasa la barrera de la etapa de iniciación del emprendimiento, y la firma sigue creciendo, se arriba a una etapa en la cual es necesario diferenciar las actividades, armar una jerarquía de conducción, fijar objetivos, trazar algún plan de negocios y controlar el flujo de caja. Entonces ha llegado el momento de la descripción de funciones. Comencemos para ello con algunas definiciones.

Un puesto de trabajo es un conjunto de tareas y responsabilidades que debe asumir una activa dentro de una organización. Una tarea es una unidad de trabajo, una serie de actividades concretas dirigidas a un resultado.

Las descripciones de funciones son listados de las tareas para cubrir un puesto. Habitualmente se completan con el superior a quien reportan las calificaciones requeridas, el rango de la retribución, etc. Otras utilidades de la descripción de funciones consisten en los criterios para una búsqueda laboral, la determinación de las retribuciones en un parámetro para la evaluación de desempeño, la fijación de los objetivos correspondientes a cumplir y las aplicaciones de problemas legales o sindicales. Es recomendable que se describan todos los puestos por escrito en un manual de funciones. Las descripciones de funciones deben ser integradas con la evaluación de desempeño, que deberá tener lugar por lo menos dos veces al año y con indicadores lo más objetivos y medibles que sea posible.

## Valores y filosofía de los estilos de liderazgo adecuados e inadecuados

### Estilos de liderazgo adecuados

ESTILO	VALORES RELACIONADOS	CONCEPTO DEL HOMBRE	CONCEPTO DE SÍ MISMO	CONSECUENCIAS EN EL SUBORDINADO
CONDUCTOR	Disciplina Orden Responsabilidad	Disciplinado Ordenado Responsable	Directivo Ético	Disciplina Cumplimiento de normas Confianza
PROTECTOR	Apoyo Bienestar del subordinado	Potencial de desarrollo	Dispuesto a dar Apoyar	Crecimiento personal
RACIONAL	Racionalidad Igualitariedad	Lógico Racional	Lógico Racional Ético	Pensar juntos Resolución de problemas Autonomía
CREATIVO	Creatividad Innovación Sinceridad Disfrute	Creativo Curioso Inquieto Divertido	Creativo Curioso Inquieto Divertido	Nuevos productos, servicios, soluciones

### Estilos de liderazgo inadecuados

ESTILOS	VALORES RELACIONADOS	CONCEPTO DEL HOMBRE	CONCEPTO DE SÍ MISMO	CONSECUENCIA
ESTRICTO	Poder Obediencia Sumisión	Irresponsable Cómico Desobediente	Severo Superior Juez	Sumisión o rebeldía Dependencia
SALVADOR	Compasión Lástima	Desvalido Dependiente	Salvador	Dependencia Inseguridad
FRÍO	Beneficio Ventajas propias	Utilizable Explotable	Hábil Astuto	Temor Resentimiento
INDIFERENTE	Nihilismo Cinismo	Devaluada	Cínico Desmotivado	Improductividad Depresión

### Un modelo de toma de decisiones

1.- Estado Actual: análisis de la situación actual, problemas y oportunidades. Redefinir los problemas como oportunidades para mejorar.

Preguntas: ¿qué ocurre? ¿de qué nos ocuparemos? ¿qué anda mal? ¿qué, cuándo, dónde, cómo, por qué, para qué? ¿qué queremos mejorar u optimizar?

2.- Estado Deseado: definir los objetivos o metas a lograr. Recabar más información.

Pregunta: ¿qué queremos lograr?

3.-Soluciones: comenzar por redefinir el Estado Deseado, si corresponde. Generar opciones para alcanzarlo. Generar criterios para elegir la mejor opción. Analizar las consecuencias probables de cada opción.

Preguntas: ¿de qué formas podríamos lograr el Estado Deseado? o ¿cuál sería la mejor forma de lograr el Estado Deseado?

4.-Viabilidad y plan: análisis de la posible aceptación del plan, por parte de los destinatarios.

Anticipar posibles problemas y trazar plan de contingencias para ello. Plan de acción a ejecutar.

Preguntas: ¿cómo lograr aceptación de los destinatarios? ¿qué puede fallar? ¿cómo prevenirlo o, por lo menos, minimizar los perjuicios? ¿quién hace qué, cuándo? Plazos.

5.-Evaluación: Análisis de los resultados logrados. Ajustes en acciones futuras.

Preguntas: ¿fue cumplido el Estado Deseado? ¿cuáles fueron las consecuencias? ¿qué debemos corregir? A veces conviene una experiencia piloto inicial para luego verificar o reformular el plan de acción.

