



GRIGOL ROBAKIDZE  
UNIVERSITY



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**1<sup>st</sup> Eurasian Multidisciplinary Forum, EMF 2013**

*24-26 October 2013, Tbilisi, Georgia*

*(Forum`s place: GrigolRobakidze University, Tbilisi)*

**EMF, Tbilisi, 24-26 October 2013**

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# AN ANALYSIS OF CLIMATE CHANGE IN THE UNITED STATES USING RECORD HIGH AND RECORD LOW TEMPERATURE DATA

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## **Abstract**

To test climate change or global warming theories in the United States I analyzed record high and record low data for locations in all 50 of the United States for both January and July over the entire available record. While there was a general trend of increasing numbers of record highs and decreasing numbers of record lows, most of the regional results were not statistically significant and there were many counter trend examples. Of particular interest were the record highs during the extremely hot summers of the Great Depression in 1930s.

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**Keywords:** Climate change, temperature records, global warming

## **Introduction:**

To test climate change and or global warming theories in the United States I analyzed record high and record low data for locations in all 50 of the United States for both January and July over the available record. The data was obtained from the weather.com site for one city in each state. For examples data for Kirksville, MO may be obtained at: <http://www.weather.com/outlook/health/fitness/wxclimatology/daily/63501>. The cities were chosen based upon which locations had the longest available time series of record high and record low temperature data. In some states I was able to locate data going back to the 1870s. The shortest times series I used went back to the 1930s. Record high and low temperatures were grouped based on which decade they occurred in for each state and a time series regression analysis was completed to see if the number of record highs or lows was increasing or decreasing as a function of time.

While there was a general trend of increasing numbers of record highs and decreasing numbers of record lows, most of the regional results were not statistically significant and there were many counter examples. Of particular interest were the record highs during the extremely hot summers of the Great Depression in 1930s. A sample of graphs including graphs showing the 1930s are shown at the end of the paper. No effort was made to correct for the urban heat island effect (some of the thermometers that are now in the middle of cities were in the country side in the past) and this effect would tend to bias the data toward increasing the number of record highs and decreasing the number of record lows.

## **Literature Review:**

Climate change has been studied over a variety of time periods and using a variety of approaches including satellite data, ice core data, and the analysis of a series of temperature reading from thermometers placed in various locations around the planet. Satellite data shows that over the past four decades the troposphere has warmed and the stratosphere has cooled, but satellite data only goes back to the 1970s (Satellite, 2013). The ice core data is useful for the longest time period going back several hundred thousand years and showing fluctuations

in the earth's temperature of around 10 °C from ice ages to inter glacial warm periods like the present age (figure 1).

Both CO<sub>2</sub> and temperature data may be obtained from the ice core data, but in the case of temperature no direct measurement is possible. The temperature values are estimated from different isotopes of oxygen and hydrogen. The methodology is based on the assumption that different isotopes evaporate at different rates depending on the temperature. It is generally considered that the best estimate of temperature from ice cores is based on the use of both Oxygen-18 and Deuterium. A strong correlation between CO<sub>2</sub> levels and temperature is apparent in the ice core data (Ice Cores, 2013).

The popular model of climate change or global warming is that human created CO<sub>2</sub> is driving an increase in temperature around the Earth as stated by the Intergovernmental Panel on Climate Change. The 1990 executive summary of the Working Group I Summary for Policymakers report says they are certain that emissions resulting from human activities are substantially increasing the atmospheric concentrations of greenhouse gases, resulting on average in an additional warming of the Earth's surface.

The IPCC calculate with confidence that CO<sub>2</sub> has been responsible for over half the enhanced greenhouse effect. They predict that under a "business as usual" (BAU) scenario, global mean temperature will increase by about 0.3 °C per decade during the 21st century. They judge that global mean surface air temperature has increased by 0.3 to 0.6 °C over the last 100 years, broadly consistent with the prediction of climate models, but also of the same magnitude as natural climate variability. The IPCC believe that a definitive detection of the enhanced greenhouse effect is not likely for a decade or more.

*Climate Change 1995*, the IPCC's Second Assessment Report (SAR), was finished in 1996. The Summary for Policymakers of the Working Group I report contains headings:

1. Greenhouse gas concentrations have continued to increase
2. Anthropogenic aerosols tend to produce negative radiative forcings
3. Climate has changed over the past century (air temperature has increased by between 0.3 and 0.6 °C since the late 19th century; this estimate has not significantly changed since the 1990 report)
4. The balance of evidence suggests a discernible human influence on global climate (considerable progress since the 1990 report in distinguishing between natural and anthropogenic influences on climate, including aerosols; coupled models; pattern-based studies)
5. Climate is expected to continue to change in the future (increasing realism of simulations increases confidence; important uncertainties remain but are taken into account in the range of model projections)
6. There are still many uncertainties (estimates of future emissions and biogeochemical cycling; models; instrument data for model testing, assessment of variability, and detection studies)

(Intergovernmental Panel, 2013).

Other scientists have questioned if the correlation between CO<sub>2</sub> and temperature in the ice core data indicates that CO<sub>2</sub> is driving temperature increases or if temperature increases are driving CO<sub>2</sub> increases:

Indermühle et al. (2000) found that CO<sub>2</sub> lags behind the temperature by 1200±700 years, using Antarctic ice-cores between 60 and 20 kyr before present (figure 2).

Fischer et al. (1999) reported a time lag of 600±400 yr during early de-glacial changes in the last three glacial–interglacial transitions.

Siegenthaler et al. (2005) found a best lag of 1900 years in the Antarctic data.

Monnin et al. (2001) found that the start of the CO<sub>2</sub> increase in the beginning of the last interglacial period lagged the start of the temperature increase by 800 year (Shaviv, 2007).

Many scientists believe that the primary driver of climate change on planet earth is changes in solar activity. See for example Bond et al. (2001), Dansgaard (1984), and Friis-Christensen et al. (1999). A good summary of this research is Fred Singer's *Unstoppable Global Warming* (2007).

The third primary source of temperature data comes from a series of thermometers placed all over the planet. The IPCC assessment indicates that the global air temperature has increased by 0.3 to 0.6 °C over the last 100 years. Given the complications of averaging the temperature changes in the readings of a large number of thermometers from locations all over the planet to obtain a global mean temperature, it is questionable whether the errors bars in this analysis are less than 0.6 °C. Evans (2010) discusses some of the complications with this sort of analysis. This series of thermometers is the data set that is analyzed in this paper. Most of the regression results are found to be consistent with global warming, but the results are largely not statistically significant and there many interesting counter examples.

Hansen et al. (2010) of the National Aeronautics and Space Administration (NASA) have studied the modern thermometer record and believe that 2010 was the hottest year on record. Mann et al. (2004) have studied a combination of tree ring data and the modern thermometer record and believe that the twentieth century is the hottest century on record. The highest temperature ever recorded on earth was 56.7 °C (134 °F) on July 10, 1913 in Death Valley, CA (List).

Meehl et al. (2009) found a relative increase of record high maximum temperatures compared to record low minimum temperatures in the United States as a function of time since the 1950s. Their data set starts after the very hot period of the 1930s.

### **Methodology:**

Simple regression analysis is used to attempt to fit the available data to the equation  $y_i = mt_i + b$  by solving for the coefficient,  $m$ , and the  $y$ -intercept  $b$ . For time-series analysis,  $y_i$  is the number of record highs or record lows in a given decade and  $t_j$  is a given decade.

Regression analyses yields not only the best fit values for  $m_j$  and  $b$ , but also an indication of how good the data fit is which is reflected in the  $t$ -statistics,  $t$ , and the coefficients of determination,  $R^2$ . The  $t$ -statistic is equal to the slope,  $m$ , divided by the standard error of the slope and indicates how significant the  $t$  values are in predicting the  $y$  value. For large sample sizes,  $t$ -statistics greater than 2.6 are considered significant at the 1% confidence level, and  $t$ -statistics greater than 1.96 are considered significant at the 5% confidence level for large samples. The longest data sets we use run from 1870 to 2000 or for 14 decades. The  $t$ -stat for a 95% confidence level and 14 data points is 2.145. For a more detailed discussion of regression analyses see DeFusco et al. (2001).

### **Empirical Results:**

As can be seen in table 1, most of the regressions do show that the number of record high temperatures in the US has been increasing and the number of record low temperatures in the US has been decreasing during the last century, but less than 20% of the regressions have statistically significant  $t$ -statistics. There are many interesting counter examples; graphs of which are shown at the end of this paper. The most significant of these counter examples is the 1930s in the Midwest which for many states have by far the largest number of record highs during the 20<sup>th</sup> century.

### **The summers of 1930s in the Midwest United States:**

The most interesting and most extensive counter trend examples are the summers of the 1930s during the Great Depression in the Midwest and several other US locations. Most of the Midwest record high July graphs show a huge spike during the 1930s making this the hottest decade on record at least for the U.S. Midwest. During this time period the farmers

of the American Midwest experienced the well know dust bowl. A series of graphs demonstrating the record high dominance of the summers of the 1930s are shown at the end of this paper. For example large 1930s record high spikes are shown for Homer, AK, Champaign, IL, Kirksville, MO, Billings, MT, Lima, OH, Tulsa, OK, Roanoke, VA, and Green Bay, WI.

### Conclusions and Discussion:

While the data does tend to show that the U.S. has grown warmer over the past 100 years the evidence is rather weak. There is a general trend of increasing numbers of record highs and decreasing numbers of record lows, but most of the regional results are not statistically significant and there are many counter trend examples. Of particular interest in the U.S. are the Midwest summers of the 1930s. Record high July temperatures were most likely to occur during this time period for many locations. Since no effect was made in this analysis to correct for the heat island effect (some of the thermometers that are now in the middle of cities were in the country side in the past) and this effect would tend to bias the data toward increases the number of record high temperatures and decreasing the number of record low temperatures, the support for a warming North America during the 20<sup>th</sup> century is even weaker.

I would like to thank my Quantitative Analysis classes at Northeastern State University and my Data Analysis classes at the Rochester Institute of Technology for their assistance with this project.

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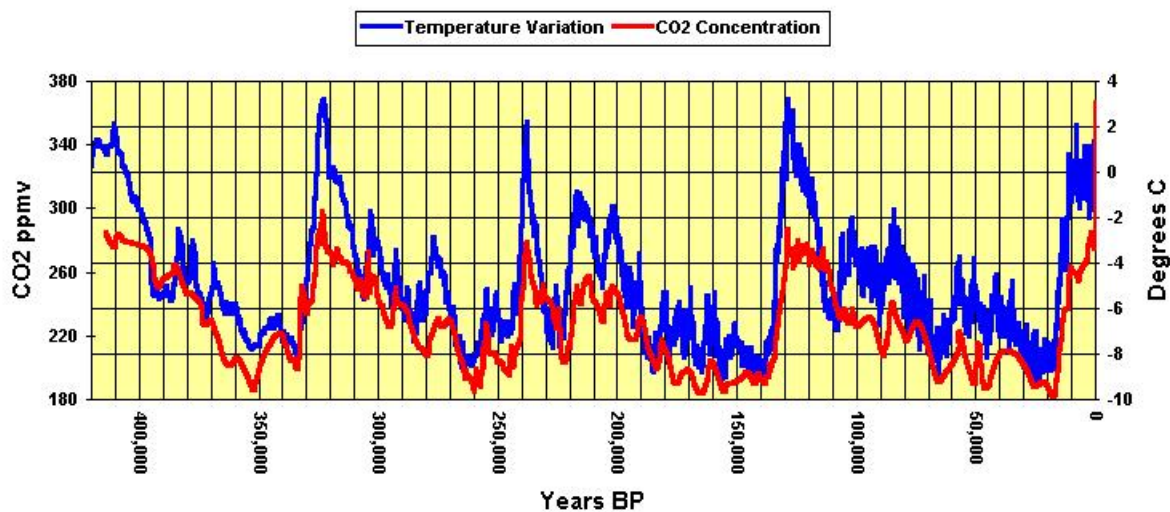
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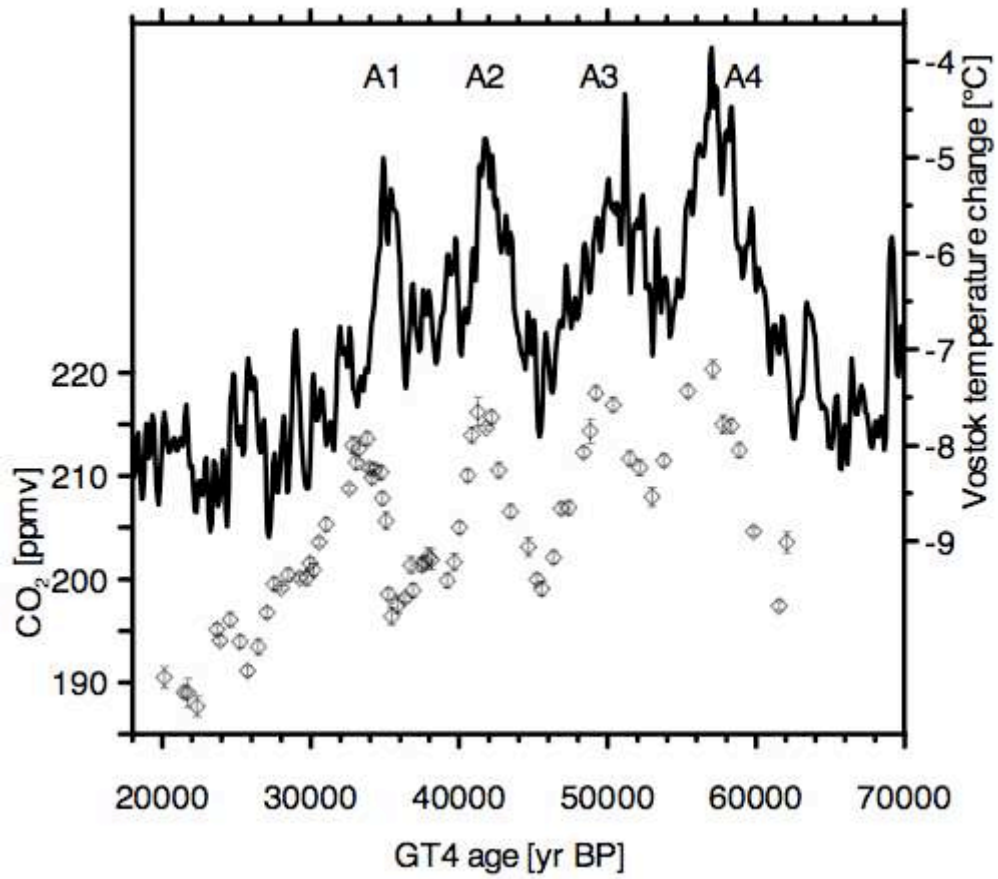
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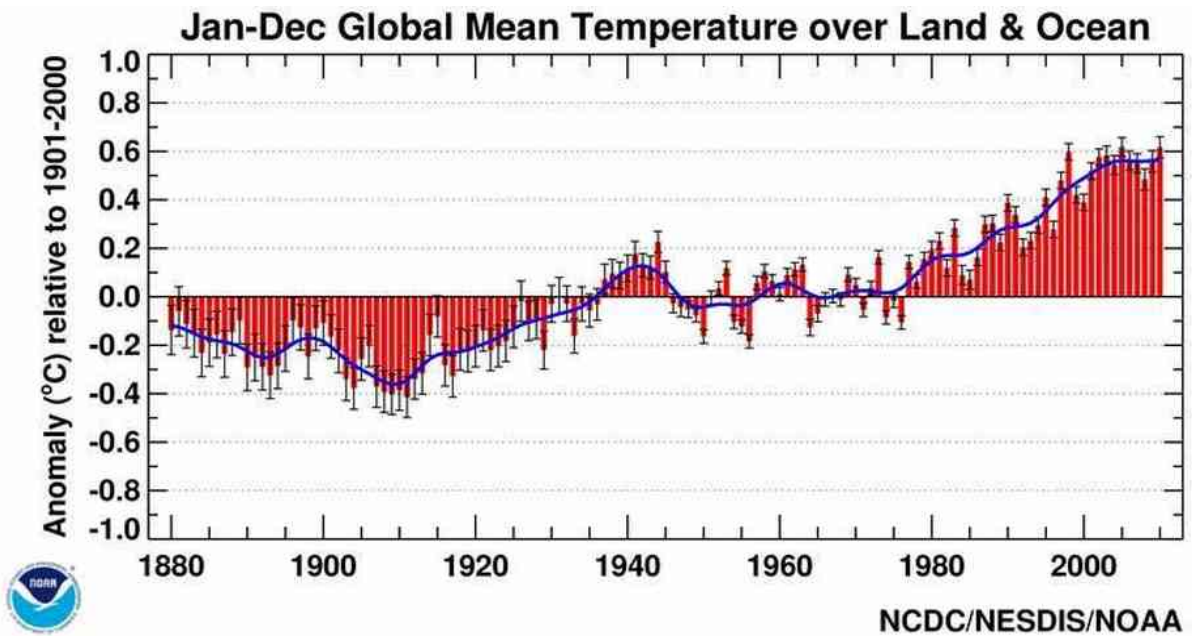
## Antarctic Ice Core Data 1



(figure 1)



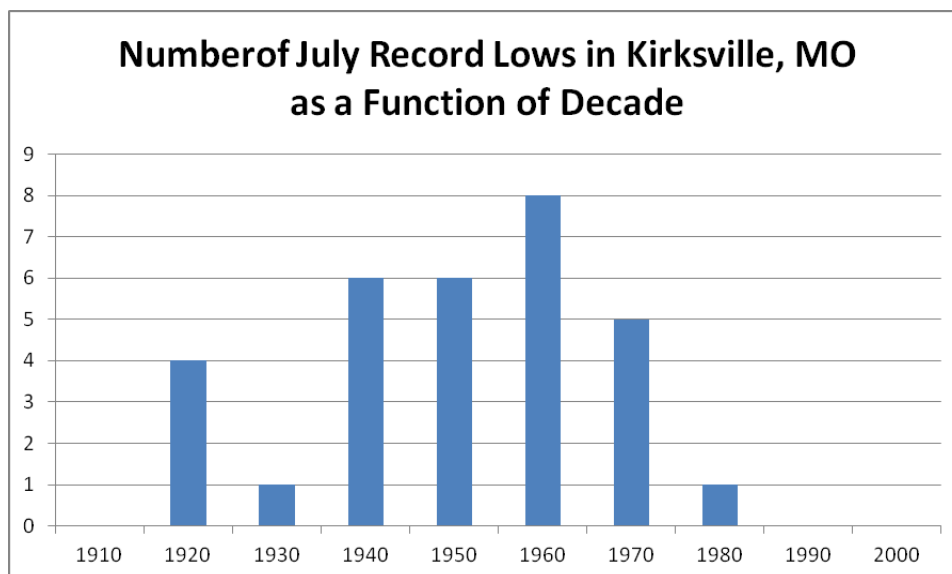
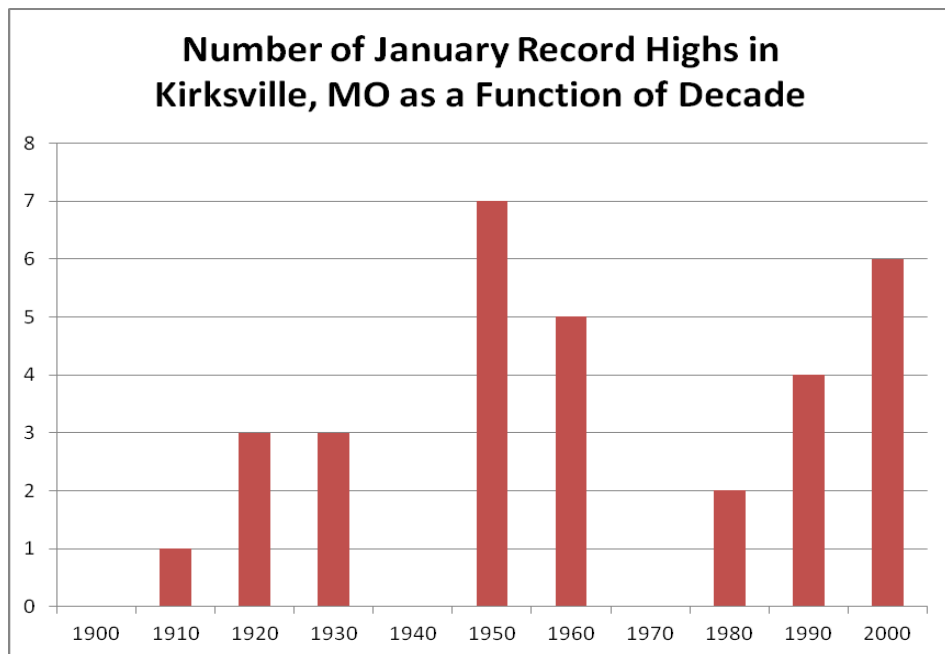
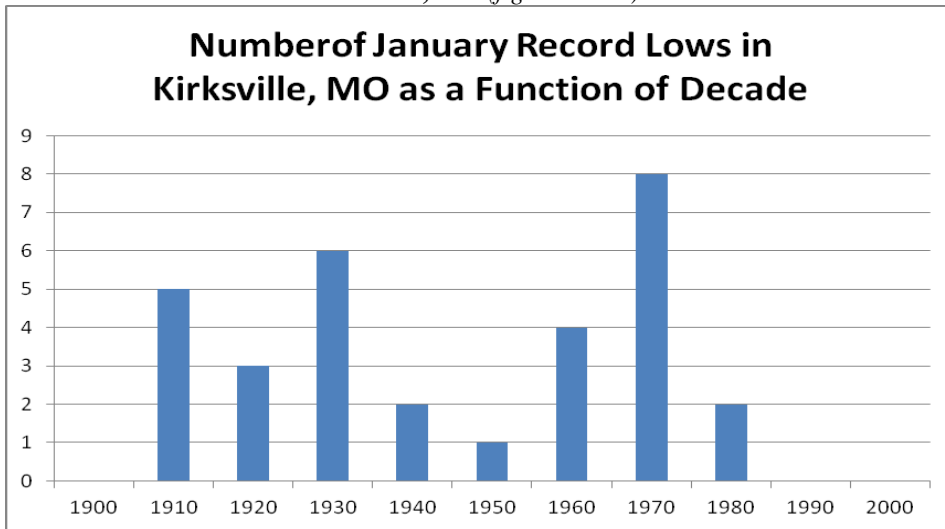
(figure 2)

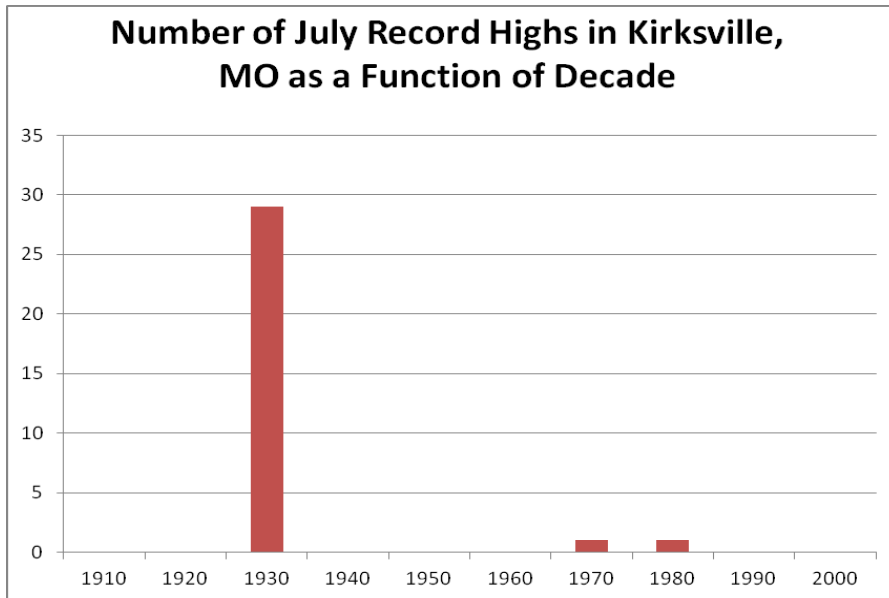


(figure 3)

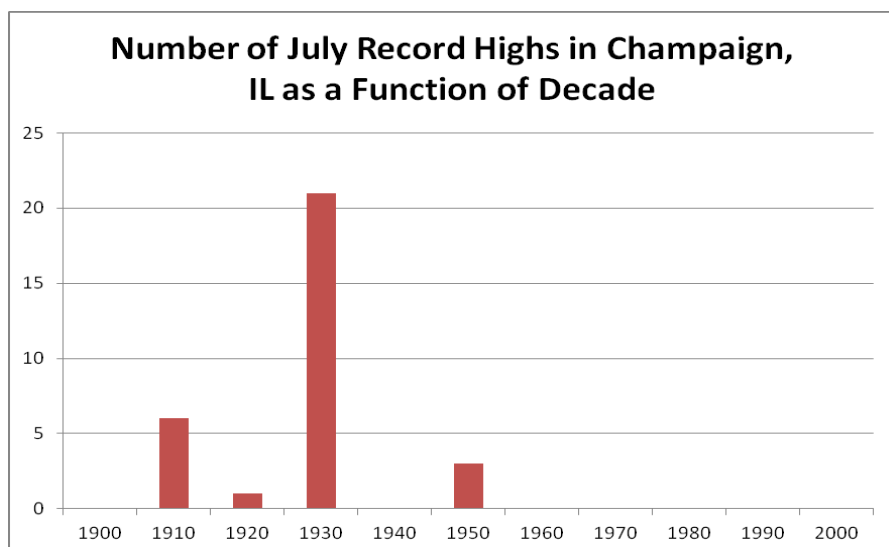
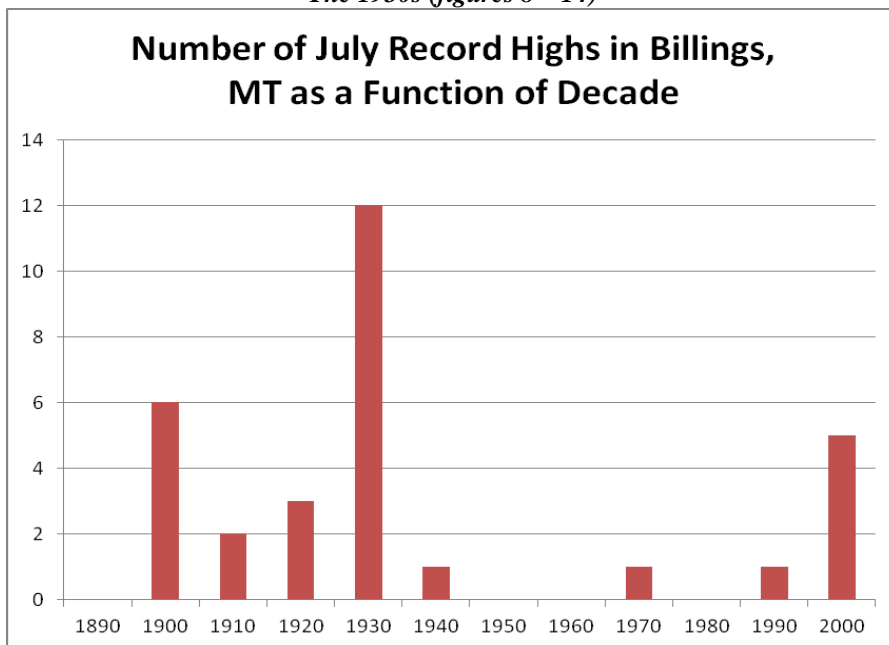


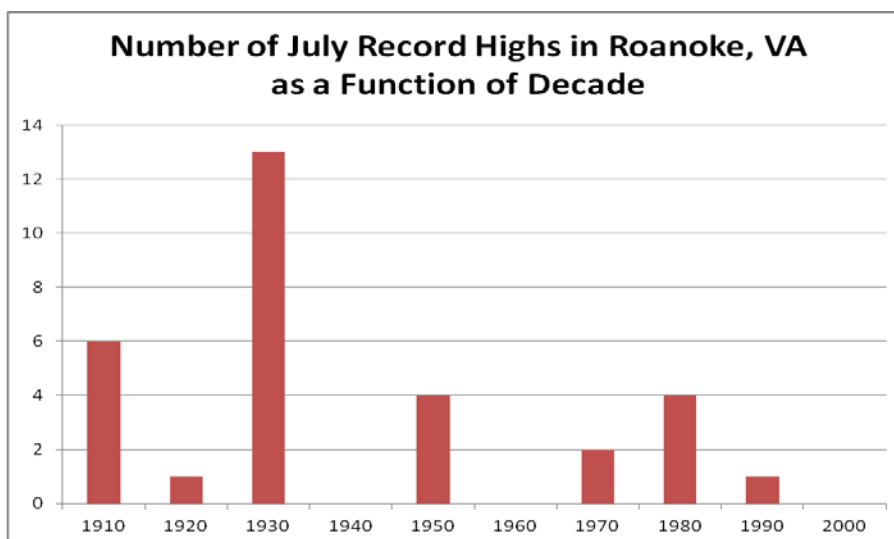
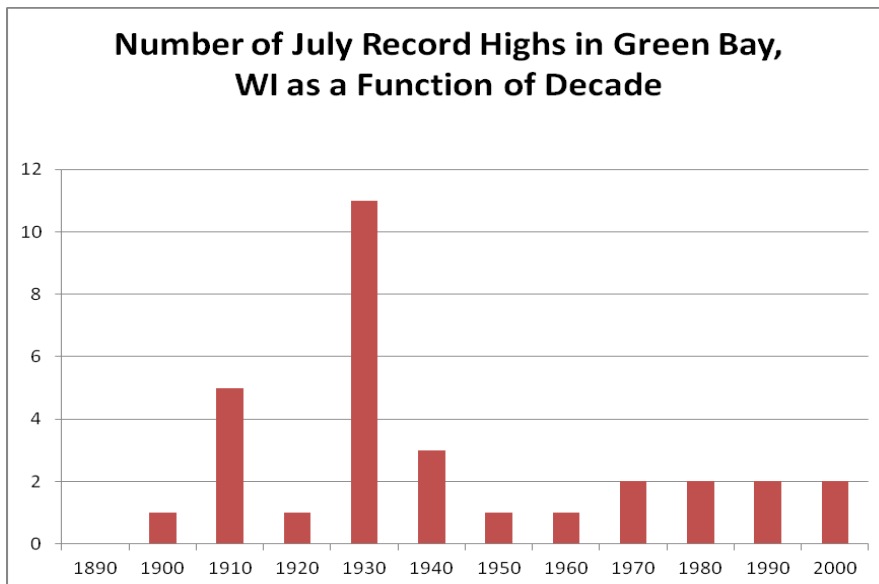
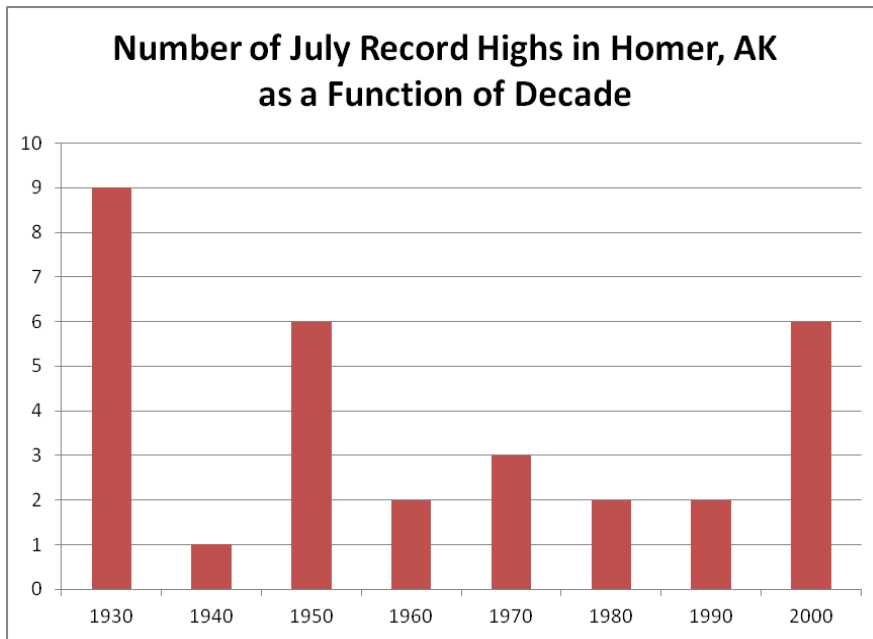
*Kirkville, MO (figures 4 – 7)*

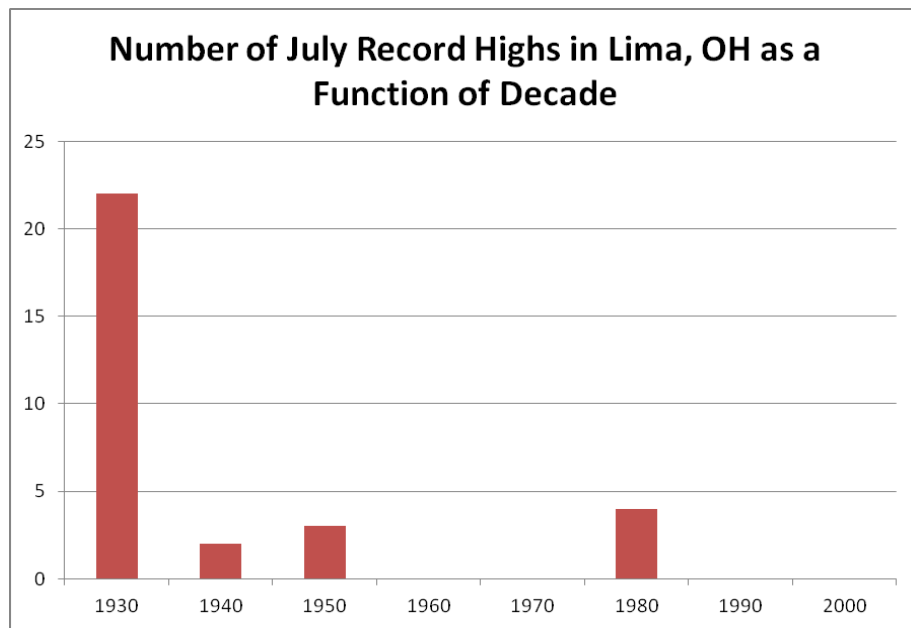
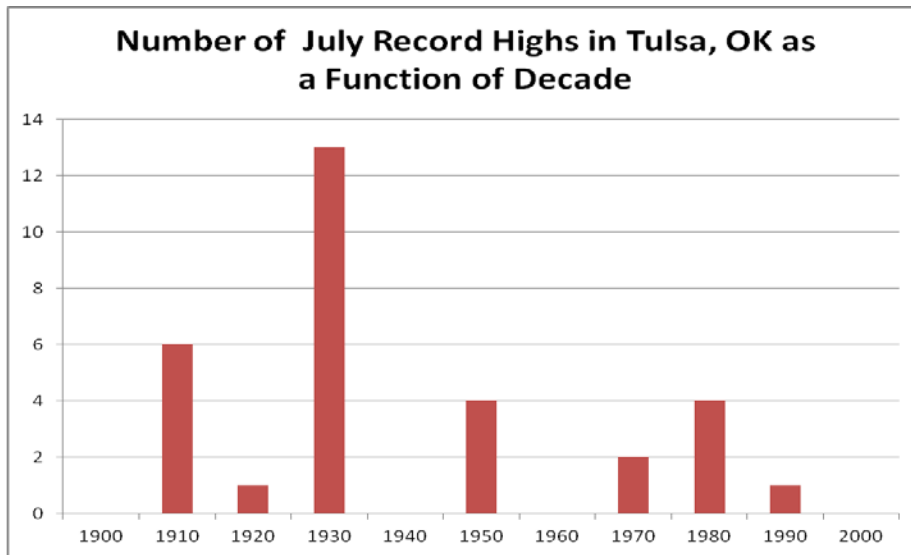




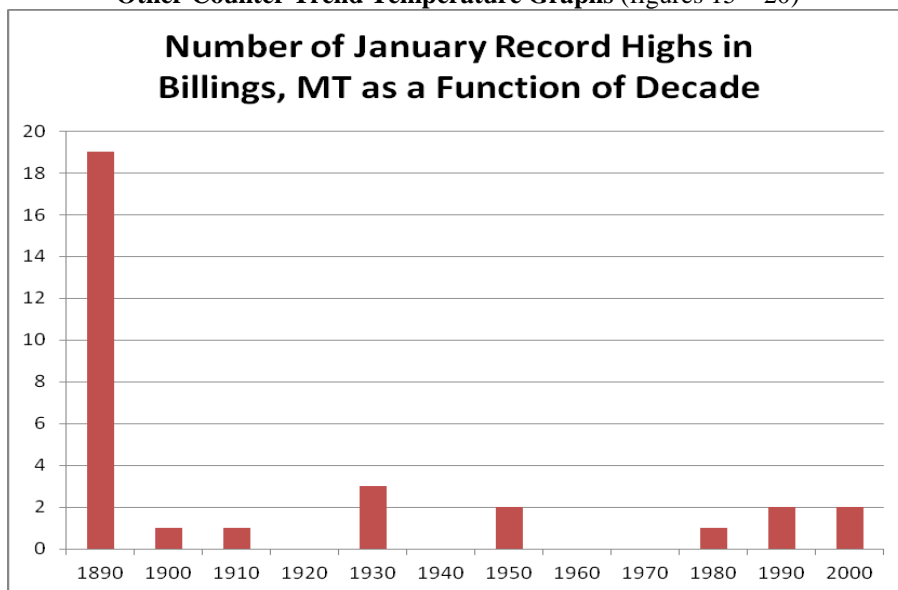
*The 1930s (figures 8 - 14)*

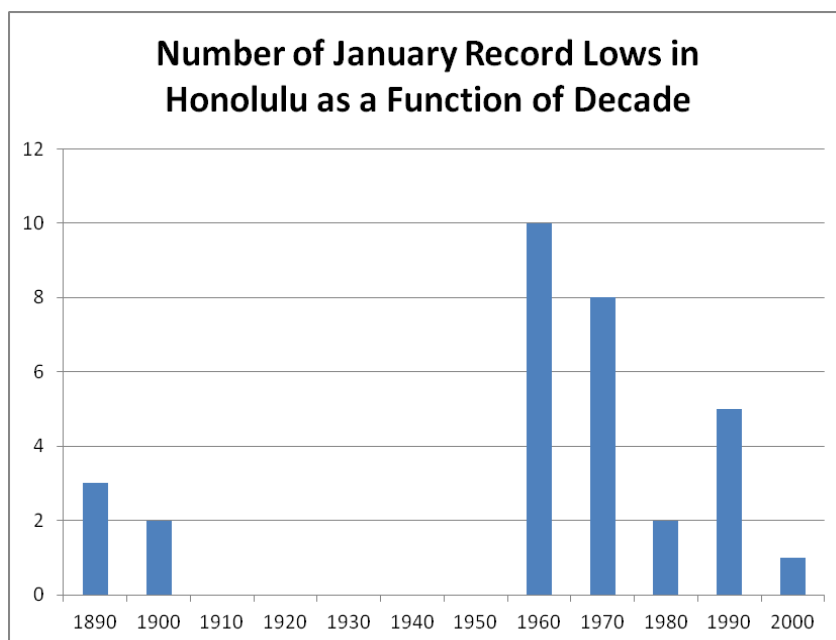
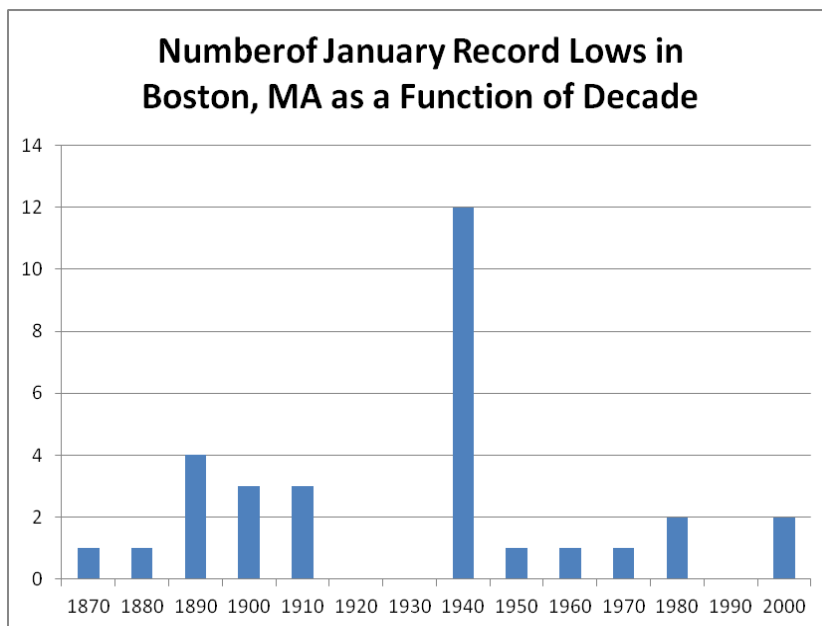
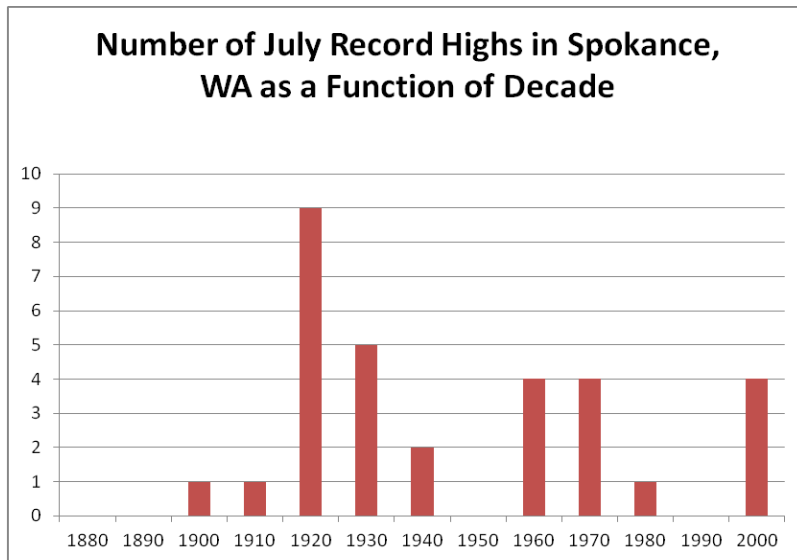


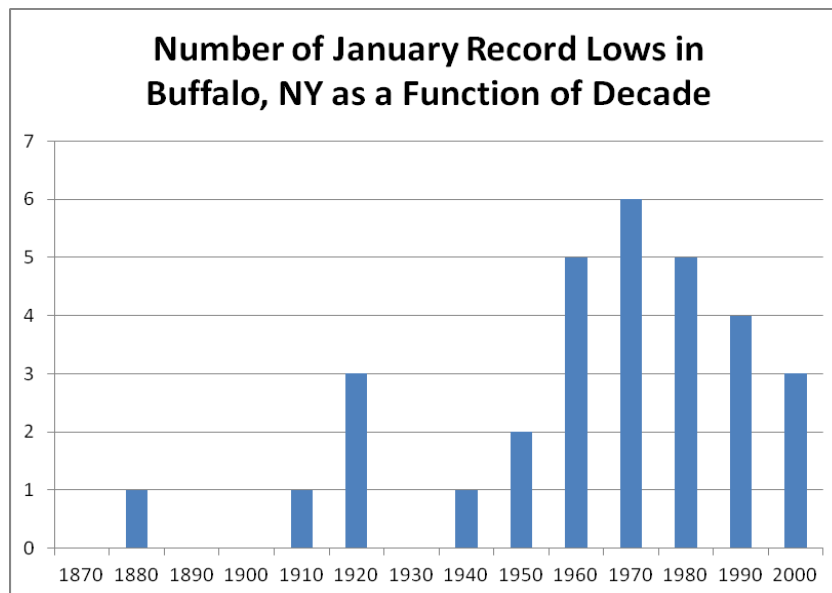
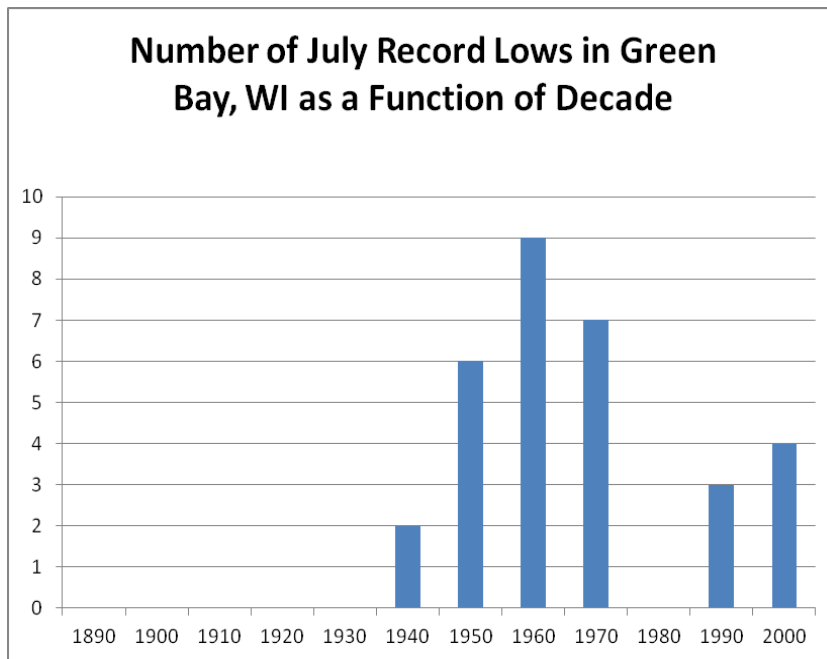




**Other Counter Trend Temperature Graphs (figures 15 – 20)**







(table 1)

|         | High          |               | (t-stats) | Low           |               | Start Date |
|---------|---------------|---------------|-----------|---------------|---------------|------------|
|         | January       | July          |           | January       | July          |            |
| AL      | -0.029        | 0.975         |           | -0.103        | 0.036         | 1900       |
| AK      | 0.000         | 0.844         |           | -0.462        | <b>-2.885</b> | 1920       |
| AZ      | <b>2.332</b>  | <b>2.331</b>  |           | -1.104        | -1.503        | 1870       |
| AR      | <b>2.919</b>  | <b>2.682</b>  |           | -1.340        | 1.801         | 1880       |
| CA      | 1.672         | <b>2.448</b>  |           | -1.135        | <b>-2.284</b> | 1880       |
| CO      | 1.442         | <b>2.522</b>  |           | -1.292        | <b>-2.846</b> | 1900       |
| CT      | 0.040         | -0.425        |           | 0.000         | -0.676        | 1920       |
| DE      | 0.838         | -0.122        |           | 0.658         | 0.411         | 1890       |
| DC      | 1.691         | 1.302         |           | <b>-2.600</b> | -1.867        | 1870       |
| FL      | <b>2.135</b>  | <b>2.437</b>  |           | -0.396        | -1.303        | 1890       |
| GA      | 1.252         | 1.739         |           | 0.276         | -0.766        | 1880       |
| HI      | 2.564         | 0.783         |           | 1.107         | -1.630        | 1890       |
| ID      | -0.119        | 0.906         |           | <b>-4.185</b> | 0.887         | 1930       |
| IL      | -1.346        | -1.046        |           | -1.060        | <b>-4.004</b> | 1900       |
| IN      | <b>-2.768</b> | -1.451        |           | -0.798        | <b>-2.151</b> | 1900       |
| IA      | 1.213         | -0.919        |           | 0.175         | -1.010        | 1890       |
| KS      | 0.928         | 1.816         |           | -1.728        | -0.756        | 1890       |
| KY      | 1.388         | 0.356         |           | 1.039         | 1.088         | 1870       |
| LA      | 1.875         | 1.896         |           | 1.148         | <b>2.297</b>  | 1870       |
| ME      | 1.156         | 0.287         |           | 1.549         | 1.450         | 1870       |
| MD      | 0.506         | 1.237         |           | <b>-3.179</b> | <b>-3.727</b> | 1890       |
| MA      | 1.277         | 0.563         |           | -0.260        | <b>-2.953</b> | 1870       |
| MI      | 0.733         | -0.624        |           | 0.857         | -1.947        | 1890       |
| MN      | 1.184         | 0.492         |           | -1.727        | 0.211         | 1870       |
| MO      | 1.025         | -0.812        |           | -1.430        | -0.504        | 1910       |
| MT      | -1.562        | -0.577        |           | <b>-2.233</b> | <b>-3.105</b> | 1890       |
| NE      | 0.789         | -1.953        |           | -0.650        | 1.600         | 1930       |
| NV      | 0.430         | 0.984         |           | -1.806        | -1.262        | 1880       |
| NH      | 0.279         | 1.628         |           | 0.624         | <b>-3.723</b> | 1920       |
| NJ      | 0.198         | <b>-3.152</b> |           | -0.077        | -1.096        | 1930       |
| NM      | 1.361         | <b>2.295</b>  |           | -0.175        | <b>-2.475</b> | 1890       |
| NY      | 1.311         | 2.108         |           | <b>3.679</b>  | 1.018         | 1870       |
| NC      | -0.324        | -0.382        |           | 0.028         | 0.030         | 1900       |
| ND      | 1.036         | 0.357         |           | -1.333        | 0.154         | 1880       |
| OH      | -0.225        | -1.970        |           | -0.366        | -2.810        | 1930       |
| OK      | 0.547         | -0.782        |           | -1.451        | 0.874         | 1900       |
| OR      | -0.094        | 1.197         |           | -1.158        | 0.886         | 1910       |
| PA      | <b>2.263</b>  | 1.657         |           | 0.263         | 0.550         | 1890       |
| RI      | <b>2.037</b>  | <b>2.344</b>  |           | 0.484         | 0.426         | 1900       |
| SC      | -0.256        | 1.897         |           | 0.083         | -1.732        | 1930       |
| SD      | 0.638         | -0.015        |           | -1.010        | -1.322        | 1890       |
| TN      | 1.990         | 1.064         |           | -0.724        | -0.275        | 1870       |
| TX      | 1.363         | 1.922         |           | -0.915        | -0.767        | 1880       |
| UT      | 0.900         | 2.103         |           | -1.039        | -1.704        | 1920       |
| VT      | 0.463         | -0.405        |           | -0.797        | -0.463        | 1930       |
| VA      | -0.241        | -0.518        |           | 0.675         | <b>-2.198</b> | 1910       |
| WA      | 0.294         | 0.479         |           | -1.365        | 1.110         | 1920       |
| WV      | -1.105        | -0.747        |           | 0.621         | 0.035         | 1900       |
| WI      | 0.523         | -0.231        |           | 0.299         | 1.999         | 1890       |
| WY      | 1.526         | 1.873         |           | <b>-2.997</b> | <b>-2.827</b> | 1870       |
| Average | 0.731         | 0.608         |           | -0.545        | -0.818        |            |
| SD      | 1.104         | 1.371         |           | 1.320         | 1.631         |            |

# THE ROLE OF ECOLOGICAL CULTURE AS AN INDICATOR OF SUSTAINABLE DEVELOPMENT OF RELATIONS BETWEEN SOCIETY AND NATURE

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## Abstract

The paper explores pedagogical, psychological, philosophical, social, cultural and scientific sources, the approaches to modern interpretations of ecological culture and cultural ecology, also the culture of transformative processes in the relationship between society and nature is studied, subsystem of ecological culture is determined, and internal and external processes of their interaction are also exposed.

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**Keywords:** Ecological culture, education, ecological awareness

## Introduction:

Modern ecologization of culture has ideological humanistic paradigm implications, based on straight anthropocentrism, already exhausted and in need of revision. Men must realize their place as the part of natural space and realize own creative role in maintaining natural balance. This awareness creates a new ideological paradigm – ecologically centrist value system, organized social development objectives of maintaining nature, providing the public an opportunity to successfully meet the challenges of preserving nature and the environment in a condition suitable for life.

Russian scientist A. Margaryan claimed that the general culture, on the one hand is the result of the relationship between man and nature, on the other hand - level of development depends on such an important occasion for us, as the methods and forms of human interaction with environment. Within the general culture he identifies three subsystems: natural and ecological, reflecting the adaptation of society to the biophysical environment, social and ecological, which reflects the procedure of relations between different elements of society, social and regulatory directed to maintain their own social system as a whole, which explains place in the structure of ecological culture of contemporary culture.

However, the diversity of conceptual and categorical apparatus of ecological culture-logical relationships between society and nature, needs refinement, and installation processes characteristics of interaction between subsystems.

## Main Text:

**Previously isolated parts underlining process. Purpose** is to establish the role of culture in forming ecological consciousness of society as a prerequisite for sustainable development.

**Objective** is to analyze pedagogical, psychological, philosophical, social, cultural and scientific sources to identify approaches to modern interpretations of ecological culture and cultural ecology, study transformative processes cultures in the relationship between society



and nature, to isolate subsystems of ecological culture (interaction of education, science, education, and ethics).

**Research methods** are cultural and educational.

**Analysis of recent publications.** The term "ecological culture" emerged relatively recently - in the 20-th ("cultural ecology" and "ecological culture" in J.Steward). Contents of this concept in the interpretation of various authors have a fairly wide margin. Dictionary definition takes "Ecological Culture - a set of norms, beliefs and attitudes that characterize the attitude of the society, its public groups and individuals to nature".

In some cases, a special ecological culture is inherent in "ecological community" (Brotherhood) (C.Zabyelin, 1998; B.Vernadsky, 2001), while others speak of "ecological vanguard" of society (L.Milbrath, 1984; O.Yanytsky, 1996). It is formed as a type of cultural reflection that occurs in the era of modernization and growth of population notions (M.Douglas, A.Wildavsky, 1982; M.Douglas, 1992; R.Murphy, 1997) as a specific type of protest culture that occurs at the intersection growing expectations in the words democracy and reducing the direct ecological quality accommodation of million people (A.Touraine et al., 1983; A.Vari, P.Tamas, 1993; A.Temkina, 1997) as a specific slice of human culture, the determining dominant mode of production, such as the element that limits the appetite of agents of the capitalist market (R.Dickens, 1992). Ecological culture is treated as well as a specific kind of ethics, moral imperative or system commands (E.Partridge, 1981; V.Boreyko, 1999; V.Boreyko, N.Morohin, 2001).

As a type of human, ecological culture inherited from its relationship with the environment that promotes healthy lifestyles, sustainable socio-economic development, ecological security of the country and every individual. It is also a means of self essential powers of man in a specific environment.

**The main research material.** In modern economic literature there are two basic approaches to the consideration of ecological culture of society that do not contradict each other, but are complementary. In ecological culture of the society it can be approached from an ecological and cultural aspects, that it can be studied as a culture of ecological activities and how ecological aspect of culture. In the first case, the ecological culture of a society is defined as the configuration of all the results, which reached society in the preservation and restoration of the natural environment of its existence. The second, and when it comes to the ecological aspect of culture, there are means of overcoming the historically emerging forms of hazardous ecological changes caused by subject-transforming human activities.

Ecological Culture of Society serves primarily as a qualitative characteristic of social and natural interaction in terms of modern ecological requirements, which include not just a set of techniques of nature, not just the main types of human relationship with nature: object-practical, artistic and practical, spiritual and practical, but the extent of their compliance with science-based standards and requirements of general and social environment. It should be emphasized that the ecological culture methods designed to characterize the interaction between society not only with nature but also with social and historical environment, i.e. the environment in the broadest sense. This idea is similar to A. Peccei ideas that are worth being engaged in research opportunities to achieve a society that would be developed, it was dynamic, was "the optimal or suboptimal equilibrium with both its external and internal ecological factors. Of course, such a society that is in harmony with nature and with ourselves, perhaps our only remote, long-term goal, but such is carefully studied and prepared today".

Cultural ecology - a school of philosophy, founded by the American neo evolutionists L. White and J. Steward in the middle of the twentieth century. They substantiate its priority scientific positions, namely: 1) cultural development is by increasing the efficiency of use of natural resources, and this in turn leads to an increase in population, productivity and economic specialization, and 2) the evolution of culture is determined by the need to adapt to

the natural environment, societies that are similar to natural conditions and at approximately the same level of technological development, evolving in this way, even if they are geographically located far from each other and not in contact with each other, and 3) the genesis of cultural forms arises from the relationship between the natural environment and level of technological dynamics of society.

Cultural ecology studies the characteristic of a particular society cultural traits that have arisen in the process of adaptation to natural environment the ratio of habitats and technology inherent in a particular culture, especially the use of public food and other natural resources; behaviors related to technology development of natural resources and the impact on other aspects of the first culture specific adaptation to each other the different parts of culture. Seeks to explain the origin of cross-cultural differences and general laws applicable to any situation of cultural and natural interaction, as well as to answer the question, whether societies requires adaptation to the environment develop specific behaviors or consolidation has enough inherent cultural traits.

Among the various forms of culture one of the leading places in our time takes its protected form. To paraphrase Oswald Shpenhera, we can say that the ecological culture is a person's ability to live life to experience the world, to try and adjust it to yourself, your needs should meet the structure of the environment. In other words, ecological culture is targeting human activity (including the impact of such activities) aimed at organizing and transformation of the natural world (objects and processes) to suit your needs and intentions.