### Cuadro: Las 27 Reglas de la Comunicación Efectiva

1. Es imposible no comunicarse.
2. Fije previamente su objetivo y conozca a su receptor.



3. Toda comunicación se mide por sus resultados.
4. El mensaje real enviado (el significado de la comunicación) es la conducta producida en el receptor.
5. Tener en cuenta el contenido (el qué) y el proceso (el cómo) y dónde, cuándo y con quiénes se comunica.
6. El mensaje puede ser además una “caricia” (reconocimiento de la existencia de alguien).
7. La comunicación es bidireccional.
8. No es posible cambiar a otro, sino solamente podemos invitarlo a hacerlo, mediante nuestra conducta verbal y no verbal.
9. Si no consigue su objetivo, varíe su mensaje (el responsable es el emisor).
10. Más opciones producen mayores resultados (¡sea rígidamente flexible!).
11. No hay fracasos, solo resultados.
12. La comunicación se potencia empleando simultánea- o sucesivamente varios canales.
13. La acción pesa más que las palabras.
14. Sea congruente con lo que dice, cómo lo dice y lo que hace.
15. Escuche y observe activamente, demostrando interés.
16. Refleje y parafrasee lo escuchado y visto demostrando que lo comprendió.
17. Frases breves, lenguaje simple, observando siempre la reacción.
18. Adopte el marco de referencia de su interlocutor (empatía).
19. Formule preguntas vinculadas a su objetivo (que pueden contener sugerencias ocultas), para dirigir la comunicación en el sentido deseado.
20. Refuerce: dé “caricias positivas” en forma auténtica.
21. Ofrezca información útil sin imponerla y en forma modesta.
22. Aplique su intuición aclarando que es solo una hipótesis.
23. Reconozca sus errores pero manteniendo su autoestima.
24. Permanezca fiel a sus valores.
25. Manténgase en la Posición Existencial Realista (“Yo estoy bien tú estás bien”).
26. A la gente en general le gusta más hablar y que la escuchen, que escuchar.
27. El que escucha puede orientar o controlar el proceso mediante su realimentación.

<b>LOS 5 PILARES</b>	<b>LAS 5 DISTORSIONES</b>
<b>1. EMPATIZAR (Observe, escuche,)</b>	<b>1. CRITICAR (sugiera para el futuro)</b>
<b>2. SINTONIZAR (Refleje, acompase)</b>	<b>2. ORDENAR (pregunte si el otro Desea hacerlo)</b>
<b>3. PREGUNTAR</b>	<b>3. IMPONER (sólo dé su propia opinión)</b>
<b>4. ACARICIAR (reforzar)</b>	<b>4. ADIVINAR (sólo diga que intuye algo posible)</b>
<b>5. INFORMAR</b>	<b>5. GENERALIZAR (especifique)</b>

Una organización puede ser evaluada de diversas formas. En la que sigue combinaremos dos modelos útiles: el FODA y el P.A.L.T. El cuadro final que resulte nos servirá de guía para el diagnóstico: ¿dónde estamos? (Estado Actual) Y el planeamiento: ¿adónde queremos llegar? (Estado Deseado).

El análisis FODA considera cuatro variables:

- Internas a la firma: Fortalezas y Debilidades.
- Externas a la firma: Oportunidades y Amenazas.

Las Fortalezas se refieren a los especiales conocimientos, capacidades, vinculaciones, experiencia, equipamientos, productos, servicios, capital, de que disponemos. Generalmente se presentan más Oportunidades de las que podemos encarar, pero el conocimiento de nuestras Fortalezas nos ayudará para concentrarnos donde podamos lograr mejores resultados. Estas Fortalezas están estrechamente vinculadas con los cinco principales recursos, que hemos listado como:

#### **T.I.M.E.G.**

1. El Tiempo de que disponemos.
  2. La Información útil y confiable.
  3. Lo Material (capital, equipamiento, edificios, etc.).
  4. La Energía y motivación para actuar.
  5. La Gente (el recurso humano) dentro y fuera del negocio.
- Un tipo de recurso puede ser útil para obtener o acrecentar a otro.

Por ejemplo:

-La adecuada Información, para ahorrar Tiempo, obtener crédito o inversionistas, y Gente capaz y motivada.

-La Gente, para generar Información en cuanto a oportunidades en el mercado o nuevos productos y contactos.

Todos ellos son importantes, pero si debemos elegir uno como central en la era en que vivimos, sería la Información, porque es la base fundamental de la toma de decisiones.

Las DEBILIDADES: nuestros puntos vulnerables, carencias, limitaciones, nos ponen en contacto con la realidad. También pueden detectarse a partir de los cinco recursos: T.I.M.E.G.

Pasemos ahora a los factores externos: las Oportunidades y Amenazas.