Ecological culture is considered as: 1) Historically, a certain level of social development, creative powers and abilities, expressed in forms and types of life and created human values, which is characterized by a profound and general awareness of ecological issues in the dynamics of humanity, 2) Ecosphere society that includes relevant ecological needs, attitudes and institutions, and 3) use of the environment on the basis of knowledge of the natural laws of the biosphere including immediate and long-term effects of nature changes under the influence of human activities. Cultural ecology as an integral part of human culture, developed on the basis of professional ecological education, public awareness and education ecosystem thinking that view of nature as an integrated planetary living shell of the Earth, consisting of a self-regulating ecosystem. Maintaining unity and maximum productivity latter promotes conservation and sustainable use of the entire biosphere.

Cultural ecology is based on the best humanistic and cultural traditions. It creates eco-humane, benevolent, and that is respect for all life forms and conditions that it provides.

Ecological culture is aimed, on the one hand, at the liberation of man from natural rigid determination, and the other - to harmonize the relationship between society and the surrounding natural environment. As already noted, the culture in general, inherently, is ecological in nature, as ecological culture can be defined as a program, materialized in the activities on which an ecological building its historically specific process of interaction with nature. M. Tarasenko in his "Nature. Techniques. Culture" research work interpreting ecological culture as a kind of ideological "image of the world", which reflected a state of social and natural relationships that characterizes their harmonious unity, efficient human exploration of the natural and social reality and strengthening this course of their own individual identity.

Some scholars characterize the ecological culture in the presence of ideological values concerning nature, diverse in depth knowledge of the environment (natural and social), acquired skills and experience during solving ecological problems (especially at local and local levels), ecological style of thinking and responsible attitude to nature and their health; direct participation in ecological activities; anticipation of possible adverse effects NATURAL transforming activity. Ecological culture must be always in the mind, it should be a behavior of the individual.

*The fundamental principle* of ecological culture can be considered under the principle of social and natural within a single system. Establishment of compliance in all spheres of public life contributes, on the one hand, the ecological and the other - the harmonization of the social system. Ecological culture expresses as the development of the subject transforming nature activities under the social and natural components as a single system. It also contributes to the harmonization of relations between society and nature and formation of a new type of person - a person age noosphere, as well as acting regulator of ecological performance. The specificity of functioning of this activity stems from the fact that it permeates all components of culture and seeks to harmonize the social and natural relations. Ecological culture is a kind of "code of conduct" that underlies ecological - activity and behavior. It includes a cross-section of the public to the method of self-realization man himself in nature, cultural traditions, experience, moral feelings and moral assessment of man's relationship to nature.

The content, ecological culture is set of knowledge, norms, stereotypes and "rules of conduct" man in the surrounding natural world. Although the phenomenon of ecological culture is the property of the XX century, the ecological component of culture can be argued from the very beginning of the appearance of man. This component is manifested as a set of specific rules ecologically, «prohibitions» and "permits".

The functions of ecological culture may also include : educational - the formation of certain behavior on the nature of both individuals and society as a whole; predictive - creating opportunities predicting the effects of human activity , the results of the transformation of nature, regulatory - management of society's attitude to nature in the business.

*However, the main feature of ecological culture is expressed in its purpose - of relations between society and nature so that it takes into account the practical needs of society and the "desire " of nature to maintain the stability of its own normality and thus preserve the conditions for the existence and development of mankind.*

The structure of ecological culture apart from conservative analysis and creative components can be considered similar to the structure of ecological consciousness: individual and mass, domestic and theoretical. In the ecological culture of the individual there is a process display of personal expression of era ecological consciousness, scilicet ecological world view point of the individual is emerging in the process of mastering the skills of practice concerning nature. Ecological culture is the subject of the transformation of nature in a culture of social and cultural identity. Merging these two types of culture - group and individual - is the formation of a coherent ecological culture historical period.

*Cultural transformative processes concerning relations of nature and society depend on eco-social, socio-ecological, natural and ecological, social and regulatory factors that may serve as indicators of transformation and change of ecological culture or cultural ecology as social phenomena.*

*The measure of ecological culture* is the ecological ethics. Focusing on the problems of the biosphere, all living things, it creates the preconditions of actions aimed at the conservation and development of human and natural life. In ecological ethics in the field of moral relations but relations have traditionally considered "human -human", " human - society" also included a number of relations "human - nature."

The main property, ecological ethics related to priority concern for the natural living conditions of future generations. Forecasting the future involves taking care of the present and distinguishes ecological ethics from the traditional areas of ethics.

Summary of ecological ethics provide a suggestion of the need for these requirements: the rejection of any action that can undermine the possibility of the existence of future generations to generations degree of responsibility in making decisions regarding the status and development of the environment, to avoid possible negative impacts of current interest generations that can harm the interests of future generations.

However, these aspects of ecological ethics, designed to ensure the harmonization of the interaction between man and nature, and could be implemented if they permeate nearly cover a variety of areas of human activity, including education, politics and others. Only in this case ethics, rich ecological sense, does not remain wishful thinking and will bring the emergence of a new ecological society.

An ecological ethics is increasingly important for humanity as a separate and distinct element of the spiritual culture of each individual. Without adherence to ecological ethics there is no ecologically correct regulation of the relationship of nature and humanity which embraces ecological culture of man. The basis of ecological ethics is ecological thinking and philosophy, which are formed in the process of ecological education and education.

*Thus, ecological culture is a survival ethic and moral imperative of ecological commandments for society as a whole and the individual in particular. It provides support through the process of the formation of ecological world view of every human, his/her self-improvement (change the inner nature of the individual) as ecologically conscious, and ecological social attitude towards nature.*

Ecological culture, education and training are categories that reflect stages in the formation of a human being. Knowledge systems aimed at mastering the theory and practice of general ecology, presented ecological education, including elements of geographical, bio - medical, geo-chemical, socio-economic and technical disciplines. Ecological education in the process of identity formation is by influencing the mind to develop social attitudes and active citizenship. And ecological culture as part of general culture, characterized by a deep understanding of the importance of generalizing and ecological problems in the future development of mankind.

Ecological upbringing is the formation of human conscious perception of the environment, a sense of personal responsibility for social activities that are somehow connected with the transformation of the environment, the need for certainty careful attitude to nature, wise use of resources.

Ecological upbringing is achieved in stages by solving educational, educational and developmental knowledge, among which are the following: education understanding contemporary ecological issues and awareness of their importance for mankind, the country's own worldview and paintings of his native land, the development of personal responsibility for the environment at the national and global levels; absorption values as the best achievement of universal and national cultures, multifaceted understanding of the value of nature, mastering scientific knowledge about the relationship of the "man- society-nature" build knowledge and skills of a research nature, aimed at developing the creative and business activity in addressing complex ecological and crisis situations develop skills to make responsible decisions about ecological issues, mastering ecologically literate norms of behavior.

*Methodological principles of ecological upbringing* is the principle of co-evolution (from *lat. co (n)* - together; *evolutio* - deployment). Humanity to ensure their future is properly changing the characteristics of the biosphere. But we should change also human needs in such a way that they meet the requirements of their nature. The imperative here is that the nature of man can not exist without nature and man - no. Therefore, social development, including the development of productive forces, must be carried out in such a way as to save the phenomenon of intelligent life.

Ecological upbringing is a systematic educational activity for the development of ecological culture. The ecological education involves forming abilities - to analyze natural phenomena, careful attitude to her wealth as an extremely important habitat for humans.

*The main objectives of ecological upbringing* are the accumulation in the human ecological knowledge, a love for nature, the desire to protect and increase its wealth and development of skills in ecological activities.

Summary of Ecological upbringing provides disclosure of the nature of the natural world - habitat man who should be interested in preserving its integrity, purity, harmony. The individual must be able to interpret ecological phenomena and intelligently interact with nature. The aesthetic approach to nature contributes to a sense of moral obligation and responsibility for maintaining it, leads to ecological performance.

*Thus, ecological upbringing is provided during the process of forming aesthetic ecological beliefs, motivation, encouragement, encouraging ecosystem noospheric thinking, consciousness, ecological responsibility and compassion, ecological behavior motivation; eco-human attitude to living and ecological lifestyle.*

Ecological upbringing should form a culture of ecological rights, which is characterized by diverse and deep knowledge of the environment (natural and social) ecological way of thinking, providing a responsible attitude towards nature and the health, availability of skills and experience in solving ecological problems (especially on locally), direct participation in ecological work and the ability to anticipate the possible negative effects of nature- transforming activity.

Ways of increasing ecological youth culture and effectiveness of ecological education are:

- to content development of continuous ecological education for all age groups younger generation, spread ecological issues within the framework of certain objects, and by establishing intra and inter-subject relationship ;
- to create educational institutions with appropriate educational and material resources: nooks of nature, nature preserving etc.
- to improve the forms and methods of ecological education and active involvement of students to the nature of work;
- to form motifs responsible attitude to nature, increase its wealth.

The primary means of ecological culture is designed to be a deliberate system of ecological education.

*Ecological education* - education of ecological philosophy, it means understanding the fact of the close relationship of human existence with ecological processes in nature. Such education should be ensured through continuous multistage ecological education and promotion. It can be noted that in Ukraine is growing interest in ecological education and training, there is a scientific and methodological base is actively seeking forms and methods of education and training for different age groups and professional groups. Fundamentals of ecological culture should be formed from childhood, when laid ideological orientations person. Therefore, creating a positive stereotype of nature plays an important role in family and preschool educational institutions.

The main goal of ecological education is responsible attitude training towards nature.

Ecological education refers to a continuous process of learning, training and development, aimed at fostering the overall ecological culture of ecological responsibility for the fate of their country and loved ones, the planet and the entire universe. It is considered one of the main factors of becoming a harmonious society and a means of improving the efficient organization of production, consumption, biosphere by its possibilities. Ecological education is considered as a system of knowledge about global living conditions living, complex educational and pedagogical activities in order to create ecological awareness and motivation on the basis of the relevant activities. Feature of the organization is to educate all populations of different social groups for understanding the causes of global ecological changes in the environment and ways to overcome them.

*Ecologization of the education system* - a penetration trend characteristic of ecological ideas, concepts, principles, approaches in other disciplines, as well as the preparation of ecologically literate specialists of various profiles.

*Ecologization* knowledge means systematic, holistic understanding of scientific facts , theoretical generalizations , concepts , rules , laws, opinions , skills review and understand the relationship that exists between different phenomena and patterns of relationships in the world around us , and to identify a system of knowledge that would was intended to teach and educate ecologically literate professionals.

*Ecologization* science today is interpreted as a tendency of penetration of ecological concepts in modern system of natural, technical and humanitarian sciences. There are three levels of it: inner-disciplinary - integration of ecological concepts within a particular field of science, inter-disciplinary - formation specifically and ecological sectors; problematic - the integration of different fields of modern scientific knowledge to solve local- regional and global ecological problems.

Ecological education trinity, cultural education involves their sequential interrelated development. Each of these components is assigned to him «ecological niche» and the formation can be considered targeted if the current implementation of educational and pedagogical eeco-cultural challenges.

*Ecological education, education and education is the key and the social mechanism of regulation of the formation of ecological culture as an indicator of sustainability in the development of relations between society and nature. This mechanism is implemented with the support and software development processes ( educational ), namely primary, basic and professional training in ecology , ecological courses, training programs and ecological content update current academic (education and research ) space, modern research methodologies that ecologization branches of science and knowledge , the development of ecological science, sustainability of modern scientific examination of trends and results of their development, science-based ecological regulation and foresight of transformative activities .*

Generalizing the concept, ecological culture should be understood as an integrated system that combines: ecological knowledge, ecological thinking, culture, behavior , culture, eco- justified behavior, characterized by the degree of transformation of ecological knowledge, thought , culture, feelings daily rate behavior.

The main specific feature of ecological culture is that it is not formed spontaneously and there by creating conditions conducive to the deployment of its principles and specific activity - ecological education. The level of ecological culture of humanity, especially youth, who owns the future depends on solving the problem of global ecological crisis, preserves natural conditions of existence of civilization.

The specificity of ecological education is to form a coherent ideological formation to super-system "society–nature", based on the active participation of the individual in its development.

The basic principles of ecological education are the principles: material unity of the world, local history, the principle of comprehensiveness, continuity, patriotism and so on. The guiding principle of ecological education and education should be "think globally - act locally".

The object culture producing influence is nature, natural essence of the man himself. The defining feature of culture is the desire to overcome Homo sapiens "spontaneous" origin in itself, in the outside world and put it to the service itself, which naturally realized through human relationship with the natural environment, the interaction of human culture with the "divine" nature.

At present the theoretical background and practical solving urgent problems of human relations with the environment is increasingly associated with the transition to the noosphere, or information- constructivist nature.

Development of ecological consciousness in the modern era, according to many scientists, is in four main areas:

- Research - resulting in an effort to put into practice the available theoretical and practical knowledge about the existing relationships in the natural world, about how to avoid irregularities during the production of human activity;
- Economic - is reflected in the perceiving of an economic weakness of industrial activity that destroys the surrounding human environment;
- Cultural - manifested in an effort to preserve the environment as part of the cultural environment;
- Political - is an expression of the desire of people to create living conditions, appropriate dignity.

The subject of display ecological consciousness in the modern era are the relationships and linkages between environment and society as a sub- unified whole object implemented in a complex social relationships associated with the implementation of optimization of "society-nature".

At the present stage of social and natural relations are functional and structural changes in social consciousness which reflects global-ecological situation. On the one hand, there is the ecologization of public consciousness arises and develops its new state, which is expressed in mass distribution and increasing social importance of social and ecological issues in the minds of the subjects of ecological performance . On the other hand, is formed as a new ecological consciousness, relatively independent form of social consciousness, which is typical for a way to display and synthesized complex regulatory relationships in the " society-nature ."

Ecological awareness - the process knowledge of the laws of nature and the integrity of the system of laws that define the interaction between society and nature that should be taken into account in the way of social development and global management of natural ingredients. It helps overcome the utilitarian and pragmatic attitude to ecological protection, removal man-centrist traditional philosophical systems, overcoming, finally, the global ecological crisis.

The most peculiar feature of ecological awareness can be determined that it can not be limited only preliminary practices, the theoretical constructs and conceptual apparatus of individual sciences as their orientation to the study of particular phenomena of nature and being of society contradicts the main task - to capture a single unit of knowledge qualitatively dissimilar phenomena.

In essence, determining an ecological awareness should also be considered and its structuring also, which can be presented in different levels and forms.

By epistemological criterion in ecological consciousness out the following levels:

1) Routine ecological consciousness, which reflects daily life, its direct interaction with the surrounding natural environment;

2) Specialized (theoretical) ecological consciousness that includes much of the scientific ecological knowledge, which is a reflection of the mass consciousness.

The first is driven by knowledge of the features of relations between society and nature, which are in an ad hoc manner and put into practice and reflected in the immediate being of people. Second level is rebuilt by means of specialized, theoretical form of the relationship of society and nature. This level of consciousness is based on the achievements of social ecology as a science, it is reflected through the knowledge of the nature , patterns and trends of relationships in the "society-nature".

Ecological awareness is inherent to such forms of media:

1) Individual ecological consciousness , i.e. a set of ideas, experiences, characteristics of interaction between society and nature inherent in each single individual, expressing its uniqueness, can be residential as well as specialized, theoretical level ;

2) Massive ecological consciousness - displays a typical public or a large social group presentation about the features of relationships in the "society-nature ", although it is not the

arithmetic mean of individual ecological awareness of all members of society or a social group, but expressing dominant, dominant views. Usually, it is not inherent in the theoretical level.

In the case of ecological consciousness is a break in the prevailing social perceptions of characteristics of interaction with the surrounding natural environment through personal experience and knowledge of the individual.

Bold among the forms of social consciousness so special as ecological , conditioned also by the features that it plays in the life of society: **regulatory** - to ensure the availability of certain mechanisms of thinking rational relationship management society and nature, **cognitive** – ascertaining of socio-natural relations of the nature, global causes of ecological crisis and finding ways to address it in the interest of both the man and nature, **normative** - development, based on realizing patterns of "society-nature " system development, norms of rational nature change ability, **predictive** - predicting the possible negative effects of economic activity and the search for means of minimization or even complete avoidance, **educational** - to provide a framework for the formation of ecological culture of responsibility and behavior as individuals and society as a whole; **worldview** - the harmonization objectives of economic and social development of the "requirements" of nature, learning society and the individual eco-compatible content meaning of life.

Ecological consciousness also performs an important social and political function. As famous Yugoslav sociologist D. Markovich stressed, it is an important element of self-society, enhance the position of citizens in matters of nature and preservation of optimal fit and healthy environment.

The main function of ecological awareness is to harmonize the relationship of social and natural systems to prevent global ecological collapse and solving global ecological problems.

### **Conclusion:**

Summing up we can conclude that ecological consciousness is a form of social consciousness, which is still under development and includes a set of ideas, theories, beliefs, motivations, reflecting the ecological aspects of social life, such as: the real practice of relations between humans and the environment her life between society and nature, including a set of regulatory principles and rules of conduct aimed at achieving an optimal state of "society -nature." However, by itself the presence of ecological awareness is not sufficient to ensure that material conditions have become the key to converting the potential elimination of the global ecological crisis in convincing fact. Having some knowledge, ideas, does not guarantee appropriate behavior. Ecological behavior is impossible without ecological culture (in the sub - natural ecological, social and ecological, social and regulatory) and the ecological responsibility society in shaping eco-centric paradigm of sustainability.

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# PROBLEMS OF POLISH CITIES. THE INFLUENCE OF SUBURBANIZATION PROCESSES ON SHAPING SPATIAL STRUCTURE

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## Abstract

The paper presents processes which have been taking place in Polish cities since the time of the political transformation in 1989. It shows changes in spatial and social composition which have impact on the life and dwelling quality in a city. It ponders on problems of suburbanization, disappearing city centres and public spaces as well as social stratification.

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**Keywords:** Suburbanization, public space, social relations

## Introduction:

Recently in my hometown there was an exhibition 'Gliwice in old photos' and I admiringly looked at postcards and photos with views of my city from the long-gone years, the period of its splendor: beautiful public spaces, streets, squares and buildings, well-tended greenery, parks and lawns, hotels, cafes, the theatre, the palm house, walking grounds, bike paths, the airport and a lot of people everywhere. The viewers' eyes welled with tears. Today my eyes well with tears when I think about not so long gone eighties and nineties of the previous century. Zwycięstwa Street was full of life, crowds of inhabitants were swarming the pavements. Every older inhabitant still remembers the cafes 'Agawa', 'Warszawianka' or 'Delicje' – a small bistro with the Sultan's dessert. Wonderful bookshops, a music shop, 'Stare' and 'Nowe' delis, which existed even in the times of the 'Big Crisis', when the name 'deli' was not associated with empty spaces on shelves.

The happy picture was complete with leather stores, clothes shops, furniture shops. There were also groceries and greengroceries, bakeries, simply everything could be bought on a single street. Various offers for everybody, not only for either the rich or the poor. Such an environment created an opportunity to meet friends, take a walk, do the windowshopping....

And what can one see today walking along the high street? There are certainly people, but just passing by, walking without stopping, their presence is somehow forced. Mainly, those people have to get somewhere. The term 'Let's go to the town' is unclear today because most people will ask 'what for'? The street seems to be deserted and sad. Shops are scarce although there are a few offering cheap products, so the importance of the city's high street is decreasing. Banks and banking institutions prevail everywhere. There are no cafes and restaurants, only cheap eateries and diners. Many places on ground floors are closed. The city's high street has lost its charm.



Fig.1. Zwycięstwa Street



Fig.2. Closed shops in the main street



Fig.3. Banks on the Zwycięstwa str.

Recently, in the heart of the city there has appeared a huge gap-breach between buildings caused by constructing the fast traffic line DTŚ. It intersects Zwycięstwa Street near the railway station, breaks into the main axis – the city's backbone, destroys urban structures formed throughout the centuries, changes substantially the city's image. Such solutions are necessary for the region's functioning and creating its modern image, but unfortunately they destroy a part of the landscape shaped historically. Thus, valuable buildings and urban complexes, which guarantee the city's historical continuity, disappear. Such a view is one of examples of Polish cities which die in front of our eyes.

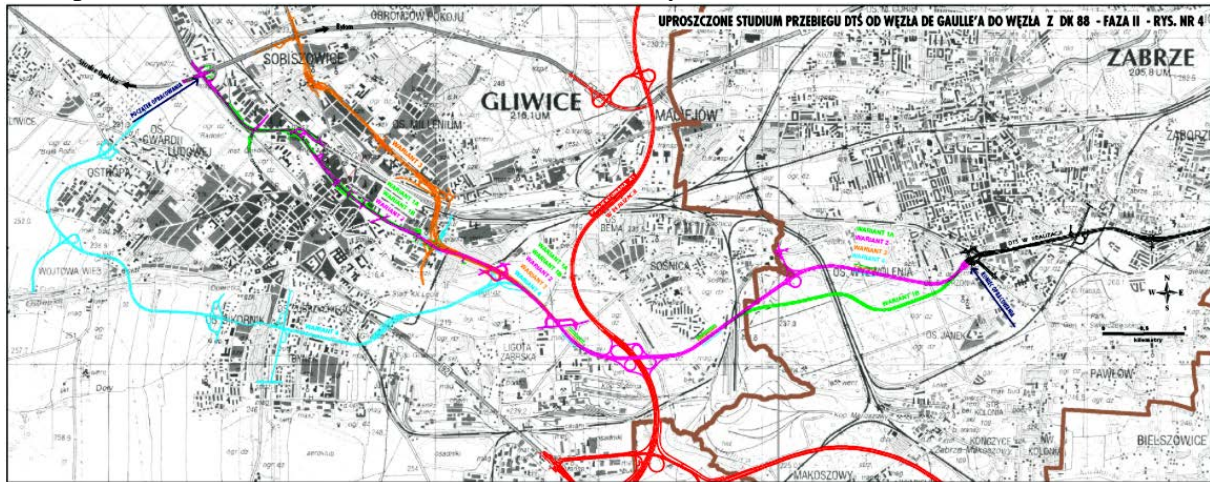


Fig.4. Fast traffic line DTŚ



Fig.5. Fast traffic line DTŚ



Fig.6. View from Zwycięstwa str.



Fig.7. View - east side

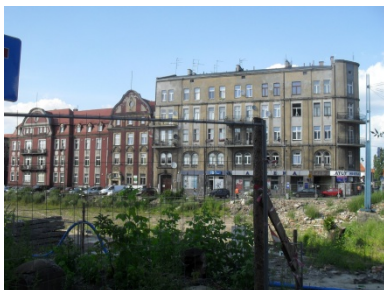


Fig.8. View from Zwycięstwa street



Fig.9. View - west side



Fig.10. View from Zwycięstwa street

**I:**

There is no doubt that nowadays cities, in which 2/3 of European population live, undergo a serious regress. This is a result mainly of inhabitants' escape from the centres. It is influenced both by suburbanization as well as a phenomenon called 'shrinking cities', which is a serious problem in Eastern Germany [7].

Many cities follow the example of American cities, which have already been affected by this process. In the 20<sup>th</sup> century there occurred a deurbanization period in the United States. The development of the middle class, which began to leave crowded cities and move to dream houses in suburbs, started the movement of the city centres residents to suburbs. It brought about an increase in the network of roads, overpasses, fuel stations, parking places (necessary but not friendly spaces). Suddenly there was a need for places in which one could do the shopping near the house and that is how shopping malls came into being. They followed inhabitants, meeting their needs and taking advantage of the boom of cheap suburban areas.

Meanwhile, city centres started to decline, an empty space was left, many houses deteriorated and the surrounding areas became more and more dangerous, Heavy traffic required a bigger capacity, so large highways arose, which traversed a city structure ruining the 'existing tissue' at the same time.

Such a state of matters lasted until the 60s in the USA, when the Housing Act was introduced, which included the Urban Renewal concept. Since the 70s there has been a comeback to cities. Actions have been taken in order to revitalize them, a number of different programmes have been put forward (services, trade, entertainment, catering) entering the open structure of a city [9]. Such a situation happened because new structures turned out to be foreign to inhabitants, they did not provide a space identity, it was noticed that it is necessary to care for urban structures and cities' monuments. A longing after the world gone-by arose.

In Poland the problem of deurbanization and suburbanization did not exist for decades, rather outsiders craved to live in cities, which opened new opportunities, offered workplaces, enabled an access to culture, education and healthcare. The changes occurred after the political transformation in 1989. In the new democracies of Central Europe have launched a free-market economy mechanisms. In terms of urban planning has resulted in a chaotic privatization of space.

Currently, we notice in Poland all unfavourable elements described above – suburbs are growing, there appear large shopping malls with stretches of parking spaces nearby. A great number of areas are devoured by huge junctions, passovers, highways, petrol stations.

This growth is completely out of control. Monofunctional architecture is haphazardly located without space management plans. It does not offer anything to inhabitants but dwelling and a network of roads. The culprit here was, according to Anna Drapella-Hermansdorfer, 'a non-binding character of a study on conditions in municipalities, basic documents of self-governing definition of a local space policy, as well as allowing for an administrative mode of issuing decisions on building conditions independent from the study conclusions, which regressed our policy and practice of space management a hundred years backwards to the times of land speculation' [3].

In cities the centres are being deserted, the number of inhabitants is dropping, there is a slow degradation of the environment and whole districts. Public spaces are disappearing. Streets, pavements, squares, green areas are being devoured by traffic and parking spaces. Cities are jammed as a car is indispensable nowadays. There appear many lost places, empty zones which undergo devastation for many years to come, pathology and crime are prevailing.

Gentrification of cities centres and an increase in flats rents make it for a large number of people more difficult to find a decent flat for a reasonable price. In many Polish cities, especially in metropolises, there arise closed housing estates – in Warsaw itself there are over 200 of them. Fenced estates contribute to space fragmentarization, they create disconnected

enclaves, ruin the urban structure, close spaces, privatize public space. They make it impossible to move freely around the city, shatter urban integrity and cause neighbourly conflicts.

The situation is getting worse because of the economic crisis, which affects all inhabitants but especially the poorest ones. The globalization process brought about unemployment, which is especially painful in the production sector. Not everyone can get a job. The market is changing, a part of the population which is still employed has in the best situation low-paid posts, which do not allow them to live a decent life.

Property and financial disproportions are getting bigger, poor inhabitants are still getting poorer, there are more disproportions visible in bad living conditions, a difficult access to services, healthcare and so on. The economic drop, especially in industrial towns, caused problems connected with unemployment and that in turn causes extinction of life in cities, people leave in search of a job (that is a situation, e.g. in Bytom, the neighbouring town in Upper-Silesian agglomeration). That is another symptom of deserted cities. Inhabitants emigrate because of work. They help their families and towns by coming back for a short time or sending a part of their income. Unfortunately, we also observe the fact that more and more people decide to leave the country permanently and not just temporarily.

It is an extremely important problem as current demographic, social and economic tendencies influence the distribution of settlers. The issue may concern both people living in poor conditions as well as those who can experience lower incomes. Among them we may count those who have lost their jobs, single parents, pensioners, but also young people who are unemployed or work for a low salary which does not allow them to be independent.

Negative population growth may cause a lot of problems for an already difficult situation in many cities and for their central and housing areas. There may appear deserted buildings and degradation of unused areas as well as an increase in dangerous places.

It is very unsettling that in the case of such tendencies going on, we will witness a bigger social exclusion together with spatial segregation, which will be more and more troublesome and may include an increasingly bigger number of regions and towns. At the same time the number of people living outside the society is growing, which in turn may lead to the occurrence of closed subcultures which show a hostile attitude towards the rest of society. Whole poverty zones will come into being and with them new problems will arise.

### **Conclusion:**

Thus, the significance of suburbanization processes in Poland for the city structure has a multi-aspectual meaning:

- spatial,
- social,
- economic,
- environmental.

Unfortunately, it is noticeable that the process is going on and is completely uncontrolled, and the lack of coordination may hinder an effort to stop a number of negative phenomena described above.

Many cities experience significant withdrawal of inhabitants' engagement, the phenomena of social exclusion, segregation and polarization are gaining in strength.

Housing conditions are deteriorating and yet they have a key significance for the attractiveness of cities and life comfort

It is necessary to restore the importance of space planning in order to stop the process of space fragmentation. Integrated actions are needed to improve the current situation. The main feature of modern 'cities in a nutshell' of the 21<sup>st</sup> century is to restore the unity of the places where we work, live and rest. In turn, the appropriate population concentration will

help to reduce the number of cars and other appurtenant elements. A careful attention should be paid to social and economic aspects.

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# THE ROLE OF AZERBAIJAN OIL IN “NOBEL BROTHERS’ “ LIFE

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## Abstract

The detailed information was given about the famous “Nobel Brothers” who invested capital to having fertile oil reserves Azerbaijan in XIX century in the text. As it is known, possessing oil deposit of Azerbaijan attracted the attention of foreign investors. The investors became the oil magnats of the periods thanks to Azerbaijan oil getting a large amount of oil capitals. One of such oil magnats was “Nobel Brothers” by origin Swiss. The Nobels were four brothers. Emil, Ludvig, Robert and Alfred Nobel. In 1875 the Nobels founded their own company buying a little area, and then turned this company to the “Nobel Brothers Oil Production Society” company in 18 may 1879. The activities of company involved almost all spheres of oil industry: oil research, production, refining, transportation etc.

“Nobel Brothers” got leadership for developing of oil industry in Baku thanks to strong competition. Especially, in Russian bazaar they possessed representatives and depots for the purpose of transportation of much needed gas field in some cities of Russia (Charchin, Saratov, Babrusk, Nizhny-Novgorod, Perm etc.), as well as, in various Europe cities (Geneva, Hamburg, London and Manchester etc.)

“Nobel Brothers” worked for achieving significant success in all directions of oil business consulting with outstanding oil-chemists scientists (D.I. Mendeleev, K.I. Lisenko, L.Q. Qurvich and engineers A.V. Bari, V.Q. Shuchov and others). As a result, “The Nobel Brothers” signed very important innovations in the world oil history.

Life of “Nobel Brothers” was studied in different years investigated. Today those studies are being continued by Azerbaijan and Swedish scientists. For instance, the book “The Nobels and Baku Oil”, information, unique photos and documents were reflected about genealogical tree of the Nobels, activities in 1830-1860 in Russia, 1874-1920 in Azerbaijan.

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**Keywords:** Azerbaijan, Oil, The Nobel Brother, Baku Oil, Oil industry and the Nobels

## Introduction:

At the end of XIX and early XX centuries approximately twenty foreign companies operated in Azerbaijan. One of the companies belonged to the “Nobel Brothers”. The Nobel brothers established the first foreign company in the capital of Azerbaijan, Baku. “The Nobel Brothers” firm had continued its trade generally in the course of 47 years in Azerbaijan. “The Nobel Brothers” firm that has 25-28 percent of the total volume of oil produced in Baku could become oil leader that wins all foreign competitors at the end of the XIX century.

“Nobel Brothers” firm paid special attention to commerce, as well as the development of science, increasing of employees’ financial maintenance, and the educations of them and their children.

## I.

Azerbaijan possesses the most ancient civilized nation and statehood tradition of the world and always affixed its signature with its spiritual and material values to the history. For

example: the first regime is formed in the 5<sup>th</sup> century (Manna state); the first alphabet consisted of 52 letters in the 5<sup>th</sup> century (Albanian alphabet); also the first parliamentary democratic state in the East (on 28 May, 1918 Azerbaijan Democratic Republic); the first positive woman's character in Eastern literature (the image of Shirin – the great Azerbaijani poet Nizami Ganjavi poem “Khosrov and Shirin”); the first woman composer in the East (Azerbaijani Shafiga Akhundova); the first opera in the East ( “Leyli and Majnun“ Uzeyir Gadjibekov) and etc. was set up in Azerbaijan.

Some of the first innovations in the oil refining, output and carrying areas were realized in Azerbaijan. As well, Azerbaijan is one of the most tolerant countries. Because of the rich oil-fields of Azerbaijan the foreign capitalists directed their attention to this region. Thanks to Azerbaijan oil, getting a great number of oil capitals have been turned to oil magnates. One of these magnates had been “Nobel Brothers“.

They were 4 brothers and Swiss by origin: Emil, Ludvig, Robert, Alfred Nobel. Emil was the youngest and died when he was 28 years old. Alfred was engineer- inventor. Robert was the first man who draw the attention of the family to the area of trade in Baku. And Ludvig was among the most important names of the oil industry. Robert Nobel was the first foreigner who took part in the capital of Baku oil-industry. At first, he bought a small area in 1875 and built his own company but then by reason of material constraints he exchanged that company to the company of “Nobel Brothers Oil Production Corporation“ on 18 May, 1879. Nobel Brothers get championship in the every kind of work for developing the oil-industry in Baku. Especially, it had thounds of workers together with its trade points and depots in the cities of Astrakhan, Saratov, Babrujsk, Nizhny Novgorod and Perm, because there was a great need carrying the gas deposit in Russian market. At the same time, they possessed depots and representatives in Europe, Geneva, Hamburg, London, Manchester and other cities. [1]

Let's inform, there were nearly 20 foreign companies at the end of the 19<sup>th</sup> century and beginning of the 20<sup>th</sup> century and one of them which was a leader belonged to Nobel Brothers. Nobel Brothers had created the first foreign company in Baku. In general the activities of the “Nobel Brothers” firm in Azerbaijan encompass 1879-1917 years.

As a whole, The firm of the “Nobel Brothers” existed 47 years. Ludvig's son – Emmanuel led the oil business of the Nobel's family from 1888 till 1917. Because of political causes he was forced to return homeland in 1918. During this years, the Nobel Brothers could keep its championship in Baku's oil-industry. So, this unity possessed 44 oil-fields in Sabunchu and Balakhani. The total volume of the oil production formed 45-75 million poods and it meant that 25-28% of the volume of oil belonged to Baku.

When we spoke about Nobel Brothers it is especially necessary to speak about Alfred's labour. Alfred was not engaged with work of the firm but he gave a spiritual and material help. The gas deposits of this firm were invented by Alfred. Also he advised to his brother-Ludvig, not to use steam-boilers in the oil ships. He made a decision to use mazut for the furnace of the steamers and railway engines. For beginning to this process with assurance he sentna letter to Paris, consulted with his brother and made a request for giving an exact information about mazut. Immediately he received a letter in return and he recommended him to do this work urgently and seriously because , “Mazut has a bright future“, he said. If it has no value or if it is cheap in your country, you must build reservoirs and fill them for reserve.

After 5-10 years, mazut will bring profit. Ludvig began to buy and collect mazut and sign a treaty. Firm of the Nobel Brothers according to 20 treaties was able to gather nearly 10 million poods of oil-fuel. It get 32,25 million poods of fuel in Baku, 1895. The last decade of the 19<sup>th</sup> century the firm is engaged to produce crude oil and oil remains. As a result of these activities at the end of the 19<sup>th</sup> century Ludvig Nobel became “The king of mazut“. The volume of consumption of oil-fuel is risen from 144,5 million poods to 286,4 million poods.

As a result, in the mazut selling the portion of the firm increased from 28 million



poods till 96 million poods. At the end of the 19<sup>th</sup> century the Nobel Brothers' firm was an "oil leader" consulting together with well-known oil-chemist scientists, such as, D.I.Mendeleev, K.I.Lisenko, L.G.Gurvich and engineers- A.V.Bari, V.G.Suxov and others, Ludvig achieved significant successes in all directions of the oil-business. For the first time in 1882, the incessant distillation of the oil which was suggested by Mendeleev put into practice at the factory of the Nobel Brothers firm. We must inform Gustav Eklundu who worked in the oil-field of the Nobel Brothers' firm and increased the fecundity of the oil output. For the first time Gustav employed the electric power in the oil-field. Some services of Ludvig Nobel must be considered greater in the oil-industry. So, the first "Zarathustra" steam-board has been assembled by Ludvig's order in the plant in 1877 which is located in the city of Motala.

The origin of the first steam-board rouses interest. Those times the doctrine of Zoroastrianism was very popular. According to French specialist Orlando de Rudder's assumption, Ludvig was seriously interested in Zarathustra's philosophy and the idea about the research of the purity and sanctity caused him to remember the cleaning of the oil's procedure. It is necessary to remark Ludvig Nobel's poem ("Zarathustra" steam-board) was serviced for a long time. Only in 1950s, by reason of drilling an oil-well in the sea-bed, the ship has been drowned together with other 7 ships. Therefore, in the first times, this field was called "The island of the 7 ships". After "Zarathustra" other liquid carrying steam-boards were occurred and all of them went under the great scientist's name of the world-wide prosperity: "Budda", "Muhammad", "Musa", "Spinoza", "Darvin", "Linnea", "Nordenskiold", and so on. As a whole, the "Nobel" firm possessed 134 steams and 212 sailing-ship. You could see the firm's steam-boards and motor ships in the different places of the Volga, Caspian and Black Sea Basin's. For the first time in the world, in 1886 the liquid carrying ship 1700t "Light" brought Baku's paraffin from Batumi, Biscay bay and The Atlantic Ocean to London. [2]

Thanks to his vital attendances in the technical and industrial affairs, the St. Petersburg State Institute of Technology named Ludvig Nobel as an engineer-technologist. Professor of the Mine Institute, well-known oil-chemist Konon Lisenko had said about Ludvig: "I will not count all affairs which was done in the sphere of the oil's distillation by Nobel. But I will inform only one fact. He organized incessant distillation, put cube and stirring rod in the open air, employed a serious control to the distilled and ready products, distilled the oil to the kerosene with the help of the heated steam". The foundation of the scholarships named after Ludvig was taken an account in the St. Petersburg Mining and Technical Universities, St. Petersburg Academy of Arts named after S.Nikolai, St. Petersburg Business School, also in the Baku Real School. There were three scholarship for the Nobel's servants' and labourers' children which named after Ludvig Nobel, Karl L. Nobel and Pyotr Bilderling. Moreover, besides the tuition fee, the firm allocated 30 rubles for the needy students. Brothers, especially Ludvig was working stubbornly and purposefully. Sweden historian Eric Bergengren noted: "All the Nobel's members owned high spiritual qualities and they were always ready to begin something with hope and continue stubbornly. More than 25 million of labourers worked in the Nobels' "Oil Empire". Alfred's collaborator and biographer Renjar Sholman have said about him: "Alfred was such kind of master who tried to keep the distance, formality between himself and others. He never get over the boundaries which is separated him from workers. He always took care of workers' living condition and not only engineers but also junior forms considered him as a pioneer of the social prosperity". And the following Ludvig's own words show everything clearly: "Without a toil my life isn't a life and I have no right to leave this work without providing people's welfare standards who have served to me and my father". Masters of the big oil- industry such as, Haji Zeynalabdin Taghiev, V.Kokorev, Viktor Rogazin, Musa Nagiyev, Shamsi Asadullaev, I. Hajinsky, Aleksandr Benkendorf, Sidor Shibaev, Murtuza Mukhtarov not only co-operated but also competed with Nobel Brothers.

The Nobel's were on good terms with H.Z.Taghiev and I. Hajinsky. They were helping to each other in some business-like tasks. [2]

One of the most interesting aspects in their action is that for the first time, they brought into fashion to write a slogan. Example: "White kerosene throw light on darkness"; "Kerosene helps people in the sharp frosty, cold, and snowy weather"; "Our century is a kerosene century" and etc. It was possible to come across with these slogans in towns, settlements, even in the rocks. [3]

After proletarian revolution in Russia, Bolsheviks yearned for Baku's oil. In April 1920, they came to Baku and the oil industry was nationalized. Thus, Nobel Brothers' occupations in Azerbaijan come to an end.

Nowadays, International Nobel Prize (one of the most prestigious prize) is connected with Nobels' name which is given in accordance with the great labour in the area of the scientific researches, revolutionary inventions, the development of the society and culture. When Alfred Nobel was in Paris, he proposed in his testament to set up international prizes in the branches of physics, chemistry, medicine, literature and peace. And the first prizes were presented as Nobel wish, in Stockholm, Sweden and Oslo, Norway, in year 1901. Alfred Nobel spent 30 million kronas to the building up of the prize system. 5 million and 200 thousand of this money was earned from Baku's oil.

There are a lot of articles and books about Nobel Brothers' activities in Azerbaijan. "The Nobel's and Baku's oil" is one of them. There was written the Nobel's occupation in Russia between 1830s-1860s and also from 1874-1920 in Azerbaijan, Baku. The Nobel's role in the development of Baku oil-industry and the technical innovations which is used in oil's output, refining and transportation have been lightened in that book. As well, a lot of documents and unique photos have been reflected in that book. [4]

Works have been published on the Nobel brothers sample is to add them: Agakishiev, Ismail. Oil rush. (2008); Akhundov, V. Monopoly capital in the pre-revolutionary Baku oil industry. (1959); Alakbarov, Farid. Baku: City that Oil Built. An Overview. (2002); Alieva, Leila. The Baku Oil and Local Communities: a History. (2009); Aliyarov, S.S. Oil monopolies of Azerbaijan during the First World War. (1974); Djafarov, K.I., Djafarov, F.K. Company of Oil production Nobel Brothers (120 years since the foundation of the day). (1999); Djanakhmedov, A.X., Akhmedov, A.I. Alfred Nobel His awards and Baku oil. (1997); Guliyev, A. The July general strike in Baku in 1903. (1999); Ibragimov, Z. Revolution during 1905-1907 in Azerbaijan. (1955); Mir-Babayev, Mir Yusif. Azerbaijan's Oil History. A Chronology Leading up to the Soviet Era. (2002); Seidov, Vugar Nadir ogly.

Archives of the Baku oil companies (19th - early 20th century) historical research (2009) and ets. [5]

The Nobels are the following official sites: Baku Nobel Heritage Fund (Azerbaijan) <http://www.bakunobel.org/main.html>; The Nobel Museum (Stockholm) <http://www.nobelmuseum.se/zino.aspx?lan=en-us>; The Nobel Brothers Museum in technological Batumi (Georgian) [http://www.georgianmuseums.ge/?lang=eng&id=1\\_1&sec\\_id=2&th\\_id=87](http://www.georgianmuseums.ge/?lang=eng&id=1_1&sec_id=2&th_id=87) and others. [6,7,8]

Let's note that obtaining information on Nobel and was established in order to study a number of international institutions. For example, "The Nobel Family Society"; "Nobel Museum" and the "Center for Business History" (Stockholm); "Baku Nobel Heritage Fund"; "The International Fellowship of the Nobel Foundation"; "Nobel Brothers Technological Museum" (Batumi, Georgia) and so on.

Establishment in honor of the Nobel brothers, "The Nobel Foundation, The International Community" in order to make contributions to the development of science in Azerbaijan and the Caspian region of Sweden was established under the leadership of well-known lawyers. The aim of the foundation is to provide contributions to the cultural and economic cooperation between Azerbaijan and Sweden. One of the most important projects of

fund is "Azerbaijan and the Caspian region" project. Doctor of Political Sciences Tugrul Bagirov, he Baku Nobel Heritage Fund to restore the historic heritage of the Nobel brothers for his service in the Kingdom of Sweden on December 10 by the "Royal Polar Star" (Polar Star) has been awarded with the Order. [9]

There was also a Nobel Brothers Museum in Azerbaijan at the same time. Nobel Brothers in Baku museum has been functioning since 2008. In 1882-1884 by the Nobel brothers built the "Villa Petrolea" called Baku Nobel Heritage Fund complex was restored. This is the first museum of Sweden Nobel Heritage Museum. Today the museum collected household items used by the Nobel family. Interior of the house is in European style. But one of the rooms is decorated in oriental style. At present, the museum belongs to the family proceeded Nobel items displayed along with Timbaland, banquets and solemn ceremonies are also held here. The museum's official website (Website: [www.bakunobel.org](http://www.bakunobel.org)) also prepared and put into use. [10]

Nobel brothers and the majority of the original date on the activities of the oil sector, the number of documents are more than 250 000. This collection of documents in digital form and to provide a base of information on the Nobel brothers, researchers all over the world can use easily and free project developed. The main purpose of these materials is much broader and more in-depth research and publication. Legally registered non-governmental, non-profit organization "Azerbaijan-Nordic Cooperation" Public Union (PU ASE) and the National Archives of the Republic of Azerbaijan (MAI) has carried out several studies on the history of the Nobel brothers in this field and established useful contacts with local actors.

Centre for Business History in Stockholm (CBH) and the Baku Scientific Cooperation Agreement between the Department of National Archives, as well as the ASE MAI Union signed an agreement on cooperation between the associates. Established for this purpose as well as beneficial relationship with the Consul of Sweden in Azerbaijan, Nobel Brothers Oil Company on the date of its owners agreed to develop and implement joint projects for research. CBH in Stockholm receive financial assistance from the "Stiftelsen Olle Engkvist Builder" Fund since May 2010 and „Nobel Brothers History Project“ (BNHP) has to be carried out in Sweden. CBH on the Nobel brothers, including digital archive database [www.branobelhistory.com-developed](http://www.branobelhistory.com-developed) website. [11]

### **Conclusion:**

As a result of scientific research on the subject, the facts were about “The role of Azerbaijani oil in the life of Nobel Brothers”, briefly, as follows:

1. Azerbaijani oil had great importance for translating Nobel Brothers Oil magnat;
2. At the end of the nineteenth century and early twentieth century in the development of the oil industry, "Nobel Brothers" made a great contribution;
3. Azerbaijan, Sweden, and other countries 'economies, the development of the "Unity of the Nobel Brothers“ production and export of oil from the Baki and suburban areas (black and white oil) and petroleum products had a share;
4. Nobel Brothers is the first foreign firm participating in investment to "Baku oil industry”
5. Needs of a number of technological innovations in the world of oil has been associated with the name of the Nobels. For example, "Nobel Brothers" plants for the first time (in 1882) of oil carried out in a continuous distillation; for the first time in the oil fields of applied electricity; for the first time in the oil fields electricity was applied; as the world's first liquid-carrying vessels for the transport of oil products through the use of water supplied (for the first time in the world in 1886, "Light" liquid-carrying ship 1,700 tons of Baku kerosene from Batumi to London, through Biskay Bay and the Atlantic Ocean);

6. „Nobel Brothers Unity“ has managed to keep the first place "among the companies while competing in the Baku oil industry;
7. Nowadays, these brothers laid down one of the foundations of the Nobel Prize, scientific studies and cultural and social development of the revolutionary inventions of the most prestigious awards in the field of labor. While in Paris, designed by Alfred Nobel's testament he nominated international awards in the areas of physics, chemistry, medicine, literature and peace. And the first prizes were presented as Nobel wish, in Stockholm, Sweden and Oslo, Norway, in year 1901. Alfred Nobel spent 30 million kronas to the building up of the prize system. 5 million and 200 thousand of this money was earned from Baku's oil;
8. Nobel Brothers established benefits and scholarships for Azerbaijani and foreign students (grant named „Ludwig Nobel“, „Karl Ludvigovic Nobel“ and „Peter Bilderling“);
9. They participated actively in the public and social life of the Baku city;
10. At present, between Azerbaijan and Sweden in the directions of learning and propagating of life and activities of the Nobel Brothers are working toward;
11. It seems clear from taking into account all information, Azerbaijan's oil has been become not only the great investment in the Nobel Brothers' life but also an important factor in Sweden and the world economy.

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# WATER RESOURCES OF KAZAKHSTAN: THE LAKES' FUND

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## Abstract

Features of geographical distribution as well as morphometry of Kazakhstan natural lakes were studied. Analyses are based on the field data obtained for 3,380 natural lakes, mainly comprised in the global limnological database WORLDLAKE as well as on unpublished data.

**Keywords:** Lakes, Kazakhstan, water resources, database WORLDLAKE

## Introduction:

Water supply to the population and various sectors of the economy in the required quantity and quality becomes one of the major problems of the Republic of Kazakhstan. Spotty distribution of water resources on the territory and in time, insufficient consideration of the water factor when placing the industry and agriculture, rapid growth of water consumption, the irrational use of water resources have resulted in lowland area of Kazakhstan there is acute shortage of water. Therefore, the assessment of the impact of economic activity on river runoff in the zone of insufficient humidification, which refers to Western, Northern and Central Kazakhstan has not only scientific but also of great practical importance.

At present great attention is paid to investigation of surface water (river, sea and glacier) and underground water resources, and natural lakes, in view of their significant and spotty distribution over the territory, are studied partially (Balkhash, Alakol, Zaisan, Borovskaya group of lakes etc), but small lakes since the development of virgin and fallow lands are studied with insufficient attention.

## I.

Almost all the territory of Kazakhstan, along with The Great Basin (North America), Atacama (South America), etc., belongs to the largest inland areas of the globe without outflow. It covers the inside area of Asia, and only its North area belongs to the basin of the Arctic ocean. Almost 36% of Kazakhstan's territory is desert, and the climate is sharply continental with insufficient humidification - evaporation dominates precipitation and with the exception of some mountain areas. Lake or extremely high (Caspian, Aral, Balkhash) or extremely small. They are separated from one another for hundreds of kilometers or are so thick, that form a lake region, for example in the Northern part of Kazakhstan. Despite this, Kazakhstan has approximately  $4.82 \cdot 10^4$  natural lakes (Ryazhin 2001, 2003, 2005), of which  $4.52 \cdot 10^4$  are divided into small and 21 to large squares with  $A \leq 1 \text{ km}^2$  and  $A \geq 100 \text{ km}^2$ , respectively (Table of symbols) (Philonets, Omarov, 1973).

| Table of symbols                              |
|---|
| $A$ – surface area of the lake, $\text{km}^2$ |
| $W_o$ - volume of the lake, $\text{km}^3$     |
| $H_{max}$ – maximum depth of the lake, m      |

Within the territory of Kazakhstan, despite the arid climate, there are more than 48000 natural and 4200 artificial water bodies (Muravlev, 1973). The variety of relief and climatic

conditions of Kazakhstan gives irregularity distribution of surface water bodies on the territory. There are some lakes in the desert areas, much more of them are in the North and in the mountains.

On Northern Kazakhstan accounts for 45 % of all lakes in the Central and Southern - 36 %, in other regions - 19 %. Due to severe climate variability and water balance over years and seasons are observed instability of lakes' area and the regime of the lakes, the total salinity and salt composition of these water bodies. Under the terms of the water exchange in Kazakhstan is dominated by the endorheic (drainless) lakes.

In the work (Myakisheva, Zhumangalieva, 2013) were studied lakes of the Northern Kazakhstan on the basis of the nature of the external water exchange lakes, which in turn is one of the most important hydrological and hydro-ecological characteristics. External water lakes is characterized by morphometric index of water exchange MM (rate of exchange of water mass of a reservoir) and climate index, which speaks about the impact of humidity of the territory.

In calculating the indices of the external water exchange method was used to aggregate indicators used in the conditions of deficiency of the information, which is rather urgent for the present time, when to get a wide range of field data is not economically viable. Given that the information on field research conducted in the middle of the last century, is outdated and does not reflect the reality.

To identify features of distribution of lakes on the territory of Kazakhstan in this paper were used in-situ data on the morphometric parameters of the 3 360 reservoirs collected in the database WORLDLAKE developed Ryanzhin (2005a, 2006). Database gathered from the different sources. There were used a wide actual material of World Atlas of water resources, Map of the USSR (1986), publications Philonets and Omarov (1973, 1974), Domanitsky (1971), Hendorff (1982), Adamenko (1991), Popolzin (1967), Doganovsky (2005), Kalesnikov and Shnitnikov (1961), Molchanov (1929), Shnitnikov and Smirnova (1976), Smirnova (1993), Baranova (1979), and others. Calculated distributions of lakes of Kazakhstan depending on the morphometric characteristics of the lake surface area,.

The bar graphs of distribution of Kazakhstan lakes according to such morphometric characteristics as the lake surface area, the volume and the maximum depth of the lake were calculated. The the proportion of each category of the total number investigated lakes was estimated (figure 1 - 4).

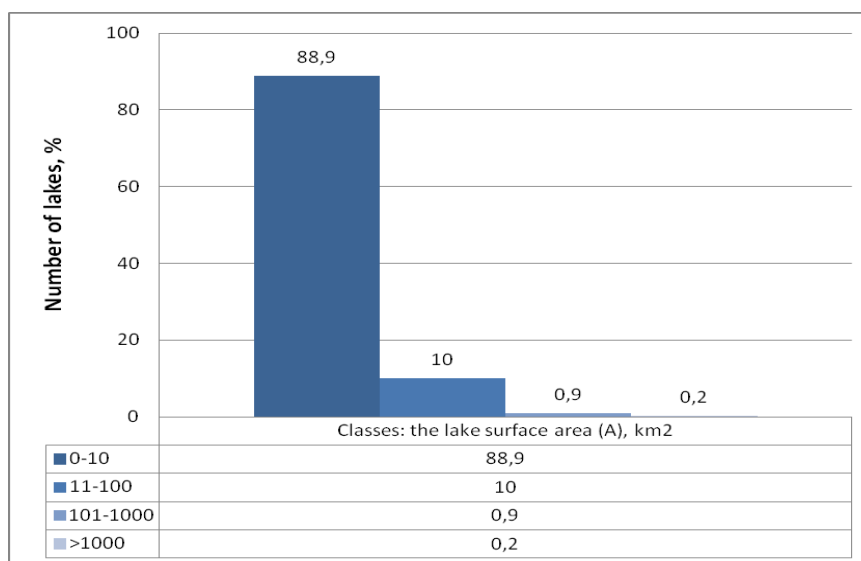


Figure 1 – Distribution on classes of the lake surface area (A), %

Sampling in evaluating the distribution of Kazakhstan lakes depending on the lake surface area is covered by 3 211 lakes: there were small of them 2 856 (88.9 %), and the very high - 6 (0.2 %) – of this number.

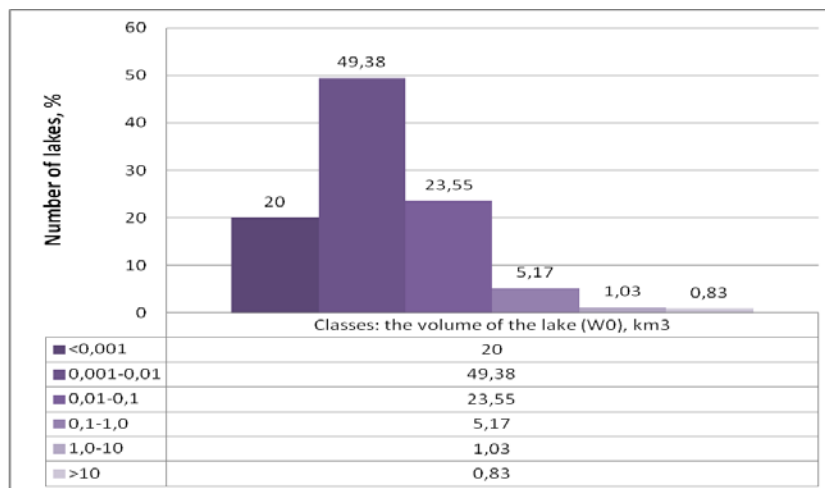


Figure 2 – Distribution on classes of the volume of the lake ( $W_0$ ), %

Sampling in evaluating the distribution of lakes territory, depending on the volume of the lake included 484 lake: there were small of them 469 (96.9 %), and very large - 4 (0.83 %). The total volume of the investigated lakes amounted 473.548 km<sup>3</sup>.

While estimating the distribution of lakes of Kazakhstan depending on volume, in addition to the classification recommended in the normative documents there was used classification (Myakisheva, 2010), in which the scale of the volume consists of a small ranges. This ranking allows to clearly identify the category of very small lakes ( $W_0 = 0.001-0.01$  km<sup>3</sup>), which number is significantly greater than the other (figure 2).

Sampling in evaluating the distribution of lakes of Kazakhstan, according to the maximum depth of the water body included 549 lakes, of which have a very low depth  $H_{max}$  there were 492 lake (89.6 %), and with an average depth of  $H_{max}$  - 20 lakes (3.7 %). Category «large lake» ( $H_{max}$  more than 50 m) is absent.

Thus, on the territory of Kazakhstan there are numerous small lakes. They are located in deltas and river channels. Among them there are a lot of temporal: in the spring, filled with water, and by the fall dry up, turning into “sor” and salt-marshes. Most of the lakes are drainless that such the huge evaporation contributes to their mineralization. Therefore, on the lowlands of Kazakhstan is dominated by the lake with brackish and salt water, and in particularly dry areas – lake-salt containing a variety of salt.