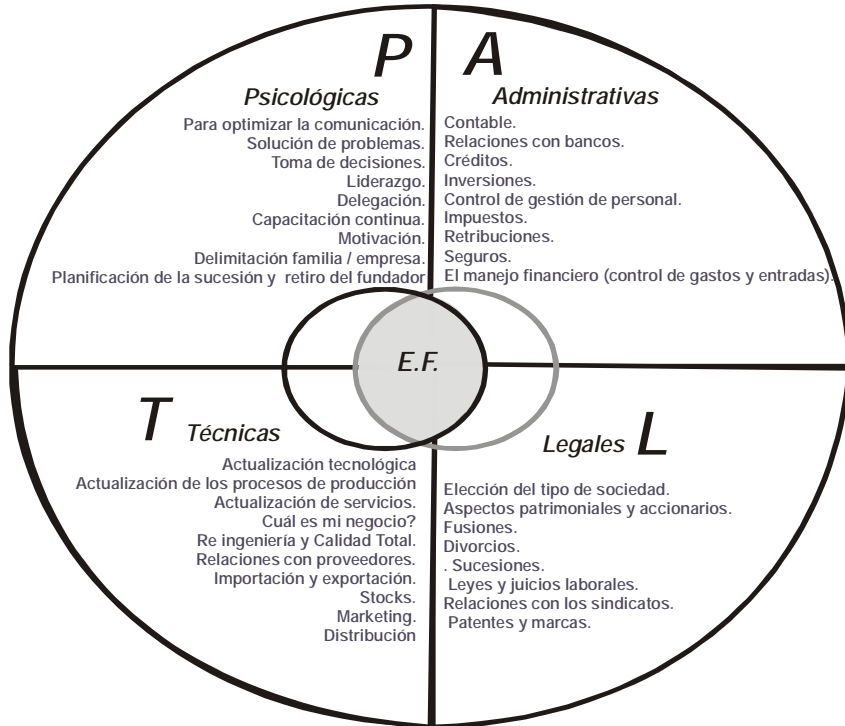
Ambas incluyen las demandas del mercado, los avances tecnológicos, los clientes actuales y potenciales, los accionistas e inversores, los proveedores, las alianzas estratégicas, la competencia y los factores económicos, políticos, ambientales y sociales que influyen sobre el negocio.

Pero el enfoque integral de nuestro negocio familiar requiere sopesar las cuatro vertientes principales en que se desenvuelve. Esto implica la presentación de un modelo adicional, que hemos denominado con la sigla P.A.L.T.: lo Psicológico, Administrativo/Contable, Legal y Técnico.

Le pedimos que lea con atención el cuadro siguiente, sopesando cada uno de los ítems que incluye. Algunos pueden ser poco o nada relevantes para su negocio; otros, fundamentales. Adicionalmente, para aprovechar mejor este esquema, necesitamos pensar en forma sistémica.

Un sistema es una serie de elementos conectados y que interactúan entre sí. El cuerpo humano, por ejemplo, es un sistema complejo formado a su vez por múltiples sistemas menores, como el nervioso, respiratorio, digestivo, circulatorio, muscular, etc. Un cambio en el respiratorio afectará al nervioso y circulatorio y viceversa. Los diferentes elementos de los dos modelos mencionados integran varios sistemas imbricados, que pueden ser estudiados en forma monodisciplinaria, acorde a la formación específica de cada tipo de profesional (contadores, abogados, psicólogos, administradores, ingenieros), o bien interdisciplinaria, para un trabajo sinérgico en equipo. Lo ideal es explorarlas con el equipo directivo y un consultor/asesor.

## El Modelo P.A.L.T.



### Objetivo

A través del análisis realizado con respecto al funcionamiento actual del grupo de trabajo, se proponen técnicas y capacitaciones para mejorar su desempeño. Capacitar en técnicas de comunicación, porque es el proceso que facilitará la articulación del equipo, permitiendo un flujo armonioso tanto en la comunicación horizontal, vertical, transversal. Apoyo para las reuniones de toma de decisiones, con agendas y actas. Describir el estado actual del grupo de trabajo, proponiendo un estado adecuado para optimizar el desenvolvimiento del trabajo en equipo.

### Material humano

#### Análisis del grupo de trabajo, de trece integrantes

Director principal:

Arq. Pérez Pedro.

Asistente director:

Lic. Francisca Salguero.

Directores de obras zona oeste:

Arq. Horacio Castillo

Arq. Rosalía Ramírez

Arq. Santiago Méndez

Arq. Analía Rodríguez

Directores de obras zona sur:

Directores de obras zona norte:

Arq. Miriam González

**Responsable área proyectos:**

**Asistente proyectos:**

**Gestión planos municipales:**

**Responsable Tesorería y Administración:**

**Asistente:**

**Arq. Silvia Pérez**

**Arq. López Francisca**

**Arq. Florencia Araceli.**

**Tec. María Celeste.**

**Alonso Alicia**

**María Paz**

**Estructura del grupo actual/Organización:**

**Objetivos del grupo de trabajo:**

Es un estudio de servicios arquitectónicos dedicado al desarrollo, supervisión y construcción de proyectos de arquitectura de diferente escala y programa, especializándose en viviendas unifamiliares de alta gama, edificios multifamiliares de gran escala, hotelería, instalaciones industriales, oficinas, edificios comerciales y desarrollo de imagen corporativa.

**Valores y creencias**

El director del estudio considera la arquitectura como un oficio de servicio y un oficio artístico. Posee un alto valor de lo estético, innovación, servicio al cliente interpretando sus gustos y necesidades, y que impulsa con cada proyecto nuevo conocimiento e investigación para lograr el uso y su funcionalidad óptima dentro del marco de la belleza y estética de la estructura. Su creencia es que, focalizándose en lo estético y artístico, le otorga un factor diferencial del servicio que le ofrece al cliente. Actualmente, al disolverse la sociedad, es su desafío transmitir estos valores a los nuevos profesionales que lo acompañan en su organización.

**Normas**

Con respecto a las normas internas, existen protocolos de funcionamiento sugerido por el gerente principal, de los distintos procesos que hacen a la actividad de un director de obra en su gestión.

- No sucede así en la definición de normas básicas de comportamiento entre colegas, y suelen observarse sentimientos de miedo, ansiedad, incertidumbre y excitación por no explicitarse los comportamientos estándar de los estudios para la interrelación de los miembros.
- En el área de administración se observa ausencia de objetivos claros con la falta de un programa de acción que oriente a los integrantes en el proceso y en el desarrollo de las tareas cotidianas.
- El grupo en esta etapa de cambios recibe cambios frecuentes en las decisiones del director principal, provocando desorientación en el grupo.
- Como consecuencia, se observa en algunos miembros un sentimiento de que el proyecto es demasiado grande para ellos, y otros se frustran por falta de progreso.

- Cada integrante en el área administrativa asume roles independientemente del otro, no existiendo una división del trabajo, por lo que no es productivo para la estructura de funcionamiento.
- Se observa con frecuencia que los directores de obra y empleados administrativos desarrollan sus propios hábitos de comportamiento en el trabajo, creándose una fuerte costumbre de hábitos personales en cómo comportarse y desarrollar su tarea. De esta forma, estos modismos individuales prevalecen como normas a menudo implícitas, no escritas, y acordadas por la organización; tornándose estas tan importantes en el desarrollo de la operatividad del grupo, que permiten a las mismas el libre albedrío de actitudes y reacciones emocionales, no siempre muy operativas para el logro eficiente de la tarea.
- Se advierte la ausencia de claridad de los objetivos, realismo, cohesión y consistencia, y sentido de pertenencia a la organización; cualidades importantes para un buen funcionamiento del grupo.

### **Organigrama**

La empresa carece de un organigrama formal de funciones de su organización. Actualmente se encuentran puestos vacantes y algunos obsoletos: esta situación acontece debido a la disolución entre los socios.

En la medida en que el director principal no logre comunicar explícitamente el fin último de su organización, y comunicar claramente el objetivo perseguido, esta indefinición impide a los miembros organizarse por funciones y roles de trabajo, provocando en lo cotidiano superposiciones, repeticiones y omisiones en las tareas. Por lo tanto, queda una idea muy desdibujada del diagrama formal de puestos y roles.

### **Jerarquización, status, roles y rango**

En el grupo existe confusión sobre quién es responsable de cada cosa, aún no han logrado superar este aspecto. No tienen claras las metas, los pasos para conseguirlas, la programación de reuniones no se cumplen con lo fijado en agenda y las decisiones que necesitan tomar, se postergan.

Para lograr organizar los roles y rangos es necesario que el equipo se comunique eficazmente, hablando de forma directa y clara, compartiendo información sobre hechos, sensaciones y sentimientos, pensamientos, intenciones y acciones a poner en marcha.

Jerarquización: el mando se encuentra centralizado en el director principal. Los restantes puestos no se encuentran al momento definidos.

Roles: definiendo que un rol es un conjunto de pautas de conducta esperadas y atribuidas a alguien que ocupa determinada posición en un grupo, y al no encontrarse aún descriptas las tareas por puesto, produce la misma situación que con respecto al rol. Esto conlleva en muchos casos a

una suerte de desorientación, con interrogantes sobre cuáles son los objetivos, métodos y procedimientos.