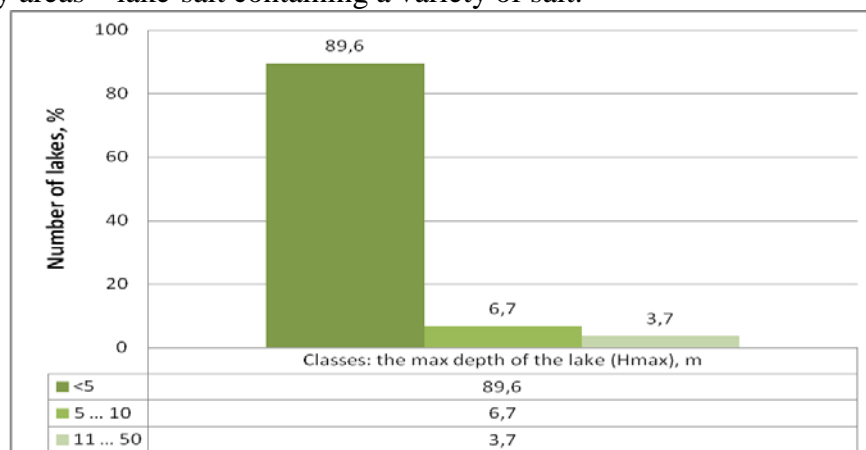


Figure 3 – distribution on classes of the maximum depth of the lake ( $H_{max}$ ), %

The bar graphs of the distribution of Kazakhstan lakes according to the salinity allow to estimate of the ratio of lakes of different salinity (figure 4). Here should be noted that not all of the lake from the database are studied on the water quality characteristic. From 3 360 lakes studied are only 506. Of these 506 lakes almost half - 230 - are salty. But this does not mean that Kazakhstan is more salty lakes than fresh.

The bar graph is presented on the figure 4, shows, that on the territory of Kazakhstan are concentrated saline, brackish and saline lakes.

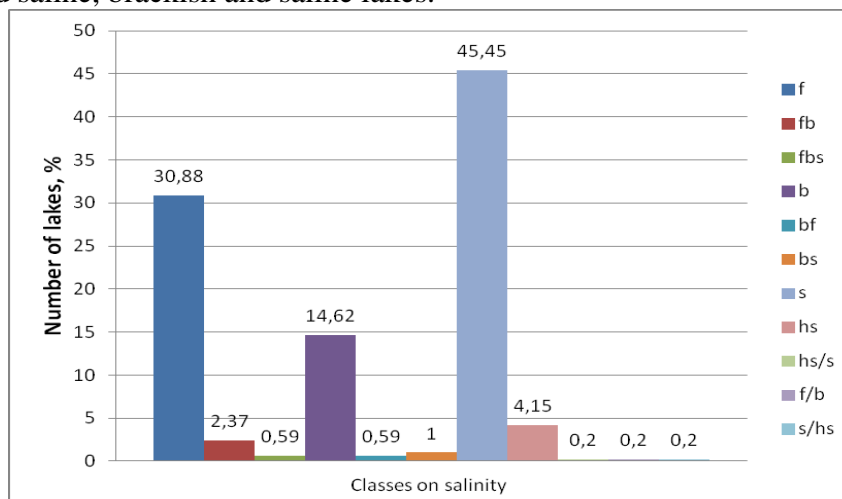


Figure 4 – Distribution on classes of salinity, %

### Conclusion:

Lake of Kazakhstan or extremely high (Caspian, Aral, Balkhash) or extremely small. Lake of the first group are unique natural objects. They should be studied separately. Among small lakes in Kazakhstan examined in this study, 93% have a volume of water mass is less than 0.1 km<sup>3</sup>. Normative documentation small volume lakes are considered water bodies with the value of this quantity is less than 0.5 km<sup>3</sup>.

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# THE RISE OF QATAR AS A SOFT POWER AND THE CHALLENGES

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## Abstract

This paper argues that Qatar exercises soft power influence in a troubled region via attraction and “carrots”. The sources of attraction includes: Qatar’s political stability derived from its military alliance with the U.S and effective income redistribution policies and a progressive higher education system which have greatly enhanced the stature of Qatar in the Middle East. Qatar offers the following “carrots” for influence: the potency of its Aljazeera Network, “carrot diplomacy”, sports investments and a generous foreign aid policy. However, the efficacy of these tools could be undermined, by the lack of a democratic culture in Qatar, questionable associations and causes, the unsustainable trajectory of “carrot” diplomacy and a creeping shift towards hard power in resolving conflicts and its attendant backlash.

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**Keywords:** Qatar, hard power, soft power, diplomacy, Arab Spring, Middle East

## Introduction:

This paper seeks to explore how Qatar exerts soft power influence in its foreign policy and its attendant challenges. Since Joseph Nye pioneered the concept of soft power, there have been numerous articles on how countries are exerting soft power influence. However, most of these articles have disproportionately focused on the same traditional great powers that dominate international politics in the exercise of hard power such as the U.S, China, Russia and other European powers. Thus the focus on Qatar offers a departure from a great power exercising any form of power and demonstrates how a small country can punch above its weight by exerting soft power influence and shaping the course of history in the Middle East.

Joseph Nye defines soft power as “the ability to affect others to obtain the outcomes one wants through attraction rather than coercion or payment.”<sup>1</sup> Nye notes that “one can affect other’s behavior in three main ways: threats of coercion (sticks), inducements and payments (‘carrots’), and attraction that makes others want what you want.”<sup>2</sup> Also, soft-power relies on three main resources: cultural - places where it is attractive; political values -when the promoter adheres to them at home and abroad; and foreign policies- regarded as legitimate and having moral authority<sup>3</sup>. In this regard, this paper argues that Qatar relies on attraction and “carrots” in its exercise of soft power. Qatar’s relative political stability in a turbulent region derived from a strong military alliance with the U.S and the effective redistribution of wealth among its citizens constitute a major source of attraction within its sphere of influence in the Middle East. In addition, the image of the Aljazeera media network as the voice of the powerless coupled with a progressive higher educational system is shaping the hearts and minds of thousands of people within the region. In terms of “carrots”, the volume and scope of Qatar’s foreign aid, sports investments and “carrot” diplomatic efforts is a major boost for its attempt at soft power. However, these could be derailed by the following: creeping

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<sup>1</sup> Joseph Nye, “Public Diplomacy and Soft Power.” *The Annals of the American Academy of Political and Social Science* 616 (2008), 94

<sup>2</sup> Ibid

<sup>3</sup>J. Nye, *Soft power: The Means to Success in World Politics*, p.11.

utilization of “sticks” in the form of military intervention in Libya and Syria, questionable associations and causes, the unsustainable trajectory of “carrot” diplomacy and the risk of negative backlash.

### **Soft Power by Attraction**

#### **Dividends of U.S./Qatar Military Alliance**

Although Qatar is not a democratic country in the liberal sense and thus hardly a symbol for liberal democratic ideals in practice that is worthy of universal admiration and attraction, it still has some indirect hard-power that makes it attractive within its sphere of influence in the Middle East. This is because, “Military power can also be an attraction to those who wish to be on the winning side - or at least wish to avoid being on the losing side. Military units can be used for disaster relief”<sup>4</sup>. In this regard, Qatar’s military alliance with the U.S and its hosting of the U.S. military base, CENTCOM has bolstered its image in the region to the point of mute attraction and awe which constitute soft power. For example, the U.S/Qatar military alliance enabled Qatar to engage in military humanitarian intervention in Libya, addition to the hard power participation in the overthrow of the Gaddafi regime.

Furthermore, it inoculates Qatar against any immediate regional threat and preserves the power and authority of the Al-Thani dynasty as would be provocateurs would have to contend with the full might of the sole Super-power in the world which has vested military and economic interest in Qatar. Second, the U.S military alliance also enhances the image of Qatar regionally and worldwide as a stable country that has the approval and ear of the sole Super-power thereby enabling Qatar to leverage this benefit into soft power influence in places where Qatar can serve as an interlocutor between the U.S and its Middle Eastern and Muslim friends, who are wary and suspicious of U.S motives.

#### **Effective Distribution of National Wealth**

Qatar stands out in a region where there is massive disenchantment against the ruling elites for their failure to effectively manage their respective economies and distribute immense wealth from oil sales. It is therefore not surprising that Qatar remains unscathed by the Arab Spring phenomenon. Through this default mode, Qatar has become the proverbial one-eyed man in the kingdom of the blind, worthy of everyone’s leadership.

Qatar is blessed with the double fortune of immense natural resources and a small population which has enabled the leadership to formulate an uncontested domestic and foreign policy at home. According to the 2008 Economist intelligence report, Qatar had a GDP per capita per person of a whopping \$448, 246. This level of wealth has insulated Qatar from the socio-economic discontent that has led to the political turmoil of the Arab Spring. The Qatari state has proven itself to be an effective distributor of wealth to its citizens through public sector employment, grants of land to citizens and the provision of subsidized goods and services. This is in contrast to other countries in the region such as Saudi Arabia, Bahrain and Oman where a complex demographic mix and increasing population continue to pose a strain on wealth distribution<sup>5</sup>.

Indeed there is evidence to show that Qataris are content with the wealth distribution. According to the results of the third annual Arab Youth Survey published in March 2011 by the Dubai based Public relations firm, Asda’a Burson-Marsteller, the percentage of respondents who ranked democracy as important had fallen from 68% in 2008 to just 33% in 2010. Instead, two-thirds of the respondents placed a higher premium on stability and living in safe neighborhoods. These results show that Qataris are content with what they are

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<sup>4</sup> Dan Blatt, review of *The Paradox of American Power* by Joseph Nye, *Futurecasts* 4 (2002):3.

<sup>5</sup> Kristain Ulrichsen. “Qatar: Emergence of a Regional Power with International Reach.” *E-International Relations*, 2102, <http://www.e-ir.info/2012/01/23/qatar-emergence-of-a-regional-power-with-international-reach/> (25 June, 2013)

currently receiving and have made a rational calculation that the cost of rocking the status quo was not worth the hassle. It is therefore not surprising that the Arab Spring has passed Qatar by.<sup>6</sup> Indeed, this contentment quiets the home front and gives the government the breathing space to be more active in foreign affairs.

However, Nye warns that military and economic superiority is frequently not enough to achieve a desired outcome as history does not always favor the side with the biggest battalions or the deepest pockets. Furthermore, the player with the strongest power hand is not always destined to carry the day. Therefore, "Converting resources into realized power in the sense of obtaining desired outcomes requires well-designed strategies and skillful leadership. Yet strategies are often inadequate and leaders frequently misjudge -- witness Japan and Germany in 1941 or Saddam Hussein in 1990."<sup>7</sup>

### **Progressive Higher Education System**

One of the major sources of attraction that has traditionally enabled the U.S and its western allies to exercise soft power is a strong and reputable higher education system that attracts thousands of people to study in U.S and other western educational institutions. Over the years, the U.S has been offering several scholarships to other nationalities via institutional programs such as the Fulbright and Marshall Programs. These are aided by other non-governmental programs such as the Ford foundation and the George Soros financed Open Society program. It is instructive to know that former UN Secretary General, Kofi Annan was a beneficiary of a Ford foundation scholarship just as President Obama's father was in the sixties. It is no coincidence that the U.S strongly backed the candidacy of Kofi Annan, an MIT Alumnus, for the post of the U.N Secretary General. Having been educated in the U.S, Washington considered him a known entity in contrast to his unknown fellow African competitor, the former foreign minister of Tanzania, Ahmed Salim Salim.

The foreign policy benefits of such educational opportunities for host governments are immeasurable. First, higher educational institutions offer a non controversial avenue to shape the hearts and minds of future elites from other countries who will assume leadership positions in their respective countries. Such elites are more likely to have forged strong ties with their counterparts in wherever they received their education and are more amendable to deal making rather than confrontation. Second, educational opportunities help demystify the fear of the other as both U.S and international students are able to overcome entrenched stereotypes and misperceptions about each other through their interaction on various campuses. This is helpful for future cooperation between the host country and the countries of origin of the students. Nye points out that personal contact serves a vital channel for soft power. For example, "Most of China's leaders have a son or daughter educated in the States who can portray a realistic view of the United States that is often at odds with the caricatures in official propaganda"<sup>8</sup>.

Thanks to its huge oil and gas revenue, Qatar continues to invest heavily in the improvement of education, making the country the world leader in terms of the percentage of GDP spent on education. In addition, the literacy rate stands at 93 percent and 88.6 percent of girls are able to read and write, which is the highest percentage in the Arab world.<sup>9</sup> In the last few years, Qatar has aggressively courted and has been successful in getting prestigious U.S universities to open branches in Qatar where they offer the same degrees as the parent universities in the U.S. In pursuance of this strategy of attracting foreign universities, Qatar

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<sup>6</sup> Ibid

<sup>7</sup> Dan Blatt, review of *Soft Power* by Joseph Nye, *Futurecasts* 6 (2004):5

<sup>8</sup> Dan Blatt, review of *Soft Power* by Joseph Nye, *Futurecasts* 6 (2004):9

<sup>9</sup> Bertelsmann Stiftung's Transformation Index, "BTI 2012 Qatar Country Report," *BTI*, 2012, <http://www.btiproject.de/fileadmin/Inhalte/reports/2012/pdf/BTI%202012%20Qatar.pdf> (20 June, 2013)

has built an education city in order to concentrate all the Universities in the same area. Notable among these Universities are Carnegie Mellon University, Georgetown University, Virginia Commonwealth University, Weill Cornell Medical College and Texas A & M University.<sup>10</sup>

These institutions have become very popular in the Middle East as it is obvious that for these universities to be viable in the long run, they would have to go beyond the small pool of prospective Qatari applicants and instead tap into the greater Middle East for prospects. Herein lays the soft power impact of Qatar on Middle Easterners and other foreigners who are attracted by the aforementioned universities in Qatar. Many of the Middle Eastern students are going to be the elites in their respective countries and as such the relationships that they forge with Qataris and other international students' coupled with their live experiences living in Qatar are going to make them much more tolerant of Qatari foreign policies in the future if not susceptible. Furthermore, schools in Qatar's education city serve as a credible alternative for higher education for Arabs who are hesitant to pursue higher education in the West either as a result of visa restrictions or cultural considerations. This adds to the growing prestige of Qatar in the Middle East and their ability to shape the minds of current and future generations of Middle Eastern and Muslim elites. It is instructive to also note that most of the faculty members at these universities are Westerners who are primed to shape the hearts and minds of future Arab leaders towards moderation, a foreign policy goal of Qatar.

It is noteworthy that during the Cold War, U.S Soft power influences in the form of cultural exchanges and the thousands of international students who came to study in the U.S created a significant advantage for the U.S over its Cold War adversaries. Nye has observed that some of the pioneer international students from the Soviet Union played a pivotal role in the peaceful demise of the Soviet Union as they eventually rose to positions of influence upon their return home and began challenging the status quo from within.<sup>11</sup>

Apart from helping in the molding of the future elites of the Middle East, Qatar is also shaping the foreign policy agenda of the region by inviting scholars and academics to attend conferences that focus on priority issues of the Qatari government. For example, in his capacity as Chair of the Qatar Foundation, H.E. Sheikh Abdullah Bin Ali-Al Thani, holds annual summits in Doha to discuss new ideas about innovations, inventions and technologies. The theme of the 2009 inaugural summit was global education and how people around the world should cooperate to achieve something great.<sup>12</sup> Participants of these summits represent leading and emerging voices from their countries and they are not impervious to presentations from like-minded people and their Qatari hosts.

### **Aljazeera Media Influence**

Unlike the U.S and other major European powers that have are widely associated with certain desirable ideals and values which enable them to exert soft power influence around the world, Qatar until recently was a relatively unknown country. However, the establishment of the Aljazeera media empire by the Qatari government in 1996 has given the country unprecedented exposure in the world as Qatar is now synonymous with the famous Aljazeera brand which is now universally recognizable. The ability of any country to exert soft power influence by promoting its ideals or values depends largely on its ability to tout the utility of the proposed ideals via a medium that the targeted audience trusts or derives its information from. Over the years, the U.S and Great Britain have had major successes promoting their

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<sup>10</sup> Helen Ziegler, "International Universities in Qatar". *Helen Ziegler & Associates*, n.d, <http://www.hziegler.com/articles/international-universities-in-qatar.html> (25 June, 2013).

<sup>11</sup> Dan Blatt, review of *Soft Power* by Joseph Nye, *Futurecasts* 6 (2004): 34

<sup>12</sup> World Innovation Summit for Education, "WISE Initiative". *WISE*, N.D., <http://www.wise-qatar.org/> (20 June 2013)

ideals around the world via their dominance of the major media sources such as CNN, BBC and Voice of America just to mention a few. However, the duopoly of American and British Media dominance has been broken by Aljazeera since its inception in 1996 and it remains a force in influencing the attitudes and minds of people in the Middle East.

In fact Hillary Clinton in a March 2, 2011, Congressional testimony cited the increasing influence of Al Jazeera in her argument for more Congressional funding to execute what she termed the “information war” which she declared the U.S was losing. Acknowledging the soft power influence of Aljazeera, she testified as follows:

Al Jazeera has been the leader in that are literally changing people’s minds and attitudes. And like it or hate it, it is really effective...In fact viewership of Al Jazeera is going up in the United States because it’s real news. You may not agree with it, but you feel like you’re getting real news around the clock instead of a million commercials and, you know, arguments between talking heads and the kind of stuff that we do on our news which, you know, is not particularly informative to us, let alone foreigners.”<sup>13</sup>

Aljazeera has been providing its audience with different perspectives on the ‘hot button’ global issues which counters the western news media’s narrative thereby carving a niche for itself as captured by its motto “The View and the Other Point of View”. In addition, Aljazeera has built a reputation for breaking the media norms of the Arab world which shies away from critiquing or questioning officialdom. Instead, the network is widely praised for giving opposition groups the forum to condemn their repressive governments.”<sup>14</sup>

The international profile of Qatar in the midst of the Arab Spring has been greatly enhanced, particularly in the Middle East as a result of the coverage of Aljazeera. The average man on the streets of Tunisia, Libya, Egypt and Syria is more likely to view Qatar as siding with the powerless because its news organization is telling and showing the world their struggles for freedom and democracy. Buttressing this point, Kinninmont, notes that “Al-Jazeera now wins global accolades for its cutting-edge coverage of the Arab Spring. It has been the only Arab broadcaster to make serious inroads with western audiences, challenging the stereotype that globalization must mean westernization.”<sup>15</sup>

Aljazeera has diversified its coverage to include sports, documentaries, local news and children’s programs in addition to its highly acclaimed English-language current-events channel that features an ensemble of top notch Western journalists. Although the network may be popular in the State Department’s cafeteria in Washington, the network is unfairly tagged as a promoter of jihad in certain quarters of American society thereby limiting its expansion in the American media landscape.<sup>16</sup> However, the recent acquisition of Current TV by Aljazeera offers the possibility of Aljazeera gaining about 40 million American customers for its proposed Aljazeera America Network.<sup>17</sup> The ability of Aljazeera to broadcast into the homes of millions of Americans may go a long way to change the attitudes of Americans towards Muslims and the Middle East in general. If this happens, it will be a novelty in the sense that it will be the first time that a smaller country via the power of its media empire is exerting soft power influence on the super-power of the world.

<sup>13</sup> Kirit.Radia, “Sec. of State Hillary Clinton: Aljazeera is ‘Real News’, U.S. Losing ‘InformationWar’” *ABCNEWS*, 2011, <http://abcnews.go.com/blogs/politics/2011/03/sec-of-state-hillary-clinton-al-jazeera-is-real-news-us-losing-information-war/> (20 June, 2013)

<sup>14</sup> Jeremy M. Sharp, “*The Al Jazeera News Network. Opportunity or Challenges for U.S.*,” *Library Of Congress Washington Dc Congressional Research Service*, 2003, <http://oai.dtic.mil/oai/oai?verb=getRecord&metadataPrefix=html&identifier=ADA476202> (25 June 2013)

<sup>15</sup> Jane Kinninmont, “From Football to Military Might, How Qatar Wields Global Power”, *Guardian*, 2013, [www.guardian.co.uk/.../2013/feb/.../qatar-tiny-gulf-state-global-force](http://www.guardian.co.uk/.../2013/feb/.../qatar-tiny-gulf-state-global-force) (20 June 2013)

<sup>16</sup> The Economist, “Al Jazeera Must do Better: The Arabs’ Premier Television Network Bids for American Viewers,” *The Economist*, 2013, <http://www.economist.com/news/middle-east-and-africa/21569429-arabs-premier-television-network-bids-american-viewers-must-do-better>

<sup>17</sup> Ibid

## “Carrots” for Soft Power

### “Carrot” Diplomacy

Qatar uses its enormous wealth from natural resources as a tool for its foreign policy in order to build its regional and international profile. However, Qatar lacks the organic influence that other countries have over others such as Saudi's religious influence, America democratic influence and China's economic influence. As a result of this, Qatar is increasingly relying on its financial muscle when mediating conflicts by promising huge sums of money after a peaceful settlement to build up infrastructure and so on. I term this “Carrot Diplomacy.” For war torn and cash strapped countries, Qatar's offer of “carrots” for peace is a noble cause.

In order to achieve its diplomatic objectives, Qatar relies on two types of diplomacy. The first is diplomatic mediation, which seeks to project an image of Qatar's as a neutral intermediary that can be relied upon and interested in peace and stability in the region. Qatar uses diplomacy to maximize its interests and influence on countries such as Lebanon, Egypt, Yemen and Sudan that have traditionally fallen under Saudi Arabian influence thereby upending the mantle of domination and influence of a strong regional hegemon.

The second mode of diplomacy employed by Qatar is public diplomacy through the media, where it presents Aljazeera as the voice of the people and an open platform for the voiceless. Diplomatic and public diplomacy is often integrated whereby Al Jazeera highlights conflicts that Qatar mediates. Most of Qatar's diplomatic interventions are aimed at defusing crisis, or relieving tension, and not necessarily resolving the the conflict. However, Qatar's modus operandi is being tested by the Arab Spring whereby Qatar is now compelled to shirk its impartiality cloak and instead take sides. Thus, Qatar has attained a respectable regional and international reputation that does not commensurate with its small size and limited military capability all through a deliberate policy where it uses its tremendous resources as carrots and sticks.

As part of its public diplomacy strategy, Qatar pursue a deliberate type of diplomacy which has been described as “Niche Diplomacy, “defined as the targeting of “resources in specific areas able to generate returns worth having.”<sup>18</sup> In line with this strategy, Qatar has devoted resources in six areas with the hope of exerting soft power influence to solve some of the most vexing conflicts in the Middle East. The first strategy is serving as an unbiased interlocutor between two conflicting parties that Qatar has good relations with. In pursuance of this Qatar offered to open an office for the Taliban in Doha in order to facilitate peace talks between the Taliban and the Karzai government and also between the Taliban and the Americans.

The second strategy involves Qatar using its good offices to mediate intra faction conflicts by hosting reconciliation meetings among feuding factions in the region. For example, Qatar has hosted several reconciliation meetings between Hamas and Fatah in a bid to unite them for the much bigger challenge of speaking with one voice against Israel and ending the destruction intra faction political turf wars that undermines Palestinian unity. Also in November 2012, Qatar hosted a conference in its capital Doha which brought all the opposition forces against the Assad regime. At the conference an agreement was signed among the Syrian opposition to form a Syrian National Coalition of the Opposition and Revolutionary Forces in a bid to better coordinate their resistance against the Assad regime.

The third strategy is that Qatar hosts big multilateral conferences as it did in hosting the largest conference on United Nations Convention on Climate change from November 26-December 6, 2012 with about 17,000 participants. Prior to this, Qatar hosted the now famous WTO Ministerial Conference known as the Doha round of talks in 2001 which sought to

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<sup>18</sup> Carl Ungerer, “The ‘Middle Power’ Concept in Australian Foreign Policy.” *The Journal of Politics and History* 53 (2007):548

commit all countries to negotiate for open agricultural and manufacturing markets and enhanced intellectual property rights protections.

The fifth strategy which is perhaps the most controversial is Qatar increasingly becoming the preferred destination for many political dissidents in the region sometimes to the discomfort and displeasure of some of its international and regional allies. For example Qatar hosts Khaled Meshal the political head of Hamas after the latter abandoned his patron Assad in the wake of the Syrian uprising. Although the Qatari move has been interpreted as an attempt to wean Hamas off its Iranian/Syria influence and thereby moderate its outlook, Tel Aviv and Washington D.C are quite wary. Similarly, Qatar host a number of prominent Islamic Brotherhood dissidents that have been expelled from Saudi Arabia and the U.A.E creating a sour spot in an otherwise excellent relationship among the three nations. On the other hand, Qatar has dangled the prospect of a comfortable asylum to key actors in some of the conflicts in the Middle East in order to entice them to defect and assist in ending a conflict. For example, in August 2012 the former Prime Minister of Syria Riad Hijab defected from the regime and headed quickly to Qatar. In addition, Qatar granted Asylum to the former foreign minister of Libya in the Gaddafi Regime Mousa Koussa in the heat of NATO's attack on Gaddafi's forces.

The last strategy involves Qatar projecting its diplomatic efforts through its Aljazeera network and highlighting its mediation initiatives to the region and the world at large. This goes a long way to enhance the reputation of Qatar in the world and the public opinion in places where Qatar is mediating peace. According to Nye "Shaping public opinion becomes even more important where authoritarian governments have been replaced by new democracies."<sup>19</sup>

## Sports

Sports are non-controversial tools that bring nations together and enhance the reputation and image of countries that excel in them or host successful events. That is why many countries have traditionally invested heavily in the preparation of their athletes for major worldwide sporting events. For example, in the height of the Cold War, the Olympics became a proxy battle field between the East and West to the point where some of the Eastern bloc members such as Eastern Germany deemed it necessary to dope their athletes in order to demonstrate athletic superiority and in extension, ideological superiority over their Western German counterparts. The bidding to host major sporting events such as the Olympic Games and the Football World Cup is a fiercely contested process even though many host countries are unable to recoup all their financial investments after hosting these events. An intangible and an unquantifiable factor behind the fierce competition to host such major sporting events is the international prestige and stature gained in successfully hosting major sporting events. This goes a long way to make the host country or the athletically successful country very attractive to other countries, a major coup for soft power.

Although Qatar is far from being a major world power in any sport, it has been aggressively seeking and successfully hosting major sporting events. It successfully hosted the XV Asian Games in 2006 and recently won the bid to host the 2022 World Cup amid allegations of vote buying which threatens to undermine this tremendous accomplishment. Winning the right to host the World Cup has greatly enhanced the image and reputation of Qatar in the Middle East and among Muslims around the world, just as South Africa's hosting of the 2010 World Cup was a major source of pride for the entire African continent.

A successful hosting will further cement the reputation and level of Qatari attractiveness in the Middle Eastern region thereby boosting its influence in the Middle East and the Muslim world in general. When countries host major sports events, the best of their

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<sup>19</sup> Joseph Nye, "Public Diplomacy and Soft Power." *The Annals of the American Academy of Political Science and Social Science* 616 (2008), p. 105

culture and hospitality is also on display and depending on how attractive it is, it can greatly enhance the image of the host nation. One cannot under-estimate the impact of the captivating acrobatics and fire displays during the Beijing Olympics and the James Bond themed cameo of the Queen of England during the London Olympics. Joseph Nye has identified culture as one of the main resources of soft-power, particularly in places where it is attractive.<sup>20</sup>

Qatar is also using sports to build its soft power beyond its shores through sponsorship deals with famous European sporting giants and outright purchase of major European football clubs. For example, in 2010, FC Barcelona accepted the Qatar Foundation logo in place of the UNICEF logo ending more than a century of tradition by signing a commercial shirt sponsorship package worth \$190 million dollars. In 2011, Qatar also purchased the iconic but cash strapped Parisian football club, Paris Saint-Germain. Thus using its immense financial resources to invest in an immensely popular global sport, Qatar is tactfully increasingly its global profile via football diplomacy.<sup>21</sup>

Drawing a parallel, with the long held soft power advantage of American culture in the world, Coruzzi posits that Qatari investment in football will serve “a similar purpose to that of Hollywood. Sports, like movies, are extremely popular in all ranks of society. Just like the world learned to love America through Marlon Brando and Marilyn Monroe, so too will the world learn about Qatar through Paris-Saint Germain.”<sup>22</sup>

### Foreign Aid

The world giving index 2011, ranked Qatar in 20th place based on the percentage of population giving and the first in terms of the Middle Eastern region and Arab countries.<sup>23</sup> Countries that integrate substantial foreign aid in their foreign policy generally generate positive goodwill as it enhances their reputation among the beneficiaries. In international relations, today’s aid beneficiary is a potential future ally via soft power influence and as Nye puts it “When countries make their power legitimate in the eyes of others, they encounter less resistance to their wishes.”<sup>24</sup> According to Qatar’s Ministry of Foreign Ministry, the total developmental and humanitarian aid given by the Qatari government between 2010-2011 amounted to over 1 billion U.S dollars.<sup>25</sup>

Notable among Qatar’s giving is a one billion dollar loan to Tunisia with a 2.5% interest rate and a promise to employ 20,000 Tunisians to work in Qatar.<sup>26</sup> Similarly, Qatar has decided to invest 29 million Euros in subsidized housing in Tunisia which will provide 810 housing units in Sejoumi in the Tunis governorate.<sup>27</sup> This aid comes at an opportune time for Tunisia which went through a tumultuous democratic transition sparked primarily by agitations for more employment opportunities and democratic reforms. Qatar’s financial assistance and offer of employment for Tunisians will go a long way, to ingratiate the Qatari government to Tunisians. This will make the Tunisian government and public opinion more

<sup>20</sup> Joseph Nye, “Public Diplomacy and Soft Power.” *The Annals of the American Academy of Political Science and Social Science* 616, no. 1 (2008), 94.

<sup>21</sup> Damien Coruzzi, “Qatar: Football as Soft Power,” *Columbia Political Review*, 2013, <http://cpreview.org/2013/02/qatar-football-as-soft-power/> (25 June, 2013)

<sup>22</sup> Ibid

<sup>23</sup> Charities Aid Foundation, “World Giving Index 2011,” *Charities Aid Foundation*, 2011, <https://www.cafonline.org/pdf/worldgivingindex2011191211.pdf> (20 June, 2013)

<sup>24</sup> J. Nye, *Soft Power: The Means to Success in World Politics*. (2004), p. 10

<sup>25</sup> Qatar Ministry of Foreign Affairs. “Humanitarian Aid in Two Years Exceeds QR 5 BN,” *Qatar Ministry of Foreign Affairs*, N.d, <http://english.mofa.gov.qa/newsPage.cfm?newsid=22196> (25 June, 2013)

<sup>26</sup> Jihen Laghmani, “Qatar Giving Tunisia \$1 Billion Loan, May Provide Jobs,” *Bloomberg*, 2012, <http://www.bloomberg.com/news/2012-04-26/qatar-giving-tunisia-1-billion-loan-may-provide-jobs.html> (25 June, 2013).

<sup>27</sup> ANSamed. “Qatar Gives Tunisia EUR 29 mln for Subsidized Housing,” *ANSamed*, 2013, <http://www.ansamed.info/ansamed/en/news/sections/economics/2013/03/13/Qatar-gives-Tunisia-EUR-29-mln-subsidised-housing8392367.html> (25 June, 2013)



susceptible to Qatari influence because the latter will be viewed as having demonstrated commitment to the welfare of Tunisians in times of need.

In addition, Qatar has given cash strapped Egypt a loan facility of 3 billion dollars<sup>28</sup> and pledged five free cargoes of liquefied petroleum gas to assist Egypt this summer.<sup>29</sup> This aid from Qatar was aimed at shoring up the Islamic Brotherhood government of Morsi, a major ally of Qatar at a time that the West was hesitant to grant the Morsi government financial assistance pending some political reforms. By providing financial assistance to Egypt at a critical time of need, Qatar was positioned to influence Egyptian politics and at the same time ingratiate itself to Egyptian public opinion in the post-Mubarak era. According to Nye “Shaping public opinion becomes even more important where authoritarian governments have been replaced by new democracies.”<sup>30</sup> However, the toppling of Morsi could seriously undermine Qatar’s image in Egypt as the former would be viewed negatively for investing in a failed cause.

Qatar’s indiscriminate humanitarian assistance could yield strong foreign relations dividends from the recipient governments and countries in the foreseeable future as Qatar will become an attractive country to deal with. The provision of \$100 million dollars assistance to the U.S in the wake of a devastating natural disaster such as Katrina will help soften the image of Qatar among the U.S public which is very hostile towards Arabs and suspicious of Muslims as a result of 9/11. For risk averse and opinion poll conscious American politicians, this will reduce the political transaction cost of engaging Qatar in foreign policy issues since the former can now show to the American public a tangible deed of the Qatari government to make the case that Qatar is an American ally worthy of engagement. Nye posits that “in democracies where public opinion and parliaments matter, political leaders have less leeway to adopt tactics and strike deals than in autocracies”.<sup>31</sup>

### **Challenges to Qatari Soft Power Promoting Values without Practicing**

On a global scale, Qatar is not faring well in terms of practicing democracy internally and serving as a good democratic role model in the Middle East. According to the 2010 Democracy Index released by the Economic Intelligence Unit, Qatar ranked 137 out of 167. A contributory factor to Qatar’s low democratic ranking is its 0 rating in electoral process and pluralism.<sup>32</sup> This ranking shows that indeed Qatar is an authoritarian regime and lacks the moral authority to be the torch bearer of democracy in the Middle East.

During an official visit to the White House, President Obama praised then Emir of Qatar for his diplomatic and military support in toppling the Gaddafi regime. However, has acknowledged Qatar’s awkward position as a flawed messenger of democracy, by observing that “He, Al-Thani, is a very influential guy but he himself is not reforming significantly.”<sup>33</sup>

According to Nye promoting a set of political values could be a major booster to soft power influence “when the promoter adheres to them at home and abroad” and pursues

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<sup>28</sup>Bourzou Daraghi, “Qatar Gives Egypt \$3bn Aid Package,” *Financial Times*, 2013, from <http://www.ft.com/intl/cms/s/0/790a7d52-a1f4-11e2-897100144feabdc0.html#axzz2Y4LfKNqT> (25 June, 2013).

<sup>29</sup> Summer Said, “Qatar to Give Egypt 5 Free LNG Cargoes This Summer –Egyptian,” *Wall Street Journal*, 2013, <http://online.wsj.com/article/BT-CO-20130610-706242.html> (25 June, 2013)

<sup>30</sup> J. Nye, *Soft power: The Means to Success in World Politics*. (2004), p. 105

<sup>31</sup> J. Nye, *Soft Power: The Means to Success in World Politics*. (2004) p. 16

<sup>32</sup> Economic Intelligence Unit, “Democracy Index. Democracy in Retreat: A Report from the Economics Intelligence Unit,” *The Economist*, 2010, [http://graphics.eiu.com/PDF/Democracy\\_Index\\_2010\\_web.pdf](http://graphics.eiu.com/PDF/Democracy_Index_2010_web.pdf). (25 July, 2013)

<sup>33</sup>David Jackson, “No Big Move Towards Democracy in Qatar,” *USA Today*, 2011, <http://content.usatoday.com/communities/theoval/post/2011/04/obama-no-big-move-toward-democracy-in-qatar/1> (25 June 2013)

“foreign policies regarded as legitimate and having moral authority”<sup>34</sup> In order for Qatar’s democratic advocacy to be effective and persuasive for its recipients, Qatar would have to lead by example by practicing what it preaches. It is far difficult and unattractive to promote a policy based on do as I say, not as I do. As the cliché goes, action speaks louder than words.

### **Over Reliance on “Carrots” and Backlash**

Qatar risks a global backlash even in recipient countries of Qatari investments and foreign aid if it is perceived as buying influence. While the elites in countries where Qatar is investing or donating money may court or welcome Qatari money, a segment of the population may resent this and view this as an attempt by Qatar to prop up a political faction within the country. At worse, the sheer volume of Qatar’s investment could unnerve the sensibilities of domestic actors already blaming global forces for their economic plight in a difficult global economic environment. Under such circumstances, Qatar risks losing the hearts and minds of the people that they hope to court for future engagements.

There is growing resentment throughout Europe and the Middle East as a result of recent Qatari investments. In the Middle East, there are grumblings against Qatar for purchasing the downfall of Gadhafi among others. After initially hailing Qatar for its role in toppling Arab Dictators, protestors in Libya burnt the Qatari flag for funding the Muslim Brotherhood there. After giving Egypt \$3 billion dollars, some Egyptians burned Qatari flag and accused their government of selling the country to Qatar. Meanwhile rumors continue to swirl among Egyptians that Qatar might purchase the Suez Canal in spite of numerous denials from both governments. Furthermore, anti-Qatar demonstrations flared up after Qatar promised a \$1 billion dollar loan prompting an embarrassed Tunisian government to rebuke its citizens for insulting a country that is helping them.<sup>35</sup>

In France, the backlash against Qatari investments is being spearheaded at the elite level among far right politicians who are particularly incensed about Qatar’s plans to invest in low-income “banlieues”. Marine Le Pen, the leader of the far right party, Front National who scored about 20% of the votes in the last Presidential elections has labeled Qatari investment plans as an “Islamic Trojan Horse.” This has resonated with a segment of French citizens in the midst of economic and political anxieties.<sup>36</sup>

### **Limitations of “Carrot” Diplomacy**

Qatar is not universally identified with a particular set of values or ideals that others will voluntarily embrace without inducements and this can make their soft power influence fleeting. Buttressing this point Nye posits that “When you can get others to admire your ideals and to do want what you want, you do not have to spend as much on sticks and carrots to move them in your direction. Seduction is always more effective than coercion, and many values like democracy and human rights, and individual opportunities are deeply seductive.”<sup>37</sup>

Many people imitate Americans not because they are coaxed to do so but they are motivated to do so and they are willing to learn and adopt American ways of thinking or doing things because they think it’s a better option. However, what will happen if Qatar is no longer able to deliver the “carrots” when it faces economic crises as it is cyclical with resource dependent economies? Will countries welcome Qatar to mediate their problems and will the influence of Qatar remain the same or fade away when it can no longer deliver the

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<sup>34</sup> Joseph Nye, “Public Diplomacy and Soft Power.” *The Annals of the American Academy of Political Science and Social Science* 616 (2008): 94.

<sup>35</sup> Omar Chatriwala, “Qatar Spending Spree Ignites Backlash, Warnings,” *Nuqudy*, 2013, [http://english.nuqudy.com/Gulf/Qatar\\_Spending\\_Spre-5568](http://english.nuqudy.com/Gulf/Qatar_Spending_Spre-5568) (25 June, 2013)

<sup>36</sup> Damien Corruzzi, “Qatar: Football as Soft Power,” *Columbia Political Review*, 2013, <http://cpreview.org/2013/02/qatar-football-as-soft-power/> (25 June, 2013)

<sup>37</sup>J. Nye, *Soft power: The Means to Success in World Politics*. (2004), p. X

“carrots”? Nye argues that a powerful country should set the values and others would follow without any external influence and notes that motivation plays a major role in soft power.<sup>38</sup> Citing the United States as a case study, Nye points out that the U.S set the standards for democracy and a set of ideals romanticized around the world as the “American dream” for people to follow.<sup>39</sup>

### **Qatar’s Questionable Friends**

Qatar has cultivated and built strong relationships with diverse Islamist groups across the Middle East and exert considerable influence on them primarily through the provision of “carrots”. These groups include Muslim brotherhood branches in Egypt, Tunisia, Libya and to some extent Turkey and Hamas in Gaza. In addition, Qatar host a number of brotherhood/Islamist dissidents from neighboring Gulf countries such Saudi Arabia and the U.A.E much to the consternation of these countries. With Qatar overtly providing financial and moral support to Islamists in the region, any deviation from democratic norms by the latter regimes will severely dent the international image of Qatar thereby undermining their soft power credentials.

If Qatar’s Islamist allies are able to consolidate democratic ideals and meet the aspirations of their people, then Qatar’s image will be enhanced in the region and become a major source of attraction, a sine-qua non for soft power influence. However, recent events in Egypt where millions of Egyptians marched on the streets and forced the ouster of Brotherhood President Morsi for betraying their democratic aspirations, does not bode well for the image of Qatar in Egypt and beyond. In this regard, Nye warns that “The reputation and credibility of a state or group seeking to exert soft-power influence also matters particularly because of the “paradox of plenty”<sup>40</sup>. Thus any information perceived as propaganda may not just be treated with contempt but may also be counterproductive if it undermines the reputation of the provider of the information.<sup>41</sup>

### **The Perils of Creeping Hard Power**

As Nye points out, one of the resources of soft power is foreign policy if it is viewed as having moral authority. He adds that “When our policies are seen as legitimate in the eyes of others, our soft power is enhanced”.<sup>42</sup> In this regard, Qatar has earned tremendous amount of goodwill in the Middle East for its role in defeating the Ghadhafi regime and humanitarian and military support for the Syrian rebels against the Assad regime. However, such unbridled use of hard power could backfire and could damage Qatar’s reputation in the long run as there have been credible reports of atrocities committed by some of the Qatari backed rebels in Syria. There are also serious fears that Qatar may be supporting the most radical elements of the rebels with illiberal motives with ties with Al Qaeda. This fear was conveyed by U.S President Barack Obama to the Emir of Qatar during an April 23, 2013 meeting in which the former is “said to have spoken in blunt terms about Qatar’s support for jihadists and to have warned that Qatari backing of Al-Qaeda-like groups would pose a direct challenge to the national-security interests of the U.S. The emir was said to have agreed with the president wholeheartedly on the matter.”<sup>43</sup>

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<sup>38</sup> Ibid, 5

<sup>39</sup> Ibid

<sup>40</sup> . Nye, *Soft power: The Means to Success in World Politics*. (New York: Public Affairs, 2004), 107

<sup>41</sup> Ibid

<sup>42</sup> Ibid, 12

<sup>43</sup> Jeffrey Goldberg, “Qatar: Attention-Starved Teen of the Middle East,” *Bloomberg*, 2013, <http://www.bloomberg.com/news/2013-05-02/qatar-attention-starved-teen-of-the-middle-east.html> (25 June, 2013)

## Conclusion

Qatar will be better served by preserving its main sources of attraction in order to continue exercising soft power influence in its sphere of influence. In this regard, it should realign its regional foreign policy goals with that of its major security benefactor the U.S. by re-evaluating its support for Islamist groups that the U.S. is suspicious of or disapproves. In order to be taken seriously as a champion of the movement for democratic change that is currently sweeping across the region, Qatar should accelerate the pace of its own long over-due democratic reforms by at least releasing all political dissidents and permitting elective municipal and parliamentary elections with real legislative powers. This should be supplemented with labor reforms for the millions of migrant laborers that are fueling Qatar's economic and construction boom. Failure to do this could put Qatar under unnecessary international scrutiny that could undermine its image and thus soft power capability as it prepares to host the FIFA World Cup in 2022.

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# RETHINKING TERRITORY DEVELOPMENT IN GLOBAL COMPARATIVE RESEARCHES

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## Abstract

From previous international research experience of the authors, they have a sense that Economics of Development, as well as the global ratings make a systemic error, losing sight of the fact that in a global space, there are different types of territory development (TD). It is time to shift the focus from *how much* the economy produces, to *what* it produces, and *why*. Based on the data of GCR, the authors offer an alternative Global Rating of TD, which compares a country not with other one, but with itself during some period of time. First attempts of the economic theory in rethinking TD were made by F.Braudel in 1967, who argued that the world's economic history is presented as an alternation of dominance of autonomous regions — world-economies. In their research authors were checking the *hypothesis* within pluralistic (qualitative) paradigm of TD: there are many types (qualities) of TD in the world, many self-reliant “developments”, not a single quantitative path of development as it is within evolutionary (quantitative) paradigm. The practical result of this research is the idea that so-called “developed” countries of the world are not so developed, at least because of their low growth capacity, but so-called “underdeveloped” countries in general have just another type (quality) of development.

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**Keywords:** Territory development, type (quality) of development, “developments”, global comparative researches, evolutionary (quantitative) paradigm, pluralistic (qualitative) paradigm, growth capacity

## Introduction

The idea of this research emerged as a result of numerous international scientific contacts and trips, as well as of some years' common work of the authors on the topic of territory development (TD) (Boronenko et al. 2012; Lonska, Boronenko 2012, 2013). A number of practical examples, which for a glance seem not very important for scientific understanding of TD, but all together, become an impulse for this research:

- Knowing about the problem of infant mortality in the Bashkortostan (Russia), the authors learned that the Bashkirs do not perceive it as a serious problem, because natural selection in this society is an acceptable fact. Thus, reading the works of scientists (mostly the Western ones) working in the Economics of Development and offering solutions to the problem of high infant mortality rates, there is a question: how are we going to solve the problem which the target society itself does not perceive as a problem which needs a fundamental solution?
- Participating in the international conference in Pakistan, one of the authors (Boronenko 2013) thought: how can we compare, for example, the GDP of Pakistan and Latvia, if Pakistan does not produce/consume alcohol, does not use the services of sobering-up station and drug treatment, no discos, gambling houses, striptease bars (so-called “antigoods” (Rosefielde 2002)) - anything that gives a considerable share of GDP in Latvia?

- Reading about the experiences of the Soviet singer L.Zykina from a trip to the USA in 1965, the authors find a description of the fashionable salon shop for dogs in New York City, offering among other things, false eyelashes for poodles, pedicures for bichons, etc. Nowadays European market can offer another “important thing” for dogs – Yoga exercises.
- In the Netherlands there is a service - a bus city tour with a guide for favourite soft toys of rich people who, according to their owners, "are tired of sitting at home," in Moscow, there are also brothels for dogs.
- IT professionals around the world make billions by creating electronic games of doubtful necessity, which are in great demand and "eats up" the time of children and adults.

From all these observations, there is a strong sense that field of economics dealt with TD - Economics of Development (Sen 1983; Todaro, Smith 2011; Thirlwall 2005, 2011), as well as the international ratings (for example, The Global Competitiveness Report (GCR) of the World Economic Forum (WEF)) in their research make a systemic error, losing sight of the fact that in a global territorial space, there are different types, planes, qualities (means – essences) of TD.

There are fundamental questions arising: Is it possible to consider the development of the country, earning on human vices and desires of the people which might be the subject of psychiatry? Is it time to shift the focus from *how much* the economy produces, to *what* it produces, and *why*, that is, to replace the evolutionary (quantitative) paradigm (Alchian 1950; Rostow 1960; Hodgson 1993; Friedman 1998; Gregory, Stuart 2005) of territory development by pluralistic (qualitative) one (Braudel 1967; Manschot, Suransky 2009; Checkel 2013), and to do it both in scientific thinking and in practical decisions?

TD is a field of research, not only for the economics, stating that the basis of one type of development is a model of consumer economics, the basis of another – religious or spiritual economics, etc. To understand the mechanisms of TD and to compare the territories, the need for research of sociological, cultural, anthropological, theological, psychological, historical and other aspects of TD emerges.

With provided research the authors would like to contribute to the fact that Economics of Development as an area of scientific knowledge has become less “Western”, and more global. Global in a geographical sense, i.e. based on the works of scientists from all continents (Haq 1976a, 1976b; Sen 1983; James 1996, 1998; Benner, Pastor 2011; Cooke 2012; Yeung 2012; Pike 2013), as well as in a disciplinary sense, i.e. using the knowledge of various sciences (Braudel 1967; Odella 2002; Berry et al. 2003; Turchin 2003; Mosse 2011).

### **Methodology of the research**

General objective of the research is to reconsider the conceptual understanding of TD according to contemporary reality (or even many realities) of the global world based on the pluralistic (qualitative) paradigm of TD, but using also elements of evolutionary (quantitative) paradigm.

To achieve this objective some methods are applied: on the phase of formulation and description of the problem - the method of induction and the monographic method, on the data collection phase - sociological and statistical methods, on the phase of processing and analysis of the data - the methods of quantitative and qualitative comparative analysis, on the phase of interpretation and presentation of research findings - graphic and mapping methods.

Researching TD topic, the authors use the methodological approach, which is based generally on the pluralistic (qualitative) paradigm and perceive TD as a unique self-sufficient model for each country. But also the elements of evolutionary (quantitative) paradigm are used researching TD of many countries of the world. We can assess growth capacity of each country also quantitatively, comparing countries “with themselves” during definite time

period. So, it will be possible to cluster countries within two dimensions of TD – in comparison with itself (growth or decline during the definite time period) and in comparison with others (global competitiveness index (GCI) of the World Economic Forum).

### Research findings and discussion

Based on the results of the study of the global competitiveness of countries that has been systematically implemented by the WEF for the past several decades, the authors tried to offer the Global Rating of TD, which compares a country not with the other countries of the world (which may have a completely different type of development), but with itself for a relatively long (2005-2012) period of time calculating average annual growth or decline of each country. The results are quite surprising and speaking in favour of the qualitative paradigm of TD (the authors mean here the fast growth of so called “underdeveloped” countries in comparison with “world leaders”, and especially interesting the fact that this estimation is the result of common measurement methodology – so, “underdeveloped” African and Asian countries have more growth capacity even measuring it by “western” methodology).

*Table 1 Rating of territory development in comparison with rating of global competitiveness 2012, n = 114 countries*

| Rating of territory development,<br>average annual change of GCI during 2005-2012 |      |                               | Rating of global competitiveness,<br>score of GCI 2012 |                           |                    |
|---|------|-------------------------------|--|---------------------------|--------------------|
| Country   | Rank | Average changes of GCI scores | Country  | Rank within 114 countries | Score of GCI 2012* |
| Qatar   | 1    | +0.15                         | Switzerland  | 1                         | 5.72               |
| Cambodia  | 2    | +0.12                         | Singapore  | 2                         | 5.67               |
| Ethiopia  | 3    | +0.10                         | Finland  | 3                         | 5.55               |
| China   | 4    | +0.08                         | Sweden   | 4                         | 5.53               |
| Gambia  | 5    | +0.08                         | Netherlands  | 5                         | 5.50               |
| Turkey  | 6    | +0.07                         | Germany  | 6                         | 5.48               |
| Albania   | 7    | +0.07                         | USA  | 7                         | 5.47               |
| Guatemala   | 8    | +0.07                         | UK   | 8                         | 5.45               |
| Panama  | 9    | +0.07                         | Hong Kong  | 9                         | 5.41               |
| Mali  | 10   | +0.07                         | Japan  | 10                        | 5.40               |
| UAE   | 11   | +0.07                         | Qatar  | 11                        | 5.38               |
| Georgia   | 12   | +0.07                         | Denmark  | 12                        | 5.29               |
| Guyana  | 13   | +0.07                         | Taiwan   | 13                        | 5.28               |
| Peru  | 14   | +0.06                         | Canada   | 14                        | 5.27               |
| Indonesia   | 15   | +0.06                         | Norway   | 15                        | 5.27               |
| Bahrain   | 16   | +0.06                         | Austria  | 16                        | 5.22               |
| Sri Lanka   | 17   | +0.06                         | Belgium  | 17                        | 5.21               |
| Honduras  | 18   | +0.06                         | Australia  | 18                        | 5.12               |
| Chad  | 19   | +0.06                         | Korea  | 19                        | 5.12               |
| Bolivia   | 20   | +0.06                         | France   | 20                        | 5.11               |
| Azerbaijan  | 21   | +0.05                         | Luxembourg   | 21                        | 5.09               |
| Moldova   | 22   | +0.05                         | New Zealand  | 22                        | 5.09               |
| Bosnia and Herzegovina  | 23   | +0.05                         | UAE  | 23                        | 5.07               |
| Ecuador   | 24   | +0.05                         | Malaysia   | 24                        | 5.06               |
| Brazil  | 25   | +0.05                         | Israel   | 25                        | 5.02               |
| Morocco   | 26   | +0.05                         | Ireland  | 26                        | 4.91               |
| Kuwait  | 27   | +0.05                         | China  | 27                        | 4.83               |
| Paraguay  | 28   | +0.04                         | Iceland  | 28                        | 4.74               |
| Phillipines   | 29   | +0.04                         | Chile  | 29                        | 4.65               |
| Mongolia  | 30   | +0.04                         | Estonia  | 30                        | 4.64               |
| Malawi  | 31   | +0.04                         | Bahrain  | 31                        | 4.63               |
| Mexico  | 32   | +0.04                         | Spain  | 32                        | 4.60               |
| Benin   | 33   | +0.04                         | Kuwait   | 33                        | 4.56               |



|                     |    |       |                        |    |      |
|---------------------|----|-------|------------------------|----|------|
| Tajikistan          | 34 | +0.04 | Thailand               | 34 | 4.52 |
| Cameroon            | 35 | +0.04 | Czech Republic         | 35 | 4.51 |
| Mauritius           | 36 | +0.04 | Panama                 | 36 | 4.49 |
| Armenia             | 37 | +0.04 | Poland                 | 37 | 4.46 |
| Costa Rica          | 38 | +0.04 | Italy                  | 38 | 4.46 |
| Nicaragua           | 39 | +0.04 | Turkey                 | 39 | 4.45 |
| Tanzania            | 40 | +0.04 | Azerbaijan             | 40 | 4.41 |
| Kenya               | 41 | +0.03 | Lithuania              | 41 | 4.41 |
| Bulgaria            | 42 | +0.03 | Malta                  | 42 | 4.41 |
| Kazakhstan          | 43 | +0.03 | Indonesia              | 43 | 4.40 |
| Dominican Republic  | 44 | +0.03 | Brazil                 | 44 | 4.40 |
| Vietnam             | 45 | +0.03 | Portugal               | 45 | 4.40 |
| Macedonia           | 46 | +0.03 | Kazakhstan             | 46 | 4.38 |
| Bangladesh          | 47 | +0.03 | South Africa           | 47 | 4.37 |
| Timor-Leste         | 48 | +0.03 | Mexico                 | 48 | 4.36 |
| Uruguay             | 49 | +0.03 | Mauritius              | 49 | 4.35 |
| Uganda              | 50 | +0.02 | Latvia                 | 50 | 4.35 |
| Ukraine             | 51 | +0.02 | Costa Rica             | 51 | 4.34 |
| Botswana            | 52 | +0.02 | Slovenia               | 52 | 4.34 |
| Netherlands         | 53 | +0.02 | Cyprus                 | 53 | 4.32 |
| Colombia            | 54 | +0.02 | India                  | 54 | 4.32 |
| Russia              | 55 | +0.01 | Hungary                | 55 | 4.30 |
| Romania             | 56 | +0.01 | Peru                   | 56 | 4.28 |
| Kyrgyz Republic     | 57 | +0.01 | Bulgaria               | 57 | 4.27 |
| Zimbabwe            | 58 | +0.01 | Philippines            | 58 | 4.23 |
| Madagascar          | 59 | +0.01 | Jordan                 | 59 | 4.23 |
| Poland              | 60 | +0.01 | Russia                 | 60 | 4.20 |
| Namibia             | 61 | +0.01 | Sri Lanka              | 61 | 4.19 |
| Malta               | 62 | +0.01 | Colombia               | 62 | 4.18 |
| Hong Kong           | 63 | +0.01 | Morocco                | 63 | 4.15 |
| Switzerland         | 64 | +0.01 | Ukraine                | 64 | 4.14 |
| Luxembourg          | 65 | +0.01 | Slovak Republic        | 65 | 4.14 |
| Croatia             | 66 | 0.00  | Uruguay                | 66 | 4.13 |
| Malaysia            | 67 | 0.00  | Vietnam                | 67 | 4.11 |
| Trinidad and Tobago | 68 | 0.00  | Georgia                | 68 | 4.07 |
| Pakistan            | 69 | 0.00  | Romania                | 69 | 4.07 |
| Singapore           | 70 | 0.00  | Botswana               | 70 | 4.06 |
| Mozambique          | 71 | 0.00  | Macedonia              | 71 | 4.04 |
| India               | 72 | 0.00  | Croatia                | 72 | 4.04 |
| Italy               | 73 | 0.00  | Armenia                | 73 | 4.02 |
| Sweden              | 74 | 0.00  | Guatemala              | 74 | 4.01 |
| Belgium             | 75 | 0.00  | Trinidad and Tobago    | 75 | 4.01 |
| Algeria             | 76 | 0.00  | Cambodia               | 76 | 4.01 |
| Ghana               | 77 | 0.00  | Moldova                | 77 | 3.94 |
| Norway              | 78 | -0.01 | Ecuador                | 78 | 3.94 |
| UK                  | 79 | -0.01 | Bosnia and Herzegovina | 79 | 3.93 |
| South Africa        | 80 | -0.01 | Albania                | 80 | 3.91 |
| Thailand            | 81 | -0.01 | Honduras               | 81 | 3.88 |
| Nigeria             | 82 | -0.01 | Namibia                | 82 | 3.88 |
| Germany             | 83 | -0.01 | Mongolia               | 83 | 3.87 |
| Cyprus              | 84 | -0.01 | Argentina              | 84 | 3.87 |
| Japan               | 85 | -0.01 | Greece                 | 85 | 3.86 |

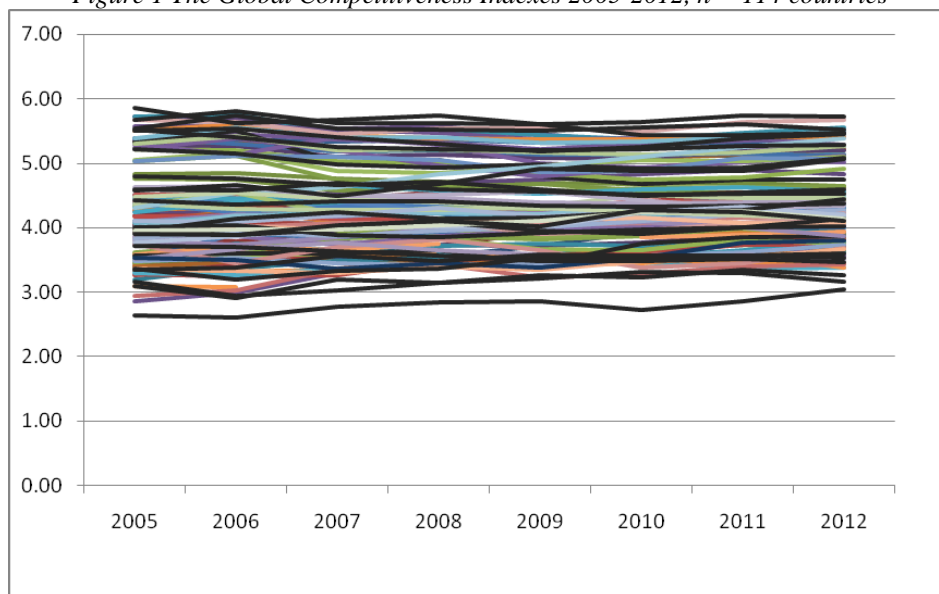
|                |     |       |                    |     |      |
|----------------|-----|-------|--------------------|-----|------|
| Lithuania      | 86  | -0.01 | Gambia             | 86  | 3.83 |
| Latvia         | 87  | -0.02 | Tajikistan         | 87  | 3.80 |
| Canada         | 88  | -0.02 | El Salvador        | 88  | 3.80 |
| Austria        | 89  | -0.02 | Ghana              | 89  | 3.79 |
| New Zealand    | 90  | -0.02 | Bolivia            | 90  | 3.78 |
| Jordan         | 91  | -0.02 | Dominican Republic | 91  | 3.77 |
| Korea          | 92  | -0.02 | Kenya              | 92  | 3.75 |
| Finland        | 93  | -0.03 | Guyana             | 93  | 3.73 |
| Australia      | 94  | -0.03 | Nicaragua          | 94  | 3.73 |
| Chile          | 95  | -0.03 | Egypt              | 95  | 3.73 |
| Portugal       | 96  | -0.03 | Algeria            | 96  | 3.72 |
| Israel         | 97  | -0.03 | Cameroon           | 97  | 3.69 |
| Spain          | 98  | -0.03 | Paraguay           | 98  | 3.67 |
| Hungary        | 99  | -0.03 | Nigeria            | 99  | 3.67 |
| Argentina      | 100 | -0.03 | Bangladesh         | 100 | 3.65 |
| Taiwan         | 101 | -0.03 | Benin              | 101 | 3.61 |
| Czech Republic | 102 | -0.04 | Tanzania           | 102 | 3.60 |
| El Salvador    | 103 | -0.04 | Ethiopia           | 103 | 3.55 |
| Venezuela      | 104 | -0.04 | Uganda             | 104 | 3.53 |
| France         | 105 | -0.04 | Pakistan           | 105 | 3.52 |
| Slovenia       | 106 | -0.04 | Venezuela          | 106 | 3.46 |
| Ireland        | 107 | -0.04 | Kyrgyz Republic    | 107 | 3.44 |
| Slovakia       | 108 | -0.05 | Mali               | 108 | 3.43 |
| Egypt          | 109 | -0.05 | Malawi             | 109 | 3.38 |
| USA            | 110 | -0.05 | Madagascar         | 110 | 3.38 |
| Estonia        | 111 | -0.06 | Zimbabwe           | 111 | 3.34 |
| Greece         | 112 | -0.06 | Timor-Leste        | 112 | 3.27 |
| Denmark        | 113 | -0.06 | Mozambique         | 113 | 3.17 |
| Iceland        | 114 | -0.09 | Chad               | 114 | 3.05 |

\* measured by the scale 1-7

Source: compiled by the authors using the data of Lopez-Claros et al. 2006, Schwab 2012.

In the Global Rating of TD (see Table 1) the first positions are occupied by countries that never appeared there in the GCR. A simple calculation of average annual changes of the Global Competitiveness Index (GCI) during 2005-2012 showed that these countries have the highest growth capacity. On the contrary, the last positions of the rating of territory development are occupied by the countries with traditionally high competitiveness, but with the marked tendency that a modern economic thought calls *devolution* (Bradbury 2009). As the scores of Global Competitiveness Indexes for the period of 2005-2012 graphically shown on Figure 1 can empirically prove, there is no tendency of increasing the gap between so called “developed” and “underdeveloped” countries of the world, vice versa – this gap was decreasing during the period of 2005-2012, especially because of the rapid increase in competitiveness of outsiders of the global competitiveness rating, but also due to the decrease in competitiveness of permanent rating leaders The USA, Scandinavian and Western European countries.

Figure 1 The Global Competitiveness Indexes 2005-2012, n = 114 countries



Source: elaborated by the authors using the data of Global Competitiveness Reports of the World Economic Forum.

Some attempts of a systematic analysis of the TD in the framework of the pluralistic (qualitative) paradigm with the help of a cluster analysis. Results of grouping countries by their so-called “initial” competitiveness level (score of GCI 2005) and growth capacity (annual average changes of GCI during 2005-2012) showed that there are four main clusters, and two of them have two sub-clusters (see Table 2).

Table 2 Clusters and sub-clusters of countries identified by competitiveness level and growth capacity, n = 114 countries

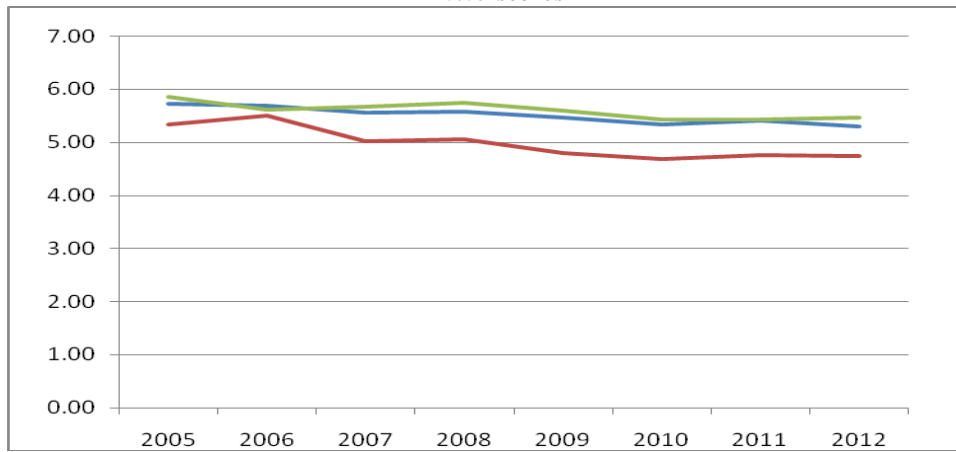
| Clusters of countries                         | Characteristics of sub-clusters   | Competitiveness level, average GCI 2005 score | Growth capacity, annual average changes of GCI during 2005-2012 | Clusters' Members   |
|---|---|---|---|---|
| <b>Leaders without growth capacity</b>        | Highest initial (2005) competitiveness level and highest pace of declining                | 5.64  | -0.07   | USA, Denmark, Iceland   |
|   | Higher initial (2005) competitiveness level and accordingly lower pace of declining       | 5.38  | -0.01   | Switzerland, Singapore, Sweden, Finland, Germany, Netherlands, Japan, UK, Hong Kong, Canada, Taiwan, Belgium, Norway, France, Austria, Australia, Malaysia, Israel, Luxembourg, Korea, New Zealand, Ireland |
| <b>Mid-performers without growth capacity</b> | Highest-middle initial (2005) competitiveness level and relatively high pace of declining | 4.26  | -0.02   | Chile, Estonia, Spain, Czech Republic, Thailand, Poland, Italy, Lithuania, Portugal, Cyprus, Hungary, South Africa, Malta, India, Slovenia, Latvia, Russia, Colombia, Slovak Republic, Jordan,              |

|  |   |      |       |  |
|--|---|------|-------|--|
|  |   |      |       | Croatia, Romania, Botswana, Trinidad and Tobago, Namibia, Argentina, Algeria, Greece, El Salvador, Egypt, Ghana, Pakistan, Venezuela, Nigeria  |
| <b>Mid-performers with growth capacity</b> | Middle initial (2005) competitiveness level and highest pace of growth                  | 4.31 | +0.15 | Qatar  |
|  | Lowest-middle initial (2005) competitiveness level and relatively modest pace of growth | 3.69 | +0.04 | China, UAE, Kuwait, Bahrain, Indonesia, Panama, Sri Lanka, Brazil, Mauritius, Azerbaijan, Mexico, Turkey, Costa Rica, Uruguay, Vietnam, Peru, Kazakhstan, Morocco, Bulgaria, Philippines, Albania, Macedonia, Ukraine, Guatemala, Honduras, Georgia, Armenia, Moldova, Mongolia, Gambia, Bosnia and Herzegovina, Ecuador, Kenya, Bolivia, Benin, Tajikistan, Bangladesh, Guyana, Dominican Republic, Nicaragua, Cameroon, Malawi, Tanzania, Uganda, Paraguay, Kyrgyz Republic, Madagascar, Timor-Leste, Zimbabwe, Mozambique |
| <b>High-speed convergers</b>               | Lowest initial (2005) competitiveness level and very high pace of growth                | 2.91 | +0.09 | Mali, Ethiopia, Chad, Cambodia   |

*Source: calculated by the authors using cluster analysis technique on the data of Global Competitiveness Reports of the World Economic Forum.*

The following Figure illustrates countries which represent the first sub-cluster of “leaders without growth capacity” – USA, Denmark and Iceland - which have highest initial (2005) competitiveness level and highest pace of declining (see Figure 2). Could we really call these countries by developed ones, if they systematically show not growth capacity, but decline during the period of last seven years?

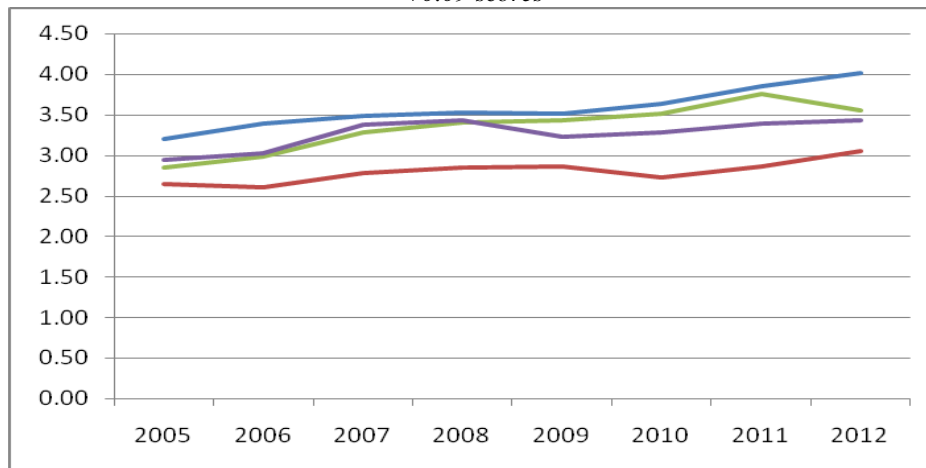
Figure 2 Leaders without growth capacity (highest initial (2005) competitiveness level and highest pace of declining), n = 3 countries (USA, Denmark, Iceland), average GCI 2005 = 5.64 scores, average annual decline = -0.07 scores



Source: elaborated by the authors using the data of Global Competitiveness Reports of the World Economic Forum.

Figure 3, in its turn, illustrates a high growth capacity of the cluster of “high-speed convergers” – African and Asian countries, which have lowest initial competitiveness level (GCI 2005), but show very high pace of growth and great potential for territory development.

Figure 3 High-speed convergers (lowest initial (2005) competitiveness level and very high pace of growth), n = 4 countries (Mali, Ethiopia, Chad, Cambodia), average GCI 2005 = 2.91 scores, average annual growth = +0.09 scores



Source: elaborated by the authors using the data of Global Competitiveness Reports of the World Economic Forum.

While analysing the correlation between countries' scores of the Global Competitiveness Index (GCI) 2005 and their growth capacity, there was noticed a very interesting and statistically significant ( $p < 0.05$ ) regularity – the higher the country's initial competitiveness level, the lower its growth capacity is ( $r = -0.618$ ,  $p = 0.000$ ) (see Table 3).

Table 3 Interconnection between global competitiveness of countries and their growth capacity, Pearson correlation coefficient, 2012, n = 114 countries

| Correlated variables                                   | Parameters of correlation analysis | Global competitiveness of countries, score of GCI 2012 | Growth capacity of countries, average annual change of GCI during 2005-2012 |
|--|------------------------------------|--|---|
| Global competitiveness of countries, score of GCI 2012 | Pearson correlation coefficient    | 1.000  | -0.618**  |
|  | Significance (2-tailed)            | -  | 0.000   |

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

Source: correlation analysis performed by the author using the data of Table 1.

It turned out that exactly in countries with lower competitiveness level there has been noticed some growth capacity. However, today it is more difficult for the more competitive countries to ensure development. It may be indicative of the fact that they have reached this high competitiveness level as a result of unbalanced and excessive (sometimes even meaningless) usage of resources.

M.Porter emphasizes that the new economic theory will clarify why the internationally-competitive agents choose particular territories as a place of their physical location. Exactly these are the territories which create and support such an environment which allows agents to succeed on the global scale. Functioning agents can work out and implement their development strategy at these territories; most efficient production processes and high-skilled labour force are localized there (Porter 1998). In addition, the new economic theory will also determine why the world's most competitive countries are rapidly losing their positions in the Global Competitiveness Rating, while at the same time the traditionally less competitive countries increase their competitiveness equally fast. First attempts of the new economic theory to answer this question were made by F.Braudel, who 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 also the second report, which used the resource approach and developed the concept of "organic growth", considering that every territory as a separate cell of the living organism of the world with resources of different quiddity and own function, which have to be fulfilled instead of aspiration for universal quantitative indices of development (Mesarovic, Pestel 1974).

The group of experts of the WEF suggests assessing the sustainable competitiveness of nations using the "sustainability-adjusted GCI" (Bilbao-Osorio et al. 2012). Arguing that the loss of competitiveness of the leading countries is because of their social and environmental sustainability, they calculated the GCI 2012 with an amendment on this sustainability, which essentially "flattened" the picture, raising GCI of leading countries and reducing the GCI of the rapidly growing countries. The authors believe such an approach to explaining the global trends of TD still fail for the reason that probably the same social and environmental sustainability the country-leaders had in 2005. So, GCI 2005 also could be adjusted based on the same social and environmental sustainability showing the proportionally biased results. Then there is absolutely no difference at least in the topic of TD.

So, it's difficult to disagree that the situation requires an innovative understanding and further in-depth systemic analysis working out scenarios of TD in a global world. An empirical analysis of data of global comparative researches shows that there are many qualities (types, essences) of TD in the world – many "developments", not one quantitative path of development.

## Conclusions

- 1) The authors' created alternative Global Rating of territory development is calculated on the basis of average score of annual growth/decline of each country - growth capacity of a country, using the data of the Global Competitiveness Rating of the World Economic Forum.
- 2) The authors have found statistically significant tendency of a middle strong negative correlation ( $r=-0.618$ ,  $p=0.000$ ) between achieved competitiveness level of a country and its growth capacity – countries with higher competitiveness level (so-called "developed" countries) have lower growth capacity.
- 3) Using the technique of cluster analysis, the authors have found four main groups of the world's countries, which represent conceptually different essences (types, qualities) of development. It turns us to rethink territory development in global aspect, because so

called “developed” countries of the world are not really so developed, at least because of their low growth capacity, but so-called “underdeveloped” countries in general have just another type (quality) of development.

- 4) The authors of this research argue that it is incorrect to compare territories with different types of development with each other, and it is better to compare them over time in relation to themselves, using the methodology of pluralistic (qualitative) paradigm of territory development.

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# THE ROLE OF INTERCULTURAL COMMUNICATION AND TRANSLATION ACTIVITY IN THE ERA OF GLOBALIZATION

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## Abstract

This article discusses that mondialisation mostly threatens the diversity of cultures and languages in the context of intercultural communication and translation activity. The difference between languages only reveals the richness of the divine word and creates all the conditions for each of them to show their potential. It is noted that between cultures one of the substantial contacts are proved by translated monuments, an evident example of which is Georgia where, even in the Middle Ages, the quality and value of the translation activity was taken to the original literature level. In the era of globalization, communication with “dominant” cultures and being “open” for them, is indeed a necessary process not only for enrichment of the Georgian culture, but for the purpose of its survival as well; any culture, like language, once not subjected to a change, will no longer fit the new realities, and, is doomed for stagnancy, and therefore, for perishing. In terms of communication between cultures, this situation makes even more important the translation activity; definition of its role sets a new task in a global context of intercultural communication and linguistic-cultural awareness. Like protection of the dignity and rights of all human beings, the modern democratic governance should be the guarantor of cultural values. Thus, it is essential that in the global civilization everyone had opportunity to acquire and be identified in the modernity.

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**Keywords:** Globalization, culture, translation activity, identity, communication

## Introduction:

Nowadays, when the culture is divided into a number of cultures, multiple languages and a lot of people’s communities, when “the multitude of languages on the earth is not the humanity's impractical, and moreover, damaging division - partition, but expression of the human mind diversity, it does not mean the fragmented poverty of the human soul, but full of thought diversity [...] the reasonable unity of nations, languages and cultures”,<sup>44</sup> the following statement is essential: the culture and identity of each people is unique and belongs to the sacred things which should enjoy the absolute respect.

The issue concerns protection of the peoples' common heritage - cultures and languages with its entire plurality and world; giving the opportunity to every person so that they could fully enjoy the modern world’s all the technical, social and intellectual achievements in the way that not to compromise the values and the culture, on the background of which they grew up and their memories not to be erased.

In conditions of characteristic for globalization new realities – on the background of technological and social unrest, intellectuals think that a very big danger is created: mondialisation mostly threatens the diversity of cultures and languages. Recently, in intellectual discussions the interest to the issue of maintaining the diversity of cultures and languages has

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<sup>44</sup> See G. Ramishvili, “Substantial differences between the languages, in terms of linguistics and cultural theory” TSU edition, Tbilisi, 1995, p. 11, 116.

been growing more and more. Amin Maalouf, the well-known journalist and writer wrote: “I do not doubt that globalization is a threat to cultural differences such as language diversity and lifestyles, I am sure that this threat is much more serious today than it was before”<sup>45</sup>.

He believed that, naturally, the question arises: “Why should we give less attention to human cultural originality, than an animal or plant species diversity? Our such a legal will of protection of our environment, why should not apply to the universal human values? From a nature and cultural point of view, our planet would be very mediocre and boring, if inhabited only by the “useful” species and there appeared only a few other, seemingly “decorative” species or the ones, which acquired a symbolic value”<sup>46</sup>.

Instead of disappearing in the mist of degradation and negligence, as it was going on for centuries, the endangered cultures have the opportunity to fight for survival, try to master the new rules of a game, and use them for their benefit, so that no one in the entire civilization felt excluded and even a little were able to identify what is born before them in the surrounding world.

Despite the complexity of the situation, according to the intellectuals, today's world offers the means of survival to the modern world cultures, and indeed, it would be senseless not to use them. Maalouf himself strongly believes that “The fight for protection of the cultural traditions and maintenance of the diversity would not be desperate, if this fight were far-sighted, future-oriented”<sup>47</sup>. To clarify this opinion, Maalouf uses the metaphor and compares the globalization to the open from each side huge arena, on which thousands of competition or rivalry are held at the same time, and to which people can penetrate through their own activities, opportunities and skill arsenal, relentless zeal and exclamation. He states: “If they want that the world learned about, respected and loved the culture, on the background of which they grew up, if they want a society to which they belong, knew freedom, democracy, dignity and prosperity, they need to fight to make that many centuries of human societies have created to clarify their differences, not to be subjected to the pressure, aiming to reduce these differences”<sup>48</sup>.

Thus, it is essential that in the global civilization everyone to have the opportunity to acquire and be identified in the modernity, so that “No one has come to believe that he is definitely alien to him, and, therefore, hostile as well”<sup>49</sup>.

A human being shares the existence through speech, one of the most important skills defining his/her own essence; each language is a special vision of the world, having its own method and form toward the reality and its marking at the denotative level; each nation, speaking its native language has own vision of the world, conditioning uniqueness and exceptionality of numerous indigenous peoples, residing in different regions of the world (west or east, north or south). The Mexican poet, essayist, critic, translator, Nobel Prize winner (1990) Octavio Paz thinks that “The variety of languages or the work uniqueness does not lead to extreme diversity or mess and chaos. On the contrary, there is created some world of relationships, and created from contradictions and inconsistencies, closeness and estrangements”<sup>50</sup>. So, the difference between languages only reveals the richness of the divine word, and creates all the conditions for each of them to show their potential. People, speaking their native language must not be forced to be excluded. Therefore, it is important that “Clearly, without any slightest ambiguity, to state and keep constantly track of the fact that

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<sup>45</sup> See. A. Maalouf, “Fatal Identities”, translated from French by Dodo Labuchidze - Kherpia. Publishing House Impresi, Tbilisi, 2007, p. 129.

<sup>46</sup> See. A. Maalouf, “Fatal Identities”, Publishing House Impresi, Tbilisi, 2007, p.133.

<sup>47</sup> *ibid* p. 130.

<sup>48</sup> *ibid* p. 124.

<sup>49</sup> See. A. Maalouf, “Fatal Identities”, Publishing House Impresi, Tbilisi, 2007, p.133.

<sup>50</sup> See O. Paz, “Translation - verbosity and accuracy”. Translations into Georgian, Publishing House Arili, Tbilisi, 2002.

every person has a right to preserve his/her identifying language and use it freely”<sup>51</sup>. Many thinkers, including Maalouf, believe that this freedom is more important than freedom of faith, because the native language is not only one element among other elements; - it is the most important of those values, which we recognize, therefore, “There is nothing more dangerous than an attempt to break the native thread that connects people with their own language; when this thread is broken or seriously damaged, it has a devastating impact on a person's integrity”.<sup>52</sup>

Obviously, not all languages were born equal: the language, expressing identity, sometimes is common for hundreds of millions of people, and in some cases for only a few thousands. However, from the intellectuals' point of view this is less important, as all languages, expressing identity are equally entitled to claim their dignity and respect from society. The only thing to be considered at this level is a sense of belonging: each of us has a demand for this union, expressing strong identity and causing confidence.

But today the question arises: How can the multitude of languages be ruled which are counting tens? In order to escape this dilemma and to avoid linguistic conflicts, each must understand obligation of preservation and development of the national language, for the purpose not to break relations with other languages, but to strengthen them. This is supported by the following characteristic peculiarities of the language: on the one hand, language is a defining element of any cultural identity; on the other hand, it is a tool of communication. Therefore, the “language has a purpose to remain a support for the cultural identity, and linguistic diversity - a base for the whole diversity”<sup>53</sup>. Reasoning from this realities, Maalouf wishes that the language, as a supporting element of identity, be attributed a place which it deserves, while by strengthening relations with other languages, to encourage linguistic diversity, to encourage that in the bosom of every nation there were some other people who knew such other language or languages specialization of which is rarer and therefore, more valuable for a person as well as for the community.

In terms of communication between cultures, this situation makes the translation activity even more important. French writer, philosopher and essayist Maurice Blanche says that “A translator is an enigmatic ruler of the language differences, but his/her goal is not to annul this difference, but to use it to “establish” with dramatic or mild upheavals in his native language initially characteristic alien for the original elements”<sup>54</sup>. Translation, this ancient type of human intellectual activity, is still one of the essential factors; whatever be its price, translation is still preferred.

Despite the difference in semantic and syntactic structure, texts with identical information may appear in any two languages what, according to V. F. Humboldt, is a result of common affinity of all languages and flexibility of concepts and symbols. The clear confirmation of this fact is that the translation experience in a variety of the world languages, including Georgian language which, as the writer and essayist G. Kikodze said, “has a very strong skeleton. Any thought can be conveyed through it in an energetic and laconic manner. Our ancestors left it to us as the heritage of national identity and defense weapon. They expressed the deepest religious and philosophical ideas and the strongest feelings of love and hate through this language”<sup>55</sup>.

One of substantial contacts between cultures is confirmed by the translated monuments. According to K. Kekelidze's totally correct statement, “The history of human society does not

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<sup>51</sup> See G. Ramishvili, “Substantial differences between the languages, in terms of linguistics and cultural theory” TSU edition, Tbilisi, 1995, p. 11, 116.

<sup>52</sup> See. A. Maalouf, “Fatal Identities”, p.136.

<sup>53</sup> *ibid* p.136.

<sup>54</sup> See M. Blanche, “Translation - verbosity and accuracy”. Translations into Georgian. Publishing House Arili, Tbilisi, 2002, p.25.

<sup>55</sup> See. G. Kikodze. “Letters, essays” Publishing House Merani, Tbilisi, 1985, p. 156.

know an example of absolutely isolated culture”<sup>56</sup>. Therefore, translation goes beyond the limits of purely linguistic ties.

Georgians’ developed culture and thinking level is clearly demonstrated by the fact that in Georgia quality and value of the translation activity was developed to the level of the original literature; specialists with deep knowledge of European languages and culture considered translation from the original be especially important in the matters of universal values, and compared a translator to the hardworking bee that “took the graceful fragrance among various languages and nations and fertilized this or that national culture”.<sup>57</sup>

Throughout the centuries, excellent translations, equal with the originals truly significantly enriched the Georgian culture, introducing the great foreign thinkers’ philosophical works, fiction and poetry to people of many generations which “In a certain degree is a true indication of the existence of the thinking processes. For us, according to the terms and conditions, the extent and criteria of such mentality were really different”<sup>58</sup>. The translated literature of a high professional level with the cultural value, not only enriched the culture with new ideas, but also made the language more perfect. Nowadays, more and more works are being translated; in modern Georgian language any old or new most profound and original scientific ideas, opinion nuances and coloring can be accurately expressed. The interest is more and more growing to the research of issues, related to the adequacy of different style text translation (Moreover, in non-related languages).

Among different (religious, philosophical, historical, fiction, etc.) works translated into the Georgian language, specially should be mentioned philosophical literature translations which are considered to be the development of Georgian philosophical thought and not “the mechanical perception” process. During eight centuries (IV-XII c.c.) the intensive translational work was performed in cultural centers in Georgia and beyond it. Nicholas Marr says, “In contrast to others, for example, Europeans, the Georgians of that time, earlier than others, expressed their opinion on the progress of the new philosophical movement; at the same time they were armed with exemplary at that time weapon of textual criticism and worked directly on Greek originals”<sup>59</sup>.

Despite the translational culture of the philosophical literature, many philosophical works have not yet been translated into Georgian, without complete adoption of which no nation can be considered a maitre of high culture. Implementation of this urgent matter was assumed by Grigol Robakidze University Philosophy and Social Science Research Institute. By the Institute's director, Professor Tengiz Iremadze’s initiative and scientific editorship for the last six years, the Institute's staff translated into Georgian a lot of works of contemporary and classic German, French, English thinkers (B. Valdenpels, B. Moizish, H. Schneider, U. R. Yek, N. Luman, A. Bergson, K. Schmidt, F. Nietzsche, A. Tocvil, L. Strauss, T. Payne, B. Franklin, J. Adams, T. Jefferson, B. Rash, J. Wilson) that contribute to the preparation of people for establishing a reasonable social order. The great interest, caused by translated works of philosophy and sociology into Georgian by the staff of the Institute among broad society, proves how important the role of translation work in the context of intercultural relations is.

## Conclusion:

In conclusion we can say that each people’s culture and identity is unique, and belong to the sacred things which should enjoy the absolute respect. In the era of globalization

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<sup>56</sup> See K. Kekelidze. “History of Georgian literature”, vol. 2. TSU Publishing House Tbilisi, 1958, p 6.

<sup>57</sup> See K. Gamsakhurdia, “Selected works in 8 volumes”. vol. 7. Publishing House “Soviet Georgia”, Tbilisi, 1965, p. 462.

<sup>58</sup> See Sh. Nucubidze, “History of Georgian Philosophy” Publishing House of Georgian Academy of Sciences, vol. I. Tbilisi, 1956, p. 12.

<sup>59</sup> See N. Marr. Ioane Petritsi a Georgian Neoplatonic philosopher, 11-12cc. 1909, p.61.

communication with “dominant” cultures and being “open” for them, is indeed a necessary process not only for enrichment of the Georgian culture, but for the purpose of its survival as well; any culture, like language, once not subjected to a change, will no longer fit the new realities, and, is doomed for stagnancy, and therefore, for perishing.

In terms of communication between cultures, this situation makes even more important the translation activity; definition of its role sets a new task in a global context of intercultural communication and linguistic-cultural awareness. Like protection of the dignity and rights of all human beings, the modern democratic governance should be the guarantor of cultural values.

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# THE ADEQUACY OF THE LATVIAN PENSION SYSTEM IN THE FACE OF EUROPEANIZATION

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## Abstract

The aim of the paper is research and analyses of the dimensions of pension adequacy in Latvia and the deficiencies of the current social protection and old-age pensions in the light of the various European social models and their origins. In order to reduce poverty and social exclusion, in all European social models it is essential for the governments to take active part and support the basic elements - pensions, health and long-term care, social protection of the poor and the disabled, and tax redistribution.

The task of each pension scheme is providing the contributor the possibility to maintain his/her standard of living also after retiring. By ensuring sufficient level of income replaceability, the risk of poverty among older people is minimized. Yet the comparatively new pension systems of the East-European countries, as well the pension system of Latvia, lack this ability.

The analyses of the author highlight the need to review the design of the Latvian pension system and to find the right balance between PAYG (Pay-As-You-Go) systems and fully funded systems. In comparison with other European countries, the replacement ratio in Latvia is one of the lowest within the EU 27 countries. Other important vice of the Latvian pension system, which especially influences the income of single pensioners, is the inability to inherit the accumulated capital within the state obligatory funded pension scheme.

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**Keywords:** Social model, pension system, adequacy

## Introduction:

Social security as a human right is a social and economic necessity, and the role of the social security system is combating poverty and providing economic security. The current task of the European Union governments is adapting their social security systems to the changing economic, political, demographic and social circumstances.

In the first part of the article the author identifies the basic values of the European social model. European social model is the background for the European welfare and includes democracy and individual rights, social protection and solidarity, free collective bargaining, market economy and equal opportunities for all. In order to reduce poverty and social exclusion, in all European social models it is essential for the governments to take active part and support the basic elements - pensions, health and long-term care, social protection of the poor and the disabled, and tax redistribution.

Pension systems and their diversity, their compliance with the needs of societies and resources of states, evolution and reforming of these systems have been widely studied by numerous experts from different countries and of different areas of expertise. Retirement – income systems are diverse and often involve a number of different programmes. Classifying pension systems and different retirement–income schemes is consequentially difficult. Furthermore, comparing these systems is certain to be controversial as every system has evolved from each country's particular economic, social, cultural, political and historical circumstances.

The aim of a pension scheme is ensuring income replaceability of the socially insured after reaching certain age. There are various types of pension schemes existing in the European countries - contributory or non-contributory, defined-benefit or defined-contribution, mandatory or voluntary, basic or supplementary, social insurance or occupational or personal, publicly or privately managed. The choice in favor of one or the other pension scheme is made according to the specific historical, social and economical circumstances of the concrete country.

In the paper, the author describes the functioning of the social security system of Latvia in case of retirement. The pension system of Latvia is comprised of three pillars – the state obligatory non-funded pension scheme, the state obligatory funded pension scheme and the private voluntary pension scheme. The task of a pension system is minimizing the risk of poverty among older people, but the comparatively new pension systems of the East-European countries, as well the pension system of Latvia, lack this ability. Even more, the analysis of the statistical data performed by the author of the paper show that the current pension system of Latvia merely covers the minimal costs of living.

### **European social model**

European social model is the background for the European welfare and includes democracy and individual rights, social protection and solidarity, free collective bargaining, market economy and equal opportunities for all. The idea of European Social Model Jespen and Pascual (2005) implies the European endeavor to reach coexistence of economical growth and social cohesion and it marked demarcation from the American social model, considered a counter-example.

In addressing welfare state questions, Esping – Andersen (1990) proposed that “The theoretical intent was not really to arrive at an understanding of the welfare state, but rather to test the validity of contending theoretical models in political economy.” “Citizens obtain welfare from three basic sources: markets, family, and government.”

In 1990, Gøsta Esping-Andersen classified the states into three welfare state regimes: „liberal” regime (USA, Canada, Australia and the Great Britain), “conservative” regime (Austria, France, Germany and Italy) and “social democratic” regime –type ((Denmark, Finland and Sweden,). In 1996, Ferrera suggests the expansion of the Esping-Andersen typology by adding the Southern social model, which includes Italy (initially classifies as belonging to the conservative regimes), Spain, Portugal and Greece. This model is characterized by a high level of labour protection, generous social insurance system and a relatively inflexible job market.

Gosta Esping- Anderse typology of welfare state has been criticized and several authors have developed alternative typologies (Ferrera 1996; Bonoli 1997; Korpi and Palme 1998) and experts note that the categories of Esping-Andersen “are nearly as often criticized as they are used” and present-day researches should exercise this concept with a liberal share of caution. In addition to differences between these four aggregate models, other dissimilarities clearly exist among countries within each model. However for simplicity purposes, the following sections will overlook individual countries and rather compare the performance of these models in terms of selected social and economic policies.

According to Sapir, Andre (2006), globalization creates both threats and opportunities. In order to overcome the possible threats, European labour markets and social policies must be reformed. And here the concept of a single European social model is largely irrelevant. Among the four existing European social models, whereas each performs differently in terms of efficiency and equity, the Nordic and the Anglo-Saxon models are those that work efficiently. Yet only the Anglo-Saxon model succeeds in reaching both equity and efficiency. The other two models – the Continental and the Mediterranean models - must be reformed because they are inefficient and unsustainable. In order to reduce poverty and social

exclusion, in all models it is essential for the governments to take active part and support the basic elements - pensions, health and long-term care, social protection of the poor and the disabled, and tax redistribution.

The Central and Eastern European countries (Bulgaria, the Czech Republic, Estonia, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia and Hungary), the former socialist countries, belong to the 5<sup>th</sup> European sub-model, and even though they have joined the European Union, this exclusion somehow continues. Due to the common past, they have similar institutional characteristics, and are at an early stage towards the European social policies.

In Europe, the policies of social protection and the policies of efficiency promotion do not evolve similarly – due to the ongoing Europeanization, economic policies have significantly changed while social protection policies have remained national.

### **Summary of the 21st century pension models**

The 1999 treaty of Amsterdam marked an important step forward in European social protection and inclusion policies. The Treaty consolidated the mechanisms set in place by the Treaty of Maastricht and promoted a series of social policy priorities at Community level. Article 136 confirms for the first time that social policy is the joint responsibility of the European Community and its member states. During the Lisbon Summit in March 2000 Member States and the Commission decided to assess progress towards the common objectives on social protection and inclusion within the Open Method of Coordination (OMC). As a new Member State, Latvia will also have to participate in the OMC in the field of pensions.

Pension systems and their diversity, their compliance with the needs of societies and resources of states, evolution and reforming of these systems have been widely studied by numerous experts from different countries and of different areas of expertise. These are political and social scientists, economists and financial analysts.

As the OECD (2011) notes, “retirement – income systems are diverse and often involve a number of different programmes. Classifying pension systems and different retirement–income schemes is consequentially difficult”. Furthermore, comparing these systems is certain to be controversial as every system has evolved from each country’s particular economic, social, cultural, political and historical circumstances. There is no perfect system that can be applied universally around the world.

To look back at the history of pension system reforms, in the 1994, the World Bank published the path-breaking publication “Averting the Old Age Crisis”, stressing the need to reform pension systems around the world because of the looming ageing of population in developed countries. The paper introduced the concept of multi-pillar pension system:

- a mandated, unfunded, and publicly managed defined benefit system;
- a mandated, funded, and privately managed defined-contribution scheme, and
- voluntary retirement savings.

In the reforms implemented in the second half of the 90s with the active participation of the Bank throughout the world, these concepts had first priority.

The authors: Holzmann and Hinz in 2005 to include two additional pillars:

- a basic (zero) pillar to deal more explicitly with the poverty objective and
- a nonfinancial (fourth) pillar to include the broader context of social policy, such as family support, access to health care, and housing.

David Natali (2008, 2011) has analyzed multi-pillar pension system. The scientist notes, “Different instruments usually coexist within a single pension system. In fact the latter consists of different programmes or schemes, each with its own rules of access, financing, benefit calculation and administration. The complex system of programmes providing protection for the elderly represents the institutional design of pensions. This gives



information about the role of different institutional spheres: state, market, civil society and social partners (pension mix).”

Although after reforms the national systems of European countries have blended, still there are significant differences among specific groups of countries. Table 2 summarizes what we call the 21st century pension models.

Table 2. Summary of the 21st century pension models

|                                 | 1 <sup>st</sup> Generation<br>Multi-pillar | 2 <sup>nd</sup> Generation<br>Multi-pillar | 1 <sup>st</sup> Generation<br>Social Insurance | 2 <sup>nd</sup> Generation<br>Social Insurance |
|---------------------------------|--|--|--|--|
| Public schemes’<br>Goal         | Basic protection<br>(poverty prevention)   | Salary savings<br>(some adequacy)          | Salary savings<br>(some adequacy)              | Salary savings<br>(some adequacy)              |
| Private<br>schemes’<br>Coverage | Mandatory or quasi-<br>mandatory           | Mandatory                                  | Voluntary                                      | Quasi-Mandatory                                |
| Earnings –<br>related schemes   | (mainly) Private                           | Public / Private                           | (mainly) Public                                | (mainly) Public                                |
| Countries                       | UK, NL, IRL, DK                            | PL, SK, HU, EE,<br>LT, LV                  | DE, FRA, ITA,<br>SPA                           | SWE, FIN                                       |

Source: Natali, (2008)

The first group which includes UK, Denmark, Ireland and the Netherlands is called the first generation of multi-pillar systems. Here, the system has proved stable and earnings-related schemes are mainly private.

The Central-Eastern European countries belong to the second generation of multi-pillar systems. Although the significance of supplementary schemes (through mandatory coverage) has been augmenting there, the provision of future earnings-related benefits still is expected to be based on both public and non public programmes, while voluntary pension funds have not become that influential.

The third group includes the Continental and Southern European countries, i.e. Germany, France, Belgium, Spain, etc. This is the first generation of social insurance system, which is now undergoing reforms, as a result of which the social welfare after retirement shall be ensured by combination of public and non public programmes.

Nordic countries belong to the second generation of social insurance systems. The role of earnings-related public pensions has been decreasing here, while the role of the supplementary, on the other hand,- increasing and now are more influential than in the first generation of social insurance countries.

### Common objectives for pensions

EU Member States (EUROPEAN ECONOMY, Koopman, et al.2010) are committed to providing adequate and sustainable pensions by ensuring:

- (1) **adequate** retirement incomes for all and access to pensions which allow people to maintain, to a reasonable degree, their living standard after retirement, in the spirit of solidarity and fairness between and within generations;
- (2) the financial **sustainability** of public and private pension schemes, bearing in mind pressures on public finances and the ageing of populations, and in the context of the three-pronged strategy for tackling the budgetary implications of ageing, notably by: supporting longer working lives and active ageing; by balancing contributions and benefits in an appropriate and socially fair manner; and by promoting the affordability and the security of funded and private schemes;
- (3) that pension systems are **transparent, well adapted** to the needs and aspirations of women and men and the requirements of modern societies, demographic ageing and structural change; that people receive the information they need to plan their retirement and that reforms are conducted on the basis of the broadest possible consensus.

Pension adequacy is defined and measured along the two dimensions of income replacement and poverty protection. To achieve adequacy, pensions also need to be sustainable, safe and adapted to changing circumstances as reflected in the three European pension objectives of adequacy, sustainability and modernisation (or adaptability).

Holzmann and Hinz (2005) have concluded that a pension system should be such “that provides benefits to the full breadth of the population that are sufficient to prevent old-age poverty on a country-specific absolute level, in addition to providing a reliable means to smooth lifetime consumption for the vast majority of the population.” In order to reach this aim, poverty of pensioners must be eliminated and the whole system must be patterned so that one can get adequate income over the lifecycle.

Borella and E. Fornero (2009) have proposed that it is important to create an appropriate and fair link between contributions and benefits, since adequacy of income in old age is the fundamental goal of a pension model. Statutory public pensions have to “incorporate some mistrust of the individual’s planning capacity, far-sightedness, intertemporal consistency and consequently rules and/or incentives so as to substitute for/encourage individual’s planning capacity.”

The aim of each pension scheme is providing the contributor the possibility to maintain his/her standard of living also after retiring.

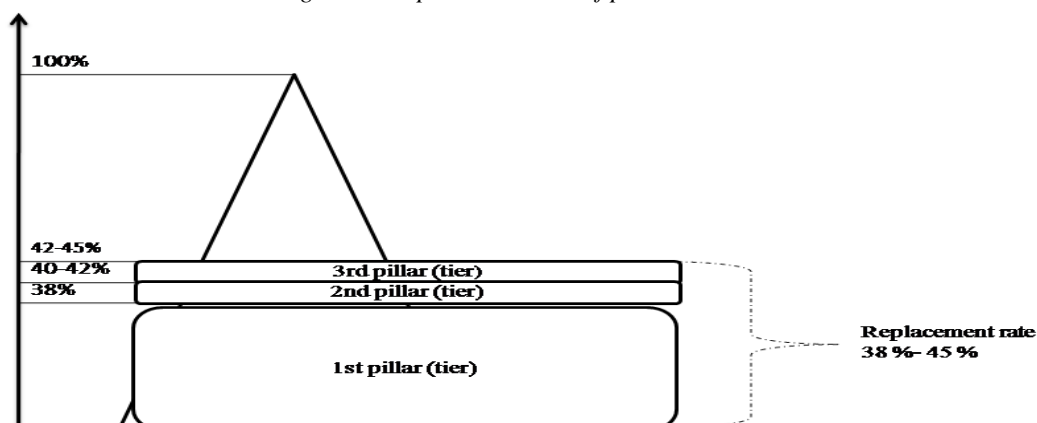
### Trends in adequacy of retirement income

Often a one-dimensional measurement is used to describe the replacement rate. On the contrary, this rate may be based on all income of pensioners, including earnings from work. Borella and Fornero (2009) have applied this concept, showing the broadly-defined replacement rates, including not only pension benefits, but also other income of pensioners.

As to measuring pension adequacy, Zaidi (2010), Mintz (2009), Holzmann and Ufuk (2009) have the same approach. Hurd and Rohwedder (2008) have expanded the concept of adequacy by viewing it in terms of individual welfare and denying the role of replacement rate, i.e. using absolute or relative values. Instead, they use wealth to measure welfare, thus referring merely to the owned resources and one’s spending habits.

For characterizing adequacy, the author shall use one of the dimensions utilized for adequacy evaluation – the replacement rate. Replacement rate is a case study based calculations that show the level of pension income in the first year after retirement as a percentage of individual earnings at the moment of take-up of pensions. State pensions and occupational pensions together form the largest component (European Commission, 2012a; OECD, 2011; OECD, 2012). Overall, public pensions account for around 60% of incomes of over-65s. There are differences between Member States; for example, in France and Hungary, public transfers account for about 85% of incomes (OECD, 2011).

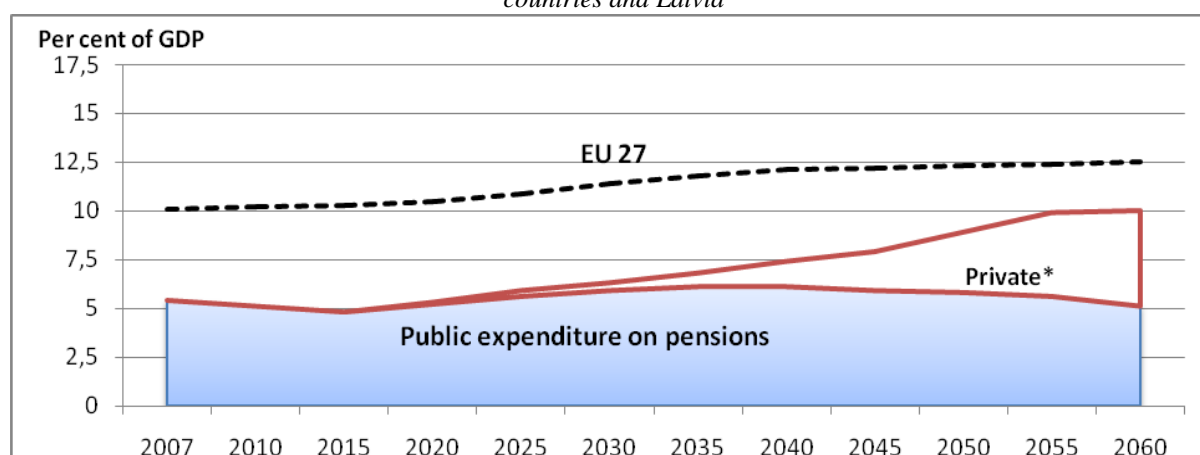
Figure 1. Replacement rate of pension in 2012



Source: authors' survey and calculations.

Figure 1 shows that in Latvia, the 1st pillar covers 84.5 % of replacement rate and shows that replacement rate in Latvia (Pukis and Dundure 2012), including all three levels, reaches only 42-45%. The crisis has highlighted the need to review the design of the Latvian pension system and the need for the right balance between PAYG (Pay-As-You-Go) systems and fully funded systems. Comparing the situation of Latvia with other European countries, one can conclude that replacement ratio is one of the lowest within the EU 27 countries (Zaidi 2010). The long-term impact of the reforms on the finances of pension systems is illustrated in Figure 2. The chart shows the aggregate flows of money from projections that used 2007 as their base year and were published by the European Commission (2009a). In each case, the blue shaded area shows the percentage of GDP expected to be paid in public pensions up to the forecast horizon of 2060. The white shaded area shows the total benefit payments expected from mandatory private pension schemes. For reference, the black line shows the unweighted (simple) average of expenditure for all 27 EU member states.

Figure 2. Total value of benefits from public and mandatory private pensions before reform reversals: EU countries and Latvia



\* Benefit payments from mandatory private pension plans

Source: OECD pension Outlook 2012.

Pensions constitute by far the main source of income of older Europeans, who represent a large and growing share of the EU population. Around 24% of Europeans are pensioners, in Latvia, according to the data of the Latvian Central Statistical Bureau as on the 1<sup>st</sup> of January, 2013, there are 483 595 old-age pensioners in Latvia (average 24 %). Almost 2/3 of these are women. As the task of a pension system is ensuring sufficient level of income replaceability, it has to minimize the risk of poverty among older people. Yet the comparatively new pension systems of the East-European countries, as well the pension system of Latvia, lack the ability to avert the risk of poverty for elderly people. In accordance with data in 2011 Year (Table 1), in the EU on average the expenditure of governments of the Member States for social protection is 29.4% from GDP, while Latvian government for this purpose directs only 15%, which is the second lowest indicator among the Member States. The 2011 threshold for the risk of poverty calculated by Eurostat in Latvia was 147 Latvian lats (or 209 euros) a month per person.

Table 1. Expenses for social protection as GDP (percentage)

| GDP     | 2006 | 2007 | 2008  | 2009 | 2010 | 2011 |
|---------|------|------|-------|------|------|------|
| Latvia  | 12.2 | 11   | 12.31 | 16.9 | 17.8 | 15.0 |
| EU (27) | 27.4 | 26.2 | 26.4  | 29.6 | 29.4 | 29.4 |

Sources: Eurostat; Central Statistical Bureau of Latvia.

Table 2 shows that in 2012, 4923 pensioners in Latvia were receiving the old-age pension under 50 Latvian lats (71 euros), but the number of recipients of the old-age pension from 50.01 to 150 Latvian lats (213 euros) is 102 220 thousand pensioners. They are the risk group for poverty. The state social security benefit, to which the minimum amount of old-age

pension is linked, is 45 Latvian lats (64 euros) per month, and this amount has remained constant since 1 January 2006. It is based neither on economic indicators, nor estimates of the necessary means to ensure the needs of an individual, and is obviously much less than the estimated threshold for the risk of poverty.

*Table 2. The division of pensioners according to the average size of the allocated pension*

| Pension size (in lats) | Number of old-age pensioners |         |         |         |         |         |
|------------------------|------------------------------|---------|---------|---------|---------|---------|
|                        | 2007                         | 2008    | 2009    | 2010    | 2011    | 2012    |
| 30.01-40.00            | 6                            | 54      | 110     | 122     | 274     | 3 452   |
| 40.01-50.00            | 65                           | 42      | 95      | 152     | 231     | 1 471   |
| 50.01-60.00            | 7 702                        | 132     | 574     | 1 026   | 1 599   | 3 956   |
| 60.01-70.00            | 5 012                        | 511     | 665     | 1 093   | 2 921   | 1 636   |
| 70.01-80.00            | 20 726                       | 896     | 2 332   | 4 912   | 9 619   | 6 992   |
| 80.01-90.00            | 60 265                       | 1 952   | 2 421   | 4 231   | 5 483   | 2 108   |
| 90.01-100.00           | 88 456                       | 7 066   | 6 556   | 8 311   | 8 272   | 5 078   |
| 100.01-150.00          | 250 246                      | 165 674 | 94 156  | 87 332  | 84 024  | 82 450  |
| 150.01-200.00          | 20 386                       | 243 358 | 281 038 | 271 967 | 261 758 | 256 734 |
| 200.01-400.00          | 12 505                       | 42 607  | 78 740  | 87 563  | 96 065  | 104 041 |
| > 400.01               | 1 796                        | 2 889   | 6 643   | 9157    | 11 499  | 14 163  |

*Source: Central Statistical Bureau of Latvia.*

Filip Chybalski (2012) has defined three dimensions of adequacy: income, poverty, and differentiation of pensioners' material situation by gender. „Minimisation of poverty risk among pensioners is one of the goals of the pension system in terms of its adequacy.” The scientist emphasizes that “it is a goal which necessitates redistribution (mostly intragenerational but also intergenerational) within the pension system. The need to achieve this goal is obvious and does not require further explanation”. The third dimension has been defined by the European Commission: “Modernisation of Pension System, namely: Meet the Aspirations for Greater Equality of Women and Men, including in material terms or with regard to the standard of living.”

Women are more likely to reach old age than men. According to the data of the Latvian Central Statistical Bureau, the life expectancy for both newborns and people above working age has increased. In 2010, the life expectancy for newborns was 73,8 years, whereas for men it was 68,8 years but for women – 78,4 years. After turning 65, the life expectancy for men was 13,2 years and for women - 18,1 years. Obviously, it is projected that this increase will continue (Dundure 2012).

*Table 3. At risk of poverty by ages and gender (%)*

| Years | 2008  |         | 2009  |         | 2010  |         | 2011  |         |
|-------|-------|---------|-------|---------|-------|---------|-------|---------|
|       | Males | Females | Males | Females | Males | Females | Males | Females |
| 60+   | 37,2  | 46,3    | 15,7  | 21,7    | 9,8   | 11,3    | 12,1  | 16,7    |
| 65+   | 40,6  | 50,7    | 12,9  | 21,6    | 6,1   | 10,2    | 8,6   | 16,6    |
| 75+   | 49,8  | 56,1    | 10,4  | 22,3    | 3,3   | 10,4    | 5,1   | 14,9    |

*Source: Central Statistical Bureau of Latvia*

Older women tend to be poorer than men, as illustrated by Table 3. Risk of poverty for females is higher in all age groups above 60 years of age. In the group above 65 years, the risk of poverty is higher by 38 %, but in the group above 75 years, - even by three times (see Table 3).

Jasna A. Petrovic (2013), FERPA Women's Committee President analysed poverty rate among older women and men. Her main findings are: “The poverty rate among older women is higher than for older men, especially in Member States where the predominant pension schemes relate benefits closely to lifetime earnings and contributions.”

The survey of Dundure (2012) in her paper “Older people and the labour market” shows that equal opportunities in employment for elderly people are at a disadvantage and

discrimination on the grounds of age as the most widespread form of discrimination in Latvia. Women consider that most often employers discriminate them against their gender.

Another reason why in Latvia single pensioners, mainly women, are at a high risk of poverty is the inability to inherit the capital accumulated in the 2nd pension pillar. According to the applicable legislation, the fund units (shares) of mandatory funded pensions, the same as the benefits, cannot be inherited. When the contributor dies, the accumulated funds are moved to the first pillar and subsumed in the overall budget of social insurance for old age.

Due to a recent legislative change in 29 April 2012, this situation can be evaded by buying an annuity (joint insurance contracts with fixed duration of guaranty can be inherited), but it doesn't solve the problem, because buying annuity is a complicated and expensive process.

### **Conclusion:**

In Europe, the policies of social protection and efficiency promotion do not evolve similarly – due to the ongoing Europeanization, economic policies have significantly changed while social protection policies have remained national.

It is important to ensure adequate old-age income by promoting individual rights to pension and facilitating equal access to mandatory state-regulated pensions whether or not supplementary pensions are developed.

Latvia must re-balance the overall pension portfolio between public (the first pillar) and private funded schemes by promoting state-regulated pensions in particular for the most vulnerable, i.e. secure adequacy of old-age income by reducing its dependence on risks linked to financial market fluctuations. The Member States, as well as Latvia, should guarantee a minimum income for older people equivalent to at least the poverty threshold of 60 percent of national median equivalised household income, as a way to promote their social inclusion and autonomy.

Other important vice of the Latvian pension system that especially influences the income of single pensioners is the inability to inherit the accumulated capital within the state obligatory funded pension scheme.

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# THE TURKISH CONCEPT OF “MINORITIES” – AN IRREMOVABLE OBSTACLE FOR JOINING THE EU?

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## Abstract

Fifty years ago, on 12 September 1963, the association agreement between the European Economic Community (EEC) and Turkey was signed in Ankara. However, in contrast to many other countries who applied later on, Turkey has not yet become a member of the EU. Nevertheless, Turkey's candidacy to join the EU is still one of the most considerable and controversial topics within the European political arena. Within the accession negotiations, apart from human rights, the Kurdish and the Cypriot issues, one of the greatest challenges to Turkey's successful candidacy is the issue of respect for and protection of minorities. It might indeed represent an unsolvable problem, which will ultimately block Turkey joining the EU. Neither the EU nor Turkey has really come to terms or dealt with what the EU sees as an "unsatisfactory" protection of minorities in Turkey. What lies at the root of this disagreement is what the term "minority" actually means. Due to Turkey's own nation state concept as being a united and undivided country and to the terms of the Treaty of Lausanne signed in 1923, which defined Turkey as a nation, the country only recognises non-Muslim minorities such as the Greek, Armenian and Jewish populations. In contrast, the EU concept of minority includes ethnic, linguistic and religious minorities. According to the author, the most promising approach to deal with this unreconciled conceptual difference is the introduction of the "ethnic group" concept. Ethnic groups could form a sub-identity of Turkishness and help build a legal basis to the treatment of minority groups founded on human rights, which would be compatible with both Turkish and EU Law.

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**Keywords:** Turkey, Minorities, European Union

## The Turkish concept of “minorities” – an irremovable obstacle for joining the EU?

In Europe, more than 330 ethnic groups with altogether more than 100 million members exist (Pan/Pfeil 2006: 1). On Turkish territory alone there are thought to be at least 47 different ethnic groups (Andrews 2002: 1 et seq.). This diversity of peoples and the restricted settlement area for living together bears – depending on each state – a more or less great potential for conflicts. Domestically, this becomes evident by means of differences between the majority of the state's population and various kinds of minorities living on the national territory. In Turkey, these tensions most significantly emerge in the relation between the Turkish majority of the population and the minority of Kurdish origin. However, in contrast to the European concept of minorities, Turkey does not officially recognize the Kurdish population in its national territory as a minority.

According to international law there is no official definition of the term “minority” Until now, the term “minority” is not clearly defined in international law (Henrard 2000: 18; Hofmann 2005: 599; Kunnecke 2007: 159 et. seq.; Topidi 2010: 13 et. seq.). However, there is mutual consent that a single state is not entitled to decide upon the existence of minorities on its national territory on its own. Otherwise the state could simply deny the existence of a minority and withdraw itself from all internationally binding legal obligations in that area (Ermacora 1993: 34, 40; Heintze 1994:188). Therefore, since the times of World War I,

various efforts were made to define the term “minority“. But the problem of defining the term “minority” proved to be far more difficult than outlining the rights of minorities. For a long time, academics of various kinds of disciplines have been dealing with the term “minority“.

However, they all come to different conclusions. While political scientists and sociologists deal with political and sociological minorities without defining them exactly, jurists need exact facts of the matter in order to subsume their case. Hence, in international law, a definition of the term “minority” can only be reached which is a compromise between the legally necessary and the politically possible.

Nowadays, especially the EU candidate country Turkey serves as an example showing the problems following the lack of a universally recognized and binding concept of minorities.

### **Turkey’s problems within the process of joining the EU**

The preconditions for accession to the EU were concretised by the EU in the so-called Copenhagen Criteria from 1993 (Europäischer Rat 1993: 13). Among other things, the Criteria require an institutional stability as guarantee for a democratic order in accordance with the rule of law, for the safeguarding of human rights and the respect and protection of minorities. For Turkey, the accession criteria “respect for and protection of minorities“ is one of the most problematic areas. The reason for that is the Turkish concept of state. According to the preamble of the Turkish Constitution, Turkey defines itself as a centralised state with a uniform national population. Although Turkey no longer denies the existence of several groups of different ethnic origin on its national territory, it does not take the necessary steps towards such recognition. The Turkish state does not grant these different ethnic groups any specific legal status. Even today, in Turkey the existence of minorities is denied.