### **Toma de decisiones**

- Generalmente se encuentra centralizada en el director principal, llevando esta modalidad muchas veces a retrasos y postergaciones en las soluciones de situaciones o concreciones en acciones que beneficiarían enormemente al equipo de trabajo.
- Esta centralización impide desarrollar o descubrir las potencialidades de los miembros del equipo, frenando la escucha de opiniones, distintos puntos de vista, menoscabando el crecimiento de todos.
- Se impone un estilo de liderazgo estricto, ya que se avizora una tendencia a ser obedecido sin réplicas, sostener el control sobre los subordinados, generando perfiles de empleados seguidores obedientes, sumisos, temerosos o rebeldes.
- Las transacciones más predominantes son Padre Critico +/- a Niño Sumiso, Libre o Rebelde.
- Son relativamente escasas las transacciones de Adulto/Adulto.
- En muchas ocasiones no se parte de datos fiables para tomar una decisión.
- El grupo actúa mediante ensayo y error, tomando decisiones urgentes sin contrastar con datos, y no saben muy bien en qué consiste el problema que están tratando.

El grupo se caracteriza por una gran cantidad de incertidumbre sobre el propósito, estructura y liderazgo del mismo. Sus miembros "adoptan estilos de conducta" para determinar cuáles tipos de comportamiento son aceptables.

Se impone con urgencia definir el qué y el cómo del equipo de trabajo, permitiendo el renacimiento de la interdependencia entre los miembros, y así fortalecer el sentido de pertenencia que nace con el conocimiento del otro. Y por último cabe señalar que las conductas que surgen ante la necesidad de solucionar los problemas, el grupo actúa negando o distorsionando la situación, evadiendo el foco del conflicto a resolver. Ante la aparición de errores se busca asignar la responsabilidad a alguien.

Los canales de comunicación se encuentran muy limitados, muchas veces por ausencia de reglas explícitas. Se manifiesta a diario que es más importante sostener el rol que resolver el problema.

### **Métodos**

- Aplicación del método de Comunicación Efectiva, para motivar y persuadir al presidente para implementar la propuesta sugerida en este trabajo. Posteriormente capacitación del grupo.

- Confección de un organigrama, e ir mejorándolo para optimizar el desempeño del grupo.
- Presentación del formulario de descripción de tareas.
- Clasificación de las tareas y analizar su coherencia y alineamiento con la estructura organizacional buscada.
- Definición y redacción de normas básicas de comportamiento organizacional.
- Capacitación del personal en el proceso de las distintas etapas para una buena toma de decisiones, basándose en el método científico.
- Aplicación de técnicas de manejo de reuniones. Manejo de agenda y actas de reuniones.
- Capacitación de los empleados en el manejo de su agenda laboral.
- Separar lo importante de lo urgente.
- Fijar prioridades.
- Hacer una cosa por vez. Terminar y pasar a otra.
- Manejo de papeles y e-mails.
- Si se decidió algo racionalmente, llevarlo a cabo.
- Defender el propio tiempo.
- Acortar y concretar las reuniones, con agenda previa.
- Separar ratos, para los imprevistos.
- Adjunto modelo de formulario de descripción de tareas.
- Y un modelo de evaluación de desempeño.

Los resultados y conclusiones de este trabajo están supeditados a la presentación de esta propuesta al plantel directivo, y al interés de llevarla a cabo.

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# **Estrategia Y Compromiso Directivo: Condiciones Para Reestructurar Una Organización**

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## **Abstract**

The purpose of this study is the successful achievement of an organizational restructuring, specifying the key factors of success, identifying the necessary conditions and exposing the implementation tools. When organizations decide their restructuration in the event of a crisis, they frequently fail, usually because the commitment of top management is not present regarding the application of leadership, decision-making and communication. The concept of corporate restructuring (Biasca, 1991) refers mainly to financial processes and reducing personnel, and others, like Kotter (2002), point to the strategic and cultural change. According to the proposed approach, top management defines the strategy, and the middle management applies it. The appropriate tools are: the SWOT analysis, the products and markets development matrix, the Porter matrix, etc.

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**Keywords:** Restructuration, Strategy, Management Commitment, Organizational Change, Leadership

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## **Resumen**

El propósito de este estudio es el logro exitoso de la reestructuración de una organización, determinando los factores clave de éxito, identificando las condiciones necesarias y exponiendo las herramientas de implementación. Cuando las organizaciones deciden reestructurarse ante la crisis, en su mayoría fallan, y es cuando no se presenta el compromiso de la alta dirección en cuanto al ejercicio del liderazgo, la toma de decisiones y la comunicación. El concepto de reestructuración empresarial (Biasca, 1991) se refiere principalmente a procesos financieros y a la reducción de personal, y otros, como Kotter (2002), apuntan al cambio estratégico y cultural. En el enfoque que proponemos, la alta dirección define la estrategia, y la gerencia media la ejecuta. Las herramientas a emplear son: el análisis FODA, la matriz de desarrollo de productos y mercados, la matriz de Porter, etc.