The only exceptions are the religiously defined groups of Greeks (*Rum*), Armenians (*Ermeni*) and Jews (*Yahudi*).

Concerning accession to the EU, the official attitude of the Turkish state towards minorities causes problems in two respects: On the one hand, the EU is not willing to tolerate the disregard and discrimination of the huge Kurdish minority in Turkey. On the other hand, the EU is not willing to accept the legal and *de facto* discrimination of non-Muslim communities of faith – for example Christians – by public authorities (European Commission 2005: 35-40). Therefore, the solution of the minority problem is central to the accession negotiations on Turkey’s way to full membership in the EU.

### **Concept of minorities within the EU**

Within the EU a universally recognized and binding concept of minorities does not exist. Also no international law document includes a definition of the concept of minorities (Künnecke 2007: 59 f.). This can be put down to the fact that no consensus could be reached because of the different range of interests of the single states. Whereas some states – such as Austria – guarantee a far-reaching protection of minorities on the domestic level and also support this practice on the international level, there are other states – such as France and Greece – which, on account of their traditional concept of state and partly also for fear of a threat of their territorial integrity, fully or partly deny the existence of minority on their national territory and therefore refuse to comply with a universally binding concept of minorities (Hofmann 1995: 34, 66 et seq.).

To determine which minorities are supposed to be protected, some regularly applied characteristics have been developed within the political process and by some authorities of the EU. In spite of a lack of codification, these characteristics can be considered to be constant and continuous criteria of a European minority definition. These are the following criteria: (1) numerical inferiority, (2) non-dominant position, (3) distinctive ethnic, religious or linguistic characteristics, (4) citizenship of the country of residence and (5) explicitly made known



sense of affiliation and solidarity. This means concretely, that a minority can only be (1) a group of persons being numerically smaller than the rest of the population (2) which may not have a dominant position in the state in the form of a sole right to make decisions, (3) which at least has to show a specific ethnic, religious or linguistic characteristic distinguishing them from the rest of the population, (4) whose members have to be citizens of their country of residence and (5) who have declared their membership and solidarity with their group of people. These five criteria have to be fulfilled cumulatively in order to be able to qualify a group of people as “minority” (Ahmed 2001: 20 et seq.; Gornig 2001: 35 et seq.; Künnecke 2007: 60 et seq.).

### **Restrictive concept of minorities in Turkey**

The regulations on minorities in Turkey and their rights are laid down in Section III, Articles 37-44 of the Treaty of Lausanne from 24 July 1923 under the title “Protection of Minorities” (Bilsel 1933: 593-595; Conférence de Lausanne sur les Affaires du Proche-Orient 1923: 13-16). These regulations are directly applicable law in Turkey. In the Turkish Constitution, minorities are not mentioned at all. Only in some sub-constitutional laws the term “minority“ is mentioned. However, the concept of minorities is neither defined nor outlined anywhere.

Turkey has only signed international treaties concerning the protection of minorities – if at all – with the reservation that it will interpret and apply the articles concerning minorities only taking the concept of minorities laid down in the Turkish Constitution and the Treaty of Lausanne as a basis (Künnecke 2007: 123 f.).

Concerning the Turkish concept of minorities and the protection of these minorities, the Treaty of Lausanne is the most important legal document. However, the Lausanne Treaty’s concept of minorities and the guaranteed minority rights in there may not be examined in an isolated way. They have to be evaluated in the historical context of the successful Turkish struggle for liberation and the previous humiliation by the regulations of the Treaty of Sèvres from 1920. Only in this historical setting they become sufficiently understandable.

In contrast to other treaties concerning the protection of minorities which were concluded between the allied victorious powers after World War I, the Treaty of Lausanne does not include the standard wording “racial, religious and linguistic minorities“ (Kurban 2003: 168; Oran 2001: 216). Instead, the concept of minorities of the Lausanne Treaty is limited to “non-Muslim minorities”. In the original French and Turkish wording of the Treaty there is mention of “*minorités non-musulmanes*“ (Conférence de Lausanne sur les Affaires du Proche-Orient 1923: 14 et seq.) or „*gayri müslim ekalliyetler*“<sup>60</sup> (Bilsel 1933: 593 et seq.). No particular non-Muslim minorities are mentioned explicitly in the wording of the treaty.

By narrowly restricting the concept of minorities to non-Muslim minorities, ethnic and linguistic minorities as well as religious minorities within the Islamic faith – so-called Muslim minorities – are excluded from the concept of minorities and consequently also from minority rights. Therefore, ethnic and linguistic minorities like Kurds or Muslim religious minorities like Alevis are not covered by the concept of minorities in the Lausanne Treaty.

Beside membership of a non-Muslim religious community, according to the wording of the Lausanne Treaty, additional criteria of the Turkish concept of minorities can be deduced from the Lausanne Treaty’s term “non-Muslim minorities“. These criteria are numerical inferiority, a non-dominant position, Turkish citizenship and an explicitly made known sense of affiliation and solidarity (Künnecke 2007: 128). According to the Turkish concept of minorities, a group of people is recognized as a minority if it is (1) numerically smaller than the majority of the Turkish population (2) does not have a dominant position in

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<sup>60</sup> „Ekalliyet“ is the old Ottoman term for „minority“. Nowadays, in Turkish the common term for “minority” is „azınlık“.

the Turkish state in form of a sole right to make decisions, (3) whose members belong to a non-Muslim religious community, (4) possess Turkish citizenship (5) and have declared their membership and solidarity with this group of people.

The reasons for this restrictive, solely religious, but limited to non-Muslim religions limited Turkish concept of minorities can be found in its historic roots, the ideological foundations of the state and its constitutional and legal order:

(1) The Islamic concept of nation which distances itself not according to ethnic or political features but according to religious features and the tradition of the Millet-system in the Ottoman Empire, lasting for centuries, in which the recognized minorities of the Greeks, Armenians and Jews enjoyed far-reaching autonomy, only knew non-Muslim minorities. This comprehension of minorities was still deeply rooted in the way of thinking of the Turkish nation which comprises more than 90 percent Muslims, so that in the normal usage of language only non-Muslims were understood by the term “minority” (Oran 2000: 151; 2004: 48).

(2) The European powers regarded themselves as protecting the power of the Christian minorities living in the Ottoman Empire. Therefore, they increasingly interfered in the Ottoman Empire’s home affairs. In the Ottoman Empire, particularly the Christian minorities were considered to be a colony of the states which protected them. That’s why they were regarded as traitors, and were also held responsible for the fall of the Ottoman Empire (Duncker 2003: 83; Hibbeler 2004: 3; Kurban 2004: 3 f.; Oran 2000: 152; Steinbach 2003: 19). For Turkey, this impression was confirmed by the humiliating Sèvres Peace Treaty, and explains the Turkish mistrust with regard to the Allies’ wide concept of minorities and its rejection in the Treaty of Lausanne.

(3) Turkey, as a newly created nation-state, which was hard won in the war of liberation, had to fill the entity of its late nationhood, with life and had to keep it alive. In the view of the Kemalists, this could only be achieved by a Turkish nationalism which had to be created by means of a homogeneous nation within the indivisible unity of national territory and national population. Therefore, during the process of the building of the Turkish nation, minorities were a thorn in the Kemalists’ side (Oran 2000: 152; 2010: 47 ff.). For them, already the Ottoman Empire proved that no national consciousness and no national identity could develop within a multiracial state, which to a large extent gave autonomy and privileges to minorities.

(4) For the Turkish nation-state which was just about to be constituted internally, the diversity of ethnic groups and Muslim religious communities emerged to be an explosive mixture of citizens. Taking into account the Kemalist logic of the state, according to which pluralism in religious life is regarded as first step towards religious and ethnic separatism and to which religious instrumentalisation always involved the danger of a linguistic and denominational division of the nation, it becomes clear that the Turkish state considers Islam as an uniting power and therefore does not recognize Muslim minorities (Taştan 2001: 147 et seq., 152 et seq.). The Turkish state depoliticised Islam under the guise of Laicism and put it under state control by the Presidency of Religious Affairs (Burdy 2004: 157 et seq.; Göle 2005: 80 et seq.; Tibi 1998: 76; 2005: 94, 102). Hence, the Turkish state used Islam as a religious-cultural source of Turkish identity to create national unity.

### **Discrepancy between the European and Turkish concepts of minorities**

There are only a few differences between the EU’s concept of minorities and the Turkish concept of minorities. However, these very few differences have considerable effects and consequences. Being a recent nation, Turkey missed the step into the modern age concerning its concept of minorities. The country remained with the level of an exclusivity in a religiously defined concept of minorities of pre-modern times, which, however, meanwhile is justified with the nation-state. In contrast to that, since the times of the Enlightenment, the

European concept of minorities is defined in a political way and includes religious, linguistic and ethnic minorities. Having otherwise concurrent criteria to define a minority, the decisive difference is, that, in addition to non-Muslim minorities, the European concept of minorities also covers other religious, ethnic and linguistic minorities. This broader version of the concept of minorities, in comparison with Turkey especially, has consequences for the number of minorities which according to the EU and Turkey exist and have to be protected on Turkish national territory. Taking the European concept of minorities as a basis, apart from the Turkish state officially recognized non-Muslim minorities, also Muslim, ethnic and linguistic minorities exist in Turkey. Hence, in addition to the non-Muslim minorities of the Greeks, Armenians and Jews, who are recognized by Turkey in practice, at least also the Kurds as an ethnic minority, the Assyrians as a non-Muslim religious minority, the Alevis as a Muslim religious minority and the Laz as a linguistic minority have to be recognized according to the European concept of minorities (Künnecke 2007: 147 et seq.).

But subsuming correctly, also by the Turkish concept of minorities laid down in the Treaty of Lausanne (“Turkish citizens who belong to non-Muslim minorities“) more minorities are covered than the ones who are recognized by Turkey in practice. Accordingly, for example, the Christian religious community of the Assyrians is not recognized as a minority by the Turkish state, although it fulfils the criteria of the Lausanne Treaty’s concept of minorities. In fact, in 1923 the Syrian-Orthodox patriarch at the time had decided not to go out on a limb as a minority in accordance with the Treaty of Lausanne (Hermann 2004a: 88 f.). However, instead of interpreting the relevant provisions of the Lausanne Treaty correctly and recognizing the religious community of the Assyrians nowadays *de facto* and *de iure* as non-Muslim minority in accordance with the Treaty provisions, Turkey splits the Assyrians up into separate groups of religious denomination, and denies their existence as an independent minority, in spite of their common religious and linguistic grounds (Gesellschaft für bedrohte Völker 2001: 11). Accordingly, the Assyrian do not enjoy any rights as a religious community (European Commission 2005: 30, 37 f., 109; Hermann 2004a: 96 et seq.).

However, concerning the existing minorities, Turkey does not only interpret the Treaty of Lausanne (ToL) in a too restrictive way. But also in practice, it does not entirely implement the minority rights guaranteed in Arts. 37-43 ToL. This (too) restrictive interpretation of the Lausanne Treaty refers to several articles concerning the protection of minorities and is practised by the Turkish state consequently and continuously since the entry into force of the Lausanne Treaty. Through it, according to objective standards, especially the one-sided and exclusive promotion of the Sunni Islam by the Turkish state, the discrimination of non-Muslim clergymen in education and exercise of their profession, the discrimination of non-Muslim minorities in founding and maintaining their own schools and religious establishments, and the restricted opportunities to learn and use their minority language in schools, language courses and the media, constitute a too restrictive interpretation of Arts. 39-43 ToL. This means for the recognized minorities of the Greeks, Armenians and Jews that they have to suffer from the missing legal entity of the patriarchy and the chief rabbinate, the confiscation of property since 1974, problems concerning the registration of asserted pieces of real estate, missing financial support by the Turkish state, missing opportunities for the education of clergymen due to the continuing closure of the seminaries, imposed restrictions for the elections of the patriarch and the chief rabbi, and the missing licence to carry out the elections to the executive of the community foundations (European Commission 2003: 8 f; European Commission 2005: 37, 41, 109; 2006: 16; 2012: 24 f., 74; Hermann 2004b: 110 et seq.; Hofmann 2002: 24 et seq.; Kizilkan-Kisacik 2013: 118 et seq., 149 et seq.; Oehring 2012: 14 et seq.; Yıldırım 2012: 176 f.).

## Possible solutions

Considering Turkey's possible accession to the EU, until now the accession criterion respect for and protection on minorities was not clearly defined sufficiently by the EU. Because it is a political criterion with a broad political scope for interpretation, the decision about the way of its interpretation is solely a political one.

Due to the lack of an universally recognized and binding concept of minorities and because of the different prevailing minority standards in the EU member states, it has to be questioned how a common European-Turkish concept of minorities can be found within the framework of the accession negotiations, according to which the fulfilment of the Copenhagen accession criterion respect for and protection of minorities can be judged.

The unrestricted adoption of the European concept of minorities by Turkey is a desirable but at present unrealistic perspective. The fear of the Turkish state of separatism and the danger for national unity is still too great, if ethnic, Muslim and linguistic minorities were granted privileges in the form of minority rights. The fear of the Turkish state of separatism and the danger for national unity is still too great, if ethnic, Muslim and linguistic minorities were granted privileges in the form of minority rights. The main obstacle for a changed concept of the state and minorities in Turkey is the still the predominant restrictive interpretation of the principle of indivisibility of national territory and national population. As long as this doctrine does not permit any further sub-identities besides the civic-national identity as Turk because of their possible danger for the unity of the nation-state, there is neither room for a reinterpretation of the Turkish national identity nor for a broader concept of minorities. Thus, for Turkey, the adoption of the European concept of minorities is currently out of the question. Because by recognizing further minorities these would automatically benefit from the existing minority rights, and that would result in privileges for numerous ethnic groups *vis-à-vis* the Sunni-Muslim majority of the population causing domestic tensions as well as a threat to public order. Therefore, in this context, the following solution seems to be possible and satisfactory for both sides:

### The concept of "ethnic groups"

On account of the danger for the maintenance of the indivisibility of national territory and national population which is involved in the guarantee of minority rights for ethnic, Muslim or linguistic minorities, an official recognition and acceptance of additional minorities is currently neither desired nor practicable. Thus, the Turkish Constitutional Court equated the unity of the nation state with the unity of its culture and put it under irrevocable protection of the constitution. In its interpretation of Article 66 of the Turkish Constitution, on the one hand the Court set out that the principle of the indivisibility of national territory and national population as an integrating and consolidating element which prevents any group taking priority as founder of the Turkish nation. Turkish citizens would not have to deny their ethnic roots within the frame of the national identity because the emergence of cultural differences is not prohibited. Therefore, the principle of the indivisibility of the national territory and the national population demands no laws which aim at the statutory prohibition of existing diversity or the affiliation to a different linguistic or cultural environment (Cavusoglu 2002: 127, 141).-However, on the other hand, the *creation* of minority groups on the basis of cultural differences is prohibited because it would destroy the national unity or would lead to the foundation of a new governmental order which would finally cause the destruction of the national unity (Çavuşoğlu 2002: 127). For these reasons, legislation is justified and demanded, which does not deny the existence of ethnic minorities, but prohibits politico-cultural, politico-social and politico-economic consequences from this (Rumpf 1992: 213). Consequently, in Turkey the acceptance of further minorities is currently neither desired nor practicable.

However, those groups which are also not officially recognized as a minority by the Turkish state but which are mentioned by the EU in the context of minority protection within the Turkey progress reports and the accession recommendation, do not want to be a minority. Apart from some parts within the numerically large religious community of the Alevis, none of the ethnic, Muslim or linguistic minorities in Turkey wishes to be granted the status of an officially and formally recognized minority (Fırat 2001: 94; Neumann 2004: 6; Oran 2010: 207). This results in the paradoxical situation that the ethnic, Muslim and linguistic minorities vehemently resist being labelled with the term “minority”, but at the same time demand rights which are generally regarded as minority rights. This paradox becomes clear for the following reason: In Turkey, the term “minority” has a complete negative connotation. In contrast to the European understanding, according to which minority status is regarded as a privilege, in Turkey the status as minority is regarded as sign and expression for inferiority. In contrast to the European concept of minorities, according to which the status of a minority is regarded as a privilege, the minority status in Turkey is a sign of inferiority. In Turkey, the label “minority” has a segregating effect and still does not mean in the Turkish praxis in politics and society any protection or privilege but suppression.<sup>61</sup> The ethnic, religious and linguistic minorities in Turkey do not want to be put down as minority and thus be segregated from the collective of the Turkish nation. They profess their national Turkish identity and they still want to be part of the Turkish nation. In spite of their ethnic, religious or linguistic group identity they do not strive to being treated in a special way in comparison with the Sunni-Muslim majority of the Turkish population. Only the recognition of their sub-identity as an integral part of the Turkish nation and the equal guarantee of their freedom of religion and their cultural rights matters for them (Ergil 2001: 186; Gürbey 2000: 78, 88; Gürbey 2012: 5; Kuniholm 1996: 353, 357; Kurban 2003: 214; Marcus 2013: 15 et seq.). Accordingly, the ongoing discussion in Turkey does not give priority to the recognition of further minorities as collective, but concentrate on the guarantee of rights such as freedom of religion, education in the native language and pursuance of the own culture as individual rights.

Since the recognition of ethnic, Muslim and linguistic minorities is not worthy of consideration for the state nor the affected groups themselves, the classification of ethnic, religious and linguistic minorities as “ethnic groups“, while at the same time recognizing and securing their identity within the framework of adequate individual rights, could be an acceptable solution for all parties.

As has been explained before, in Turkey the term “minority” (“*azınlık*“) has a negative connotation, for historic reasons even more than in most other countries. In contrast to that, the term “ethnic group“ (“*topluluk*“), which is often used in international professional literature as a synonym for the term “minority“, is not biased negatively and does not create belittling, segregating or excluding associations. Therefore, members of minority groups can accept this term. But also for the Turkish state, the classification of ethnic or religious groups like the Kurds or the Alevis as “ethnic group“ (“*topluluk*“) offers the opportunity to adhere to its present concept of minorities, which was and still is formative for the national self-conception of the Turkish republic. The term “minority” (“*azınlık*“) is in Turkey inevitably associated with something strange and alien which is a threat for the unity of the nation, whereas the term “ethnic group“ (“*topluluk*“) does not conflict with the unity of the national population. The term “ethnic group“ (“*topluluk*“) would open the possibility to establish a doctrine which accentuates and emphasizes the cultural heritage of a nation that is composed

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<sup>61</sup> In particular, the since the times of the Ottoman Empire (at least formally) remaining privilege for non-Muslim minorities by giving them special privileges over the Muslim majority of the population polarized the Turkish society. This resulted in the situation that the non-Muslim minorities, who enjoyed a special legal treatment because of the Lausanne Treaty, were regarded as alien element in society and therefore became subject to social and legal discriminations (cf. also: Kurban, Unravelling a Trade-Off: Reconciling Minority Rights and Full Citizenship in Turkey, p. 31).

of several (ethnic) groups and that forms the unity “Turkish nation“ as an inseparable unification of these (ethnic) groups. Consequently, each ethnic group would be an integral part of the Turkish nation with equal rights.

Thus, the classification of ethnic, religious and linguistic minorities as “ethnic minority“ (“*topluluk*“) offers the possibility for the members of these ethnic groups to profess their sub-identity as members of a specific ethnic group within the Turkish national population beyond their superior national identity as Turkish citizens. For the Turkish state, the concept of a national population consisting of various ethnic groups has two main benefits: firstly, it offers the chance to take advantage of the potential and strength, which will be released when the single ethnic groups can cultivate their sub-identities without hindrance, in order to reach a better national integration. Secondly, it offers the chance to bring the national population closer together by increasingly and deeper integration of the single ethnic groups into the concept of the Turkish nation. By admitting and recognizing that each ethnic group is an important part of the nation as a whole, an increased responsibility to do their bit for the welfare of the nation as a whole inheres in these ethnic groups. If each ethnic group is jointly responsible for the stability and continuance of the Turkish nation, the danger of separatist tendencies are minimized. Consequently, each single ethnic group will or could make its contribution not to give rise to separatist tendencies and movements within the community of the national population, because guaranteeing the indivisibility of national territory and national population won't be the sole responsibility of the state anymore but of each ethnic group. Each ethnic group's joint responsibility for the stability and continuance of the Turkish nation would therefore have a disciplining effect on all ethnic groups. It would be much more difficult for a separatist ethnic group to enunciate and enforce its interests towards the other ethnic groups who are only able to survive within the common alliance nor “national population”.

Beyond this conceptual solution of the minority question, in addition the religious and cultural rights of the members of these ethnic groups have to be guaranteed and secured individually. Finally, apart from the simple recognition of ethnic groups, also the foundations have to be laid, that each individual member of an ethnic group has the possibility to cultivate its religious and cultural characteristics. In order to grant each member of the various ethnic minorities this possibility, and not to make him dependent on the (majority) behaviour of his group, these religious and cultural rights should be formulated in terms of individual fundamental rights and freedoms, similar to the international documents concerning the protection of minorities or the minority protection clauses of the Lausanne Treaty.

However, the situation of the groups who are covered by the European concept of minorities but who are not recognized as minorities by Turkey, must no longer be reviewed by the EU within the scope of the Copenhagen criterion “respect for and protection of minorities“, because, according to this solution, Turkey does not respect and protect these groups as minorities. The EU would have to deal with and review the situation of these groups within the scope of the “guarantee of human rights“. Therefore, the EU would have to review, if each individual member of these groups is protected by means of individually guaranteed human rights exactly to the same extent as being a member of a minority group who could invoke the corresponding minority protection clauses. Here, Turkey could orientate itself on the rights for everybody laid down in Section III of the Lausanne Treaty. There, in Article 38 Paragraphs 1, 2 and Article 39 Paragraphs 2, 3, 4, 5 ToL, already the religious and cultural rights for each Turkish citizen are guaranteed, which are also essential for the members of an ethnic group. Due to the legal force of these provisions according to Article 90 Paragraph 5 of the Turkish Constitution, Turkey only had to make sure that they are implemented resolutely. Because the consistent implementation of the Lausanne Treaty would put Turkey in the position to fulfil the international standards with regard to the freedom of religion, the non-discrimination rule and the linguistic rights without any further

efforts. Moreover, the other minority protection clauses of the Lausanne Treaty offer examples for rights of ethnic groups' members, being formulated arising from individual rights.<sup>62</sup>

For its part, the EU would have to settle for the unrevised Turkish concept of minorities. However, at the same time, having made a conceptual detour via the term "ethnic group", the EU would have achieved its main aim, namely granting sufficient minority protection in Turkey according to European standards. Accordingly, the Kurds, Alevis and other groups who are covered by the European concept of minorities, would be protected to the same extent as if Turkey had given them conceptually and practically the same rights as non-Muslim minorities.

If the EU does not have the intention to let the ongoing accession negotiations with Turkey fail on account of irreconcilable differences with regard to the term and concept of minorities, the concept of "ethnic groups" could provide an acceptable and satisfactory solution for both sides. The EU would build a bridge for Turkey by taking the Kurds, Alevis and the other groups being covered by the European concept of minorities off the complex of minority problems, in order to enable Turkey not to entirely define its concept of the state in a new way and not to lose face. However, Turkey, in spite of conceptually taking ethnic, Muslim and linguistic minorities off the complex of minority problems, would be forced to guarantee these groups rights which fulfil the European standards of minority protection on the basis of human rights being formulated arising from individual rights.

## Conclusion

The complex of the different concepts of minorities within the EU and Turkey reveals a core dilemma in the mutual relations of both partners. Without firstly tackling the core problem of the EU's and Turkey's different concepts of minorities, and without managing to create an identical basis for discussion by clarifying the problem, on the one hand, according to the recommendation of the EU Commission, the EU certified that Turkey "sufficiently" (European Commission 2004) fulfilled the Copenhagen political criteria – correspondingly also including the protection of minorities (Commission of the European Communities 2004: 29-51) – for Turkey, on the other hand, the shortcomings of protecting minorities in Turkey are still denounced (European Commission 2012: 18-26, 74).<sup>63</sup> However, the establishment and determination of a common terminology in the minority issue is a compelling requirement and indispensable precondition for the evaluation of the protection of minorities in Turkey. Because, if Turkey still understands something different by "minority" than the EU, in the case of Turkey, the EU cannot comprehensibly determine if Turkey guarantees sufficient protection of minorities.

Summing up, it can be stated that the criterion of the protection of minorities does not have to constitute an irremovable obstacle for Turkey's accession to the EU. Nevertheless, it

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<sup>62</sup> Here, the European signatory states of the Lausanne Treaty have to put up with the reproach that they have been tolerating Turkey's incomplete guarantee of the Lausanne Treaty's minority rights and the continuously (too) restrictive interpretation and application involved, for 90 years now, in spite of having the explicit chartered right in Article 44 Paragraph 2 ToL to check Turkey's implementation of the minority rights clauses in the Treaty of Lausanne.

<sup>63</sup> Characteristic for the EU's indecisive attitude is a formulation in the Turkey 2006 Progress Report. Accordingly, in Turkey, in addition to the recognized minorities of the Greeks, Armenians and Jews, there are still „other communities in Turkey which, in the light of the relevant international and European standards, could qualify as minorities“ (*European Commission, Turkey 2006 Progress Report, p. 20*). This clearly shows that the EU is perfectly aware of the fact that the Turkish concept of minorities significantly differs from the European one. However, the EU shrinks from the consequences and avoids dealing with the different terms and concepts of minorities and clearly taking a stand, *which* other communities in Turkey would have to be qualified as minority pursuant to the relevant international and European standards. This EU behaviour is justifiably held against it as weakness by Turkey, which feels being confirmed in its unconditional adherence to its own concept of minorities.

is a highly explosive topic, because it makes ideological differences and differences concerning the constitutional order between the EU and Turkey become evident. For this reason, for both sides, the criterion of a sufficient protection of minorities is one of the negotiation topics which oblige at least one partner to make considerable concessions. Therefore, at that point, the accession negotiations can easily be shipwrecked. However, if a lasting and practicable solution for Turkey's complex of minority problems is of mutual interest, this is only possible if both sides thoroughly deal with the complexities of their different terms of minorities. The proposed concept of "ethnic groups" might be an acceptable basis for discussion.

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# ADMINISTRATION ON AGING. GLOBAL COMPARISON OF FORMAL AND INFORMAL CAREGIVING

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## Abstract

Countries in regions of the world are managing aging populations differently, but each country offers lessons to be learned. Countries used as examples include Germany, Australia, Japan, Uruguay, Kenya, Hungary, and the United States. All of these countries have some type of formal, informal, or both systems in place to care for older persons. These countries, among others throughout the world, will have to confront decreasing familial caregivers together with longer life expectancy. Other issues to consider include policy formation, resource allocation, health care, and diversity.

**Keywords:** Global aging, health care and aging, long term care

## Introduction:

Among a range of countries, the topic of aging has become increasingly discussed in terms of demographic transitions and elder care. By the year 2050, projections indicate that 60 countries will have at least two million people aged 60 years or older, up from 26 countries in 2011. As can be seen in Table 1, all regions of the world will experience an increase in the number of older adults in 2030. The developed world is presently experiencing much higher percentages of older individuals as compared to developing countries; however, this will not be the case in the future due to the demographic transition of developed and developing countries. In 2050, it is projected that the developed world will have only 22 percent of the world's oldest population (Kinsella & Philips, 2005).

Table 1: Percent of Population over 65 years by Region (2000, 2015, 2030)

| Percent of Population over 65 years by Region (2000, 2015, 2030) |      |                   |                   |
|--|------|-------------------|-------------------|
| Region   | Year | 65 years or older | 80 years or older |
| Asia   | 2000 | 5.9               | 0.9               |
|  | 2015 | 7.8               | 1.4               |
|  | 2030 | 12.0              | 2.3               |
| Europe   | 2000 | 14.7              | 3                 |
|  | 2015 | 17.6              | 4.7               |
|  | 2030 | 23.5              | 6.4               |
| Latin America /Caribbean   | 2000 | 5.6               | 1                 |
|  | 2015 | 7.6               | 1.5               |
|  | 2030 | 11.5              | 2.5               |
| Middle East /North Africa  | 2000 | 4.4               | 0.6               |
|  | 2015 | 5.5               | 0.9               |
|  | 2030 | 8.4               | 1.4               |
| North America  | 2000 | 12.4              | 3.3               |
|  | 2015 | 14.7              | 3.9               |

|                    |      |      |     |
|--------------------|------|------|-----|
|                    | 2030 | 20.0 | 5.4 |
| Oceania            | 2000 | 10.1 | 2.3 |
|                    | 2015 | 12.4 | 3.1 |
|                    | 2030 | 16.3 | 4.4 |
| Sub-Saharan Africa | 2000 | 2.9  | 0.3 |
|                    | 2015 | 3.1  | 0.4 |
|                    | 2030 | 3.6  | 0.5 |

*Note: From "International Data Base," by U.S Census Bureau, 2006, U.S Census Bureau.*

The U.S. Census Bureau defined three age categories of older individuals: elderly (aged 65 and over); the young old (aged 65-74); and the oldest old (aged 80+) (Kinsella & Velkoff, 2001). These specific age brackets are significant because the "the world's growth rate for 80-and-over population has jumped to 3.5 percent, considerably higher than that of the world's elderly as a whole (2.3 percent)". The elderly population, specifically the oldest old, is enjoying a longer life as a result of increased available resources, such as better health care. Both developed and less developed countries must consider these age brackets; however, all countries have different approaches to their aging society based upon where the country is in the demographic transition and what resources are available.

*Table 2: Countries with the highest shares of 60 + population in 2011 and 2050 (percent) (among countries with 2011 population of 1 million or more)*

|          | 2011 |                        | 2050 |
|----------|------|------------------------|------|
| Japan    | 31   | Japan                  | 42   |
| Italy    | 27   | Portugal               | 40   |
| Germany  | 26   | Bosnia and Herzegovina | 40   |
| Finland  | 25   | Cuba                   | 39   |
| Sweden   | 25   | Republic of Korea      | 39   |
| Bulgaria | 25   | Italy                  | 38   |
| Greece   | 25   | Spain                  | 38   |
| Portugal | 24   | Singapore              | 38   |
| Belgium  | 24   | Germany                | 38   |
| Croatia  | 24   | Switzerland            | 37   |

Source: United Nations Population Division (2011).

The countries discussed throughout this article were chosen to represent the regions outlined in Table 1. These regions include: Asia, Latin America, Europe, North America, Oceania, and Africa. By researching countries located in various regions of the world, a better understanding of the transcultural trends, similarities, and differences in aging can be observed on a global level. The nation's ability to understand how their country needs to approach an aging population, together with how other countries approach an aging population, is very important to the development and improvement of formal and informal systems of health care.

### **Comparative Systems:**

Several countries within different regions of the world are managing aging populations and each country offers lessons to be learned relative to its ability or inability to manage this population. The countries discussed throughout this article include the following: Germany (Western Europe), Australia (Oceania), Japan (Asia), Uruguay (Latin America), Kenya (Africa), Hungary (Eastern Europe), and the United States (North America). Each country offers different formal and informal systems of health care, specifically long term care (LTC), to the older populations in each county. As can be seen in Table 2 and Table 3, each country has different population statistics, which may effect how these systems of health care are administered. This article will present the formal and informal systems of care in the above outlined countries, followed by a discussion of these countries and what can be learned from their ability or inability to manage the aging population. For the purposes of this article, the World Health Organization (WHO) defines informal care as specific care provided by the

family and formal care as that provided by the state or the market in the form of state funded or private health insurance (WHO, 2000).

### ***Germany***

Germany offers a social insurance system to its citizens through income-related contributions paid by both employees and employers (International Reform Monitor [IRM], 2006). If an individual earns more than the defined income, the health care consumer has the option to purchase private health insurance. In 2001, over 90 percent of the population was covered by compulsory health insurance, while less than 0.2 percent of the population remained uninsured (Docteur & Oxley, 2003). Germany's estimated public spending on LTC as a percentage of gross domestic product (GDP) from 1992-1995 was 0.82 percent, as compared to 11.1 percent total national health expenditure as percent of GDP in 2003 (IRM, 2006b).

Public LTC insurance has been a part of Germany's social security system since January 1, 1995 (IRM, 2006b). The LTC insurance provides nursing and in-home benefits to people of all ages with severe disabilities (Gibson, 2003). In 1998, Germany devoted almost half of its LTC insurance program to noninstitutional services (Cueller & Wiener, 2000). The country's ability to contribute a large percentage of its LTC insurance to noninstitutional services demonstrates that Germany values informal care by family members because it performs a central role in the care of the elderly. To further the family caregiving goal, up to four weeks of respite care is provided for informal caregivers and pension credit is awarded to persons providing high levels of unpaid services (Cueller & Wiener, 2000). Caregivers providing 14 or more hours of care per week are eligible for contributions to statutory pension and accident insurance together with counseling/training and respite services (IRM, 2006b).

In 1998, approximately 550,000 individuals received pension contributions, with 93 percent being women and 55 percent between 50 and 65 years of age (Cueller & Wiener, 2000).

Care receivers have the option of accepting cash to pay caregivers, accepting professional care, or a combination of both. Since the introduction of LTC insurance in Germany, the majority of care receivers have preferred cash (71 percent in 1997), supporting the notion of familial responsibility and caregiver preference among care receivers (Theobald, 2003).

### ***Australia***

Australia offers universal health care coverage; therefore, all of its citizens have health care coverage. It is through the public health insurance system, namely Medicare, that LTC services are funded (IRM, 2006a). The Commonwealth of Australia created Australia's Aged Care System with the purpose "to support healthy aging for older Australians and quality, cost, effective care for frail older people and support of their carers" (Department of Human Services [DHS], 2003). The aged care system delivers residential (high level nursing home care and low level hostel care) and community care (informal care).

There is no obligation for family members to provide informal care; however, it is generally expected by the state that family will provide care. In fact, 75 percent of community care is provided by the family (IRM, 2006a). In order to encourage potential carers, the government offers specific allowances and payments what will be discussed below. As of 1998, 2.3 million Australians, or one in five households, provided informal care (National Alliance for Caregiving, 2003).

Australia offers carers extensive respite care through the National Respite for Carers Program (NRCP) of either residential respite or through approximately 90 community-based Carer Respite Centers (DHS, 2005). Carers also receive a "carer allowance" based on eligibility. The allowance covers carers who look after a child or adult who need additional attention as a result of a severe disability or medical condition (DHS, 2004). In addition to the "carer allowance," a carer can also be eligible for a "carer payment." The payment is

administered as an income support for carers who are unable to support themselves through full participation in the work force as a result of their carer role (DHS, 2004).

Among the numerous services offered to carers and older adults is the Aged Care Assessment Program (ACAP). Through the ACAP, Aged Care Assessment Teams (ACATs) provide expert assessment of eligibility for services and advice regarding the long term needs of the frail aged (DHS, 2003). Ultimately, Australia's formal and informal care systems intertwine to offer a full service system to older Australians.

### ***Japan***

As of 2004, Japan was the second oldest country in the world at approximately 19 percent aged 65 or older. Japan implemented a LTC social insurance program in April 2000 that covers nursing home and home/community-based services, including home-helpers, adult day centers, assistive devices, and minor home remodeling for those aged 40 years or older (Gibson, 2003). Half of the LTC insurance system currently in place is financed through tax, and the remaining 50 percent comes from contributions collected from adults aged 40 years and older or from a co-payment of 10 percent of the costs of care (IRM, 2006c). Those who are aged 65 years or older and those aged 40-64 with age-related disabilities are eligible for insurance coverage (Gibson, 2003). The system explained above has been implemented with relatively no problems and, thus far, it seems to be a success (Ministry of Health, Labour and Welfare [MHLW], 2002).

Japan's culture surrounds itself with the concept of "filial piety" or taking care of one's own parents. In fact, direct relatives within three generations of relationship may be legally responsible for an elderly individual (IRM, 2006c). Contrary to the concept of "filial piety," the Japanese government has acknowledged through recent policy implementations that elderly care has shifted away from the family and toward the state. However, the government still recognizes the importance of family or informal caregiving; and therefore, introduced a measure of in-cash assistance to those caring for elderly people at home (IRM, 2006c). The assistance comes in the form of a fixed-amount grant to the families. Caregivers are also eligible for up to 1-week respite stay per month based on the level of disability of the person being cared for by the caregiver (Gibson, 2003).

### ***Uruguay***

Uruguay's population was approximately 3.5 million in 2001 (Pan American Health Organization [PAHO], 2001). The country represents the largest population of people 60 years and older in Latin America, thereby making it the "oldest" country in this region (Collymore, 2000). Uruguay is indeed the oldest country in the western hemisphere with 17.3 percent of its population over the age of 60 in 1997, followed by the United States at 16.5 percent (NIH, PAHO, U.S. Census Bureau, 1999). As is the situation in other less developed countries, rates of chronic and disabling illnesses are greater among elderly, yet the availability and utilization of health services is considerably lower as compared to developed countries.

The public health system in Uruguay consists of both a public and private sector. In terms of coverage, the State Health Services Administration (ASSE) serves 33.7 percent of the population, the Consortium of Humanities Centers and Institutes (CHCIs) 46.6 percent, the Armed Forces Health Service 4.2 percent, the Police Health Service 1.8 percent, and other institutions 1.2 percent (PAHO, 2001). Approximately 11.7 percent of the population does not have formal coverage (WHO, 2006). Uruguay does not have a reliable registry of LTC institutions or residences implemented to monitor its citizens (United Nations Economic Commission for Latin America and the Caribbean [UNECLAC], 2003). The lack of availability of a reliable registry not only makes it difficult to calculate an accurate number of institutionalized older persons, but also indicates the lack of priority given to the issue.

Due to globalization and modernization trends such as migration to urban settings and women in the work force, Uruguay is also experiencing fewer families assisting their elderly

relatives. In Latin America, family members are the primary caregivers for older persons, with a high proportion, approximately 90 percent of family caregivers, being women. Most caregivers are over 50 years old and are subject to emotional and financial problems (UNECLAC, 2003). Despite these problems, no Latin American country has a caregiver support policy or a plan for developing options for providing day care to disabled persons (UNECLAC, 2003).

### ***Kenya***

According to a 1999 census report, approximately 1.5 million people (4.8 percent of the total population) are aged 60 years and above in Kenya (Olum, 2005). Although Africa will be considered relatively young through 2050, it has been found that its youth dependency will be reduced by 57 percent while its old age dependency will increase by 93 percent by 2050 (Kalasa, 2001). Therefore, Africa's policy on aging will become an increasingly important health policy issue.

The Government of Kenya has already addressed the aging issue by implementing a National Policy on Aging together with the 9<sup>th</sup> National Developmental Plan. These measures do not specifically address health care; however, the purpose is to facilitate the needs and concerns of older persons. Kenya must depend on family support for many who need care because of the deteriorating financial and human resources for health services (Olum, 2005). As experienced by other developing countries, Kenya has noted the disintegration of the extended family support system due to urbanization and modernization, thus placing older persons in unsatisfactory conditions both in the formal and informal setting. Kenya recognizes the need for LTC programs to ensure socio-economic support and security for the elderly (Olum, 2005).

Although Kenya has initiated governmental policy reforms to address aging, implementation of new public programs was a priority due to Kenya's increased poverty, malnutrition, HIV/AIDS, and decreasing life expectancy - 60 years in 1993 to 51 in 1998 (Bedi et al., 2004). The key participants in Kenya's health system are the Ministry of Health, non-government organizations (NGOs), private for-profit health systems, and local government authorities. At each level of care, curative, prevention and promotional services are offered (Bedi et al., 2004). "The public sector has a dominant representation in health centers (79%), subhealth centers (92%), and dispensaries (60%) while the NGOs' lead in health clinics, maternity and nursing homes (94%) and medical centers (86%)" (Bedi et al., 2004, p. 27). The government finances approximately 50 percent of health care costs and private arrangements, such as insurance or out-of-pocket spending, account for 42 percent, while NGOs, missions and donors, among other institutions, finance 6 percent (Bedi et al., 2004).

### ***Hungary***

Hungary has the population of approximately 10 million people that is expected to decrease to approximately 7.5 million by 2050. As the number of the working population decreases in Hungary, the number of people 60 years or older will double, moving the dependency ratio from 8.2 percent in 2000 to an expected 12.5 percent in 2050 (WHO, 2006a). Hungary offers free access to health care for all citizens, thereby indirectly benefiting the elderly. Hungary's health care system is primarily funded through the Health Insurance Fund (HIF), which receives contributions from employers and employees, and deficits are covered by state funds (Goglio, 2005).

Hungary also offers a well-developed home health care and home social-assistance system (Burns & Cekota, 2002). However, Hungary only has one nursing-home bed for every 140 individuals over the age of 65, increasing the unmet demand for nursing home placement and in-patient geriatric care (Burns & Cekota, 2002). The services offered by the government are supplemented by traditional informal caregiving. Many elderly live with their children or grandchildren who are legally obligated to care for their older relatives (Burns & Cekota,

2002). “Family members caring for the elderly relatives are entitled to a “care fee” which makes them eligible for social insurance as determined by The Act of Social Assistance.” (Aman, Buchele & Kalisch, 1998, p. 171).

### ***The United States***

In 2004, the United States ranked 38<sup>th</sup> in the world’s oldest countries. The U.S. is relatively young with 12.4 percent of the population over the age of 65, as compared to European standards where 19 of the 20 oldest countries in the world are located in Europe (Kinsella & Philips, 2005). However, by 2050 the U.S. is expected to observe 9 percent increase in the percentage of people over the age of 60 as a result of the aging baby boomer generation - those born between 1946 and 1964 (UN, 2006). Additionally, the U.S. spends more of its GDP on health care, at 15.2 percent, as compared to any other developed nation (WHOSIS, 2006).

The U.S. offers universal health care coverage to its citizens over the age of 65 and those disabled under the age of 65 through the Medicare program. Under Medicare, a portion of nursing home care is covered for a short period of time followed by either a private insurance or out-of-pocket payment method (IRM, 2006d). Under the Medicaid program, long term nursing home care is available after the recipient has spent down all income and assets thereby allowing them to qualify for Medicaid.

The aging of the population in the U.S. will put a strain on the current health care system and on informal caregivers throughout the country. Caregiving prevalence estimates were 24 to 27.6 million in 1997 (Arno, Levine, & Memmott, 1999). Using midrange figures, the national economic value of informal caregiving in 1997 was \$196 billion (Arno, Levine, & Memmott, 1999). The U.S. enacted the Family and Medical Leave Act of 1993 (FMLA) which offers 12 workweeks of unpaid leave. In addition to the FMLA, the National Family Caregiver Support Act (NFCSA), authorized by the Older Americans Act of 2000, allows states to provide a continuum of caregiver services that best meet caregivers and individual needs. These may include information, assistance and other services (Administration on Aging, 2003). Medicare and Medicaid also offer limited home care services to caregivers in the form of home nursing services, social services, counseling, medications, physical and occupational therapy, household services, and nutritional services.

*Table 3: Family Caregiver Policy*

| Country       | Caregiver Support Strategy | Respite Care | Cash Payments to Caregivers | Linkage to Public Pension |
|---------------|----------------------------|--------------|-----------------------------|---------------------------|
| United States | Partial                    | Yes          | Yes*                        | No                        |
| Germany       | No                         | Yes          | Yes                         | Yes                       |
| Australia     | Yes                        | Yes          | Yes                         | Yes                       |
| Uruguay       | -                          | -            | -                           | -                         |
| Kenya         | Yes                        | -            | -                           | -                         |
| Japan         | No                         | Yes          | No                          | Yes**                     |
| Hungary       | -                          | -            | -                           | -                         |

*Note: From “The Road to Recognition: International Review of Public Policies to Support Family and Informal Caregiving,” by Feinberg, L. & Montgomery, A., 2003, Family Caregiver Alliance.*

### **Discussion:**

All countries discussed above have some type of formal, informal, or both systems in place to care for older persons. Each country uses only a fraction of the percentage of GDP



allocated to health expenditures for LTC. Less developed countries, such as Kenya and Uruguay, have a less developed system of care for their elderly populations as a result of inadequate resources to address aging. These less developed countries ultimately have to distribute their resources to other issues such as basic public health including basic health care, disease prevention or control, or sanitation, as opposed to LTC.

The review of the current literature supports the notion that no country has the “answer” to dealing with aging population. All countries are simultaneously dealing with less familial support of elderly family members as a result of modernization and globalization. As discussed above, not all countries researched offer the same support for caregivers, and some countries do not offer any formal support. Countries such as Australia have extensive measures implemented, while other countries are considering new initiatives.

It is suggested that just because an intervention strategy works in one country, the measure may not necessarily be implemented successfully in another country. Many different social standards, including but not limited to language, cultural diversity, customs, beliefs, religion, and values must be considered when implementing a measure to address health care services. In addition to social standards, a country must also be economically able to implement certain health care measures. For example, a country must consider whether it has the financial means to add a LTC program and take into consideration whether that same measure fits with the social standards of the society in which it will be implemented. Many countries have adopted policy reforms but have not allocated resources to implement these reforms.

Governments may eventually come to the point where many options are offered for the elderly and their caregivers. All countries will need an aging strategy together with a caregiver support strategy. The elderly will need access to quality and cost effective formal health care that may consist of skilled nursing, home health care, or hospice. The field of geriatrics will also become increasingly important as elderly individuals with comorbidities have an increased need for primary and specialty health care as they age. Additionally, family or informal caregivers need a system of respite care and support from the community and government.

Caregivers should be offered cash payments or allowances as used in Australia. Moreover, caregivers should have some linkage to public pension plans, considering that their absence in the formal workforce would prevent them from obtaining a pension or even social security benefits. Caregivers can also benefit by receiving tax credits for their dependent family member and the option of making their family member a dependent under the caregiver’s health insurance policy. By using these measures, both caregivers and care receivers would greatly benefit.

### **Conclusions:**

Research suggests that globalization or the blending of cultures directly affects each country studied, thereby introducing a pluralistic approach to elder care. As discussed, globalization is observed in terms of a decrease in familial support for elderly family members. Countries that are attempting to implement policy reforms relative to aging or LTC must consider the cultural diversity of its people because diversity may increase or decrease the degree of adaptation of the policy relative to social standards, as discussed above. The proportion of young and old individuals may also effect policy adaptation as social standards within these age brackets conflict.

The aging world will also produce an intergenerational struggle for resources, as the increasing elder population will monopolize a large amount of resources, thus reducing the allocation of revenue to other programs. The leaders of these countries that are facing this resource struggle will have to allocate resources in the best possible way to improve and maintain the health of the population as a whole. Their competition for resources and ability

to finance policy reforms create a very important social, economic, and political dynamics. In order to balance this delicate dynamics, leaders must be open to public debate to better understand the issues relative to aging.

In addition to resource struggles between generations, population shifts through migration and immigration are also significant. For example, just as young and old generations will compete for resources, the U.S. population as a whole will compete for resources with the country's estimated 8-9 million illegal immigrants (Center for Immigration Studies, 2006). Migration and immigration can also reshape the demographics of a country, thereby directly effecting how a country must manage an aging population.

Society will struggle with the concept of continued aging because as the life expectancy increases, quality of life does not necessarily increase together with life expectancy. Countries throughout the world may be faced with deciding what resources individuals should be entitled to and at what age. Ultimately, the issue comes down to keeping people alive, but at what cost to society? The same issue will surface debates on human rights and euthanasia, among others. Overall, countries experiencing aging population must formulate their policies in a manner that addresses various concerns. Each policy will require thoughtful formulation that must benefit the older populations within the country and the families or caregivers of the older population.

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# NEOPATRIMONIALISM AND DEMOCRATIC STABILITY IN AFRICA: A CASE OF GHANA'S 1992 RE-DEMOCRATIZATION

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## Abstract

By the mid 1960s, many African leaders had concluded that what Africa needed badly was rapid economic growth to catch up with the Western advanced global economy. In all too soon, changes in government began to occur via military putsch. Military coup more or less became institutionalized. Consequently, African states began to experience military, militarism and authoritarianism coupled with persistent economic policy failures. Africa's quest for rapid economic growth and development therefore became taunted and hence underdevelopment. As a result, two decades or less, African states focused on economic development strategies, nonetheless, both economic development strategies and regional integration idea failed to yield development dividend. Therefore, at the turn of the 21<sup>st</sup> century consensus emerged that the root cause of Africa's underdevelopment is 'bad governance.' Accordingly, many African countries including Ghana embraced liberal democracy and have since 1990s been democratizing state institutions. Few African countries including Ghana has more or less 'perfected' electoral democracy though, democratizing state institutions and deepening democratic culture remain problematic. What accounts for the difficulty in customizing and deepening democratic culture and values? Using in-depth interview with selected political scientists and few experts in democracy affairs, this paper explored the historical trajectories and validity of neopatrimonialism, as a partial explanation for Ghana's 1992 re- democratization nuances. Findings show that neopatrimonial rule is so pervasive in post-colonial Ghana in particular and Africa in general. This paper concluded that beneath what appears to be a successful case of democratic stability in Ghana lies sturdy neopatrimonial dysfunctionalty that serve as counterweights to democratic culture. This paper is, thus, intended to augment the understanding of the theoretical versatility of neopatrimonial thesis as a clarification of the on-going discourse on democratic stability in Africa including Ghana.

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**Keywords:** Economic development, Bad governance, Democratic stability, Neopatrimonialism

## Introduction

At the turn of the 21<sup>st</sup> century, Africa was the only continent that did not register any significant development (Ake, 2000; Mkandawire, 1998; Thompson 2004). According to the World Bank's Reports (2009), per capita income on the continent is the lowest (an average of \$300), about 65% or more of the population is said to live on less than a Dollar a day, Africa's external debt is over \$600 Billion, and in recent times Africa has been the scene of ethnic and communal conflicts some of which are very destructive. Worse still, Africa is said to be emerging as the epicenter of HIV AIDS. So the question that is often asked is "why is Africa not developing?" Many reasons account for this underdevelopment problem.

According to Sawyer (1990) one of the problems is the nature of the African dependent state itself. He argues that the picture presented by independent Africa is one of an unintegrated collection of non-industrialized, undemocratic, non-self-sustained states. But, in

the mid 1980s the problem was seen as economic and this was captured by Claude Ake in his article, "Why is Africa not developing" where he argues that "nearly everywhere in post-colonial Africa, the tragic consequences of the underdevelopment has come home to us." "Serious as it is however, the problem of post-colonial Africa underdevelopment is believed to be only a symptom, effect of deeper maladies, i.e. detrimental economic effect of colonization."

In response to Africa's 'detrimental economic maladies,' in the 1980s the World Bank and IMF prescribed multiple economic reforms measures to Africa (see for instance; Structural Adjustment program (S.A.P.), Economic Recovery Program (E.R.P.) and PAMSCAD). These economic reforms were intended to move Africa away from dependency and underdevelopment. In spite of the rapidity with which Africa pursued these reforms however, the development record of Africa indicates that the problem of underdevelopment and dependency still persists. Ake's (2000) explanation of Africa's persistent underdevelopment is that those economic reforms had not only been pursued with confusion of purposes and interest but also the policies and programmes themselves have been full of ambiguities and contradictions.

As a response to the multiple economic policy failures a new thinking emerged within the development community that Africa's solution (last resort) for her development predicaments was developmental regionalism (Mkandawire, 1998). So, developmental regionalism was perceived to provide solutions to many development problems for the south. Nonetheless, in sub-Saharan Africa (S.S.A.) there has been little integration simply because there is little to integrate (Mkandawire, 1998). The argument was advanced towards establishment of corporate Africa for cooperation within African states hence the Omega Plan, the South-South Cooperation and the North-South among other development goals all of which has been characterized by various degrees of socio-economic and political challenges. In spite of all the attempts made by Africa in search of permanent solution to the development dilemma however, now, the picture which is presented by post-colonial Africa is one that is not only marred, but also wallowing in chronic food crisis, debt cancer, poverty and squalor. The failure of these economic reforms with their attendant predicaments has led many Africanist scholars to re-think Africa's development agenda.

And today, the thinking within the development community is that, it is politics more than anything else that is underdeveloping Africa (World Bank and IMF Reports, 2008:2009; Ake, 2000; Bratton and van de Walle, 1997). And hence political reforms have become critical on the agenda in most African countries including Ghana. Indeed, political reforms have not only replaced economic reforms but also become the new conditionalities for financial assistance from the Breton Woods Institutions and governments of the global north (World Bank and IMF Reports, 2008:2009; Gyimah-Boadi 2001; And hence Ghana in particular has since the early 1990's been democratizing (Gyimah-Boadi, 2001, Ninsin and Drah, 1993).

In what follows, this paper analyzes the 1992 re-democratization wave by exploring the feasibility of democratic stability in Africa using the circumstances of Ghana.

### **The 1992 Re-democratization Tide**

Before proceeding to analyze Ghana's 1992 re-democratization tide, it is a point noteworthy that Huntington's(1991;1996) first two waves of democratization which occurred around 1828-1926 and 1943-1962 respectively were each followed by reversal waves and hence Huntington's democratization wave thesis has come under strong criticism by scholars including; Diamond (1996), Linz and Stephan (1996) and, Haynes (2003). Indeed, in this paper, we take issue with all of these authors' (including Huntington's use of a blunt dichotomous measure of democracy) which we believe creates the potential for analysis of democracy and seemingly democratic- autocratic transitions.

Here, it is significant to note that the issue of democratization is without the least challenges. As noted by Huntington (1991; 1996), the historical trajectories of democratization are not only a precursory but also, the present circumstance involving diverse set of structural factors are likely to affect its stability. Although, reasonably valid quantitative measures exist for each of these factors and are available for many countries and clearly, many studies have confirmed that the problem of instability is critical; however, this paper has not identified throughout the literature how neopatrimonial thesis (the tendencies of patronage politics or patron-clientelism), holding other factors constant, constitutes a doomed to democratic instability. Indeed, this is what my paper intends to address.

In the mean time, using a content analysis as a standard measure of democracy, this paper finds substantial support for Huntington's wave thesis; and little support for the position of his critics who argue that there are no democratic waves (Diamond, 1996; Bratton and van de Walle 1997). This paper finds clear identifiable trends in the evolution of democratic governance throughout the world during the past century that correspond roughly to the waves and reverse-waves identified by Huntington, but it fails to find any support for the explanation hypothesized by Huntington(1991: 1996). Again, using multinomial logic analysis of political transitions, this paper finds this waves-like pattern of global democratization as associated with shocks to the international system such as; world wars, domestic economic growth rates, political neighborhood effects, unequal exchange, environmental collapse, and Africa's global proportion of democracies (Diamond, 1996; Linz and Stephan,1996). Therefore, this paper maintains that democratic waves are not due to inherent aspect of democratization as theorized by Huntington.

Further findings show that in spite of the obvious challenges of democratization however, today, many agree that some democratizing states of Africa have reached the point of democratic stability (Abdulai and Crawford, 2008; Daddieh, 2011) and hence democratic stability has become the hottest issue in African politics of which Ghana is no exception.

This paper establishes that Ghana overwhelmingly embraced and joined Huntington's (1991;1996) 'Third Wave' of democratization with great enthusiasm and optimism (Joseph, 1992, Gyimah-Boadi, 2001) and that this same democratic optimism led many African states including Ghana to make concerted efforts to democratize state institutions and politics. Two decades or less of democratization of state institutions and its politics yielded significant democratic gains in Ghana among other African countries hence some scholars argue that Ghana has 'perfected' democratic rule at least, at the level of periodic elections and had even reached the threshold of sustaining electoral democracy(Abdulai and Crawford, 2008, Daddieh, 2011; Gyimah-Boadi, 2001).

Notwithstanding the unprecedented record of relatively successful electoral democratic gains in Ghana among other African states (Abdulai and Crawford, 2008; Daddieh, 2011); however, two decades or more of Ghana's democratic experience show rather, mainly cosmetic democratic gains. There has been an emergence of strong pessimism among Africanist scholars towards democratic sustainability in Ghana in particular. largely because of structural problems such as; weak institutions- lack of judicial independence and ineffectual legislature as well as pervasive electoral manipulations coalesced with widespread patronage politics, political corruption, violence and polarization of the state (van de Walle, 2002; Booth and Gyimah-Boadi, 2005).

Furthermore, the erratic and ambiguous nature of democratic practice in Ghana in particular has stimulated heated debates. This paper analyzes "The Controversial and Contradictory Debate," drawing lessons from the optimist and pessimist scholars' debate on the state of democracy in Ghana.

## **The State of Democracy in Ghana: The Controversial and Contradictory Debate**

There are two main positions as far as democracy and its stability in Africa including Ghana is concerned. The optimist scholars (philosophers who support the success story of democracy in Ghana), including; Lindberg and Morison (2007) and, Daddieh (2011) hold the view that Ghana's relatively five (5) successful presidential, parliamentary and district Assembly elections held in 1992, 1996, 2000, 2004 and 2008 are indicators of democracy progression and by the Ghanaian standard democracy is "matured" in Africa. The optimist scholars conclude that each of these elections show significant improvement in terms of "free and fairness" as well as successful transfer of powers signifying the passing of Huntington's' two turnover test. On the contrary however, the pessimist scholars (philosophers who oppose the success story of Ghana's democracy), including; Bratton and van de Walle (1997); Haynes (2003); van de Walle (2002) and Okechuku (2008) hold the view that 'more elections do not mean more democracy,' in other words, frequent elections do not necessarily produce democratic outcomes and that it only risks the fallacy of electoralism, that is, privileging elections over all other imperative tenets of democracy.

The pessimist scholars argue that by trying to showcase Ghana's seemingly electoral democratic gains for the entire African continent is a serious flaw. The pessimist scholars therefore maintain that Ghana's democracy is "merely surviving and may reverse to a form of democratic authoritarianism. They however, conclude that Ghana's democracy is suffering from critical institutional deficiencies hence sustaining Ghana's democracy becomes so problematic. Similarly, Jockers, Kohnert and Nugent (2007) advance the pessimist argument by contending that the periodic electoral democratic success in Ghana is a "convenient myth." Indeed, Jockers, Kohnert and Nugent' position does not only seem to be a repetition of Bratton and van de Walle's (1997) position which maintains that democracy in Ghana is just surviving and may reverse or at best remain stagnant but also, both positions really contradict Lindberg and Morrison's (2008) position that there are significant democratic gains. In fact, Lindberg and Morrison's position reinforces or emphasizes the fact that democracy is "matured" in Ghana. Interestingly, there is an emerging consensus that fit into the midstream position and which seems to depart from both the optimists and pessimists' positions. Indeed, midstream scholars' position constitutes a missing gap within the literature which this paper intends to fill. The position of this paper is that authors including; Diamond, Joseph and Gyimah-Boadi seem to remain uncertain or, for want of a better phrase, 'they are ambivalent' about the entire game of democracy in Ghana. This paper supports Diamond (1996) and others' positions and adds that democracy in Ghana gives impressive façade and hence it is a mere fantasy. Furthermore, this paper maintains that the erratic and complex nature of Ghana's democracy requires further interrogation to find empirical answers to whether or not democracy is really at work in Ghana and/or whether or not Ghana is in the era of "trial of democracy" or "triumph of democracy."

Indeed, these issues and few others have galvanized the attention of Africanist scholars and the institutions of democracy affairs forcefully on the erratic nature of democracy in Ghana. The seemingly erratic democratic outcomes coalesced with the diminishing returns in democracy in Ghana have more or less overturned the initial optimism of Ghanaians in particular and Africans in general towards liberal democracy (Haynes, 2003; Okechuku, 2008). In general, the record of Africa's more or less poor democratic performance according to critics, has been worsened for instance, by the military overthrow of constitutionally elected president Ndudaye of Burundi in 1993 (within three months), president, Jawara of Gambia in 1994, the military coup in Madagascar and the Republic of Guinea, and recently, Mali's political unrest coupled with democratic succession after the demise of Eyadema in Togo among other counter-democratic events in other parts of Africa (Daddieh, 2011; Gyimah-Boadi 2008). Indeed, this democratic dilemma in Africa prompted

Diamond to ask “Is the Third Wave over?” And perhaps also, motivated Joseph (1998) to conclude “democracy in Africa, from Abertura to closure....”

The critical questions then, are: ‘In reality, what is the reflection of democracy in Ghana in particular and Africa in general? Is it “Shock democracy,” “pseudo-democracy” or, “virtual democracy?” Do African states including Ghana have what it takes to democratize? This paper therefore teases out empirical responses for these questions.

Meanwhile, as part of the explanation of the erratic nature of democracy in Ghana, responses from interviews conducted with some selected staff of Center for Democratic Development (CDD), Institute of Democratic Governance (IDEG), political scientists from the Department of Political Science, University of Ghana, Legon and other experts of democracy affairs based in Ghana in November 2012 prior to the 2012 elections admitted that there is not even a single election conducted in Ghana in particular that has been free from allegations of electoral manipulations such as rigging, stolen of ballot boxes or electoral violence involving, intimidation of voters. And, hence the informants interviewed concluded that generally, electoral democracy in Ghana in particular and Africa in general lacks credibility. Evidence shows also that, unfortunately, in many cases, the Coalition of Domestic Elections Observers (CODEO) and the International Observers (IO) have been alleged to have falsely endorsed outcomes of elections in Ghana as “free and fair” (Daily Graphic December 28, 2012; Gyimah-Boadi and Prempeh, 2012). Another empirical evidence is a case in contention in which Ghana’s 2012 election results is being contested by the New Patriotic Party (NPP) at the supreme court on the account of electoral manipulation by the Electoral Commission (EC) and the Incumbent (see Daily Guide, Monday, December 31, 2012). Also, evidential is several cases of election disputes including; Ghana’s: 1996, 2004 and 2008 and the case of Kenya’s in 2013, emphasizing rather, the “trial of democracy” (and also, introducing a new democratic concept such as “Judicial Democracy Test”), other than the “triumph of democracy.” In addition, there have also been several election boycotts i.e. Ghana, in 1992 and 2008 and, Togo, in 1993 by the seemingly non-favoured party. Indeed, the 2010 Ivorian crisis in Cote D’Ivoire involving the then president, Laurent Gbagbo and Alassane Ouatarra also reinforces that all is not well with democracy in Africa. Findings of this paper confirm that there have been massive democratic erosions resulting from periodic election manipulations and engineered by neopatrimonialism. Thus, the emerging worry is that the current liberal agenda in most Africa including Ghana is facing a potential threat and if care is not taken, it may pin down the democratic credential achieved or recorded over the years.

Seeing the complex nature of Ghana’s ‘democratic dilemma,’ several attempts made so far by many Africanist scholars to address Ghana’s democratic refraction remain basically theoretical solutions or explanations. In other words, attempts to comprehend the impediments of democratic stability in Africa including Ghana proceeded via political participation and political culture analysis, political economy theory explanation, institutional approach as well as transitional analysis (see Ake, 2000, Huntington, 1991:1996; Bratton and van de Walle, 1997; Sandbrook and Oelbaum, 1999; Diamond, 1996; Joseph 1992; Aidoo, 2008). The point of departure of this paper is that neopatrimonial rule is not only so widespread in post-independent Ghana but also manifests itself in multiple dimensions. Hence this paper speculates that neopatrimonialism exclusively contributes significantly to democracy nuances in Ghana. This paper attempts at explaining not only why “Ghana’s democracy does not work”, but also why “disorders have become political instrument in securing political legitimacy,” using neopatrimonial thesis. This paper therefore interrogates first, the extent to which neopatrimonialism (patron –client network) is pervasive, second, the multiple forms of neopatrimonialism and its utility, third, the nexus between neopatrimonialism and democratic stability.



In what follows, the paper conceptualizes neopatrimonialism and explores its pervasiveness, its multi-dimensional framework, its utility and manifestations and finally shows how its co-existence with legal-rational democracy may turn to undermine democratic stability.

### The Multiple Frameworks of Neopatrimonialism

This paper contends that the study of neopatrimonialism has a long tradition in area studies and comparative research as well (Mkandawire, 1998; deGrassi, 2008; Theobad, 1982; Aidoo and DeMarco, 2009). The conventional thinking is that African states are the most characterized by neopatrimonial rule (Sandbrook, and Oelbaum 1999, Joseph, 1998, Lindberg 2003). This assertion does not presuppose that neopatrimonial practice is limited to Africa. Indeed, it would be a flaw to draw such conclusion simply because neopatrimonialism is not limited to Africa; it is a global phenomenon (Theobad, 1982; Mkandawire, 1998; Erdmann and Angel, 2007). What is missing in the literature is that the application and manifestation of neopatrimonialism differ from continent to continent and perhaps from country to country.

Neopatrimonial thesis, the focus of this investigation, though does not rise above any analytical variety; however, it intersects various levels of explanations to a greater extent than other presumptions. Neopatrimonial thesis is therefore flexible and that theoretical flexibility is not a liability particularly when dealing with phenomenon so erratic and complex. Nonetheless, the flexibility of the thesis so attractive may turn to weaken the strength of the presumption if overstretched. Indeed, neopatrimonial thesis is probably less likely to producing testable hypotheses than any of its contesting presumptions. Unlike other theories, neopatrimonialism is capable of sustaining any theoretical breadth simply because it is not used as an explanation of political phenomenon however; basically, it depicts the nature of the African state. And that makes its application in the description of a varied political phenomenon and outcomes very easy.

Furthermore, neopatrimonialism has been used both as theory and concept by several scholars (Lindberg, 2003; Gyimah-Boadi, 2001; Aidoo and DeMarco 2009). With regard to neopatrimonialism as a theory, scholars usually see it as being responsible for economic policy failures in Africa in the 1980s during which most African states pursued Western designed economic development strategies (e.g. Structural Adjustment Programme, PAMSCAD etc.) (Hayden 1985, Gyimah-Boadi, 2001). It has also been associated with informalization of politics, retraditionalization of society as well as a drive for disorders (political instrumentalization or disorders) (Chabal and Daloz, 1999). As a concept, neopatrimonialism has extensively been conceptualized to cover, the nature of African state including; level of authority, power politics, political legitimacy, elections, corruption, nepotism, paternalism, cronyism, privatization and presidentialism just to mention few of the contemporary rubric of neopatrimonial concept.

In this paper, I focus mainly on neopatrimonialism as a concept and this may detain us for a while. The most recent rubric of 'neopatrimonialism includes a broad range of labels such as transfers neopatrimonialism and transformational neopatrimonialism. See Table 1.0. below for the conceptualization of neopatrimonial transfers and transformational.

*Figure 1.0. The Multi-Dimensional Framework of Neopatrimonial Logic*

| NEOPATRIMONIAL TRANSFERS (A)   | NEOPATRIMONIAL TRANSFORMATION (B)   |
|--|---|
| Prototype 1: Big men Syndrome<br>Country: Ghana, Togo, Tanzania, Senegal             | Prototype 1: Relatively Small Selectorates<br><br>Country: Rwanda, South Africa |
| Prototype 2: Populist Politics<br>Country: Ghana, La Cote D'Ivoire, Kenya, Zimbabwe, | Prototype 2:<br>Relatively Large Selectorates<br>Country: Ghana, Nigeria        |
| Prototype 3: Programmatic Appeal<br>Country: Ghana, Mauritius, Botswana              |   |

Electores

Selectorates

Source: Author's 2013

Table 1.0 above indicates two broad conceptual frameworks of neopatrimonialism. The transfers' neopatrimonial logic comprises of three prototypes namely; the Big men Syndrome (BS), the Populist Politics (PP) and the Programmatic Appeal (PA). The Transformational neopatrimonial logic also consists of two types namely 'Relatively Small Selectorates and Relatively Large Selectorates.

This transfer's neopatrimonialism type is prevalent in Ghana to the extent that it has stimulated heated argument in respect of which is the most dominant in Ghanaian body polity. While Keefer and World Bank (2006) describe Ghana's political system as being characterized by "pure neopatrimonialism," Booth and Gyimah-Boadi (2005) contend that Ghana is characterized by populist politics, others such as Nugent et al (2009) argue that Ghana's politics is the big men type, whereas, Lindberg and Morrison (2008) claim, Ghana is gradually embracing programmatic appeal. Interestingly, Whitefield, in a presentation made at the conference organized by Danish International Institute of Democracy (DIID) 2011, emphasizes that Ghana's is a competitive clientelism. But for Aidoo (2008), there is an alternation of neopatrimonial politics. To him politicians promise programmatic when out of power, because they are not obliged to implement it, however, when in power they turn to pursue populist, after all, they have access to the means and the resources.

Meanwhile, with the Big men Syndrome, the political elite or leader is elected through mass adult suffrage and he /she is seen as a patron or transfer pump to distribute incentives, social benefits, favours in an exchange for political legitimacy. The political elite or leader establishes what Richard Sandbrook called 'patron-client network.' In this case, the sustainability of political legitimacy depends to a large extent on the continuity of this patron-client network relationship. For the patron to be able to entrench neopatrimonial rule requires his or her ability to maintain frequent supply of neopatrimonial incentives- favours, money, roofing sheets, jobs and contracts kickbacks etc. however, as Chabal and Daloz (1999) put it, a neopatrimonial regime which exhausts resources turn to face institutional crisis, in that, when there is no longer funds to distribute, the next option is 'disorders. An informant interviewed confirmed the scenario by saying, : when politicians are 'broke' they often overlook some illicit, disorders and resort to pejorative activities such as ethnic mobilization or clashes and often endorse and normalize illegal activities such as 'garamsay' operations etc. " The informant cited classic Ghanaian example to be "where some supporters of the ruling National Democratic Congress party seized public toilets at Ashiaman, a suburb of Tema in the Greater Accra Region and also toll booths on the principal routs or highways within the country." As shown in Table 1.0., Ghana is characterized by Big men Syndrome (see van de Walle, 2002, Lindberg, 2003). This paper will address other practical manifestation of big men syndrome in the course of the discussion.

Furthermore, with the populist appeal, the political elite deliberately, design a policy and programme be it economic or social in outlook with the intension to canvas for or mobilize political supports. Usually, such policy, project or programme is tailored to the particular need of the people within a particular geographic coverage. Such policy, project or programme is purposive one and it is normally designed to satisfy ethnic, religious or regional consideration. Here about 69.0% of Ghanaians interviewed agreed that typical examples of such populist policies include Rawlings and the NDC's Rural Electrification project executed in the mid 1990s, Kufour and the NPP's rice importation policy in 2004 as well as Mills and the NDC's policy which sought to impose heavy tariff on rice importation. This paper discusses further other manifestation of populist politics.

In the mean time, programmatic appeal concerns with national programme usually meant to alleviate particular problem affecting the general populace or citizenry. Such programme is considered vital and so, may serve as a drive to induce the citizens to vote in a particular pattern. In other words, although, such programme is not particularly designed to attract the electorates' votes however, in the end, it seems to be the ultimate goal. The

majority about 75.0% of the Ghanaians interviewed confirmed for instance, that Rawlings and the NDC regime's programme of Free Compulsory Universal Basic Education (FCUBE), Kufour and the NPP government's programmes such as; National Health Insurance Scheme, School Feeding and Capitation Grants and National Youth Employment Programme; and then, Mills and the NDC administration's programme involving granting of subsidy on local rice production to specific local rice farmers and distribution of free school uniforms are form of programmatic appeal. This paper will further indicate how programmatic appeals contribute to entrench neopatrimonial exigencies in Ghanaian body politics.

With the transformational neopatrimonial logic, it involves either a relatively small or large selectorates respectively, who usually constitutes the powers that 'make' or 'unmake' the political leader. In the case of the relatively small selectorates as seen in countries such as Rwanda and Tanzania and in South Africa in the case of ANC (African Focus Vol. 6 :24), the Electoral College consists of few critical mass of potential challengers or strong political elites who is the repository of powers that decide who becomes the political leader or not. Often, these few selectorates are resolute in decision making process and that once decision is made it becomes irreversible. Indeed, responses gathered from the majority 81.1% indicated that Ghana under Rawlings and the PNDC and NDC1&2 regimes was a classic example.

In respect of the relatively large selectorates, the system allows quite a large number of the selectorates to exercise their franchise in the process of selecting political elite as a party leader. According to a political analyst interviewed at the CDD, all political parties in Ghana are characterized by transformational neopatrimonialism (i.e. they all engage relatively large selectorates). The difference between the two forms of transformational neopatrimonial logic however, is that decision- taking processes as in the former is resolute and absolute whilst the latter is relatively flexible and subjectively contingent. The two have some basic characteristic such as; they are both inherently transformational. In other words, they possess the powers to 'make' and/or 'unmake' political leaders. It is also important to note or emphasize that 'leaders' are not 'elected' but 'selected.' How do these multiple forms of neopatrimonialism pave the way for democratic practice and its stability? This paper analyzes the relationship between neopatrimonialism and democratic stability in Africa using Ghana's case study.

### **Neopatrimonialism and Democratic Stability**

In sub-Saharan Africa, neopatrimonialism has been employed extensively to explain Africa's internal politics. And as such, its focus exclusively on internal dynamics of African politics serves as the basis for externalist linking neopatrimonialism and Africa's political troubles just as the dependency theorists have linked Africa's underdevelopment with dependency syndrome (Aidoo and DeMarco, 2009). Broadly speaking, this paper outlines two ways by which neopatrimonialism could produce democratic instability.

First, neopatrimonialism may produce democratic instability when the neopatrimonial regime fails to rise and fall on its capacity to convince a critical mass of potential challengers that they are better off feeding at the government's trough than searching for the keys to the silo (Aidoo and DeMarco, 2009). In other words, if the regime fails to satisfy the critical mass or, if circumstances change such that the regime is unable to support the critical mass, political instability is likely to happen. Most authors do, however, claim that the short-term logic of neopatrimonialism leads to long-term instability, first by undermining economic growth and secondly by preventing the democratization of state institutions. These two assumptions are modifications of political economy explanations which are logically sound but difficult to verify empirically.

Second, neopatrimonial leaders manipulate their public office for private gain, promote rent-seeking in the form of outright theft, kickbacks, and straddling, that is, public officials using public office to secure employment or other assets in the private sector (Aidoo

and DeMarco, 2009). Though personal greed fuels part of officials' pilfering of state coffers, neopatrimonial leaders are keen on divvying up the national cake amongst current and potential supporters.

Political power in neopatrimonial regimes flows through the informal institutions of patron-client networks and therefore delegitimizes the formal institutions of government (Sandbrook and Oelbaum 1997). This erosion of the rational-legal bureaucracy may ultimately undermine political stability. Van de Walle writes, "Having too long undermined state capacity for political reasons, at some point the bureaucracy no longer performs at all, order breaks down, and leaders find it increasingly hard to manage the inter-elite accommodation processes that are at the core of political instability" (van de Walle 2001:185).

Many accounts paint neopatrimonialism as political dysfunction, a system which can survive only by cannibalizing itself (Aidoo and DeMarco 2009). And hence the social disorders, economic crisis or institutional decay created by this system spiral beyond the control of the political leader. That notwithstanding; however, neopatrimonial regimes are not necessarily doomed to political instability. It is a strategy among many for political legitimacy. Leaders would not employ it if they did not believe that it had at least a chance of working (implying that they are rational actors). Admittedly, it has failed miserably; however, it has paid huge dividends which have been attested to by a number of longstanding neopatrimonial regimes. For instance, Mkandawire (1998) points out that patron-client network actually played a role in the state-led development of many Asian countries. Besides, Felix Houphouet-Boigny, Daniel Arap-Moi, and Paul Biya employed neopatrimonialism to their advantage. Lindberg's study shows that politicians in Ghana strategically employed neopatrimonial networks. Using cabinet size as a proxy variable for the extent of the patronage network, his analysis reveals that increasing cabinet size by one ministry reduces the likelihood of political instability by a factor greater than a percentage increase in GDP (Lindberg 2003). The use of patronage networks helps us reconcile the variations in the direct access to state resources and a larger quantity of resources that would be afforded to political elites. Patronage is therefore used as a glue to hold the elite to the regime.

## **Conclusion**

This paper concludes that the nature of the state and its politics usually contribute to shaping the understanding of whether or not a country's democracy will be sustained. And that, although Ghana has more or less "perfected" her electoral democracy; however, neopatrimonialism is not only pervasive but also, sturdily holding sway the democratization of state institutions and its politics, and thereby, rendering the relative democratic gains merely cosmetic in outlook. Again, it concludes that, because neopatrimonialism combines informal rule with an outward commitment to formal bureaucratic and legal standards, corruption is intrinsic.

Indeed, the toleration of corruption by subordinates may be one of the rewards that a leader can bestow. At the same time, neopatrimonialism (in general) and neopatrimonial corruption (in particular) are generally corrosive of political institutionalization, since they suggest the primacy of "connections" rather than the formal structures of law, constitutionalism, and bureaucratic procedure. Neopatrimonialism may therefore have both exclusionary and inclusionary components. Neopatrimonial political management may be exclusive, insofar as its benefits may be unevenly distributed in favor of individuals from certain class, regional, ethnic/religious, or kinship back-grounds. Those lacking "connections" find themselves unable to obtain access to state resources or influence state policy. Conversely, neopatrimonial networks may also be distributed widely, bringing very different critical mass in constituencies and different social elites into an overarching pyramid of patron-client relations.

The extent to which neopatrimonialism is one or the other depends on a variety of factors- the nature of key political constituencies, the level of resources available to attract new clients, the existence of non-neopatrimonial alternatives, and the costs of nonparticipation as well as specific historical contexts.

In all cases, however, neopatrimonialism spurs rivalry and unhealthy competition among clients, as each competes keenly for scarce material resources and the patron's "ear." Official lines of responsibility are hence overwritten by patronage and clientelism; the boundaries of public role and private interest are unclear, with public office representing an important mechanism of private rent-seeking; state resources (and the state's ability to shape resource flows) are used to lubricate patron-client networks. At the same time, the state's ability to extract resources and regulate behaviors creates conditions under which the supply of, and access to, scarce goods can be manipulated, the fundamental foundation of the power of patronage.

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# SEARCHING FOR A SAFE PLACE ON THE EARTH. EUROPE IN SELECTED STATISTICS OF NATURAL DISASTERS IN 21<sup>ST</sup> CENTURY

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## Abstract

The article discusses the issue of placing Europe in various international statistical analyses of natural disasters in the 21<sup>st</sup> century. The analysis includes the subject of the relative safety (or danger) of inhabiting this region (compared with other continents) of the world for the occurrence of natural disasters. According to a variety of statistical sources for the researched period the Old Continent seemed a relatively safe area, free of the most destructive disasters. This was reflected in the relatively low percentages of human losses and material ones in Europe. The study benefits by a number of sources, but mainly was based on “Annual Disaster Statistical Review. The Number and Trends” published by the Centre for Research on the Epidemiology of Disasters in Brussels.

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**Keywords:** Natural disasters, statistics of disasters, Europe

## Introduction:

The primary objective of the study is to compare Europe with other continents in various combinations incorporating the most destructive effects of natural disasters. The analysis enables formulation of assessments as to the participation of Europe in various rankings of disasters on a global scale. In this way it is possible to answer the question about the relative “safety” or “danger” (in terms of natural disasters) of living on the Old Continent. The authors have adopted the idea that this area is one of the safest locations in the world in the 21<sup>st</sup> century.

## Sources

The study uses multiple sources of evidence. The primary one was the “Annual Disaster Statistical Review. The Number and Trends” (the ADSR) published by researchers of the Centre for Research on the Epidemiology of Disasters (CRED) at the Institute of Health and Society (IRSS) at the Université Catholique de Louvain in Brussels<sup>64</sup>. Publishing activities of the Centre have dated back to the early 1970s. An important turning point took place in May 2007, when CRED began to issue an annual edition – ADSR (made also available on-line). The first release was based on data for 2006, and the last so far published, on data from 2011<sup>65</sup>. Therefore, and in view of the consistent test methods, definitional order and, in consequence facilitated ability to track trends in the statistics of accidents, years 2006-2011 marked a time frame in this study. In some cases however it was necessary to extend the time frame from the beginning of the third millennium.

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<sup>64</sup> CRED was established in 1973 achieving in seven years the status of the partner of World Health Organization (WHO) and other organizations (e.g. Red Cross). See more: [www.cred.be/history](http://www.cred.be/history).

<sup>65</sup> The article was finished on August 11<sup>th</sup> 2013.

Aside from the six ADSR reports other statistical studies were also valuable. In particular, reports (between 2006-2011) prepared by the Office of Foreign Disaster Assistance (OFDA), formed in 1964 and operating under the United States Agency for International Development (USAID). The reports prepared by USAID/OFDA and ADSR are based largely on a similar source material but the supplier is American institution<sup>66</sup>. The studies of American government organization focused primarily on a US government spending on humanitarian aid, but also contained a register of the disasters as for the world and the various continents. Although basing on similar data, reports from Brussels and Washington use them in a different way, emphasizing slightly different aspects. ADSR, as a scientific publication, devotes more space on statistical methods, the subtleties of the definition of disasters, various comparisons. On the other hand in USAID/OFDA reports, in addition to the characteristics listed above, a reader can find presentations of the problems of residents of areas affected by disasters and daily effects of the shortages. The works of USAID/OFDA are rich in numerous illustrations documenting the practical manifestations of disasters and ways of eliminating their effects. It should not be a surprise highlighting the United States and the role of this state in many humanitarian operations. Among other things, for this reason, priority studies on which we based while concluding statement were CRED works.

Since 1988 (with the sponsorship of the USAID/OFDA) CRED has maintained an international disaster database (EM-DAT). EM-DAT collections include more than 19 thousand disasters of all kinds, dating from 1900, drawing on data from UN agencies, non-governmental organizations, insurance companies, research institutes and press agencies. Given the universal nature of the data and the requirement of the lack of political influence on the creation the founders gave priority to the statistics of UN, then USAID/OFDA, the government and the coming of the International Federation of Red Cross and Red Crescent Societies<sup>67</sup>. Information from various sources have been formatted and standardized, so that the administrators of EM-DAT managed to create a number of registers regarding disasters, taking into account a variety of criteria. The most important were: geography, time, economic and human losses. Database is updated on a regular basis (every day), but it is made public on a quarterly basis. Its yearly summary is the ADSR.

Extensive and reliable source background, the universal nature of the data (disasters on all continents) and a clear way of presenting which facilitates its further processing determined the choice of the center of Brussels as a basis for further discussion. In addition, useful publications were also MunichRe/Geo Risks Research Department operating at the insurance group of Münchener Rückversicherungs-Gesellschaft, as well as the European Environment Agency (EEA), and – to a lesser extent – the US National Weather Service.

### Remarks on definitions and methodology

Inconsistency of definitions used in the reports on the various types of disasters required a more precise framework and consistent nomenclature to be used in a prepared analysis. The study assumed that the basic category of study subject is a “disaster”, defined as “a situation or event which overwhelms local capacity, necessitating a request to a national or international level for external assistance; an unforeseen and often sudden event that causes great damage, destruction and human suffering”<sup>68</sup>. For an event to be qualified as the disaster, at least one of the following criteria must be fulfilled:

- 10 or more people reported killed;
- 100 or more people reported affected;

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<sup>66</sup> „The data upon which this report is based are maintained through the long-term support of the US Agency for International Development’s Office of Foreign Disaster Assistance (USAID/OFDA)”. (*Annual Disaster Statistical Review 2011*, Brussels 2012, s. ii. From now on: ADSR 2011).

<sup>67</sup> Ibidem, p. 7.

<sup>68</sup> ADSR 2011, p. 7.



- declaration of a state of emergency;
- call for international assistance<sup>69</sup>.

In this study the classification of CRED (used in EM-DATA and ADSR) was followed. It distinguishes two branches of disasters: technological and natural ones. The technological disasters are among the events related to human activity, and to a lesser extent, due to the forces of nature. This group includes, for example: transport disasters, collapse of buildings, contamination arising as a result of factories failures, etc. Among the natural disasters – that were the subject of the analysis – 4 subgroups can be listed<sup>70</sup>:

- Geophysical – events related directly to the solid earth;
- Meteorological – events associated with short-term (hours, days) effects of atmospheric processes;
- Hydrological – events associated with anomalous states of water;
- Climatological – events associated with long-term (time of year, decade) actions of atmospheric processes<sup>71</sup>.

A more detailed breakdown of natural disasters is presented in **Table 1**.

*Table 1: Natural disasters in accordance with the classification of CRED*

| Natural disasters |                  |               |                     |
|-------------------|------------------|---------------|---------------------|
| Geophysical       | Meteorological   | Hydrological  | Climatological      |
| Earthquake        | Storm            | Flood         | Extreme temperature |
| Volcano           | Local Storm      | Coastal flood | Cold wave           |
| Landslide         | Tropical cyclone |               | Drought             |
| Subsidence        |                  |               | Wildfire            |

*Source: Annual Disaster Statistical Review 2011, Brussels 2012, p. 9.*

The study pursuing the objective of stating the incidence of disasters in the relations: Europe-World and Europe-other continents was realized by taking into account the number of inhabitants of particular geographical regions. So the aim of the paper is not only to compare the number of disasters occurring, the number of fatalities and casualties as a result of disasters, the scale of damage to property, but also a statement of these numbers with the factor of population. The data used based on estimates provided by UN. It should be considered that the total population figures for the period 2006-2011 underwent some fluctuations and, therefore, for simplicity, the following data from 2011 were utilized: Asia 4,2 billion (60% of the global population), Africa 1 billion (15%), Europe 0,74 billion (11%), Central and South America 0,6 billion (8,5%), North America 0,38 billion (5%), Australia and Oceania 0,037 billion (0,5%)<sup>72</sup>.

### **Natural disasters in Europe in the 21<sup>st</sup> century. General look and comparison with other regions of the world**

Trying to find a place of Europe compared with other regions in terms of the prevalence and consequences of natural disasters the statistics provided by ADSR were also used. Therefore, we studied 10 different classifications in the period 2006-2011 and basing on them, we tried to draw conclusions. **Table 2** presents a concise participation of European countries in the following rankings:

1. 10 major natural disasters in terms of the number of deaths;
2. 10 major natural disasters in terms of the number of victims (killed, injured, homeless, displaced, evacuated, requiring immediate assistance);
3. 10 major natural disasters in terms of economic damages (in billions of dollars);

<sup>69</sup> Ibidem, p. 16.

<sup>70</sup> Biological disasters are excluded from the analysis (although present in some studies of CRED).

<sup>71</sup> ADSR 2011, p. 16-17.

<sup>72</sup> Socio-economic situation in the world in 2011, GUS 2012, p. 2. See more: [stat.gov.pl/cps/rde/xbcr/gus/publ\\_opr\\_sytuacja\\_spol\\_gosp\\_na\\_swiecie\\_w\\_2011\\_r.pdf](http://stat.gov.pl/cps/rde/xbcr/gus/publ_opr_sytuacja_spol_gosp_na_swiecie_w_2011_r.pdf)

4. 10 most affected countries in the number of natural disasters occurring;
5. 10 most affected countries in the number of deaths due to natural disasters;
6. 10 most affected countries in the number of deaths as a result of natural disasters in 100 thousand people;
7. 10 most affected countries in the number of victims due to natural disasters;
8. 10 most affected countries in the number of victims due to natural disasters as a percentage of the total population;
9. 10 countries most affected by losses (billion of USD) as a result of natural disasters;
10. 10 countries most affected by losses due to natural disasters as a percentage of GDP.

Table 2: Places and share of European countries in ten basic summaries ADSR most destructive disasters and the most affected countries in the period 2006-2011

|     | 2006   | 2007                                       | 2008                           | 2009  | 2010   | 2011 |
|-----|--|--|--------------------------------|---|--|------|
| 1.  | 5. Netherlands 1000<br>6. Belgium 940<br>9. Ukraine 801                                  | X  | X                              | 9. Italy 295                                  | 2. Russia 55844                                | X    |
| 2.  | X  | X  | X                              | X   | X  | X    |
| 3.  | X  | 2. Northern Europe 9<br>4. UK 4<br>5. UK 4 | 9. Northern Europe 1,8         | 1. France, Italy, Spain 5,1<br>2. Italy 2,5   | 6. Western Europe 6,1<br>9. Central Europe 3,6 | X    |
| 4.  | 10. Romania 8  | X  | X                              | X   | 7. Russia 8                                    | X    |
| 5.  | 5. France 1393<br>6. Netherlands 1000<br>8. Belgium 940<br>9. Ukraine 803                | 2. Hungary 500                             | X                              | X   | 2. Russia 55844                                | X    |
| 6.  | 1. Belgium 9,1<br>2. Netherlands 6,1<br>5. France 2,3<br>6. Latvia 1,8<br>7. Ukraine 1,7 | 2. Hungary 5                               | X                              | X   | 2. Russia 39<br>5. Slovakia 2,3                | X    |
| 7.  | X  | X  | X                              | X   | X  | X    |
| 8.  | X  | X  | X                              | X   | X  | X    |
| 9.  | X  | 2. UK 9,6<br>5. Germany 5,5                | 5. Germany 2,7<br>9. Ukraine 1 | 3. France 3,2<br>5. Italy 2,6<br>7. Spain 1,9 | 9. France 5,7<br>10. Russia 5,7                | X    |
| 10. | 3. Lithuania 1,5   | X  | 10. Ukraine 0,7                | X   | X  | X    |

Source: Selection based on data from: ADSR 2006, Brussels 2007, p. 32-34; ADSR 2007, Brussels 2008, p. 6-9; ADSR 2008, Brussels 2009, p. 8-10; ADSR 2009, Brussels 2010, p. 12-14; ADSR 2010, Brussels 2011, p. 13-16; ADSR 2011, p. 14-17.

After analyzing **Table 2** some basic lessons can be derived. As for the period under study, 2010 was the most tragic year: 55 thousands people died in Russia as a result of extreme temperatures (from June to August 2010), floods and fires. Only the earthquake in Haiti in January 2010 caused the deaths of more people in that year. The largest number of European countries has been affected by natural disasters in 2006, also as a result of the occurrence of high temperatures. For the same reason the Hungarians suffered in 2007. Among countries with a high number of deaths in Europe Italy should also be mentioned – victims of the earthquake in 2009.

European countries were not included even once in the rankings containing the largest number of victims (categories 2, 7, 8). This is a proof that people in the other continents were under bigger threat from the impact of natural hazards. Rescue teams were also acted less effectively in those (non-European) areas. It can be assumed that indeed natural disasters occurred in Europe, but the scale of their negative impact was smaller than in other regions.

The frequency of disasters in different European countries was lower than in most Asian countries and the US<sup>73</sup>. In the years 2006-2011 only Romania and Russia were considered as the most affected countries in terms of the occurrence of disasters. It is worth noting that the size of the territory does matter. In countries with a larger surface area the risk of disaster is generally higher, although climatic zone, geological condition, and many other factors played also important roles.

In the years 2006-2011, European countries were enlisted most often in the rankings including the largest material losses. In 2007 damages were caused by hurricanes and flooding, and the countries with the greatest losses (in top 10 most affected countries) were UK and Germany. High damages were also caused by disasters in France, Germany, Italy and Russia in 2007-2010 (as a result of the cyclones Kyrill and Emma, winter storms Klaus and Xynthia, but also earthquakes and floods). Considerable material losses in Europe (among other regions) were also due to the high density of infrastructure (unlike for example desert areas). It was also easier to estimate the loss of damaged buildings or broken cars than calculate damages as result of forest fires.

Natural disasters do hit Europe, but they are not as destructive as in other regions. They usually cause material losses but do not result in huge numbers of deaths or injured.

*Table 3: Average yearly number of disasters, casualties and material losses, and the percentage of each region in these disasters in 2001-2010*

|   | Africa | Americas | Asia   | <b>Europe</b> | Oceania | Total  |
|---|--------|----------|--------|---------------|---------|--------|
| Average yearly number of disasters      | 65     | 92       | 153    | <b>58</b>     | 16      | 384    |
| Share %                                 | 16,9   | 24       | 39,8   | <b>15,1</b>   | 4,2     | 100    |
| Average yearly number of affected (mln) | 14,91  | 8,27     | 207,92 | <b>0,74</b>   | 0,12    | 231,95 |
| Share %                                 | 6,4    | 3,6      | 89,65  | <b>0,3</b>    | 0,05    | 100    |
| Average annual losses (billion of USD)  | 1,1    | 50,27    | 41,61  | <b>13,4</b>   | 2,97    | 109,35 |
| Share %                                 | 1      | 46       | 38     | <b>12,3</b>   | 2,7     | 100    |

*Source: ADSR 2011, s. 29.*

Basing on **Table 3** it was possible to compare the incidence and impact of disasters in Europe with other regions. Average, in the first decade of the 21<sup>st</sup> century, the number of disasters ravaging Europe was 58 per year, which was the only higher score than in Oceania (including Australia)<sup>74</sup>. The specification of the number of accidents, however, says little, if one disruptive event can cause the death of one man, and another one 100 thousand people. A more meaningful statement giving the image of relative safety or risk can be submitted by using the data of the number of victims (not only just deaths) as a result of disasters. In this classification 90% of the victims lived in Asia (recall that population of this continent makes up about 60% of world's population). On the other hand, 740 thousand people in Europe were suffering which meant 0,3% of the global or nearly 40 times less than the participation of its population of the globe. In the case of Oceania, it was 10 times less, and in both Americas – 4 times. Considering the material losses Europe's share of losses in the world was more important. Losses per capita on the continent caused by natural disasters in the first decade of the 21<sup>st</sup> century were average 18 USD. There were significantly higher in the Americas (mainly in the North) – 50 and Oceania – 80; smaller in Asia – 10 and Africa 6.

<sup>73</sup> Detailed statistical data for the United States (including individual states) can be found on webpage of the National Weather Service Office of Climate, Water and Weather Services:

[www.nws.noaa.gov/om/hazstats.shtml](http://www.nws.noaa.gov/om/hazstats.shtml)

<sup>74</sup> See more: *Office of US Foreign Disaster Assistance. Annual Report for Fiscal Year 2011*, p. 130-132.

Table 4: Average number of disasters, casualties and material losses, and the percentage of each region in these disasters in 2011

|                                  | Africa | Americas | Asia   | Europe        | Oceania | Total  |
|----------------------------------|--------|----------|--------|---------------|---------|--------|
| Number of disasters              | 64     | 93       | 146    | <b>18</b>     | 11      | 332    |
| Share %                          | 19,3   | 28       | 44     | <b>5,4</b>    | 3,3     | 100    |
| Number of affected (in million)  | 22,55  | 10,6     | 211,16 | <b>0,04</b>   | 0,31    | 244,65 |
| Share %                          | 9,2    | 4,3      | 86,3   | <b>0,0002</b> | 0,1     | 100    |
| Material losses (billion of USD) | 1,02   | 67,32    | 276,03 | <b>1,19</b>   | 20,56   | 366,12 |
| Share %                          | 0,3    | 18,4     | 75,4   | <b>0,3</b>    | 5,6     | 100    |

Source: Based on: ADSR 2011, s. 29. See also: Office of US Foreign Disaster Assistance. Annual Report for Fiscal Year 2011, p. 11-13.

A special year in terms of safety on the Old Continent was 2011, where there were only 18 registered natural disasters, so 3 times less than the average in the first decade of the 21<sup>st</sup> century. Only in Australia and Oceania there were fewer accidents, but statistical inhabitant of the area was more exposed to the elements (shown in percent share of those disasters compared with other regions). Even more fortunate was the year 2011 in terms of the number of victims in the Old Continent – recorded their “only” 40 thousand which was the lowest score of all regions (the number of victims in Asia at that time reached more than 200 million). Even the losses of property in 2011 were small – just over 1 billion USD – only losses in Africa were valued slightly lower, but one should take into consideration a huge discrepancy in terms of infrastructure in these continents.

The data gathered from the ADSR were also partly compared with the combinations of other institutions. Only six times did Europe (including incorporated widely understood region of Northern Europe – see **Table 5**) figure in ranking of 50 most destructive disasters prepared by experts of the insurance holding MunichRe/Geo. As far as the number of disasters is concerned, the Old Continent was far ahead of Asia and North America, but the occurrence of disruptive events in Africa, South America and Australia was similar. There were the lowest number of deaths in 2011 in Europe, and the material losses were approximately 10-fold lower than in the Pacific, about 20-fold lower than in North America and 60 times lower than in Asia. It should be noted that the data from Africa and South America were not released. **Table 5** confirms the greater security of Europe in 2011 than in other continents.

Table 5: 50 major disasters in 2011 in different continents (in the number of accidents, fatalities and property damages)

|               | States/regions covered by disasters   | Number of disasters | Number of deaths | Material losses (bln USD) |
|---------------|---|---------------------|------------------|---------------------------|
| <b>Europe</b> | <b>Northern Europe, Denmark, France, Spain, Italy</b>   | <b>6</b>            | <b>25</b>        | <b>3,75</b>               |
| Asia          | Saudi Arabia, China, Philippines, India, Japan, Cambodia, North Korea, Pakistan, Rep. Korea, Sri Lanka, Thailand, Turkey, Vietnam | 17                  | 20.305           | 227                       |
| Africa        | Angola, Djibouti, Ethiopia, Kenya, Madagascar, Nigeria, Somalia   | 4                   | More than 50 000 | No full data              |
| North America | Canada, Mexico, United States, Caribbean states   | 13                  | 812              | 61                        |
| South America | Argentina, Bolivia, Brazil, Chile, Colombia, Uruguay  | 5                   | 1269             | No full data              |
| Australia     | Australia, New Zealand  | 5                   | 203              | 33                        |

Source: Based on: Münchener Rückversicherungs-Gesellschaft: 50 major events in 2011.

[www.munichre.com/app\\_pages/www/@res/pdf/media\\_relations/press\\_releases/2012/2012\\_01\\_04\\_munich\\_re\\_natural-catastrophes-2011\\_en.pdf](http://www.munichre.com/app_pages/www/@res/pdf/media_relations/press_releases/2012/2012_01_04_munich_re_natural-catastrophes-2011_en.pdf)

In this context it is not surprising that in the statement of the safest places in the world – taking into account the category of susceptibility to the effects of natural disasters – Estonia leads the way<sup>75</sup>. World Bank report of 2005 states that among the 15 most vulnerable

<sup>75</sup> *The Safest Countries in the World*, „the Slate”, 24.03.2011, [www.slate.com/articles/news\\_and\\_politics/explainer/2011/03/the\\_safest\\_countries\\_in\\_the\\_world.html](http://www.slate.com/articles/news_and_politics/explainer/2011/03/the_safest_countries_in_the_world.html)

countries in the world none is placed in Europe. Rank opened Taiwan, the following countries were Costa Rica, Vanuatu, Philippines and Guatemala<sup>76</sup>.

### **Conclusion:**

The analysis confirmed the initial assumptions about the relative security of Europe. However, in the period under research Europe was of course not an area free of natural disasters, but their nature and scale does not result in such dramatic effects as in other parts of the world. Two aspects should draw attention. Despite 15% share in the number of disasters for the years 2001 to 2010, and therefore comparable with Africa (16,9%), the average annual number of disaster victims for the Old Continent was only 0,74 million, while in the case of Africa, it was up to 20 times more. With high probability it can be assumed that it was the result of both a lower intensity (the impact) of natural disasters, as well as better prevention system against their effects in a richer region. The latter factor caused, however, that an even smaller adverse weather phenomena entailed relatively greater loss of property (mainly infrastructure).

It is worth to underline that the study of trends of natural disasters has only some statistical values. It facilitates to point the most vulnerable and safest areas to live. Higher criticism and skepticism sets in, however, the weather factor would be included which is characterized by considerable volatility and occasional (not cyclical) emergence of adverse weather phenomena. Therefore, the projections of their occurrence should take into account not only historical data, but also the random elements. Availability of reliable and comparable statistics for the issue under researched decisively influenced the choice of turning points from 2006 to 2011. In another case, the analysis could include a wider range of time, which would have accounted for the occurrence of unusual weather phenomena.

Examination of the trends of natural disasters must therefore be based on a large dose of caution and confidence especially in the context of a possible repetition of the occurrence of adverse weather events (or lack thereof) in subsequent years. It should also be noted that – depending on the assumed horizon of the study – a single or very rare events can significantly affect the statistical illustration of the object of study, suggesting that the area is particularly often plagued by natural disasters. In fact, the event can be highly distinctive and extraordinary.

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<sup>76</sup> *Natural Disaster Hotspots. A Global Risks Analysis*, Washington 2005, p. 4.

# ISLAMIC COSMOGONY ACCORDING TO SŪRAH AL-ḤASHR VERSE 24: “HE IS ALLĀH, THE CREATOR, THE ORIGINATOR, THE FASHIONER OF FORMS”

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## Abstract

Sūrah al-Ḥashr verse 24 states: “He is Allāh, the Creator, the Originator, the Fashioner of Forms.” The corresponding canonical terms in Arabic are *Al-Khāliq*, *Al-Bārī*, and *Al-Muṣawwir* although their meanings are quite richer than the English transliterations suggest. By taking up those meanings this paper offers insights into Islam’s theory of the universe’s origin and development with implications for both Islamic theology and its philosophy of science. It enquires into the meaning of this *āyah* in light of *tafsir* (exegesis) on the three divine names in order to establish a theological basis for Islamic cosmogony. It presents *Al-Khāliq* as the creative power of the divine intellect, *Al-Bārī* as the creative agency of the divine will, and *Al-Muṣawwir* as the creative action of the divine wisdom. This contextualization is further developed by identifying *Al-Khāliq* with the *causa prima* of creation, the supposed *creatio ex nihilo* (out of nothing), and both *Al-Bārī* and *Al-Muṣawwir* as the *causa secunda* of a *creatio ex materia sed semper noviter* (out of matter though always anew). Conclusions reached will assert that Sūrah al-Ḥashr verse 24 is Islam’s own “theological statement” regarding the world’s origin and continued creation. It presents creation as both an event and a process, and unfolding in time, the basis and quintessence of Islam’s unique cosmogony.

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**Keywords:** Islamic cosmogony, Creator, Originator, Fashioner of Forms

## Introduction:

The statement that “God is the Creator of all things” contributes nothing new to the human understanding of the nature of God.<sup>77</sup> It says little about what divine creation actually means or how the universe came into being. Moreover, it is simply inadequate to found a comprehensive cosmogony on such a statement of little value. To venture beyond this declaration is, however, a precarious theological endeavour, nonetheless, the purpose of this discussion. Written not for the general public, but only for experts in the field of theological inquiry, or scholars of mutual interest in such a topic, it enquires into how the world may have been created in light of a multifaceted qur’ānic statement: “He is Allāh, the Creator, the Originator, the Fashioner of Forms.”<sup>78</sup> By considering the meaning of this *āyah* and the nexus of relationships among the three specified terms—“The Creator” (*Al-Khāliq*), “The Originator” (*Al-Bārī*), and “The Fashioner of Forms” (*Al-Muṣawwir*)—a more profound understanding regarding the nature of God as Creator, the origin of the universe, and the world’s mode of continuous re-creation, may be ascertained.

This inquiry aims at elucidating Islam’s unique cosmogony by investigating the identity and interconnectedness of each divine name. It presents the creative capacities of *Al-Khāliq* as

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<sup>77</sup> Q.13:16. English transliterations of Qur’ānic verses, unless stated otherwise, are made by C. E. Longhurst and taken from the translation of the Qur’ān by M. Marmaduke Pickthall, *The Meaning of the Glorious Quran*. Hyderabad-Deccan: Government Central Press, 1938.

<sup>78</sup> Sūrah al-Ḥashr, verse 24; henceforth referred to as Q.59:24.

divine knowledge, *Al-Bārī*’ as divine will; and *Al-Muṣawwir* as divine wisdom. The first designation will distinguish divine knowledge as the impetus of the creative event and the basis for the idea of creation. The second will designate God as the evolver of that idea; and the third will indicate a kind of hypostasis of God through which creation is simultaneously complete yet recurring continuously in time.<sup>79</sup> By taking up the idea of a threefold distinction in Islam’s Creator-God the respective operations of these three individual yet intimately connected names will establish a reasonable Islamic cosmogony sympathetic to contemporary scientific theories regarding theistic evolution. Utmost respect towards the Islamic principle of *tawḥīd al-asma’ wa’l-sifāt* (belief in the oneness of the names and the attributes of God) will be given throughout this discussion.

### Islam’s Tripartite Cosmogony

In the Islamic tradition creation is appropriated to God’s oneness and unity despite diverse meanings regarding the divine names *Al-Khāliq*, *Al-Bārī*’ and *Al-Muṣawwir*. To articulate the difference between the divine names, the word “*khalq*” (creation) generally signifies the divine intellect creating; while the word “*bar*” (invention) means God’s act of willing things from non-existence into existence,<sup>80</sup> and the word “*tasweer*” (shaping/imaging) takes on the significance of the divine wisdom giving such material a certain shape or form.<sup>81</sup> From these Arabic roots derive the three names designating God in His creative aptitudes as “The Creator,” “The Originator,” and “The Fashioner of Forms.” Al-Ghazālī states that God “is creator [*khāliq*] inasmuch as He is the planner [*muqaddir*], producer [*bārī*] inasmuch as

He initiates existence, and fashioner [*muṣawwir*] inasmuch as He arranges the forms of the things invented in the finest way.”<sup>82</sup> Applying these terms and their corresponding names to cosmogonical issues in Islam affords an understanding of God as one who creates though he is uncreated; that in God resides the act whereby the entire world is brought forth into existence; that God is intimately involved in his creative works, in other words, because creation is essentially unifying in Islam according to the principle of “*waḥdat al-wujūd*,” it entails a certain immersion of the Creator in his work.<sup>83</sup>

Various Qur’ānic passages postulate the creative act(s) of God as accounting for the origin of all things though not ending at those temporal moments of creation.<sup>84</sup> Ibn Abbas upholds this claim in his *tafsir* on Q.59:24: “(He is Allah, the Creator) of sperms in the loins of fathers, (the Shaper out of naught) Who transforms them from one state to another, (the Fashioner) of what is in the wombs.”<sup>85</sup> The *tafsir* of Ibn Kathīr explains God’s self-description as “*Al-Khāliq* – He who brings into existence anything He wills; *Al-Bārī* – He who invents what He brings into existence, and *Al-Muṣawwir* – He who measures and proportions in the shape and form He decides.”<sup>86</sup> Salman al-Oadah mentions that when the

<sup>79</sup> By “hypostasis” I mean the underlying substance, that is, the fundamental or substantive reality supporting the subject which is, in this case, the existence of God.

<sup>80</sup> See footnote 28.

<sup>81</sup> The verb *bar* can also mean produce, make, generate, in the wider sense, but it is used in the Qur’ān exclusively of the divine activity. In the Qur’ān it is sometimes associated with the presence of material, out of which God produces something.

<sup>82</sup> Al-Ghazālī, *The Ninety-nine Beautiful Names of God*, trans., David B. Burrell and Nazih Daher (Cambridge: The Islamic Texts Society, 1992), 68.

<sup>83</sup> Also called *tawḥīd al-wujūdī* or simply *tawḥīd*. See the works of Ibn Arabi and Ibn Sabin, or S.H. Nasr’s *Islamic Philosophy from Its Origin to the Present* (New York: State University of New York Press, 2006), 156. For Qur’ānic passages attesting to the uncreated nature of God see Q.6:102; Q.13:16; Q.15:87; Q.39:62; Q.45:13; Q.2:117; 6:101. For those citing God’s involvement in creation see Q.30:27; 79:27-33; 80:17-42.

<sup>84</sup> *Ibid.*

<sup>85</sup> *Tafsir Ibn Abbas Qs Al Hashr 1-24*. Online: <http://www.study-quran.com/2013/02/tafsir-ibn-abbas-qs-al-hashr-1-24.html> (accessed 22/08/2013).

<sup>86</sup> Ibn Kathīr, *Abridged Tafsir Ibn Kathir Volumes 1-10*. Online: <http://www.islamwb.com/books/Tafsir%20Ibn%20Kathir%2010%20Volumes.pdf> (28/12/3012).

three names are revealed together each one conveys a specific meaning: “The attribute of creation refers specifically to Allah’s determination of what He creates, so it comes first. The name al-Bārī’ (the maker) refers to the creative act of bringing about what Allah wills to create. Finally the name al-Musawwir (the Fashioner) refers to giving each created thing its particular form.”<sup>87</sup> Al-Oadah underscores the progressive nature of creation in light this *āyah* and the primacy of *Al-Khāliq*.

Other commentaries on Q.59:24 describe a trans-temporal aspect of creation which is supernatural in manner of being (*quoad essentiam*), and natural in manner of expression and manifestation (*quoad modum*).<sup>88</sup> Gerhard Böwering, in his article “Names and Images of God in the Qur’ān” explains the relationship in reference to Q.59:24: “God brings forth and maintains creation, He holds sway over it and renews it.”<sup>89</sup> The first could be ascribable to *Al-Khāliq* as knowledge, “bringing forth,” and the second to *Al-Bārī’* and *Al-Muṣawwir* as “renewing” and “decorating.”<sup>90</sup> Islam could therefore permit a conception of creation that is both explicitly revealed and implicitly natural, and this distinction would be best understood through explicating the meanings of the three divine names in Q.59:24, holding each, as Islam does, to convey a precise significance revealing the creative powers and modal acts of the one God.

Islam recognizes that everything in existence outside of God is, in its entirety, the result of God, and a unified and ordered whole. An Islamic cosmogony would therefore assimilate the temporal and trans-temporal orders of creation and present the universe as, firstly, the realization of the divine ideas outside of time through what may be considered the knowledge of *Al-Khāliq*, and also in time by the creative will and wisdom of *Al-Bārī’* and *Al-Muṣawwir* respectively.<sup>91</sup> Al-Ghazālī states: “[God’s] knowledge of a thing is the cause of that thing’s existence.”<sup>92</sup> Since the divine ideas are God’s thoughts, it would follow that they are eternal and therefore unchangeable since they are identical with the divine knowledge.<sup>93</sup> This would place *Al-Khāliq*’s creative act in the category of divine essence which means that divine knowledge would also “resolve to the essence [of God]” as Al-Ghazālī indicates: “For [God] knows His essence by His Essence; and knowledge, knower, and thing known are one.”<sup>94</sup> In other words it exists without beginning and end, therefore, without passage from potency to act.<sup>95</sup> This is why it might be appropriate to identify *Al-Khāliq* as the divine knowledge and origin of all things, and his creative act as the *causa prima* of creation.

From the viewpoint of the divine ideas being realized in time, those ideas would be a projections of the divine knowledge outside of God in actions which would have for their objects finite replicas of the divine perfections from which they derive. This would identify the works of both *Al-Bārī’*—“He who invents what He brings into existence” and *Al-*

<sup>87</sup> Salman al-Oadah, “Al-Khāliq, Al-Bārī’, al-Musawwir – Allah is Creator, Maker & Fashioner,” online: <http://en.islamtoday.net/artshow-429-3739.htm> (accessed 05/10/2013).

<sup>88</sup> Cf. Al-Ghazālī, op. cit., 159-162.

<sup>89</sup> Gerhard Böwering, “Names and Images of God in the Qur’ān,” online: [iph.ras.ru/uplfile/smironov/ishraq/1/bowering.pdf](http://iph.ras.ru/uplfile/smironov/ishraq/1/bowering.pdf) (accessed 26/08/2013). Böwering asserts, albeit allegorically, that rather than nothingness or chaos preceding creation: “[...] in the Qur’ānic image, God unstitched the heavens and the earth that were a mass all sewn-up, and fashioned every living thing of water (21:30). He set in the earth firm mountains, lest it would shake with them (21:31) and set up the heaven as “a roof well-protected” (21:32). He created the night and the day, and the sun and the moon, “each swimming in a sky” (21:33).” Ibid. Böwering cites T. O’Shaughnessy, *Creation and the teaching of the Qur’ān* (Rome, 1985).

<sup>90</sup> Cf. Ibn Kathīr, op. cit.

<sup>91</sup> Cf. Q.21:30; Q.23:14; Q.6:96; Q.55:3-9; Q.21:33, 41:37; Q.10:5.

<sup>92</sup> Al-Ghazālī, op. cit., 164.

<sup>93</sup> In the Qur’ān the meaning of *Al-Khāliq* is intimately associated with God’s knowledge which identifies the Islamic God as one who creates according to his divine ideas. Cf. Q.6:96; 65:12.

<sup>94</sup> Al-Ghazālī, op. cit., 164, 163-5.

<sup>95</sup> Al-Ghazālī, op. cit., 164, 163-5.



*Muṣawwir*—“He who measures and proportions in the shape and form He decides” as perfect and mutable according to the divine will in time.<sup>96</sup>

### ***Al-Khāliq* as Divine Intellect**

In distinguishing between the divine attributes considered essential (*as-sifah an-nafsiyyah*), intrinsic to the divine essence, and those of action (*as-sifaat al-ma'nawiyyah*), extraneous to the divine essence, *Al-Khāliq* may be beyond a mere attribute of action. Al-Tamimi asserts: “it is only the Creator whose essence is essential”<sup>97</sup> therefore he associates this term with the divine essence.<sup>98</sup> If in Islam creation were to come into existence out of nothing other than the divine intellect,<sup>99</sup> it would seem reasonable to maintain that God’s primary creative power would be an eternal knowing and, consequently, an essential attribute of the divinity.<sup>100</sup> In that case *Al-Khāliq* and the divine knowledge would be hypostatically the same, connected through the creative work of the divine intellect in its own creative sphere *ad intra*.<sup>101</sup> This position is upheld by the “Brethren of Purity” (*akhvān al-sfā*) in their argument that the first intention of the Creator cannot lie outside of his own self.<sup>102</sup> Titus Burckhardt makes a similar point: “The world is essentially the manifestation of God to Himself,” a belief which establishes the idea of creation in relation to divine knowledge.<sup>103</sup> This self-manifestation denotes the essence of a God whose existence is his self-knowledge. It also specifies divine creation as an expression of that self-knowledge, therefore, it would be fitting to consider *Al-Khāliq* as the God who creates the universe *ex nihilo*, however not out of nothing properly speaking, implying out of no existence, but out of the source of his own ideas.<sup>104</sup> Given that no compelling proof from reason exists for the impossibility of the world’s timeless creation, and the Qur’ān presents little or no reason to suppose that creation is from nothing, the belief that the universe is created in time and out of nothing is, therefore, purely a statement of faith.