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**Palabras clave:** Reestructuración, Estrategia, Compromiso Directivo, Cambio Organizativo, Liderazgo.

## **Introducción**

Muchas organizaciones deciden reestructurar y modificar su funcionamiento ante las crisis o estancamiento; otras fracasan o logran solo parcialmente sus objetivos. La mayoría reorganiza tareas y reduce su estructura pero, luego de un tiempo, todo sigue igual. Otras tienen éxito. ¿Por qué? En el presente trabajo se responderá a este interrogante, con dos protagonistas muy importantes: la estrategia de negocios y la dirección general.

Se expondrá la relación que existe entre las reestructuraciones exitosas y los protagonistas antes mencionados, condiciones necesarias para lo primero, desde la planificación hasta la ejecución y la transformación de la cultura organizacional. La estrategia es generada por la dirección general, pero no es suficiente. Debe existir su compromiso total con lo planificado, pase lo que pase. Utilizando el estudio de un caso real a modo de trabajo de investigación de campo, se definieron los aspectos para este análisis.

Una reestructuración o reorganización muchas veces es altamente riesgosa. Se sabe aquello que se tiene que cambiar, pero no se sabe cómo, hacia dónde ir y menos cómo termina todo.

Este trabajo aporta luz en tiempos de gran competitividad y reglas de juego poco claras, donde muchas veces falla el diagnóstico y también el compromiso con un cambio estructural. Se confunden los términos, y el famoso dicho “cambiar algo para no cambiar nada” se verifica. O bien, se “da vuelta todo”, y se termina peor. O bien, se hace un excelente diagnóstico, se definen las estrategias correctas (en teoría), pero falla la ejecución porque la Alta Dirección no puso el tiempo y/o el coraje para encabezar el proceso.

Se intentará demostrar cómo una empresa puede encarar adecuadamente una reestructuración y cuándo corresponde hacerla, primero redefiniendo su negocio en forma estratégica, luego su estructura y por último adaptar su operatoria y procesos en ese camino; pero siempre con el involucramiento de la Alta Dirección (o dueños/socios del negocio), para que las cosas ocurran, como sostiene un proverbio japonés: “La visión sin acción es un sueño. Acción sin visión es simplemente pasar el tiempo. Acción con visión es hacer una diferencia positiva”.

## **Definición y alcance**

Se definen los conceptos a tratar, integrados por:

- **Reestructuración**, entendiendo por tal las modificaciones estructurales que afectan la estrategia de negocios, la táctica, las operaciones,

procesos y cultura de una organización, por causas externas del contexto o internas de su propia organización.

- **Estrategia**, entendiéndola como los pasos a seguir para llegar a determinados objetivos, en base a un análisis estratégico, y un estado deseado futuro, utilizando herramientas que permitan realizar un plan de trabajo, ejecutarlo y medirlo.

- **Compromiso de la Alta Dirección**, en grado de involucramiento, compromiso y toma de decisiones que alcance a los principales directivos de una organización, encabezándolos, asumiendo los riesgos y destinando los recursos necesarios para alcanzarlos. Es fundamental la dedicación y comunicación a toda la organización a partir de la estrategia definida.

Analizar cómo se interrelacionan entre sí será parte de esta investigación. Evaluar también las diferencias entre cada concepto, y entender sus significados. El trabajo de campo será aplicado a un caso, una empresa mediana nacional, del sector editorial, que decidió iniciar un proceso de reestructuración competitiva, y con características comunes al universo de empresas de tamaño y necesidades similares.

### **Estado del conocimiento (State of the art)**

El concepto de reestructuración empresarial (Biasca, 1991) se ha referido mayormente a procesos vinculados a lo financiero, con reestructuración de pasivos y modificación de la composición del capital, o a mecanismos de reducción de personal, incorporando gerenciamiento profesional, o a los aspectos meramente jurídicos. Otros autores y consultores como John Kotter (2002), se han referido también a aspectos vinculados con el cambio estratégico y al cambio cultural.

En la realidad no son muchos los casos donde se producen reestructuraciones consistentes, en general por falta de decisión de la Alta Gerencia o los socios. El temor al cambio y los riesgos a asumir son los principales factores, así como la falta de *know-how* para ejecutarlo, como sostienen Robert E. Quinn and Kim S. Cameron (2011).

### **Hipótesis**

Se pretende demostrar que:

Una reestructuración empresarial puede alcanzar sus objetivos si se parte de una estrategia de negocio clara y consistente y se cuenta con el involucramiento y compromiso de los más importantes decisores de la organización: Alta Dirección (o socios) para alinear a la organización en la implementación del plan estratégico trazado.

## **Metodología**

Se realizará un recorrido de diferentes autores y se abordará un estudio de un caso real, una empresa mediana que, a partir de un cambio societario, decidió iniciar un proceso de reestructuración estratégica y operativa ante el estancamiento, pérdida de competitividad e ineficiencia operativa en su funcionamiento. Ha decidido redefinir su estrategia de negocios y los procesos de gestión, modificando también su estructura actual, anticuada, con personal “quedado en el tiempo” y procesos operativos ineficientes, para reposicionarse y poder aprovechar las nuevas tendencias del sector editorial y en el que compite. La investigación se centrará en el plan estratégico adoptado y el rol y compromiso de los directivos clave para su ejecución en el tiempo.

## **Limitaciones, restricciones y objetivos de investigación:**

La investigación se centrará solamente en la empresa objeto del caso, no pretende formular una ley, simplemente entender la fenomenología desde un caso real. También se pretende investigar la comunicación interna y los procesos que, derivados de la estrategia, fueron ejecutados por los empleados para llevar adelante el plan trazado midiendo en todo momento el grado de compromiso de la Alta Dirección en la reestructuración propuesta.

Los objetivos de investigación serán entender el proceso de generación de la nueva estrategia de la organización por parte de la Alta Dirección, analizar su consistencia y comprobar el grado de involucramiento y apoyo para su ejecución por parte de esta, exponiendo los resultados obtenidos por el proceso de reestructuración sobre la operación diaria, el personal de la empresa y los principales indicadores del negocio. Demostrar que, sin una estrategia y sin el compromiso directivo, un proceso de reestructuración empresarial no podrá alcanzar los objetivos propuestos.

## **Reorganizaciones empresarias: factores clave de éxito**

Para conseguir los objetivos definidos, existen diversos factores clave de éxito, que deben cumplirse. Podemos exponerlos según las principales funciones y actividades que lleva a cabo una organización, y el modo en que se ejecutan los procesos de gestión:

- Comerciales y Marketing.
- Financieros. Deudas. Capital. Planificación.
- Estrategia de Negocios.
- Cultura Organizacional.
- Desarrollo de Productos/Servicios. Tecnología.
- Compromiso de la Alta Dirección.
- Planificación Impositiva.
- Otros.

Pero nos preguntamos: ¿hay algunos más relevantes que otros? ¿cuáles son los factores necesarios y principales? En base a nuestra experiencia profesional podemos responder que hay dos factores clave que deben cumplirse, y están en el “tope de la pirámide”. Contar con:

- 1) El compromiso de la Alta Dirección con el proceso de reorganización (liderazgo, decisión y comunicación).
- 2) Una estrategia de negocios sustentable (el rumbo a seguir).

### **Compromiso de la Alta Dirección (Commitment)**

Podemos “traducir” en tres procesos centrales la aplicación del compromiso de la Alta Dirección en la gestión de la organización:

#### **Liderar**

- Encabezar el proceso. Involucrarse. “Poner el cuerpo” y estar presentes. “El ojo del amo engorda el ganado”: esto implica que las personas que integran la Alta Dirección deben tener la última palabra en cuanto al proceso de reorganización trazado. Conducir a todos los recursos humanos de la organización hacia el camino trazado por la estrategia y asumir un intercambio permanente de tipo bidireccional, para ajustar el proceso y monitorearlo día a día
- Generar un cronograma de reuniones de los directivos con el personal para poder transmitir los objetivos a cumplir y, sobre todo, a través de la presencia física en forma simbólica, evidenciar el compromiso con el cambio propuesto.

#### **Decidir**

- Establecer objetivos. Analizar Estado Actual vs. Estado Deseado contando con un adecuado sistema de información gerencial que permita realizar el control de gestión, que indique el estado deseado comparado con la situación actual.
- Generar Planes. Evaluar recursos y generar cambios para lograr objetivos. En este sentido, implica participar en la elaboración del plan estratégico y definir las acciones que permitan llevarlo a cabo.

#### **Comunicar**

- Internamente, el personal debe conocer claramente a través del proceso de comunicación que “baja” de la Alta Dirección, cuáles son los objetivos definidos, qué cambios se prevén realizar, en qué plazos y qué consecuencias ocasionarán a la organización y a cada persona.
- Se utilizarán diferentes medios como: carteleras, *house organ*, reuniones personales, intranet, e-mail, etc. En todos los casos, debe existir un canal ascendente de recepción de propuestas.

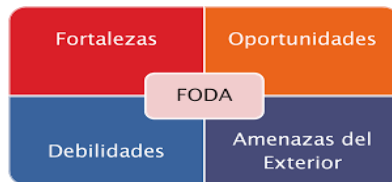
### Estrategia de negocios

La **Alta Dirección** deberá definir la misión, visión y valores; establecer los objetivos y rumbos; comunicar y supervisar la ejecución.