<sup>96</sup> Ibn Kathīr, op. cit.

<sup>97</sup> Muḥammad Ibn Khalifah Al-Tamimi, *Tawḥīd of Allah’s Most Beautiful Names & Lofty Attributes: The Belief Ahl al-Sunnah wal-Jamā’ah*, trans. Abu Safwan Farid Haibatani (<http://www.islamhouse.com>, downloaded 04/08/2013), 118, note 225. Al-Tamimi identifies the name *Al-Khāliq* as part of *tawḥīd al-rubriyyah* and explains that such a name pertains to God in matters of lordship. Ibid. 61.

<sup>98</sup> It is important to note that Islamic theology makes a distinction between the attributes of God and the divine essence. In addressing the divine attributes, Islam divides these into those of essence (*as-sifah an-nafsiyyah*), and those of action (*as-sifaat al-ma'nawiyyah*). The first are identical with God’s essence. The second depend upon an external factor since they pertain to God after the act of creation has taken place, such as creator, omnipotent, giver of life, sustainer, etc. God as “Creator,” according to Al-Ghazālī, is an attribute conceived after the act of creation, therefore one of action. Cf. Al-Ghazālī, op. cit., 159-162. See also Gerhard Böwering, “God and his Attributes.” *Encyclopaedia of the Qur’ān*. General Editor: Jane Dammen McAuliffe, Georgetown University, Washington DC: Brill, 2007.

<sup>99</sup> Divine creation *ex nihilo* is only implied in the Qur’ān. Some scholars maintain that it is not necessary to uphold his belief.

<sup>100</sup> See Al-Ghazālī’s distinction between “essential divine attributes” and “attributes of action” for further explanation. Cf. Al-Ghazālī, op. cit.

<sup>101</sup> Cf. Q.36:81 “Is not He who created the heavens and the earth able to create the likes of them? Yes; and He is the Knowing Creator.”

<sup>102</sup> Cf. The *Encyclopaedia of the Brethren of Purity (Rasa’il ikhwān aṣ-ṣafā’)*. To date no complete English translation of the whole *Rasa’il* encyclopaedia exists although a variety of Arabic editions are available: Calcutta, 1812; Bombay, 1887–1889; the edition of Khayr al-Din al-Zirikli, Cairo, 1928; and the Beirut Sadir edition by Butrus Bustani in 1957 and the version set by ‘Arif Tamir in Beirut in 1995.

<sup>103</sup> Burckhardt, op. cit., 50.

<sup>104</sup> This statement acknowledges that there is a certain kind of existence out of which creation originates, whether it be divine substance (ideas), or pre-existing matter which simply receives the form given to it through God’s creative act). According to Ibn Rushd the literal meaning of creation in the Qur’ān suggests the latter. Cf. Ibn Rushd, *Kitab faṣl al-maqāl (On the Harmony of Religions and Philosophy)*, trans. George F. Hourani (London: Luzac & Co., 1961), 56-7.

### ***Al-Bārī*' as Divine Will**

Creation in Islam logically and inevitably conforms to the purpose of God's will and to the realization of God's works with their own intrinsic goodness and perfection. In other words, Islam holds that the effective cause of the world is the free will of God, a supremely and fully sovereign will, thereby all natural processes and events are fully contingent on the divine will as act.<sup>105</sup> Consequently the name *Al-Bārī*', understood as "The Originator," may be specified by God creating what he wills. It would seem reasonable to consider that this name is an attribute of essence and not action, however, such an assertion cannot be established through human reason either but only on the basis of divine revelation. It is generally held instead that the name *Al-Bārī*' is a divine attribute of action.<sup>106</sup> Given the temporal aspect of this creative power it would seem appropriately associated with action and not essence.

As Islam holds that creation is not the product of any necessity, or an act of fate or chance, there could be no such thing in Islam as a random event or something happening against the divine will. It would be fitting, therefore, to consider *Al-Bārī*' as God who stipulates with his will and conserves what is created. This act involves the unfolding or originating of a plan in conformity with the proper end of the work produced.<sup>107</sup> It also introduces an insight into the moral nature of the universe. *Al-Bārī*'s creation may therefore be considered as intermediary or completed without motion, a kind of mediate progressive creation.

The position of the name *Al-Bārī*' after *Al-Khāliq* in Q.59:24—surely no arbitrary assignment—could symbolize the second stage of creation, or a subsequent creative action implying that God's creative works are not completed by *Al-Khāliq*. They are perfect or perfected according to their own nature *in statu viae* (a temporal state) towards an ultimate perfection still to be attained.<sup>108</sup>

### ***Al-Muṣawwir* as Divine Wisdom**

Islam holds that God also creates according to his wisdom.<sup>109</sup> As divine wisdom is known through the patterns and variation in nature resulting from divine purpose it seems appropriate to ascribe this quality to *Al-Muṣawwir*. Such creative acts involve the shaping of things, sequentially and progressively, the variety and beauty witnessed in nature when regular

<sup>105</sup> Q.24:45 "Allāh creates what He wills." Q.82:8 "In whatever form He willed, He put you together."

<sup>106</sup> Shi'ism considers the divine will in its literal meaning as an attribute of action. Most Sunni theologians consider it as implying divine knowledge and thereby interpret it as an attribute of essence. Shaykh Faraz Rabbani discusses this association at length in his lecture "Allah's Names of Creating: al-Khaliq, al-Bari', and al-Musawwir," online: <http://seekershub.org/programs> (accessed 12/06/2013). Whether or not the divine name *Al-Bārī*' is an essential attributes of God (*naḥsiyyah*), insofar as it qualifies the divine essence without adding anything to it, remains a disputed question in Islam. Islamic scholar Robert Casper clarifies the meaning of this in His discussion on the distinctions between the divine essence and the divine names. Cf. Robert Casper, *Islamic Theology II Doctrines*, op. cit., 65. This question cross-examines the designation of these divine names as "attributes of action" (*as-sifaat al-ma'nawiyyah*) only. Their categorization as "essential attributes" (*as-sifah an-naḥsiyyah*) may be implied by the statement "And Allah was indeed a Creator in pre-eternity even though He had not yet created." Abdullah bin Hamid Ali, "Abu Hanifa, Salafis, al-Fiqh al-Akbar and The Truth," online: [http://www.masud.co.uk/ISLAM/ust\\_abd/fiqh\\_al\\_akbar.htm](http://www.masud.co.uk/ISLAM/ust_abd/fiqh_al_akbar.htm) (accessed 26/08/2013). Perhaps an affirmative answer may also be obtained by the claim that "[Allah] has always been) Creator by His creative-will" and "the creative-will has been an attribute since pre-eternity," although the issue of oneness of the names and the attributes of God, and distinctions among them, remains complex. It is worth noting that

<sup>107</sup> The Qur'an stipulates that the end to which this work tends is pure goodness: "He formed you and made your forms good." Q.40:64; "It is Allāh who created everything in the best of forms [...] it is He Who created and perfected all things." Q.32:7 and 87:2—thus the foundation of Islamic belief in creation as good.

<sup>108</sup> Cf. Al-Tamimi, op. cit., 32.

<sup>109</sup> Cf. Q.30:27. See also Shaykh Faraz Rabbani, op. cit.

processes come to completion in time according to their natural courses.<sup>110</sup> Unquestionably those processes coincide with divine activity *ad extra*. There should be, therefore, no speculation as to whether or not this name is an attribute of action.

The ascription of wisdom to the creative work of *Al-Muṣawwir* is demonstrable by the fact that nature possesses both regularity and purposefulness, and that it never acts unintentionally though always towards an end. *Al-Muṣawwir* is, then, the terminal action in time of a sequential process of divine creativity, or creation in motion, that is, the formation of all things living.<sup>111</sup> As all divine action *ad extra* is really identical with the divine essence, it could follow that God's creative power, in its entirety, is constituted in the work of *Al-Muṣawwir*.

### Specific Correlation Between *Al-Bārī'* and *Al-Muṣawwir*

In Islam it would seem that the objective purpose of creation, its *finis operis*, which is the revelation of the divine perfections, is perceivable in the works of both *Al-Bārī'* and *Al-Muṣawwir*. This is seen, for instance, in the creation of the human person, in cloud and mountain formation, in the seasonal cycles, in the natures of all living organisms, and even in the self-proliferation of vegetative life-forms.<sup>112</sup> Such works are interpretable as creative processes *ad extra* and *ex materia* since they are outside the divine essence and since, for example, the human person is originally created from the earth and comes to perfection through subsequent potencies, and clouds and mountains are in a temporal state cooperating in the continued creation of the world.<sup>113</sup> This is why, in Islam, God is never "done," so to speak, with his work. This statement can only be made from a temporal perspective, yet there is no time or change for one who is outside of time.

In the creative processes of both *Al-Bārī'* and *Al-Muṣawwir* the succession from prime matter to complex material organisms comprises both works of division and works of adornment. The works of division would parallel the first three days of the six day creation narrative in the Bible and the works of adornment would parallel the second three days.<sup>114</sup> In Islam the first three days seem attributable to *Al-Bārī'* as capabilities of originating and evolving, while the second, to *Al-Muṣawwir*, as aptitudes of giving form, colour, shape and tone. The first implies a division of immovable matter and the second implies the decoration of matter that is living. Through this binary process it may be held that God directs the course of events in the universe by acting through intermediaries such as secondary causes or natural processes. *Al-Bārī'* would be the one who evolves previously existent matter according to his will, and *Al-Muṣawwir* would be the designer and donor of forms and colours to the works of *Al-Bārī'*. The creative process from *Al-Bārī'* to *Al-Muṣawwir* would admit of allowing accidental change as, for example, in the case when a child grows, receives sense-impressions, and develops cognitive faculties; there is no substantial change during this

<sup>110</sup> Cf. Richard Owen, *On the Anatomy of Vertebrates* (London: Longmans, Green and Co., 1866-68). Owen proposes that species have an inherent propensity to change in ways that resulted in variety and beauty revealing creative purpose, a reality not only particular to the human species, but to all living organisms and vegetation.

<sup>111</sup> Even though the Ash'arites deny intermediary causes, as Norreddin Mahammed explains, in order to uphold the idea of divine omnipotence "[the Ash'arites] consider that matter is indivisible, and reduce its multiple differentiations to a transcendent principle, which is God the Creator," therefore, "the idea of the indivisibility of matter leads to the recurrence of creation." Norreddin Mahammed, "In the Beginning... The Qur'ān and Muslim Thinkers on Creation" in: *The UNESCO Courier*, May 1990.

<sup>112</sup> Respectively: Q.95:4 "We have created the human being upon the best of forms"; Q.27:82-93 "And you see the mountains, thinking them rigid, while they will pass as the passing of clouds. [It is] the work of Allah, who perfected all things."

<sup>113</sup> Cf. Al-Ghazālī, *The Ninety-nine Beautiful Names of God*, op. cit., 68. See also "99 Names of Allah – Tumblr, Al-Bari -The Maker," online: 99namesofallah.tumblr.com/post/4046447507 (accessed 28/08/2013); and "Library - The Holy Qur'ān - Asma ul Husna - Al Bari" online: <http://www.qul.org.au/Asma/13.htm> (accessed 28/08/2013).

<sup>114</sup> Cf. Q.7:54; 10:3; 11:9; 25:60; 32:3; 41:19-22.

process as all divine activity necessarily implies that created substances cannot change their kinds.<sup>115</sup> Ultimately the terminal act in *Al-Muṣawwir* is one that is never final because creation is an uninterrupted process, a re-creation *semper noviter*, or perhaps it is in one of final stages of adornment, a period of time, “*yum*” (day), in which humanity may find itself today.<sup>116</sup>

Adding to the discussion is Christòs Yannaràs’ explanation that the harmony in the cosmos is not identical with the divine willing.<sup>117</sup> Yannaràs likens God’s will to the divine essence, though he distinguishes the divinity from the harmony in the world just as “an artist is not identical with his work in which his purpose and inspiration find expression.”<sup>118</sup> As the idea in the artist’s mind directs the artist’s will and activity in executing the artwork, so the divine ideas are factually identical with the divine knowing. This interpretation would consider a teleological understanding of creation as *ex materia sed noviter*. It may imply the works of originating, making and evolving attributed to *Al-Bārī*’ on the one hand, and those of shaping, designing, and fashioning forms attributed to *Al-Muṣawwir* on the other.<sup>119</sup>

As noted, since God is pure act there can be, undeniably, no transition from potency to act in divine creation, and therefore no sequence of individual acts, but one single successionless act which is God’s continuous and constant will and wisdom, an uninterrupted becoming and perpetual presence of God as Creator in the whole of creation. In time, however, extraneous to God’s essence, divine creation or creative potencies assume another context which allows for differentiation, emanation, and progression. This would be the work of *Al-Bārī*’ as divine will and *Al-Muṣawwir* as divine wisdom since both actions proceed *ad extra* from God’s knowledge which is an actuality entirely *ad intra*.<sup>120</sup>

### Divine Concurrence in Creative Acts

The co-inherence of each creative power in the others would uphold Islam’s principle of *tawhīd* while accounting for a kind of progression, one could say “evolution,” in creation after the original creative act. This principle underwrites Islam’s cosmogony as both an event and a process of the one God. Salman al-Oadah makes the association among the divine names clear while mentioning their specificity: “So Allah decrees what He creates, brings it into existence, and specifies its particular, unique form.”<sup>121</sup> In such light, if *Al-Khāliq* is associated with God’s Intellect, and *Al-Bārī*’ with divine will, and *Al-Muṣawwir* with divine wisdom, a cosmogonical statement may be made as follows: God creates all things according to his knowledge, develops them according to his will, and perfects them according to his wisdom. A comprehensive rendering of the meaning of Q.59:24 may now be specified along the following lines: He is Allah the Creator (*Al-Khāliq*) who makes (he [*Al-Bārī*’]) and perfects (*Al-Muṣawwir*) his creation. Another rendition would be to consider the divine ideas as *Al-Khāliq*; the advancement of those ideas as the work of *Al-Bārī*’, and the substantiation of those ideas in material forms as the work of *Al-Muṣawwir*. This unifies divine being and divine act which are ultimately two inseparable realities. Al-Ghazālī makes the point more

<sup>115</sup> Although this may happen only through the agency of other free beings such as the human, or accidental causes such as chemical reactions where substantial changes do occur.

<sup>116</sup> The word “*yum*” as used in the Qur’ān in reference to the six “days” of creation signifies a long period of time, an era or an eon. God, being outside of time, may “see” these periods time as complete, therefore “past” from the human viewpoint, and consequently the linguistic use of the past tense (“created” [*khalaqa*]) in the Qur’ān to describe this divine creative work.

<sup>117</sup> Christòs Yannaràs, *On the Absence and Unknowability of God. Heidegger and the Areopagite*, trans. Haralambos Ventis (London: T&T International, 2005), 64.

<sup>118</sup> Ibid., 64-5. This argument supports the position of Muslim theologians who hold that *Al-Khāliq* is *nafsiyyah* (of the divine essence).

<sup>119</sup> Cf. Q.31:27, 46:2, 57:1, and 66:2.

<sup>120</sup> See footnotes 16 & 17.

<sup>121</sup> Salman al-Oadah, op. cit.

emphatic when he identifies divine knowledge with divine will, and divine will with consequent divine action: “Now His action is something known, and His willing resolves to His knowledge... so ‘willing’ simply means that whatever He knows will be good to exist will be created by Him.”<sup>122</sup> In this sense a correlation between essence, order, and design exists among the three divine names, and a harmony *in esse* and *in actu* according to the divine nature.

From the viewpoint that all of God’s creation is essentially one act, the acts of “making” and “fashioning of forms” are from the divine ideas of *Al-Khāliq*, the specific form existing as divine knowledge, or in the speculative order, as pure essence.<sup>123</sup> The creative actions of *Al-Bārī*’ and *Al-Muṣawwir* operate in the practical order according to the realization of the divine ideas which subsist in *Al-Khāliq*. *Al-Bārī*’ would be a concurrence of pure essence and pure act, while *Al-Muṣawwir* would be pure act alone. In other words, in Islamic cosmogony creation begins with *Al-Khāliq*, it proceeds through *Al-Bārī*’ and it ends with *Al-Muṣawwir*. An Islamic cosmogony can then be articulated in the following: *Al-Muṣawwir* qualifies the work of *Al-Bārī*’ indicating that God has created everything perfectly according to his will and wisdom. The question arises as to how and the answer is given by the works of the all-knowing Creator *Al-Khāliq*, through whom the divine ideas originate in *Al-Bārī*’ and are materialized in *Al-Muṣawwir*. As to where the material comes from, the answer would be *Al-Bārī*’—He who originates creation by materializing the divine ideas and moulding raw materials. As to where it terminates, the answer would be in the acts of *Al-Muṣawwir*—He who projects the divine forms, shapes, colours and patterns from the divine intellect into the raw material.

### Cosmogonical Verification of Divine Oneness and Unity

It is only by differentiating these three divine names that a comprehensive understanding of Islamic cosmogony becomes intelligible, yet this differentiation is ultimately not real in God. In Islam the divine essence contains all possible perfections in an infinite degree and therefore no real distinction of any kind exists among them.<sup>124</sup> The human mind distinguishes between these names in order to convey individual divine attributes. According to the principle of *tawḥīd al-asma’ wa’l-sifāt* God’s essence must be a totality of all the names in a perfectly united whole in which there is no separation, no differentiation and no composition of any kind.<sup>125</sup> Since in Islam all the divine names constitute one God, then the nature of their relationship on account of divine oneness and unity is that of a single common principle of creation.<sup>126</sup> In other words, Islam’s Creator-God is at once all three divine names in one act and in one essence, and much more, which means that the difference among the names is only a logical one and logical distinctions are not objectively real.<sup>127</sup>

<sup>122</sup> Cf. Al-Ghazālī, op. cit., 164.

<sup>123</sup> In Islam, on account of God’s absolute oneness and unity, and the absolute simplicity of his essence there is in God only one single idea. In so far as this idea is reflected in many extra-divine objects, a multiplicity of divine ideas may be understood.

<sup>124</sup> According to *tawḥīd al rubu`biya* distinctions are made between the names, but not in the essence. In other words, the divine names do not belong to the essence or nature of God, but to what Yannaràs calls “the active manifestation of the divine existence, that is to say, to what we call the divine activities.” Yannaràs, op. cit., 64.

<sup>125</sup> In Islam this divine essence is neither of substance or accidents, of essence and existence, of power and activity, of passivity and activity, of genus and specific difference. The Qur’ān indicates the absolute simplicity of God when it equates the essence of God with his names: “He is God, (the) One, The Self-Sufficient Master.” Q.112:1-4.

<sup>126</sup> Cf. Al-Ghazālī, op. cit., 163.

<sup>127</sup> Cf. Robert Casper, op. cit., 67. See also Al-Ghazālī, op. cit., 5-6.

### Conclusion:

Q.59:24, as part of Islam's positive historical revelation, reveals God's creative power through three distinct attributes and modalities. Each attribute conveys a precise meaning: *Al-Khāliq* as the divine knowledge in which all creation begins; *Al-Bārī'* as the divine will through which all creation originates and evolves; and *Al-Muṣawwir* as the divine wisdom in which all creation receives its form and reaches its temporal perfection. Islam's idea of creation, therefore, does not so much comprise an event or an action that begins and ends, but rather an on-going relationship between God and what God creates. Q.59:24 implicates divine creation as both an idea *ad intra* outside of time, the *creatio prima* as the immediate work of *Al-Khāliq*, what effectively begins time as it is known; and also an event and a process in time, *ad extra*, the *creatio secunda* as the mediate works of *Al-Bārī'* and *Al-Muṣawwir* as the unfolding and temporal completion of creative activity.

The purpose, therefore, of all this theologizing on the three divine names in Q.59:24 is to demonstrate how Islam upholds a comprehensive understanding of a sequential creative activity that is both natural in its modal expression (*quoad modum*), and supernatural in its origin (*quoad essentiam*), the former according to the operations of the divine will and wisdom, and the latter according to the principle of divine knowledge. This virtual distinction in the real unity and oneness of God is the quintessence of Islam's cosmogony. The question of temporality in divine creation still needs to be further explored. Given that God is essentially outside of time, without beginning or end, and creation implies both beginning and end, the subject of distinguishing and reconciling these differences would be meaningful. That endeavour could be the theme of a future exploration.

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# UNDER THE BANNER OF VIOLENCE: HAMAS, AL-GAMA'A AL-ISLAMIYYA, AND RADICAL ISLAMIC TERRORISM

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## **Abstract:**

Examining the process by which religious and political groups undergo radicalization to a point where they eventually espouse the instrumentality of violence and terrorism for achieving their political objectives is a prevalent issue in the post-post-9/11 world, or in an era that might come to be known as the “9/11-century.” This topic is timely and relevant in the context of religion and politics in the current geopolitical world given that we consistently see cyclical patterns of violent (Islamic) extremism, especially during times of crises, and in which members of entire demographic spectrums have become involved. This paper presents an examination of the religious radicalization of the highly ritualistic and extremely conservative Muslim group Hamas (*Harakat Al-Muqawamah Al-Islamiyyah*) or “The Islamic Resistance Movement” and former armed revolution group in Egypt during the 1970s and much of the 1990s *Al-Gama'a Al-Islamiyya* (GAI). In doing so, it connects with the subjects of radicalization and deradicalization of such groups analyzing why some extremist groups eventually undergo a process of deradicalization while others do not. As one perspective commonly held among experts on terrorism and political violence underscores, terrorism is ultimately the product of parallel radicalization, and focuses on three groups; those of: victims, perpetrators, and bystanders (Baumeister, 1997; Miller, 1999; Staub, 1989). Thus, terrorism or asymmetric conflict and forms of political violence may be seen as the product of the interaction of multiple agents that consider their actions correct, a legitimate method of expressing discontent, and is consequently conducive to a vicious cycle of violence, aggression, and insecurity.

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**Keywords:** Aggression, cycle of violence, insecurity, ritualistic, the Muslim brotherhood

## **Introduction:**

Examining the process by which religious and political groups undergo radicalization to a point where they eventually espouse the instrumentality of violence and terrorism for achieving their political objectives is a prevalent issue in the post-post-9/11 world, or in an era that might come to be known as the “9/11-century.” This topic is timely and relevant in the context of religion and politics in the current geopolitical world given that we consistently see cyclical patterns of violent (Islamic) extremism, especially during times of crises, and in which members of entire demographic spectrums have become involved. This paper presents an examination of the religious radicalization of the highly ritualistic and extremely conservative Muslim group Hamas (*Harakat Al-Muqawamah Al-Islamiyyah*) or “The Islamic Resistance Movement” and former armed revolution group in Egypt during the 1970s and much of the 1990s *Al-Gama'a Al-Islamiyya* (GAI). In doing so, it connects with the subjects of radicalization and deradicalization of such groups analyzing why some extremist groups eventually undergo a process of deradicalization while others do not. As one perspective commonly held among experts on terrorism and political violence underscores, terrorism is ultimately the product of parallel radicalization, and focuses on three groups; those of: victims, perpetrators, and bystanders (Baumeister, 1997; Miller, 1999; Staub, 1989). Thus,



terrorism or asymmetric conflict and forms of political violence may be seen as the product of the interaction of multiple agents that consider their actions correct, a legitimate method of expressing discontent, and is consequently conducive to a vicious cycle of violence, aggression, and insecurity.

### **Radicalization and Deradicalization as Concepts of Subjectivity:**

Specific indicators can be taken as means of observing a process of radicalization, which can often times transition into violent extremism. Although there is no absolute way of knowing that any one individual will become radicalized to the point where they will become the perpetrator of violent extremist acts, a great deal of experience suggests a number of indicators that are worth stating. It is also of value to note that while terrorist radicalization has been an ongoing issue in many parts of the world, new breeding ground for terrorism has surfaced, where it has not been traditionally observed. The US, UK, and parts of Western and Eastern Europe (i.e., Germany, France, Norway, the former-Yugoslavia, and Russia) have provided fertile breeding grounds for “homegrown” terrorism or terrorist acts that occur within the states that those terrorists target (Khawla, 2010).

Terrorism, whether associated with an international organization (IO) or with an isolated individual or individuals that have not been radicalized as part of larger and compatible group, is the likely peak of a systematic process of radicalization (Khawla, 2010). This process, according to Silber and Bhatt (2007), is one through which “local residents or citizens gradually adopt an extremist religious/political ideology hostile to the West, which legitimizes terrorism as a tool to affect societal change,” and that is then advanced by a number of ideological and extremist influences (Silber and Bhatt, 2007: 16). Although this definition is not one that can be universally accepted, given that terrorist radicalization has taken place elsewhere in the world and by those seeking to engage in violent extremist acts against non-Western states and actors (not just those within the Western world), it should be taken in specific context as outlined by those defining it. The US has defined radicalization in terms of violent radicalization, referring to “the process of adopting or promoting an extremist belief system for the purpose of facilitating ideologically based violence to advance political, religious, or social change” (House Representative [HR] 1955, 2007; Silber and Bhatt, 2007: 16).

While government authorities in the US have formulated numerous definitions for radicalization, further definitions put forth by other government bodies and agents beyond the US serve as useful intellectualizing devices while also revealing that relatively limited attention has been afforded to understanding what the concept entails. The European Commission (EC) (2012) recognizes radicalization “as a complex phenomenon of people embracing radical ideology that could lead to the commitment of terrorist acts.” The Organization for Security and Cooperation in Europe (OSCE) (2009) highlights the existence of gaps in the legal definition of critical terms such as “extremism” and “terrorism,” and shows that while “radicalism” might be understood as one’s support for opinions and methods of an extreme nature, it draws attention to the fact that the term itself and when applied remains problematic. The North Atlantic Treaty Organization (NATO) has not put any definition forward regarding what is considered “radical,” nor has it properly engaged with any derivatives of the word, including “radicalism” or “radicalization” so as to provide definitions that can be either theorized or put into practice. Even the US Department of Defense (DoD), as of 2008, has not produced a working definition of any of the terms, nor can definitions for the concepts of “radicalization,” “radicalism,” or “radicalize” be found in the Concise Oxford English Dictionary (COED). Thus, a lack of consensus exists regarding the meaning of these terms, what they actually involve, and how they relate to a wider range of conditions within society. This area is still expanding, but not at the same rate as the issues with which the terms would assist in addressing.

In a chapter of a report by Neumann (2008), published through The International Center for the Study of Radicalization and Political Violence (ICSR) entitled, "Perspectives on Radicalization and Political Violence," radicalization is simply referred to as "what goes on before the bomb goes off" (4). Della Porta and LaFree (2012) define radicalization simply as "a process leading towards the increased use of political violence, while de-radicalization, by contrast, implies reduction in the use of political violence" (5). These definitions denote that a social and political aspect is involved, but focus on an expectation that violence is the ultimate goal. According to Della Porta (2012), much of the current research on radicalization has delved deeply into the idea of social movements and transitions as significant shares of the process (See, Della Porta, 1995; Tilly, 2004; Wood, 2003). In order to reflect the social currents that fuel the radicalization process and for the purpose of this study, radicalization is understood as a flexible process that includes the adoption of an extremist belief system shared by others, and the willingness to use or support the use of violence and the fear of violence in order to achieve the desired social or political changes in any given society. While this can take place with a group or on an individual basis, the process of radicalization does not have to result in the use of violence.

Radicalization as a fluid process implies that a different meaning of the process is assumed differently either by those going through it or by those associated with it by other means. The fluidity of radicalization also holds that there is no specified timetable involved, and that violent extremist acts need not be the ultimate result of the entire process as noted. An individual may begin radicalizing, remain latent in any one of the four stages previously discussed, exit the process, or even re-enter the process of radicalization at any time (Federal Bureau of Investigation [FBI] Counterterrorism Division, 2006: 3-4).

Internal and external factors are observed as the core expedients of initial radicalization. These can be factors that are unique to each individual but that may hold a common bond among them. Those becoming involved in the process are identified using a typology that considers distinct motivations and conversion types. The USG, while identifying would-be extremists as jilted believers, protest converts, acceptance seekers, and faith reinterpreters, contains all of them within a single lens that perceives them as having the potential to become involved in Jihadi violence (FBI, 2006: 3). Movement is made toward radicalization whereby an individual drifts from a previous life (i.e., social routines and customs or activities, and bonds or relationships) and associates with others sharing similar thoughts and convictions that can serve to maintain but often strengthen their collective dedication to their faith (i.e., Islam) (FBI, 2006: 3). An individual reaches a level of indoctrination when he or she has become influenced by and committed to a call for action in order to serve the cause to which the individual has become dedicated. This point represents a testing ground for both the organization or group and the individuals to assess the individual's willingness to serve the cause and their resolve. Instances of action, which can be interpreted in multiple ways, including the direct participation in violent extremist acts (Jihad), support of the group's operations that involve violent attack, recruitment and training of potential supporters, and financing are indicative of completing the entire radicalization process (FBI, 2006: 3).

To address the concept of deradicalization we can simply refer to this through the use of a wide array of facilitating word, including those of: "desertion," "demobilization," "defection," "rehabilitation," "reconciliation," "dialogue," and "disengagement" (Noor and Hayat, 2009). The inclusion of such a diverse constellation of terms probably services more to mar and cloud our understanding of the process, yet it might serve as a useful vantage point for formulating a rich cross-section of concepts, impressions, beliefs with which we might move forward. As noted by Noor and Hayat (2009), "the main reason for the use of different terms in different societies seems to be the realization of the socio-political activities attached

to each of them” (1). Whereas some are used in Asian societies, others are employed primarily in European, which vary considerably to those employed in the US.

### **The Tide of Terror: *Al-Gama'a Al-Islamiyya* and *Harakat Al-Muqawamah Al-Islamiyyah: The Islamic Group***

Since the late-1970s Egypt's largest militant group, that of GAI (also referred to as Al-Gama't, Egyptian Al-Gama'at Al-Islamiyya, or Islamic Gama'at), was active as a loosely organized network, and was supported beyond the borders of the Egyptian state (US Department of State [DoS], 2006: 194). In fact, has been referred to more as a phenomenon rather than an organization that was “mainly affected by the militant ideology of Sayyid Qubt (executed in 1966), who paved the way for the establishment of several Islamic branches in Egypt and the Arab world” (ICT, 2013). When Egyptian President Anwar Sadat released a large number of Islamic prisoners from state jails and prisons, militant groups began organizing throughout Egypt and assumed such names as the “Islamic Liberation Party,” “Al-Takfir wal Hijra” (Excommunication and Emigration), “Al-Najun min Al-nar” (Saved from the Inferno), and “Jihad” (Holy War) as well as “Al-Gama'a Al-Islamiyya” (ICT, 2013). “Each cell operated separately and was self-contained,” states the ICT (2013), “a fact that allowed the organization to be structured, but at the same time loosely organized.”

In 1997, IG issued a ceasefire that resulted in the fragmentation of the group into two parts. The first was led by Mustafa Hamza (who supported the ceasefire put forward by the group) while the splinter group operated under the leadership of Rifa'i Taha Musa, who “called for a return to armed operations” against the state of Egypt and its internal as well as external supporters (US DoS, 2006: 194). After issuing a second ceasefire in March 1999, the spiritual leader of the group, Shaykh Umar Abd Al-Rahman, was detained by US authorities for his involvement in the 1993 bombing of the World Trade Center and subsequently repealed his support for the group's ceasefire in June 2000 (US DoS, 2006: 194).

Targets of IG are divided into two groups based on specific periods. Prior to the group's 1997 ceasefire, Egyptian security and government officials as well as Coptic Christians, and Egyptian opponents of Islamic extremism were the principle targets of IG. However, following the issuance of the ceasefire, the faction (under the leadership of Taha Musa) expanded the scope of violence waged by IG so as to include foreigners such as tourists within the country (i.e., the attack at Deir el- Bahri in Luxor). IG also was responsible for the attempted political assassination of Egyptian President Hosni Mubarak while he was visiting Addis Ababa, Ethiopia (US DoS, 2006: 194). The 1997 Luxor massacre that led to the deaths of 58 tourists and four Egyptians was the last attack undertaken by IG, however, in February 1998, one of the group's senior members backed Osama bin Laden's *fatwa*, which called for violent attacks against the US and American citizens throughout the world (US DoS, 2006: 194). In spite of seemingly misguided violence with attacks against Egyptian nationals and foreigners, the primary objective of IG and for the group's members remained the overthrow of the Egyptian government and its replacement with an Islamic state (US DoS, 2006: 194).

On a structural level, IG's close ties with AQ facilitated an exchange of communication that could be used to support the growth and operations of the organization in a number of ways. Its direct ties with strong terrorist networks meant that it was able easily launch attacks within Egypt at any time. IG considered the secular state of Egypt a threat to its perceptions of Islamic principles and used extreme interpretations of the religion in order to channel discontent and hatred toward agents that were pro-Western and pro-Christian, and that stood in strong opposition to the Islamization of Egypt and other states in the Middle East. In this vein, religion played one of the primary methods of bringing together peoples with or strengthening and honing their extreme political and social ideals and aspirations. A common factor in the radicalization of extremist groups across the globe, the Islamic religious

component supported efforts to achieve aims of IG through both violent and non-violent means, although a focus should be maintained on the radicalization of IG and its supporters using Islam as a medium into violent extremism.

With the Egyptian government showing strong disinterest in waging aggressive action against Israel during the 1970s, IG began to view Egypt's governing authority as a Zionist sympathizer, using this distorted image of Egypt's Muslim leaders as a method of arousing anti-Semitic feelings in the group's followers. In other words, "peace with Israel in 1979 yielded a new sense of fundamentalist outrage" (ICT, 2014). From that point onward, Sadat increasingly aligned himself with US foreign policy. IG used the resultant outrage as a dual strategy to simultaneously incite hatred toward their Zionist enemy and toward the Egyptian government, which brought about what was referred to as a "shameful peace with the Jews" (Kepel, 2003: 149). Sadat, "in the minds of Islamists ... personified domestic failure and external betrayal. He was seen to be neglecting his Arab neighbors in favor of closer ties with the West, particularly Israel and the United States" (ICT, 2013). As opposition by the Egyptian government toward the group began to build, an incentive was further created to resist the government. By the end of the 1970s and beginning of the 1980s, the number of followers of IG began to grow significantly.

Domestically, a number of significant factors should be considered and taken into account forces equally potent as those at the structural level. The religious component enabled leaders to emphasize an alleged assault against the values of Islam and Islam itself so as to tap into both individual and group grievance and was being cultivated by other structural, domestic, and individuals elements at work. The resilience and lethality of the group played a considerable role in the ongoing radicalization of IG as well as the non-existence of other radical or extremist within the country. Its violent narrative through the 1990s consists of hundreds of law enforcement officers' deaths, the killing of numerous soldiers, many civilians including foreign tourists as well as attempts against secular intellectuals, and Christian Copts (ICT, 2013). The group is even closely connected to the 1981 political assassination of Egyptian President Anwar Sadat. IG, according to Kepel (2003), is said to be the "Islamic movements only genuine mass organization" in the country (129).

The struggle between the government and IG began to increase dramatically on university campuses through legislation in Cairo with the aim of weakening the influence of the group by reducing the group's decision making powers on campuses and instead place more control in the hands of institution administrators. This was a moment when clashes between the opposing groups resulted in greater calls on the part of IG to reduce female enrollment, bring gender-mixed classes to an end, and halt a great number of social function and customs such as film activities, music concerts, dances. Their calls for extreme change in these forms were supplemented by a use of physical force against those who opposed it (Metz, 1990; Kepel, 2003: 149).

The individual basis for understanding some of the causes of the group's radicalization process is difficult to isolate given the crossover between all three categories. Notwithstanding this problem of delineation of factors and explanations, it is worth noting that the aftermath of the Muslim Brotherhood's renouncement of violence in Egypt in the 1970s left a large swathe of individuals seeking entry to Egyptian militant students groups. As previously mentioned, the group was primarily active during its early days at academic institutions and university campuses and sought to attract a student minority that may have felt threatened by the majority of leftists. With rapid expansion on campus, individual supporters of IG began to form the new majority. Thus, they found themselves in an ideal position from which to express their strong social and political beliefs. Accordingly, the associations were able to push for requirements regarding Islamic dress codes, the veiling of female students, and strong gender divisions amongst classes on campuses. Opposition to

their social aims at various university campuses fuelled their desire to apply fundamental Islamic principles to an even greater extent (Metz, 1990).

Even before the 1990s, the group had become fully radicalized, employing violence to a great extent, and seemingly targeting individuals at random and targeting specific officials within the government. Perhaps the pinnacle of IG's violent radicalism was demonstrated in 1997 with the Luxor massacre. This event was a response to the apprehension and incarceration of Sheikh Omar Abdel-Rahman by US authorities for attempting to motivate Muslims around the world to violently engage with the US (US Department of Justice, 200). The call for Muslims to fight in the name of IG and in the name of Islam was one that spread quickly across communities of supporters of IG's cause and well throughout the organization itself. Not only was it an attitude that helped strengthen the pitch of IG extremism and radicalization, it was also one of the perfect propaganda tools for the leadership of IG that was readily employable on both the domestic and individual levels.

### ***The Islamic Resistance Movement***

The Islamic dimension is characteristics of Hamas' struggle on behalf of the Palestinian people although it has been influenced during the 1960s and 1970s by attitudes of the Palestinian *fida'iyeen*, the group strongly considers itself as a "natural extension of the Palestinian resistance – in its various manifestations – to the Zionist invasion" (Marzouq quoted in Hroub, 2000: 11; Hroub, 2000: 11). Founded in 1988 as a result of the first Palestinian *Intifada*, Hamas was quick to respond to the Israeli occupation that was taking place at the time by printing leaflets and advocating the use of violence means to confront the Israeli surge (Schiff and Ya'ari, 1989; Berman, 2003). The Israeli invasion was therefore a cardinal factor in radicalizing militants who were prepared to use excessive violence as an immediate response to the exogenous threat confronting them. From nearly the very beginning of its formation, Hamas underwent an ideological shift, "adopting a nationalist position more extreme than that of the [Palestinian Liberation Organization] PLO, making the immediate conquest of all of Palestine (as opposed to just the West Bank and Gaza) a religious obligation" (Berman, 2003: 9).

Hamas is a product of the Muslim Brotherhood and views itself as one of the wings of the Muslim Brothers in Palestine (Hamas Charter, 1988). Although Hamas has a strong connection with "the broad current of general Palestinian resistance, the characteristics, make-up, ideology, and political discourse of Hamas reflect its organization roots and its historic ties to the Muslim Brotherhood movement in particular" (Hroub, 2000: 11-12). Despite its position as a militant Islamic group in a mostly secular society strained by constant violent conflict, Hamas has been able to continuously appeal to and maintain the support many around it (Levitt, 2006). Violence is taken by Hamas as a political means, and experience has shown that the group's continued use of violence in order to achieve many of its political objectives and to facilitate its existence has not precluded its continued and even growing support.

The main expedients of Hamas' radicalization and the continued radicalization of Palestinian youth share a wide range of similarities with IG. "The process of becoming an adherent of radical Islam is fundamentally a didactic process," states Levitt (2007), "as is the indoctrination to any ideology – whether political, philosophical, or religious." When individuals benefit from the support of Hamas, they in turn support the group that assisted them. As Hamas militants underwent a process of indoctrination, participated in the Hamas *dawa*, as agents and as subjects and "instructed in the language of radical Islam," Palestinian youth are also currently schooled in the ideological tenets of Hamas in addition to being "supervised, mentored, cajoled, threatened, and praised" (Levitt, 2007). A striking similarity between IG's rise to radicalism and Hamas' radicalization processes is their use of educational institutions and campuses, public syndicates, health institutions, cultural

institutions, technical institutions, sports clubs, media, religious institutions, and women's institutions, all of which serve as rich human resources for the groups. This deep reach into Palestinian society means that Hamas is able to maintain a productive recruitment process of young men and woman in the organization who are also able to "melt" into the regular communities through employment and "hide in plain view" (Levitt, 2006: 85-86).

Even though Islam appears to play a central role in Hamas and its ideology, Islamic values vary from one member of Hamas to another and cannot necessarily be attributed to the group's original process of radicalization (Goldberg, 2009). The "revanchist dream" (failures of national determination) and not religious fervor as a primary drive is at the heart of Hamas' radicalization process. Unlike IG in Egypt, a group that was not predicated upon the concept of national determination, Hamas is in a constant struggle primarily to bring about the establishment of a Palestinian state (O'Sullivan, 2009). IG poised itself, not to establish a state from nothing, but rather to reform the current state from one that is secular to one that is purely Islamic. As reasoned by O'Sullivan (2009), the conflict in the Palestinian territories and the rise of Hamas took place "in the setting of the British Empire" and were augmented as a result of "displacement generated by colonization, carried out by a vastly more powerful and ethnically distinct group of settlers" (12). In Palestine, ethnic and economic discrimination, political repression, and the occupation of ancient and historically significant lands by military forces melded so as to bear the radicalization of a large grouping of peoples, neighborhoods, and communities not necessarily connected in any way (O'Sullivan, 2009). Thus, "the injustice of 'Al-Nakba,' as the Palestinians call the loss of their country in 1948 ... is inextricably bound to future militancy" (O'Sullivan, 2009: 18).

Hamas flourished as a result of a continued radicalization process in much the same way as did IG in Egypt. With greater achievement and success that led to an overall strengthening of the organization, support continued to find its way to Hamas. Their successful attacks, ability to offer and deliver on their promises of protection to select communities as well as offer support to those willing to back Hamas in other ways were seminal factors in the rise of this group over the years. The structural component of Hamas is the single most important factor in its success and its ability to maintain and strengthen its radicalization efforts over time. A blend of moderate and hardliner voices at the table has enabled the organization to make decisions that result in its longevity and serve the overall life expectancy of the group. This results in a series of positive "checks and balances within Hamas," according to O'Sullivan (2009), that makes up Hamas' flexible, adaptable, and inclusive structure even in spite of it being a highly ritualistic and extremely conservative Muslim group (Berman, 2003).

Both IG and Hamas have been able to show its supporters and even dissidents that their key objectives are achievable through violent means. It is through their ability to deliver to their supporters through violence that reinforces the notion that violence is thus necessary and readily available to achieve explicit goals. Even if the use of violence has spawned a call for action against the users of violence, through violence, the result has been positive for Hamas in its radicalization efforts. To some extent it can be claimed that the West's responses to Hamas' violent acts provide the very sustenance required for its continued existence. The existence of and radicalization of the Islamic Resistance Movement would not have been possible in the first place had it not been for political repression – the kind of repression that Israel and its Western allies have been eager to provide in spite of its obvious cultivation of an ever-evolving and ever-strengthening group. In turn, Hamas uses this repression to cast a narrative that serves its purpose of recruiting Palestinians, softening them to the indoctrination methods and arguments for adherence, and creating a mobilized social network that can strengthen itself (O'Sullivan, 2009).

### ***Transformation of Violent Extremism?***

IG's violence and influences in Egypt ebbed rather quickly as compared to its long and steady path to radicalization. The Egyptian government's response to IG during the latter half of the 1990s and the beginning of the new millennium resulted in the seizure of handfuls of IG leaders. Their removal showed that IG relied heavily on its leadership to fortify the group and giving it the direction necessary for undertaking struggle. Egypt extremely punitive measures against IG leadership and members resonated strongly throughout Egyptian society while the indiscriminate killings of foreigners and tourists as well as political assassinations by the group led to a wave of resentment among the general Egyptian population. The group was successful in reducing its own profile through excessive use of violence but still manages to retain some prestige among Egyptian Islamists who still hope to see the emergence of a truly Islamic Egypt and the dissolution of Egyptian secularism. After 20 years of imprisonment, the Egyptian government released more than 900 members including its founder in groups over a period of a week (Al Jazeera, 2006).

IG leadership's collective ideological reversal is seen as an exceptional instance among Islamic extremist groups. The group has forsaken violence and delivered public apologies for attacks that it made over the course of its struggle against the Egyptian state, and replaced its violent rhetoric and appeal with a new ideological standing based on the value of coexistence with Egypt (Feldner, Carmon, and Lev, 2006). Renouncing violence as an instrument served as a strident move toward the delegitimization of terrorism as a tactic (Speckhard, 2011: 1). IG's new ideology has also fuelled its efforts to advocate against AQ extremism and inhibit its influence on Muslims and Muslim communities. Even with this exceptional reversal of ideologically fuelled violence and aggression, mapping the changes and the collective shift away from its tradition has been a difficult task. Part of the task has involved the understanding of changes that has taken place in the group's thought and the rationale from the leadership position. The removal of key leaders was probably one of the most decisive factors in the disarming IG that opened the long path to integration into Egyptian society.

On October 8, 1981, two days after the successful assassination of Sadat, members of IG launched an attack against the Security Administration in Asyut with the aim of seizing the city from government control (Feldner, Carmon, and Lev, 2006). In the aftermath of the failed attempt, dozens of IG members has been slain, dozens of government officials were killed, and the leaders of IG were taken into custody. Devoid of leadership, a subsequent struggle for the identification of group authority took place. Some of the members recognized the detained leadership of IG in Egypt as the group's authority while others recognized the power of Sheikh Omar Abdel-Rahman (Feldner, Carmon, and Lev, 2006). The ideological schism blossomed into the splitting of the group with GAI members moving away from followers of the Jihad organization. Initial discord was based on Jihad members' disagreement with the assault that had taken place at Asyut and the ensuing massacre. Arguments were put forward that the Sheikh was not an appropriate individual to fill his position, and those who opposed him were made aware that he had been appointed Emir during their periods of incarceration. With no agreeable conclusion to be made between the two factions, IG officially divided in 1983.

The 1990s saw waves of violence across Egypt, however, when the conciliation initiative was announced on July 5, 1997, "Al-Gama'a announced a unilateral initiative of conciliation with the Egyptian regime (Feldner, Carmon, and Lev, 2006). During a court hearing, an Al-Gama'a member read aloud a communiqué, signed by six of the organization's leaders, that declared a halt to all armed operations within and outside Egypt, and a stop to incitement to commit attacks" (Feldner, Carmon, and Lev, 2006). This initiative was delivered several months prior to the Luxor massacre, and "then-head of Al-Gama'a's Shura

Council, Rifa'i Taha, a man who deeply opposed the conciliation initiative was sentenced to death in absentia in 1992" (Feldner, Carmon, and Lev, 2006).

It took several years for the conciliation initiative to push forward and really gain momentum. AQ's attacks against the US homeland in 2001 compelled the Egyptian government to publicize what had been referred to as IG's "ideological revolution" (Feldner, Carmon, and Lev, 2006) The reason for the government's swift exposure of the shift that had taken place within the IG is not completely clear. Some argue that the Egyptian government had been in fear of AQ sweeping the country with violence and even possibly reigniting the violence that IG had once demonstrated. Given Egyptian citizens' involvement in 9/11 (i.e., Muhammad 'Atta, Ayman Al-Zawahiri, Abu Hafs, Saif Al-'Adel, to name a few), concern surfaced over possible damage to Egypt's international reputation in much the same as it had for Saudi Arabia given extensive Saudi nationals' involvement in 9/11 (Feldner, Carmon, and Lev, 2006). As part of a unique rehabilitation and reeducation program, Egyptian authorities permitted meetings among the incarcerated IG leaders in Egyptian prisons in order to move the conciliation process along at a quicker rate (Feldner, Carmon, and Lev, 2006).

A surprising element emerged shortly after the conciliation initiative was allowed to move forward within the prison walls. IG leaders published several books that featured at multiple venues around Egypt and that were sold at the Cairo international book fair. These works entitled, "Concept Correction Series," and were the publications of Hamdi Abd Al-Rahman, "the first Al-Gama'a leader to be released after the announcement of the initiative [who] dealt with their publication with the approval of the Egyptian authorities" (Feldner, Carmon, and Lev, 2006). This step was followed by IG's leadership removal of all the handbooks that facilitated the momentum of the movement and encouraged its violent ways to make way for those that have been used by the Muslim Brotherhood. IG leaders that were detained for long periods of time and headed the conciliation initiative stated outright that, "in the past their actions were misguided from the religious standpoint, and pointless from the practical standpoint, they refused to acknowledge that they were morally flawed" (Feldner, Carmon, and Lev, 2006).

## **Conclusion**

The concept of radicalization is one that fit neatly within a paradigm of contestation. Second, understanding radicalization is just as much about formulating broader and deeper interpretations of the terms, "radical," "radicalism," and "radicalizing." As noted earlier in this work, a number of IOs and agents in international affairs have yet to actually produce precise, if any, working definition of the term radicalization or any of its derivatives. The same can be said, and to even a greater extent, of the concept of deradicalization. In essence, the term holds different meanings and implications that remain ultimately dependent on the location of the deradicalization process and those involved. Third, a great deal of research is yet required to fully understand the effects of deradicalization programs in terms of the restoration of members of society who at one point in time became so devoted to violent extremism so as to engage in the discriminate and indiscriminate killing of men, women, and children, sometimes in what seem to be vain attempts, to achieve a desired political end.

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# CONCRETE APPROACH TO THE FORMATION OF ISLAMIC HISTORIOGRAPHY

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## Abstract

Historiography is one of the fields that are considered in historical studies. Understanding of historiography is possible from the various approaches. One of the approaches that we can use in historical studies is “concrete approach”. The concrete approach means we consider environmental situation in analyses. Historical phenomena are formed in interaction with other aspects of human life and not a single field.

Islamic historiography in this paper studied with concrete approach. It means Islamic historiography formed in the social context and historical developments. The question is what circumstances led to notice to science of History after the establishment and spread of Islam in the world. Answering this question will be studied the various aspects of political, social and cultural Muslim Life. Especially the civilizations that have been conquered by Muslims will be discussed.

The end of this article also will be discussed the characteristics of Islamic historiography and will be considered the four elements: 1- the religious View 2-Identity 3- Reproduction of power in the text 4- history as Political phenomenon.

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**Keywords:** Historiography, concrete approach, Islamic civilization, Iran, social context

## Introduction:

With the establishment of Islam in the Arabian Peninsula at the time of the Prophet and then Attention to outside the Peninsula, formed a new condition that Muslim Arabs familiar with the new concept of history. This Process in Islamic lands took shape a historical tradition that is known Islamic historiography. In the first view, Historiography is an abstract and subjective issue. A historian contemplates how and for what purpose chooses a historical narrative and writes it according to the targets<sup>128</sup>. But every abstract matter based on special concrete and objective conditions. In other words, there is direct relation between social, political and economic conditions of society which ideas formed in it<sup>129</sup>. Islamic historiography is not exception from this rule. Review of Social and political developments on Islamic lands, shows how far the notice to history is product of interactive between Nations on the one hand and the needs of the community on the other hand. Of course in their evolution can be also benefit from the abstract aspects and can be such as intellectual activity among its age and period. But in any case the role of historical context cannot be ignored. From this perspective, perhaps use a concrete approach helps to identify and typology of Islamic historiography. Of course, this means not rejection the other aspects of the analysis in epistemic levels. In this approach writing and attitude to history discusses on social context and process of developments. Concepts are relative and evolving. Review this evolution in relate to outside the mind of historians is intended.

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<sup>128</sup> - Stanford, Michael. A Companion to the Study of History. Translate to Persian by: Sadeghi, Masoud. Tehran: Samt 1385(2006).

<sup>129</sup> -Baumer, franklin le van, ed. Main Currents of Western Thought. Translate to Persian by: Bashirieh, Hosein. Tehran: Baz 1380(2001).p 25.

## Formation of Historical subjectivity

As we discussed, the formation of Islamic historiography based on developments that took place in society and this concept formed over time. Since the main shackles of this concept is Islamic the first we have to consider society where Islam appeared there. Islamic historiography has passed through three stages: The first, formation of history subjectivity, then historiography of Islam and the third interaction with other areas of historiography. The concept of History is simple and abstained. That means that on the one hand, it is obvious to us today, but on the other hand if we want have a clear narrative we cannot have a decorated History. We cannot say definitively when this term is used and what are its origins? Is it an Arabic word? How did Arabs and Muslims have received this word<sup>130</sup>? Hence, study of the concept of History is an aid to analyze the topic of this paper. When speaking about history it meant a kind of consciousness in the sight people in every society than in the past and link with today. History belongs to communities that have been the level of civilization and the development that have clear and contiguous understanding from their past and today. Here history is beyond the calendar. Calendar is one of the pillars of history, but it is not one. Almost calendar from simple shapes to complex exists in the majority of different people and nations. Even tribes that are outside of civilization domains and are isolated also have a natural calendar. But the calendar does not produce historical subjectivity alone. The product of historic subjectivity is Evolutionary stage of human social life. Here formation of historic subjectivity needs epistemological concepts. Also should be a subject that take action of know. Here the subject is the conscious human that have historic subjectivity and history is phenomena that know by human.

If we accept these points, the question is did the Arabs use historic subjectivity before Islam? What form was Calendar in this land? And do was seen integration and unity in the developments? The truth is Existence of historic subjectivity among Arabs before the rise of Islam is doubtful. Calendar in that land sharply has been focused on near time and was discontinuity. Tribes and different areas had their calendar, and ultimately according to kind of oral tradition that has been generally mixed with exaggeration and myth recorded the story of their tribe. What it is known as “the days of Arab” (Ayyamo alarab) isn't historic subjectivity. Because the maximum it is a limited narrative of tribal life and its rate of right and wrong, is also an aura of ambiguity. This kind of consciousness was exactly conforming on Arabs lifestyle because lived dispersed and disconnected from each other in the form of tribe<sup>131</sup>.

When Islam emerged in the peninsula changed many elements of their lives. The dispersed tribes united and convert them into one nation (Ommat). The Quran has been as a source of inspiration for contemplation and ponder in the past<sup>132</sup>. Also there occurred a fundamental change in Calendar. According to recommendations of “Omar” that pattern making from other nations accepts solely on religious and applied affairs very soon Arab Muslims make attention to calendar. Because had role in set the exact time of worship and also due to conquest and expansion of levy and the tax they needs calendar. This matter led to Arab Muslim become familiar with calendar at a level that civilized nations was used. On the other hand solidarity that appeared between them besides tribal relations caused formulation of consistent and interconnected narrative of the past. At the time of “Omar” “The Prophet Hejrah” was accepted as proximal for Calendar<sup>133</sup>. But the process of developments caused

<sup>130</sup> -Sajjadi, Sadeq, and Alemzadeh, Hadi. *Historiography in Islam*. Tehran:Samt 1388(2009). p.p 7-10.

<sup>131</sup> -Salim-al-Hout , Mahmoud. *Beliefs and myths of the Arabs before Islam*. Translate to Persian by: Abdollahi, Manijeh, and Kiani, hosein. Tehran:Nashr e elm 1390(2011).p15.

<sup>132</sup> -Black, Antony. *The history of Islamic political thought:from the prophet to the present*. Translate to Persian by:Vaqar, Mohammad hosein.Tehran: ettelaat 1385(2006)PP 13-17.

<sup>133</sup> -Ibn e khayyat, khalifeh. *Tarikh(history)*.editor in arabic:Foaz,Mostafa Najib, and Foaz, Hekmat Keshli. Beirut: Dar-al-ketabal elmiyah,1415(1995)p 15.

calendar had a more extensive function. Record of Muhammad's life and narrative of events quickly faced with a welcoming society and Muslim Arabs reconstructed the past narrative and the Prophet's life and his contemporary developments connect them to each other, In other words in this step can be observed formation of historic subjectivity.

### **Historiography of Islam**

The next step in the evolution of Islamic historiography is attention to the Prophet's life and developments in history of Islam after him. At this step, according to need to identity and also interests of the new generation to know about life of the prophet was to provide a condition that Muhammad's life based for written of history. Although in the beginning history was not so much considerable, and in principle there was no history in sense of the word rather expert ion of the narrative collection of the Prophet and the subsequent developments after him was consider<sup>134</sup>. Narrative's style of events in this time in terms of form was affected from “ayyamo alarab” it means the names of Narrators were brought and trying to describe the details of events. In terms of content considering tribe was also effective. Narration of events not limited to the time of Prophet but took the period after him. Among the reasons can point to political and economic factors. The period of after the Prophet politically is challenging era. Categories and confrontations conceal the truth. So describe what happened were common for legitimacy. When the Arab Muslims enter the area, they conquered there, to war or peace. Any of these methods of conquest also had its own rules and laws. Particularly issue of taxes warrants present an accurate and coherent narrative of how the cities and regions have been conquest until enable them determined Levy and tax rate for each region<sup>135</sup>.

Thus historiography of Islam and documenting events formed according event time. This historiography in side historical subjectivity provided a condition that the Arabs get step forward and accepted the compilation of events as necessary for new life. Biographer and narrators of wars began to appear in this period and it is not necessary to addressing their approach here. But this accumulation of experience led to arise some kind of historical attitude over time. In this attitude the religion and the Prophet were in the center of developments and writings. Gradually authors went beyond from the lives of the Prophet and his era developments and also considered the lives of other prophets and formed a deeper understanding and more interconnected from the history. They introduced Islam in continues and continuity of other religions. This approach well observes in the first great works of Islamic historiography like History of Tabari and History of Yaghoubi and Masudi works. These considered the history of Islam and the Prophet Muhammad in continuity of Abrahamic religions from Judaism and Christianity and their prophets. The other hand, Biographer (SIREH) and narrators of wars (Maqazi) did not monopolize the Arabs soon raised Biographer (SIREH) and narrators of wars (Maqazi) among the non-Arab people that named Mavali<sup>136</sup>. These changes had correlate directly with changes in society and the formation of new relationships.