La **Ejecución del Plan Estratégico** implicará la realización de todos los subplanes que lo conforman, liderados por las gerencias medias (comercial, RRHH, marketing, producción, financiero, etc.).

A continuación mencionamos algunas herramientas que permiten el diseño de la estrategia de negocios:

- **Análisis FODA:** permite establecer las Fortalezas, Oportunidades, Debilidades y Amenazas de nuestra organización, en términos de la competitividad en nuestro sector de actividad. Las Oportunidades y Amenazas son factores externos a nuestra organización y no controlables por ella (ej. decisiones de política económica, desastres climáticos, inventos, etc.), mientras que las Fortalezas y Debilidades sí son aspectos propios de nuestra organización que podemos incrementar o mitigar según sea el caso (ej.: personal mal capacitado, productos anticuados, velocidad en las decisiones, etc.).



- **Matriz de desarrollo de productos y mercados:** permite establecer la relación entre el estado actual de nuestros productos y los mercados en que compiten, y los posibles nuevos productos y mercados, con las estrategias que se deberán seguir en cada caso y los riesgos que traen aparejados

		Productos	
		Existentes	Nuevos
Mercados	Existentes	Estrategias de penetración de mercado	Estrategias de desarrollo de productos o diferenciación
	Nuevos	Estrategias de desarrollo de mercados o segmentación	Estrategias de diversificación

- **Matriz de Porter , de las 5 fuerzas competitivas (estrategia y rivalidad competitiva):** expone las fuerzas competitivas que enfrenta nuestra organización, a fin de tener un panorama claro de los puntos fuertes y débiles en relación con nuestra competencia.



Además de las mencionadas, existe un verdadero “arsenal” de herramientas para el análisis de la estrategia a seguir y la determinación del rumbo más conveniente.

## **Resultados**

En un análisis preliminar según nuestra experiencia profesional, hemos encontrado que la mayoría de las organizaciones que encaran reestructuraciones no cuentan con un plan estratégico adecuadamente diseñado. Aunque parten de un correcto análisis de la situación actual, que las lleva a decidir un cambio importante en su modelo de negocios y de gestión interna, luego no contemplan los recursos que necesitan para llevar a cabo dicho plan. También resulta que los objetivos definidos son demasiado exigentes en cuanto a las capacidades y competencias internas, y en muchas ocasiones han subestimado las amenazas del entorno, y sobreestimado las oportunidades.

Por otro lado, el compromiso directivo inicialmente es alto, pero con el tiempo se va diluyendo por las obligaciones resultantes del “día a día”, menguando progresivamente la participación e involucramiento de la Alta Dirección con el proceso de cambio, y permitiendo variaciones en la ejecución de la estrategia definida, lo que es interpretado como contradicciones por parte del personal, extendiendo el menor compromiso a sus propias tareas. En definitiva, llevando a la reducción de la motivación asociada con los objetivos de los cambios propuestos por el proceso de reestructuración definido.

Es por eso, como expusimos al inicio de este trabajo, que la mayoría de los planes de reestructuración organizacional no llegan a alcanzar los objetivos definidos.



## **Conclusión y recomendaciones**

Una reestructuración empresarial puede alcanzar sus objetivos si cuenta con:

- Una estrategia de negocios clara y consistente.
- El involucramiento y compromiso de los más importantes decisores de la organización (Alta Dirección o socios) para alinear a la organización en la implementación del plan estratégico trazado.

Es decir, si no existen algunas de estas condiciones, no se llegará al cumplimiento de sus objetivos. Tampoco cumplir con estas condiciones asegura el éxito, ya que luego la pericia en la ejecución de los planes funcionales de los distintos sectores de la organización, es factor clave para llegar a las metas propuestas.

## **Recomendaciones**

Toda organización que decide cambiar su modelo de negocios y/o de gestión debe necesariamente contar con la convicción y compromiso de su Alta Dirección, y elaborar un plan estratégico que defina claramente el rumbo a seguir, los recursos con los que deberá contar y los objetivos medibles y cuantificables a obtener en un plazo de tiempo. Para ello, deben trabajar con herramientas de análisis estratégico, disponer de información confiable, y evaluar con qué recursos humanos y materiales cuentan para llegar a ejecutar los planes exitosamente, definiendo luego cómo va a adquirir dichos recursos y, a su vez, con cuáles deberá dejar de contar en la organización. La Alta Dirección deberá día a día verificar el grado de avance en el cumplimiento de las metas, y tomar rápidamente las acciones correctivas que encaucen el proceso nuevamente, estableciendo en todos los casos un fluido mecanismo de comunicación con toda la organización para reforzar su compromiso.

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