### **Interaction with other areas of historiography**

The third and final step for formation of Islamic historiography was interaction with other areas of civilization. When the Muslims arrived in the New Territories and added the

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<sup>134</sup> - Ayinevand, sadegh. History knowledge in the range of Islamic civilization. Tehran: pajoheshgah olom ensani 1387(2008). pp63-70.

<sup>135</sup> - Moftakhari, Hosein, History of Iran;from Islam to the end of tahirids, Tehran:Samt 1384(2005) p49.

<sup>136</sup> -Sajjadi, ibid p75.

vast territory to Islamic Caliphate they were not only Impressive but also were under effect on this Companion. Basically, the essence of culture is always in traded<sup>137</sup>.

The lands which Muslims entered had a rich and ancient background and brilliant culture. The land such as Egypt, Persia, Rome and India each had their own glory and reputation. Long experience of stability and prosperity had elevated them from level biological needs to spiritual and higher needs. For such communities literature, philosophy, history and theology is one of most their preoccupations. The company with such people beside the context that earlier mentioned provided conditions until examined the evolution in Islamic historiography and may other aspects of social life. These nations had a long experience in the field of historiography. Basically, the level of their civilization had reached a degree that historical attitudes along the historiography was shaped and had a clear and coherent understanding from their collective life over time. Of course it was the custom of the time that rulers and custodians of religion were in sight. The official historiography was narration of these two classes. But the national and mythological history there was besides these two. After the arrival of Islam in proportion to the circumstances of time and thinker's purposes, part of this legacy in selective form translated into Arabic. These selections had a significant role in the formation the narrative of Islamic historians from the history that will describe later. For example, if we attention to works that were translated from the Pahlavi to Arabic we see these selective and the variation<sup>138</sup>.

The works Translated were in many different areas of the science, from theology and history to medicine and astronomy and botany. And due to communication facilitate and breadth of land, the exchanges done in larger and more quickly. Ultimately this issue provides context that shaped discourse of Islamic Civilization under Meta-discourse of Islam. This discourse was the set of civilizational elements of multinational. Science of history and attention to the past and provide a narrative from history as ever in this civilization also reached to large status. Because the without historic attitude the civilization will not establish.

### **Islamic Historiography**

Whatever said until here shows the Islamic Historiography came out from the long-term and complex process. Several factors were involved in this process. But what ultimately appeared as a result had its own color and characteristics. Here emphasis the Islamic Historiography is different from Historiography of Islam. Because the first relates to the world general trends and the second specifically related to Islam. Islamic historiography is evolutionary spot in history knowledge of Islamic civilization. In this style and method of history writing are seen a variety elements of other civilizations and writers with different goals and motives. Here our goal is not identify and typology of these elements and persons. But also we want to identify a situation where created they and explain the reasons for its growth.

One of the problems witch researchers faces is the starting point for any phenomenal. Particularly when we talk about founder or Starter of school or thought it is very difficult. Exactly cannot range name a person because he/she is standing on the shoulders of those who lived before and took a role in the process of science evolutionary. But despite the limitations, we are forced to selection and expression of start. For Islamic historiography we should consider two centuries (8and9) as the context of developments and formation it and from tenth century this knowledge is nearing to its point of evolutionary and its components will be completed and experiences another variety and plurality. After so much books were translated and compiled it's time that all experience in complex provides to the public.

<sup>137</sup> - Gutas,Dimitri.Greek Thought,Arabic culture. Translate to Persian by:Hannaei kashani,Mohammad Saeid. Tehran:Markaz nashr daneshgahi , 1381(2002) pp16-17.

<sup>138</sup> -Nadim, Mohammad ibn Eshagh. Alfehrest. Translate to Persian by: Tajaddod, Mohammad Reza. Tehran: Amirkabir,1366(1987) p 541.

Perhaps can be considered history of Yaghoubi as beginning of this summarized. Yaghoubi writing is a reflection of the circumstances and the times he lived in. In this book we are familiar with kind of people perspective about the world<sup>139</sup> and there is no lengthy attributions seems people are thirsty for know. They want to know what the past was and understand their place among the large number of accidents and events. Understanding of the position where they stand and direction which history has path is major achievement a public historian. The story of kings and prophets and people in the last days is told in such a way that the reader understand its meaning and coherence. After Yaghoubi also tradition of writing history is followed. May be mentioned points jointly for all them but each book according to a circumstance and motivations and experiences of the author have flavor of its time. But if we want to suspend the differences and consider commonalities, it seems that characteristics of Islamic historiography in the first Islamic centuries can be summed As follows:

**1 - Religious view with centrality of prophet:** When we look at bibliography of the first four Islamic century's books the starting point of all is religious creation stories of man and the life of prophets. Life of the Prophets, not merely studied from aspects of their beliefs or religion but reviews political life and historical events of their time. It seems the historian wants to narrative merely message of monotheism and resistance against it until connect developments to the Mohammad Prophet. At this view the Prophet is as end of prophecy and the evolution of other Religious laws. Human history understood in relationship with prophecy.

**2 - Identity:** Historians have a major role in the identity of each nation. Efforts for the formation unity and cohesion and participation without common understanding of the past cannot be done. After the formation of the Caliphate system requires to unity and cohesion was a fundamental necessity for the ruling. Hence, historians especially General Historians had a key role in this process. Them with mention narratives of contiguous, the form concise and detailed spread the historical knowledge and lead to continuity of the people.

**3 - Reproduce of power in the text:** Although historical texts in the first Islamic century was result of scholarly work and writers of them were fascinated by the truth. But when these scholarly efforts encounter with the hard ground of reality takes a new figure. Historical narratives are shaped according to the needs and demands of the times both public sphere and the sphere of politics and power. People need to know and the power needs to legitimacy. From this perspective General Chronicles are a compilation of responses to these needs. History narrative based on justification what there is and reception ruling power is an integral part of these narratives. Even things that are very far past also privacy of power are respected. For example at Islamic historiography the movement Like Mazdak and Mani will be remembered as a Zandiq or apostasy.

**4 - History as a Political issue:** Continue of above features, history is shaped only in areas that belong to the major players and the rulers. There is no mention to Subordinate and everyday life of the people. Because the main assumptions of history is policy not people. Even beyond this the historians don't discussed about Schools and Sects. As Masudi as a sample of scientifically accurate in his history books including "Morj alzahab" anywhere that he speak about a sect the reader referred to another his book on the subject of "sects". Similarly, others also consider history as a political issue that only has a few actors. If somewhere from the necessity they say different thing have another purpose and goal.

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<sup>139</sup> -Khadir, Abd al A. Muslims and Historiography. Translate to Persian by: Ebadi, Sadiq. Tehran: Samt, 1389(2010), p64.

## Conclusions

If we want to summarize what was said we ought to say something that know as Islamic Historiography and specifically reflected in the General Chronicles was a response to a series of needs that existed at that time. This knowledge is not merely a scholarly attempt like chemistry or astrology but also formed and grew in the context of social and political conditions of its time. Concrete approach can analysis the Growth curve and process of developments of Islamic historiography with consider changes in society and politics and other aspects of social, scientific and cultural life the age. It seems to in case development of this approach it can show developments in the field of Islamic historiography. In other words, simultaneously by analyzing and matching historical texts with developments could reflect context of social and political of historiography.

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# MODEL OF SOCIAL AND PSYCHOLOGICAL PREVENTION OF TEENAGERS' DEVIANT BEHAVIOR

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## Abstract

The searches for solution to overcome the problems of prevention and deviant behavior in teenagers have focused our attention on the concept of personality-oriented approach in learner - centered education.

In the psycho-pedagogical science it is established to be quite clear criteria that reveal the essence of deviant behavior of juveniles (teacher isolation, maladjusted, delinquency, instability of values, psychological aggression, social passivity, increased anxiety, conflict-prone). The study of the etiology of deviant behavior allows the scientists to isolate the multiplicity of factors that produce such behavior.

Causes of deviant behavior of teenagers is a pedagogical isolation, indocileness, tortfeasor, instability of value orientations, psychological aggression, social passivity, increased anxiety, conflict potential.

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**Keywords:** Teenager, deviant behavior, divergent behavior, accentuation of character

## Introduction

Current state of human evolution question is estimated as critical by most scientists. This crisis is manifested, firstly, in the collapse of the ideals of rationalism, which determined the movement of scientific knowledge about the person for many centuries. Secondly - a devaluation of human understanding of complex ideas, producing no real holistic knowledge of it. In practice, it has resulted the breaking of loss of human moral sense, spiritual degradation of his personality. This crisis has led to a rethinking of understanding human nature. This affected the problem of educating the younger generation, the most vulnerable part of the population today and the victim of negative processes of reforming society.

Children of the beginning of the XXI century were in a unique in its complexity socio-psychological situation, in a kind of historical hole, when suddenly the political system, ideological orientation, life values, morality, historical factors' evaluation, events, names, and cultural phenomena changed.

Research in this sphere has shown that changes in the social role status, internal difficulties and contradictions arising from the restructuring mechanisms of social control that characterize a person, can cause the formation of negative personality traits and serve as a prerequisite for the offense.

Under the prevention of crime, we mean a system of social, legal, educational and other measures aimed at identifying and eliminating the causes and conditions leading to delinquency and anti-social actions, in conjunction with individual preventive work.

We suppose it is necessary to highlight the following keys among the factors influencing the formation of illegal behavior. They are: 1) the individual; 2) psychology-and-pedagogical; 3) social-psychological; 4) personality; and 5) social, socio-economic one.

The searches for solution to overcome the problems of prevention and deviant behavior in teenagers have focused our attention on the concept of personality-oriented approach in learner - centered education.

In the psycho-pedagogical science it is established to be quite a clear criteria that reveal the essence of deviant behavior of juveniles (teacher isolation, maladjusted, delinquency, instability of values, psychological aggression, social passivity, increased anxiety, conflict-prone). The study of the etiology of deviant behavior allows the scientists to isolate the multiplicity of factors that produce such behavior (Table 1) [1, 3, 4].

Early prevention should be seen not so much in terms of social control, but with the positions of preventive and control the process of children's de-socialization process of socialization, teenagers and young men, that is to neutralize both direct and indirect dissocialized influences, as well as in the implementation of corrective measures and educational activities and social and psychological rehabilitation [2].

*Table 1 Deviant behavior factors*

| Deviant behavior factors  | Researchers  |
|---|--|
| social and educational factors (family education costs, school education mistakes, neglect, etc.)   | V.A. Aromavichyute, Z.V. Baeryus, L.N. Golubeva, E.G. Kostyashkin, G.P. Medvedev, P.P. Sereda, Z.A. Raevskaya, O.S. Bogdanov, E.V. Bondarevskaya, I.S. Maryanenko etc. |
| socio-psychological factors of the order and correction of deviant behavior   | M.A. Alemaskin, G.G. Bochkarev, L.M. Zubin, I.A. Nevsky A.M. Pechenyuk, S.A. Raschetina, A.I. Seletsky, M.A. Alemaskin, L.M. Zubin, D.I. Feldstein, etc.               |
| identification of the conditions that determine the deviant behavior of juveniles, and evaluation of the effectiveness of wide variety of educational and preventive means, forms and methods of work | A.S. Belkin, A.F. Nikitin, V.M. Obukhov, L.B. Filonov, V.T. Kondrashenko, S.Y. Ulitsky, P.I. Sidorov, M.A. Paznikov etc.   |
| studies identifying ways of training and retraining of teachers to work with children with deviant behavior forms   | Y.I. Zotov, G. Kulikov, A.A. Ostapets-Sveshnikov, V.A. Popov, I.P. Trushina etc.   |
| the tendency of the system approach in prevention and management of deviant behavior of minors  | B.I. Diamond, S.A. Belicheva, A.V. Mudrik, T.D. Molodtsova, R.V. Ovtcharova, V.A. Popov, Y. Gerbeev, A.I. Kochetov, Y.M. Antonian, K.E. Igoshev, G.M. Minkovskoy etc.  |

### **Purpose of study:**

Drawing up and test a model of social and psychological prevention of deviant behavior among teenagers.

### **Methods:**

The methods of experimental study of the prevention of deviant behavior issue were a block of diagnostic techniques: - test "Defining the propensity to deviant behavior" by A.N. Orlov; - "Map Stott" questionnaire; - test questionnaire to identify the accentuation character by Shmishek. Results of the study were analyzed by methods of mathematical statistics - t criteria test by Student.

The study is based on Longitude method.

The sample consisted of 80 teenagers who are prone to deviant behavior. Base of research is secondary schools in Kazakhstan.

**Findings and results:**

As the purpose of the study for the construction of model prevention of deviant behavior, we present its stages and forms of work.

The first stage: introductory, its missions are:

1) an introduction to information provided by the teachers, psychologists, parents, in order to determine the risk for such indicators and symptoms: disobedience, denial, failure to meet social demands, neurotic symptoms, hostility toward other people, etc.

The form of this stage is an individual interview conducted testing of the expert group on the behavior of young people with the help of "Maps of observation" by Stott.

2) direct acquaintance with the children.

Form of implementation - a group conversation.

The second stage: A diagnostic personality characteristic of teenagers - the goals are:

1) to study teenagers' addiction to implement various deviant behavior forms: - addiction to overcome the rules and regulations; -propensity for addictive behavior; -the propensity to self-harm and self-destructive behavior; -propensity to aggression and violence, volitional control of emotional reactions, the propensity to delinquent behavior.

The form of this stage is testing by A.N. Orlov's test of "Determination of tendency to deviant behavior"

2) to study teenagers' character accentuations to determine the number of accentuations, on the grounds that there is a high probability fixing a deviant behavior.

Form of self-realization is testing by Shmishek's questionnaire to identify the character accentuation.

The third stage is the implementation of psychological prevention program - goals:

1) formation of sanogenic personality features;

2) increasing the teenager's reflective capabilities and forming self-esteem;

3) reduction of pathogenic forms of neurotic response and deformed modes of communication;

4) the regulation of emotional and behavioral disorders.

5) the destruction of certain orientations, views, values, motivations, behaviors and forming new ones with a view to achieving personal fulfillment in society.

The form of the stage is a group training work, which is the most effective approach when dealing with teenagers. Types of training exercises are a sensitive training, methods of behavioral therapy, and others (Table 2).

Preventive work was carried out within 1 year with 1 time per week periodicity of meetings.

The fourth stage: Diagnostic (secondary section after maintenance work) - goals:

1) the study of the teenagers' dynamics to reduce the tendency of the various forms of deviant behavior

Form of implementation: retest of teenagers with A.N. Orlov's test "Defining the propensity to deviant behavior" (SOP), collecting expert evaluation of teachers and parents with Stot's "Map of observation".

It should be noted that during the implementation of preventive work we carried out conversation with the parents to explain the teen's emotional state, emphasizing on the characteristic symptoms of deviant behavior and building a more effective behavioral models with a teenager.

*Table 2 Goals and psychological methods of preventive-and-remedial work*

| Goals   | Psychological methods and exercises  |
|---|--|
| formation of sanogenic personality features;  | Education of sanogenic thinking:<br>-formation of constructive behavior stimulated by positive motives<br>- self-organization techniques<br>- control over the images, incentives, etc.  |
| foster an increased reflective capacity and the formation of teenager's self-esteem;  | Group psycho-correction techniques and exercises on the sensitivity of:<br>- group discussions<br>- role-playing situations (motor sports, verbal communication, role reversal, the duplication of roles)<br>- non-verbal forms of communication (projective drawings, wordless communication)<br>- empathy training, etc. |
| reduction of pathogenic forms of neurotic response and deformed modes of communication;   |  |
| regulation of emotional and behavioral disorders;   |  |
| destruction of certain plants, perceptions, values , motivations, behaviors and forming new ones with the aim of achieving personal fulfillment in society. | Rational therapy techniques:<br>-controlling irrational thoughts<br>-awareness of the relationship between cognition, affects and behavior<br>- belief change, predisposing to a distortion of experience, etc.  |

Thus, the main purpose of prevention model is specific assistance to children in finding their meaning in life, moral values, ideals through psychologists' and teachers' treatment to the inner world, their natural activity, through the study, of understanding and enjoyment of their capabilities and needs in self-regulation, self-correction, self-development and self-determination.

- 1) After all the necessary arrangements following results according to the results of the two sections in Stott's map:
- 2) - on a scale of "distrust to the people" (D) there is a decrease in symptoms of manifest violation (from 19.9% to 10.2%) and rise by less symptoms (from 46.8% to 56.5%);
- 3) - on a scale of "withdrawal into oneself" (W) teenagers have become less distracted from schoolwork after preventive measures (down from 21.7% to 19.7%) and increases of lack of symptom (from 28.5% to 30.1 %);
- 4) - on a scale of "anxiety in relation to adults' (AA) there is a reduce of the percentage of anxiety and uncertainty that adults are not interested in them, trying to draw attention to themselves in any way concern the adoption of non-acceptance of teen-adults;
- 5) - significant changes have occurred on the scale of "hostility towards adults" (HA) on the expression of various forms of rejection of adults (from 29.9% to 10.8%). The level of manifestation of overt aggression reduced (from 10.9% to 8.1%). This is due to the fact that indeed when working with teenagers, efforts should be directed at developing the skills of self-regulation and the development of teenagers' self-esteem and self-worth as a person. The slight decrease is observed in teenagers with full uncontrollable aggression (from 8.75% to 8%). Indeed, for the adjustment of the manifestations of a more long-time aspect, as well as work with teenager's personality structure;
- 6) - considering the performance on a scale of "anxiety in relation to teenagers and children" (AC), we see the increasing of the single symptom percentage (from 49.8% to 56.8%) and reduce of the manifestation of symptoms percentage (from 31.5% to 28 %);
- 7) - on a scale of "hostility to peers" (HP) there is a decrease in the level of symptoms' presence (from 41.3% to 35.1%) and increase od the percentage of no symptoms (from 58.7% to 64.9%). This suggests that in the course of prevention teenagers begin not only to assess their behavior and actions, but also to understand and accept the views of their peers, to see their attitude to these actions, behavior, improve their skills in self-reflection and self-control;
- 8) - on a scale of "restlessness" (R) we can see a decrease in the presence of symptoms of impatience, restlessness (from 37.7% to 34.8%), and the number increases in a single

symptom (from 45.3% to 48.6%). This once again confirms that during the preventative-and-remedial works against the formation of deviant behavior such skills as to be more patient when waiting or doing anything, the application of effort to accomplish the goals and objectives, the ability to focus on a specific object, the task and the ability to understanding are developed;

9) - on a scale of "emotional stress" (ES) a shift in the positive direction should be noted, namely, absenteeism reduce (from 24.6% to 18.9%), due to work on the development of a sense of responsibility for their actions and behavior and choice over constructive way of self-expression among teenagers. Furthermore, a decrease in immature emotional manifestations group (43.7% to 42.7%).

10) Thus, the second section of the diagnostic data that addresses the propensity for deviant behavior, based on an assessment by teachers and parents, has shown that there is a positive trend. To say more accurately how much preventive work has yielded the results, we analyzed the data of the second section with SOP method. According to the results changes have taken place at the level of T-score of 50-60. Namely:

11) - utility scale made it possible to speak of reliable data, i.e. subjects were not adjusted their own answers to the socially desirable ones;

12) - on a scale of "propensity to overcome the rules and regulations," there is a decrease in the tendency to overcome any rules and regulations, the tendency to deny the generally accepted norms and values after (43.7% vs. 39.8%). However, it should be noted that adolescents with indicators on this scale with 60-70 T-score indicators remained unchanged. It can be explained that this manifestation is already more stable and desirable to apply corrective treatment of the violations of behavioral psychology, and possibly personality psychology. Therefore confirms the fact that prevention is recommended to occurrence of adverse formations in behavior and personality psychology. The tendency can be prevented, and the violation corrected.

13) - on a scale of "propensity to addictive behavior" we see the minor differences in the data, although the figure was lower (19.8% vs. 17.9%). A slight decline can be explained by the fact that the prevention of bad habits in teenagers requires constant work. So there will be not enough time for the prevention program or no effect work still proved.

14) - on a scale of "a tendency to self-injurious behavior" there has been a sharp decline in this trend (from 13.9% to 9.8%). This suggests that the use of preventive work practices that contribute to the enhancement of their own lives, rational use and the risk of finding other ways to overcome the difficulties, gives the possibility to reduce the tendency to self-aggression;

15) - on a scale of "propensity to aggression and violence," it can be said that the indicators are in the range of 60-70 T-score remained unchanged. This again confirms the fact that a clear violation of prevention can not be, and already requires corrective surgery. When there is only a tendency, it is possible to use preventive measures take any effect.

16) - on a scale of "voluntary control of emotional reactions" changes (53.7% vs. 69.8%) are observed, indicating the training of voluntary control of the emotional sphere, the formation of the ability to control the behaviors of emotional responses;

17) - on a scale of "propensity to delinquency behavior" virtually no change is detected (8.4% vs. 8.1%). We can not explain the fact that the data indicate the presence of this trend and the low level of social control. And in dealing with such problems is psycho-correctional work. This tendency is observed in teenagers who have had cases of involvement in fights and hooliganism. Therefore, prevention efforts here will not give meaningful results.

18) However, to talk about the effectiveness of this model of prevention of deviant behavior, we tested the significance of the differences between the two sections on the scales of SOP method. Data are presented in Table 3. The significance of differences between the data in the group of subjects before and after their inclusion in the preventive measures we

have tested using Student's t-criteria for each scale. Data in the performance scale were not used in the calculations

*Table 3 The meaning of Student's t-criterion in scales of A.N. Orel's questioner for testees before and after preventive work*

| Testees' group   | scales |       |        |        |         |       |
|------------------|--------|-------|--------|--------|---------|-------|
|                  | 1      | 2     | 3      | 4      | 5       | 6     |
| Before and after | 2,474* | 0,854 | 2,214* | 2,678* | 2,567 * | 0,045 |

Note: 1-scale of propensity to overcome the rules and regulations, 2-scale of propensity for addictive behavior, 3-scale of propensity for self-harm behaviors, 4-scale of propensity for aggression, 5-scale of voluntary control of emotional reactions, the 6-scale of propensity for delinquency behavior.  
 Meanings with \* show the statistic value of *показывают статистическую значимость* diversity,  $p \geq 0,05$

Thus table 3 shows that the values of the group differ from the scales 1, 3, 4, 5, which confirm our use of Student's t-criteria test. Consequently, differences identified with the following prevention program of deviant behavior, suggest that the proposed model can be the result of prevention at the level of a predisposition (tendency) to deviant behavior. And in the case where there is a clear breach of conduct, it is necessary to apply psycho-corrective treatments.

As it was mentioned in the theoretical part the development trends manifestations of deviant behavior can be influenced by the nature of accentuation. And there is a well-known fact that the accentuations are most manifest in adolescence and with the right impact of educational and pedagogical methods there is reduce of accentuation manifestation level. And, if on the contrary, it becomes a personality trait accentuation. In the course of the program for the prevention of deviant behavior, we sought to adhere to the conditions under which young people can control the display of accentuation. For example, in our work we sought to achieve calm analysis of critical decisions, creating situations of mental and physical activity; group work was carried out both individually and in subgroups. There was the recognition of the merits of each one, his attachments, follow the good example of any of the class members.

Let's see the accentuation manifestation after deviant behavior prevention program . Data are presented in table 4.

*Table 4 Values of Student's t-criteria test according to the scales of the G. Shmishchek's questionnaire for test groups*

| Testees' group   | Character accentuation |        |       |        |       |       |        |       |       |       |
|------------------|------------------------|--------|-------|--------|-------|-------|--------|-------|-------|-------|
|                  | 1                      | 2      | 3     | 4      | 5     | 6     | 7      | 8     | 9     | 10    |
| Before and after | 0,209                  | 2,474* | 0,854 | 2,678* | 0,855 | 0,045 | 3,88** | 2,07* | 2,567 | 0,928 |

Note: 1 – cyclothymic type; 2 – hypermetric; 3 – exalted; 4 – anxious; 5 – pedantic; 6 – dysthymic; 7 – demonstrative; 8 – getting stuck; 9 – excitable; 10 – emotive  
 \* - Statistical significance of the difference,  $\alpha \geq 0,05$   
 \*\* - Statistical significance of differences,  $\alpha \geq 0,01$

So manifestations of this accentuation reduction (from 29.7% to 20.9%) can be clearly seen at hypermetric and anxious type.

Changes are observed on the demonstrative type in the positive direction (from 17.2% to 13.4%). The improved performance is explained by the fact that the actors are and react to those conditions that are favorable to correct accentuation. On gets stuck type the situation is as follows: there is a decrease in the expression of the accentuation (from 18.2% to 12.9%).

It is important to note the fact that, since the prevention of deviant behavior, the group emerged a group of teenagers who did not show distinct accentuation - 21.8%.

All this can allow us to assert that the proposed model of deviant behavior prevention can positively influence the display of the accentuation and the opportunity to correct them.

Although we can not say how much time the effect will last. No much time passed since preventive work. Creating favorable conditions for the life and development of teenagers, it is possible to adjust (to mute) the development of accentuation or contribute to the development of their management skills.

Thus, the research confirmed the fact that prevention work must be carried out continuously, unobtrusively, to all the knowledge and skills that are acquired in the course of interaction psychologist (teacher, student) with a student (teenager) could have value in itself for the development of the teenager's personality, formed constructive ways of behavior and solve difficult contradictions.

The research has shown that prevention efforts are more productively spent in the initial stages of manifestation of propensity trends for this type of behavior, as well-established behavioral manifestation can be transformed into a habit or an individual style, that is more difficult is adjusted, and the more preventive actions.

The research confirmed once again that while creating an effective model of psychological prevention of deviant behavior among teenagers it is necessary to consider such options as:

- the allocation of psychological-and-pedagogical and other features of this age group, affecting the formation of deviant behavior;
- the model should be based on identifying and eliminating the causes and conditions leading a deviant behavior.

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# PARENT'S, TEACHER'S AND STUDENT'S PERCEPTIONS OF CHILDHOOD OBESITY IN THE MIDDLE EAST

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## **Abstract**

The problem of overweight and obese children now constitutes a global epidemic, with high prevalence rates now being reported in many transitional societies. Half of the adults in the United Arab Emirates—one of the wealthiest advanced economies in the world—are overweight or obese and school-age children have experienced a marked increase in BMI. UAE children are 1.8 times more obese than those in the United States and, by age 18, obesity is approximately three times greater among UAE males than those in other countries. This project sought to identify the barriers that prevent UAE children from engaging in physical activity and healthy diets.

We conducted face-to-face interviews with 57 participants living in the greater Ras Al Khaimah area of the UAE, along with observations and field notes, regarding perceptions about childhood overweight and obesity. Interview data were analyzed using qualitative and thematic methods.

Physical inactivity and consumption of fast food and sugared beverages are perceived to contribute to the increase in obesity among UAE children. Social, cultural, and environmental barriers contribute to prevention of childhood obesity in RAK. These include: climate, gender bias, cultural attire, availability and accessibility of resources, technology, and lack of role models. Respondents recognize the problem of childhood obesity in their community and are eager to take part in promoting health awareness and other initiatives that address barriers and have the potential to help school-age children make healthy lifestyle choices.

Teachers, parents, and students in the UAE recognize that being overweight or obese is a serious problem and acknowledge the need for changes in lifestyle in order to prevent the epidemic from continuing to rise. The UAE experience can help us to understand how overweight and obesity influence the health status of children in this and other transitional societies.

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**Keywords:** Childhood, Obesity, Middle East

## **Introduction:**

The prevalence of overweight and obesity is increasing at an alarming rate. “Between 1980 and 2002, obesity doubled in adults’ aged 20 years or older and overweight prevalence tripled in children and adolescents between ages 6 and 19 years” (Ogden et al., 2006, p. 1549). The World Health Organization [WHO] (2011) statistics show that as of 2008, 1.5 billion adults, 20 and older, were overweight, and of these 200 million men and almost 300 million women were reported obese. In other words more than one in ten of the world’s adults were obese. Even the nations’ preschoolers are now affected. For instance, in the United States, 1 in 3 children aged 2–19 are overweight, while 1 in 6 are obese (American Heart Association, 2011). According to the Centers for Disease Control [CDC] (2012)



approximately 17% or 12.5 million children between the ages of 2 and 19 years are obese. In 2010 more than 43 million children under the age of 5 were overweight (WHO, 2011). Of these overweight children approximately 35 million live in developing countries while 8 million live in developed countries (WHO, 2011).

Children's diets tend to lack nutritional quality and their levels of physical activity are less than adequate to help maintain healthy bodies (Bellows, Anderson, Gould & Auld, 2008). In many parts of the world children's diets consist of a high level of total fat, saturated fat, sodium, and sugar, while consumption of fruits and vegetables, calcium-rich food and fiber are lacking (Bellows et al., 2008). Along with poor dietary habits, children's physical activity levels are also declining (Bellows et al.). Not only is there a decrease in physical activity or play at schools, but free playtime after school is being consumed by television, internet and video games (Bellows et al.). Contrary to conventional wisdom, the obesity epidemic is not restricted to industrialized societies. In developing countries, an estimated 115 million people suffer from obesity-related problems such as diabetes, strokes, cardiovascular disease and, some types of cancer (WHO, 2009).

Recently, high prevalence rates of childhood overweight have been reported in many transitional societies including many prosperous Arabic countries in the Middle East because of their unique prevailing cultural and social factors. For instance, adult overweight and obesity rates in many countries of the Eastern Mediterranean now exceed 65% (A. Alwan, personal communication, WHO, 2008). "The prevalence of overweight in the UAE is one of the highest in the world: over 30% of all children in the UAE were overweight or obese" (Malik & Bakir, 2007, p. 17) with studies showing a consistent increase in both conditions occurring amongst male and female 2 to 18 year olds (Khader et al., 2009).

Motlagh, O'Donnell, and Yusuf (2009) conducted a systematic review on the prevalence of cardiovascular risk factors in the Middle East. Within the various Middle Eastern countries they found considerable heterogeneity between the studies they reviewed. The analysis showed not only is the overall prevalence of obesity in the Middle East high in many of the regions high-income countries, but it is also considerably higher among women compared with the men (Motlagh et al., 2009). Al-Haddad, Little, and Ghafoor's (2005) study found the prevalence of overweight and obesity in UAE males increased as age increased from 16.4% at 10 years of age to over 29% at year 18 and 6.1% to 18%, respectively. Females in the UAE have shown similar patterns; 22.8% are overweight at age 10 and more than 27% are overweight at age 18. Obesity has also increased from 7.8% at 10 years of age to 9.6% at age 18 among UAE females (Al-Haddad et al., 2005). Al-Haddad et al.'s (2005) investigation documents a higher than international standard rate of obesity and overweight, beginning at age 9 and markedly increasing through puberty and post-pubescent, in UAE youth. Al-Haddad et al. found that by the age of 18 years, obesity was approximately three-fold greater among UAE males than expected. In a study conducted in 2000 Al-Haddad, Al-Nuaimi, Little, and Thabitamerican noted that UAE schoolchildren were 1.8 times more obese than U.S. children.

The rapid rise in overweight and obese children is a crisis that is in great need of preventative measures. Although the development of preventative measures has been well researched and documented in Western societies, little research has been undertaken in Middle Eastern Countries with adults, with even fewer studies investigating obesity in children, especially in the UAE. Although more research has focused on school-aged children, obesity prevention programs dealing with healthy eating and physical activity for young children is still lacking (Bellows et al.).

Developing countries such as the UAE have undergone rapid and massive social and economic changes in which they have adopted unhealthy Westernized eating habits at an unprecedented pace, which has never been seen before in developing countries. This rapid nutritional transition has resulted in an 'obesogenic' society (Yach, Stuckler, & Brownell,

2006).

Prevention and intervention efforts against obesity need to be based on a thorough knowledge of its causes, and public policies along with market-led choices, and need to enable healthy choices that are economical and readily available. Part of the solution could be long-term comprehensive national initiatives that address basic causes of poor nutrition and sedentary lifestyles. Long-term efforts may involve restructuring food production and distribution, investing in social infrastructure to help advance the nations' economic and public health interests and earmarking funds for obesity prevention programs (Yach et al., 2006). Together these efforts could produce potent short-term economic effects, whilst taking action to protect society from this great threat to its long-term well-being.

The present research was an exploratory study that used a qualitative approach to assess the various barriers children in the UAE face with regard to carrying out physical activity and healthy food choices, in order to inform policy. In order to develop appropriate and effective policies for the Ras Al Khaimah, UAE it was deemed critical to get an in-depth understanding of how students, parents, and teachers in schools perceived the issues of causation, prevention and responsibility for childhood obesity.

## **I.**

The present research was an exploratory one that used a qualitative approach to assess the various barriers children in the UAE face with regard to carrying out physical activity and healthy food choices, in order to inform policy. The aim of the study was to collect data from a sample of UAE schools, students, parents, and teachers on their perceptions of childhood obesity. The present study sought to understand key factors that influence the health status of children and adolescents living in Ras Al Khaimah, UAE.

The key aim was to establish if there is sufficient evidence to support the development and implementation of policies that encourage the children of Ras Al Khaimah to practice healthy eating and participate in physical activity. This research was intended to steer the development, implementation, and tracking of a program. To gain insight into students, parents and teachers' perceptions and perspective of childhood obesity in their community, demographic questions, observations, field notes, literature and interviews were conducted with students, parents and teachers. Findings from the collected data and literature were analyzed and submitted to the appropriate agencies in the hopes of developing policies and procedures for protecting the health of the children of Ras Al Khaimah. Some themes correspond with multiple research questions however, they will only be discussed under one question.

### **Research Question #1**

To what extent do school students, parents and teachers perceive childhood obesity as an important issue in Ras Al Khaimah? One of the six major themes to emerge was role models. Role models along with obesity knowledge, another emergent theme produced various sub-themes that addressed the above question.

### **Role Models**

Children need to be exposed to health, active role models if they are to learn to lead healthy active lives. Healthy role models should not only come from parents but also from schools, the community and government agencies. Children are receiving contradictory messages when it comes to following a healthy diet and taking part in exercise, whether it is from poor role models, lack of opportunity, gender bias or lack of awareness. The present research findings highlight children's understandings of some of the causes and consequences of obesity, however, it is equally evident that this information has reached them on a knowledge level, but has not or cannot be fully translated into behavioral changes. It appears

that central to this problem are the multiple discourses that exist around diet and exercise. Lack of governmental campaigns; media; schools lacking healthy food options and physical activity opportunities; and poor role modeling of parents are a few factors contributing to this problem.

Parents have the power to influence their child's decision to ingest unhealthy foods by not allowing them access to fast food and by offering them healthier alternatives. It is up to the parent, and not the child, to decide what foods they are going to spend their money on for their child to consume. Ultimately, individuals have the power and autonomy to make their own choices about diet and exercise. Nevertheless, if they are not provided with opportunities or resources to lead healthy active lifestyles, it can hinder students from making healthy behavioral changes. In order for students to make sound judgments and informed decisions about healthy lifestyles schools, communities, governments, and parents need to ensure students are not presented with conflicting messages. Three strong determinants of health include parents, teachers, and health authorities.

### **Parents Responsibility**

The most common response by students about who was responsible for influencing their health behavior patterns was their parents. All students indicated their parents were positive influencers in their lives because of the encouragement they offered in regards to healthy eating and physical activity. Unfortunately some of the information passed on to their children was misleading and inaccurate.

Contrary to student's sentiments about their parents being good role models and responsible for student's health, teachers believed otherwise. Although teachers did indicate parents definitely had a responsibility for keeping their children healthy they did not act as good role models. According to Lindsay, Sussner, Kim, and Gortmaker (2006) parents are vital to the health of their children. They are the ones who create a home environment that either fosters or hinders healthy lifestyle behaviors. Parents help shape their children dietary habits and physical activity patterns. They have the power to control food selection, meal times, foods eaten in the home and being role models by enjoying healthy eating practices themselves.

### **Teacher Responsibility**

A second theme that emerged from this category was the responsibility and role teacher's play in the prevention of childhood obesity. A number of student respondents credited the responsibility of their health and dealing with childhood obesity to schools and teachers. The majority of parents also felt the task of good modeling fell to teachers and schools. Parents believed that if schools would supply proper food and not allow unhealthy foods into schools then their children would learn healthy habits. There was a fruit initiative implemented in this particular school, however, because some parents did not want the program implemented in the school it was removed. Teachers indicated schools played a role in keeping children healthy they did not believe schools were solely responsible. However, it is difficult for teachers to be responsible for teaching students about healthy foods when parents are causing cessation of programs. Wechsler, McKenna, Lee, and Dietz (2004) believe although schools are unable to solve the childhood obesity epidemic by themselves they play an essential role. This is done by implementing policies and programs that enable students to adopt and sustain healthy eating habits and physical activity behaviors.

Schools in Ras Al Khaimah have not provided mandatory health education or daily PE which are key components to keeping students healthy. Schools need to institute these core courses into the curriculum. Due to this fact parents who have gone through these schools lack the education and knowledge of healthy living and are therefore unable to impart this to their children. If children are to lead physically active lifestyles they need to be placed in

environments that provide continual support and encouragement by their family, school and community. There is also a need to have strong adult role models who exhibit healthy lifestyles and are physically fit.

### **Health Authorities**

Participants also mentioned community health authorities as having a responsibility for dealing with childhood obesity. Workshops, statistics and teaching skills are necessary for students to learn about healthy living. Healthy lifestyles including physical activity and healthy eating are influenced by many sectors including parents, community, health authorities, media, government, and schools. Government agencies also affect the health of children as they are the primary decision makers when it comes to access to healthy foods and opportunities for physical activity.

Responses indicated a global responsibility of childhood obesity involving schools, parents and health authorities is crucial. In order for children to lead healthy active lifestyles a concerted effort on all sectors of society is required "*the government, teachers and parents are responsible for teaching us about health*" YSM2. Although parents indicated schools have a major influence on their children's health there seems to be little schools can do when healthy behaviors are not encouraged or reinforced in the home environment.

The application of knowledge gained through education is often facilitated through good role modeling. In combating childhood obesity, a parent's lifestyle thus has the potential to be the most positive area to influence in terms of health promotion, and disease prevention. The present observations found parents lacked correct information about obesity as was indicated when a few parents stated children would not be tall if they were fat, or they would be unable to drive a vehicle because their stomach would be in the way. What was even more surprising was the MOH advocating healthy eating yet are endorsing unhealthy foods such as cheese, plain and chocolate croissants. Teachers indicated they were not good role models because they were too lazy to exercise was a surprise, especially because these same individuals commented that the Arabic culture was a lazy culture and that students should have healthy active role models. The lack of healthy role models coupled with confusing and conflicting information participants in this study were exposed to, can help explain some of the barriers individuals are facing that prevents them from adopting a healthier lifestyle.

### **Obesity Knowledge**

It is interesting to note that whilst students expressed an understanding that obesity is a problem in their community and school they did not believe obesity was an issue in their family. Parents influence in regards to diet and exercise patterns have enormous impacts on their children. It has been well documented by many researchers Hesketh et al. (2005), and Borra et al. (2003) that children's understanding and attitude about obesity is influenced by their parents' knowledge of the issue. In order for children to become effective thinkers and knowledgeable then need to have the social interaction with people who have acquired great knowledge then themselves. Not only does heritage and culture shape students perceptions and attitudes but learned behavior from watching people in their immediate environment also affects their worldview. Ultimately children need to be independent thinkers that take ownership of their environment but in order to do so they need to have positive influences around them who encourage healthy lifestyles.

### **Research Question # 2**

What are the eating habits, community practices, cultural and physical activity practices in school, home and community environments in Ras Al Khaimah? Three major themes to emerged in regards to the above questions including, cultural traditions, school

curriculum, and obesity knowledge. Cultural traditions produced five sub-themes; parenting style, gender issue, climate hindrances, confining attire and local food patterns. Parenting style and local food patterns, along with the sub-theme food consumption that arose under the theme obesity knowledge will be discussed below.

### **Parenting Style**

Although the majority of students indicated their parents encouraged them to be physically active and eat healthy, some student stated parents lacked awareness and knowledge about their health. A few also mentioned there was lack of encouragement, and supervision on the part of the parents. Time constraints and outside commitments by parents was another factor that hindered students from taking part in the extra-curricular activities. Although most parents mentioned they did encourage their children to be physically active and eat healthy, a few stated some parents lacked concern about the health of their child. Participating teachers cited multiple factors that influenced parenting styles including: lack of knowledge, lack of supervision, misinformed, and disaffectedness. Many teachers indicated parents were not raising their children. Instead of taking on the responsibility themselves parents were leaving the raising of their children up to the maids and nannies. According to the Quran 4:34, men have authority over women and women are to be submissive to men because God made man superior to women, and because men spend their hard earned money to maintain women. An obedient women is considered a good women (Dawood, 1990). Participants in this study indicated that this culture dictates that when fathers are away from home, the eldest male becomes the head of the household. This mean often times the eldest male may only be 11 or 12 years old and he becomes the decision maker in the household, including what foods he will eat for meals. This was not surprising as Arabic cultures although improving still do not view women as equal. Observations revealed that many men had multiple wives and women were to be subservient, following behind her husband and children. It was therefore, not unexpected when many students indicated their parents, mothers in particular lacked the knowledge and supervision capabilities.

### **Local Food Patterns**

Malik and Bakir (2007) found the influx of the Western lifestyle in the Middle East has resulted in changes in both behavioral patterns and food consumption habits. They found that the traditional style of eating and foods such as milk, dates and porridge has gradually been replaced by processed foods such as soda, high sugar, and high fat foods.

Students explained that the local diet contributed to childhood obesity. There were no differences between genders or ages in regards to local food patterns. The high consumption of processed carbohydrates such as: white rice, pastas, and breads; fried foods including falafel, chicken and fish; and hummus drenched in oil were all contributors to childhood obesity. Parents indicated unhealthy food consumption has increased over the years. Although the traditional Arabic diet is healthy, due to the influx of wealth many families were moving away from traditional foods and family style eating to a more Western style of eating including eating in front of the television and not as a family. Teachers described the traditional Arabic diet as healthy but because of lack of portion control and the high consumption of carbohydrates it was not surprising obesity had become a major problem in the Middle East.

### **Food Consumption**

A study conducted by Kerkadi, Abo-Elnaga, and Ibrahim (2005) evaluated the prevalence of overweight and associated risk factors in primary female school children in Al Ain city, UAE. White rice (71.6%) and white bread (58.4%) were the most consumed foods by children of this age group. The student responses in this study support Kekadi et al.'s

findings. Results from this current research found students predominantly consumed large amounts of fried meats and carbohydrates including: white rice, white pasta, white bread, sweet breads, donuts, croissants and sausage rolls. Consumptions of whole grains was only mentioned by two respondents. A study conducted by Ma et al. (2003) study found “skipping breakfast was associated with increased prevalence of obesity, as was greater frequency of eating breakfast or dinner away from home” (p. 85). Similar findings were found in this study as the majority of secondary students indicated they skipped breakfast and would either purchase snack foods (cheese sandwiches, chocolate, crisps, donuts or juice) from school or not eat until after 2 pm.

Eating fast food, junk food and soda was also a frequent occurrence by most participating students. In Kerkadi, Abo-Elnaga, and Ibrahim’s (2005) study they found more than 60% of children consumed chips daily while over 25% of children reported drinking soda and 75% of them ate fast food at least once a week. They also found that more than 27% of children brought money to school to buy chips, candies and sandwiches from the school canteen. Trends of this type were also noted in this study. The majority of students indicated they consumed chips, chocolate or sweets at 2 to 3 times a week, while a few students consumed two or more chocolate bars a day in addition to eating other sweets and chips. Most students in this study ate fast food at least once a week and a number of respondents ate it more than twice. While walking around the various schools observations were noted in which most children were consuming soda, chips, chocolates and other sweets while few were eating fruit and vegetables. These observations are in accord with interviews and review of literature.

Bowman et al. (2004) conducted a study in which they found a greater amount of adolescents consuming most of their meals from fast foods restaurants rather than eating at home. Part of the reason for more take-out meals rather than home-cooked meals had to do with convenience, busy schedules, and affordable prices. The patterns in this study were consistent with those of Bowman et al.’s. Students in the current study indicated the reason they consumed fast food was because of its convenience, accessibility and quickness. Prevalence of fast food intake, soda and junk food consumption is no different for children living in RAK than it is from students living in North America. Students understand that unhealthy eating and drinking soda negatively affect health and contributes to obesity. That being said the majority of students were unconcerned about these negative effects believing they would not be harmed by them.

### **Health Education**

All but one student stated there was a need to implement a health education class into their school curriculum. Teachers indicated there was a need for health education that addressed healthy eating, types of healthy foods, effects of obesity and consequences of obesity. There was also the mention of implementing health and nutrition committees. Currently only a few schools that I studied have a nutritional program committee, and even fewer have nutritional policies.

### **Physical Education**

The current number of PE classes for schools in the current study, in Ras Al Khaimah ranged from 1 to 2 per each being 45 minutes in length, with some schools offering no PE to secondary students. According to the Department of Health and Human Services (2011) the likelihood of high school students being enrolled in physical education decreases each every year with few secondary students being enrolled. Participation of physical education class decreases significantly from 9<sup>th</sup> grade 80% boys and girls to 45% and 39% of 12<sup>th</sup> grade boys and girls, respectively. As schools in Ras Al Khaimah only offer 1 to 2 PE classes a week each lasting 45 minute, clearly the daily activity requirements of students are not being met.

Though most students participated in PE classes at some point in their school experience, none were offered daily PE. While attending a few different schools I did notice there was one game of soccer happening for the PE class but only non-Arabic boys were playing while the Arabic children stood on the sidelines in their dishdash (traditional Arabic garb).

Many health advocates support the notion that family traditions, faith and community culture play a key role in the health of individuals. Results from this study are in agreement with findings from Barakat-Haddad (2011), Malik and Bakir (2007), Henry et al. (2004), Al-Hourani et al. (2003), and Al Haddad et al. (2000), which considered culture, adoption of Western lifestyles, social changes in the community, gender, and weather as having a negative impact on children's health and contributing to childhood obesity in the UAE.

### **Research Question # 3**

Do students, parents and teachers perceive any challenges or barriers in their schools or communities that prevent children from engaging in physical activity? While addressing this research question the following themes arose; community infrastructure, and the other three sub-themes from cultural traditions (gender issues, climate hindrances, and confining attire).

### **Availability of Resources**

It is not uncommon for individuals to want to highlight the wonders of their community and therefore not surprising that students and parents stated their community encouraged them to lead healthy lifestyles, then again, in order to get a more accurate picture of the community the researcher needed to probe deeper to uncover what participants really thought about the opportunities available to them. To gather this information researcher asked what barriers they faced in regards to doing activity in their community. The above question elicited similar responses from most students. The community lacked facilities.

According to students the need to increase the number of gyms, fields, and playgrounds was paramount. Although most students did indicate a need for increase in availability of resources females regardless of age all mentioned this was necessary. Even though many male students mentioned there was a need for more facilities they also indicated they did have access to soccer and basketball facilities which females did not. Similar trends were found among parents. They too indicated there was a need for the community to offer more fitness facilities. In particular there was a need to increase gyms, and programs for women and children. Not one responding teacher indicated the family, faith or community culture encouraged healthy lifestyles. They stated rather than encourage healthy active lifestyles these factors hindered students.

### **Accessibility of Resources**

Respondents mentioned improving accessibility of resources within the community was essential, whether it be by increasing the number of facilities in general or increasing the number of fitness center accessible to women. Although many parents indicated there were no obstacles to leading healthy active lifestyles those that did express their concerns mentioned similar responses to those of students. Some teachers mentioned gender mixing (that is boys and girls playing in the same fitness facility) was a concern and may hinder students from being able to lead healthy active healthy lifestyles.

### **Vehicle Concerns**

The third sub-theme was safety concerns. Major resources missing from the Ras Al Khaimahs' infrastructure include sidewalks, bike paths and walking paths. Other than the Corniche, an unfinished 5 km walking path, there are few places for individuals to walk or bike. According to Rahman, Cushing, and Jackson (2011)

*Communities that have low-density development patterns, poor street connectivity, and a lack of destinations within safe walking distance adversely impact health behaviors, which in turn contributes to obesity.*

They mentioned that homes that were a fair distance from physical activity amenities and situated in areas with busy roads that prevented children from walking or biking often resulted in children spending more time doing indoor activities such as television watch and other sedentary type activities. In this study participants mentioned safety concerns including being hit by a speeding car and playing discouraged them from playing outdoors. Having walked the streets of the community and witnessing the lack of sidewalks, rapidly moving vehicles and missing bike lanes it is no surprise respondents indicated safety concerns prevented them from engaging in outdoor activities.

Although the community is working on improving access, availability and safety for students to be physical active (the Corniche) it is evident from this studies observations coupled with interviews that Ras Al Khaimah is in need of a major infrastructural overhaul in order to make the possibility of healthy active lifestyle commonplace. Results from this study are in accordance with other research in the UAE. MUSAIGER, LLOYD, AL-NEYADI, and BENER (2003) found that environmental factors such as the design of the community and infrastructure were not conducive to walking which has resulted in Emiratis relying heavily on the use of vehicles. Based on Ng et al's (2011) findings it would seem cities are more prone to obesity as females who relocated to urban areas in the past 5 years had higher a prevalence rate for overweight and obesity and were less active. Their study also indicated the hot arid climate and dusty conditions of the urban communities discouraged regular exercise and outdoor activities.

### **Gender Issues, Climate Hindrances, and Confining Attire**

Kerkadi (2003) found UAE females were often excluded from engaging in physical activity because of social and religious norms. In this study gender issues, along with climate and confining attire were cited by the majority of respondents as barriers to physical activity. Several students indicated challenges that impeded their physical activity opportunities included lack of facilities, and gym availability to females. Although a few students mentioned their community enabled them to engage in physical activity the majority of these comments came from male students. Parents also indicated gender was an issue when it came to physical activity. Many stated there were ample opportunities for males to partake in sports, exercise and physical activity, in spite of this there lacked equality when it came to the availability of resources for girls. Teachers mentioned weather, attire and gender were challenges children faced in regards to physical activity. As reported by Malik and Bakir (2007) more females in the UAE spend large amounts of time in the home because of social and cultural factors. Malik and Bakir (2007) mentioned females have little to no access to sports or leisure activities. The current study observed similar gender biases, it was also noted that the consistent hot, dry year round weather, coupled with inappropriate workout attire, and lack of indoor facilities prevents children from engaging in appropriate amounts of daily physical activity.

### **Research Question # 4**

Do students, parents and teachers perceive any challenges or barriers in their schools or communities that prevent children from engaging lifelong healthy eating habits? The final research question

### **School canteens**

Although several student respondents indicated their school canteen served healthy foods the majority felt the canteen food was unhealthy. Comments of why canteen food was



unhealthy included the displaying of food such as did the lasagna have a layer of oil on top, the quality of food and the types of food offered. Having observed various canteens throughout the school visit, along with the school menus, and MOH healthy foods campaigns it is apparent foods being served such as donut for break, and fried meats are not healthy options. What was surprising is that students and teachers who stated the canteen was healthy or at least for this part of the world indicated that fresh fruit and vegetables were healthy foods yet few of these school offered these options.

### **Restaurants and Supermarkets**

Rahman, Cushing, and Jackson's (2011) study found people's health was affected by factors in the surrounding community including the "availability, accessibility and cultural acceptability of food" (p. 55). They concluded that those individuals who had greater access to healthier supermarkets rather than convenience stores were more likely to exhibit healthier diets and tended to be less obese. Trends from this present study were similar to those of Rahman et al. Most respondents discussed how local restaurants and supermarkets did not provide healthy food options. A few participants mentioned a need to implement a system to monitor allowable foods sold at both supermarkets and restaurants. Students in particular wanted to see food labels and content lists posted in restaurants. Several students indicated supermarkets needed to stop supplying junk food along with increasing the number of supermarkets and restaurants offering healthy food options. Parents indicated there should be more policing of foods sold in restaurants and supermarkets as well as increasing the availability of healthy foods. Increasing the number of healthy foods restaurants was also commonly mentioned. The majority of teachers indicated both restaurants and supermarkets in the community lacked variety and healthy choice options. These sentiments were in accordance with the researchers observations. Observations revealed no healthy.

Respondents identified several common areas of challenge. These challenges were related to quality, availability, types, and presentation of foods. Although not all participants indicated schools, restaurants, and supermarkets offered unhealthy foods, the majority did mention there was a need to increase healthy foods options. Along with restricted school budgets, some private schools, such as the English Speaking School, outsource their food service department, which leaves the control of student food intakes to independent companies. Although the MOH has tried to implement a healthy eating canteen list, the school systems continue to allow junk foods to be sold in their schools. In order to bring out changes in foods available in canteens, supermarkets and restaurants stricter policies and regulations need to be implemented and enforced in schools and in the community.

### **Screen Usage**

On average, children ages 2 to 18 spend a minimum of four hours a day being sedentary because of screen time use (Villaire, 2000). The current study found similar results with children averaging 5.5 hours of screen time daily. Not only does television, computer, video games and other forms of sedentary activity interfere with physical activity it also affects children's food consumption patterns. Villaire (2000) noted that children who saw television advertisements for foods tended to purchase more of those foods. Most children's shows are inundated with commercials advocating fast food, sweets, soda, high fat snacks and sugared breakfast cereals (Villaire, 2000). Similar trends were found in this study.

Students mentioned while watching television they would see commercials for fast foods, and sweets and because of this advertisements they would go out and purchase those products. Television and mass media wield a huge influence over our behavior and entice us to choose unhealthy foods.

There are several implications for the field of health education and obesity prevention in the UAE as a result of this study. Although teachers, parents, health officials, and

government agencies play crucial roles in facilitating healthy lifestyles for children living in the Middle East, studies compiled from the review of literature clearly show these are the missing links within the community organization in regards to prevention of childhood obesity.

Based on the students, parents and teachers perceptions in this study, it becomes apparent that environmental, social and cultural factors are important areas that need to be addressed in order to reduce childhood obesity. It is imperative that the local government, Ministry of Health and Ministry of Education pursue further development of this topic in order to explore possible culturally appropriate solutions to reverse the obesity epidemic. The World Health Organization defines health promotion as "the process of enabling people to increase control over, and to improve, their health" (WHO, 1986). This section endeavors to suggest a health promotion approach for the community of Ras Al Khaimah. Suggestions have been provided based on the findings of this research to help improve the health and well-being of students living in Ras Al Khaimah in regards to obesity risk factors.

Based on the literature review; consultation with the Emirati and Middle Eastern cultural advisors, students, parents and teachers living in the Middle East, in particular the UAE and specifically the Emirate of Ras Al Khaimah; and findings from this research, obesity is a serious problem in this community. There is a need for changes in lifestyles in order to prevent this obesity epidemic from continuing to rise. Green's PRECEDE-PROCEED Model seems to be the most appropriate planning model to guide the development of strategies for students living in Ras Al Khaimah to lead healthier lives. The educational and organizational assessment in this study involved identification and categorization of a multitude of influence that potentially effected student behavior in regards to physical activity and healthy eating in Ras Al Khaimah. This included assessing predisposing factors such as: age, gender, and status in society; enabling factors including: parents, teachers, and healthy policy; and reinforcing factors for instance: confining attire, climate hindrances, vehicle concerns, PE classes, school canteen, supermarkets, restaurants, availability of resources, accessibility of resources, and health education.

The social constructivist theory was the desirable theoretical framework because it enabled the researcher narrow down what should be gathered as far as information, perceptions, and knowledge individuals had based on their background, culture and worldviews. This theory helped explain how the Emirate culture where gender bias still exists, lack of healthy active role models and the lack of parental knowledge about leading healthy lifestyles has affected the students in this study's knowledge, perceptions and behaviors about obesity, healthy eating and physical activity. Teachers, parents and other more knowledgeable people such as the Ministry of Health in this study did not contribute to students skill set, knowledge or world view about obesity and healthy lifestyles. This was seen through the lack of health education offered in schools, lack of physical education, community and cultural practices not enabling students to participate in physical activity (attire, gender bias, availability and accessibility of resources, safety concerns) and healthy eating (unhealthy foods at school, children determining own meals, unhealthy restaurants, lack of availability of resources). If society, culture, community and older more knowledgeable individuals are not providing an environment for students to learn healthy behavior their "understanding of society" will be one which could lead to unhealthy habits.

This section attempts to suggest a health promotion approach for the community of Ras Al Khaimah based on previous literature of childhood obesity in the Middle East and the findings of this research to help improve the health and well-being of students living in Ras Al Khaimah in regards to obesity risk factors. Given the challenges of reversing the existing obesity epidemic in the pediatric population, preventive tactics are likely to be the key to success (Council on Sport Medicine and Fitness and Council of School Health, 2006). The findings show participants recognize that childhood obesity is perceived as a serious problem

in their community and school and are eager to take part in promoting health awareness initiatives that lead to healthy lifestyle choices.

Findings from interviews, observations, field notes and review of literature clearly indicate a combination of initiatives to make healthy diet choices and physical activity more accessible is necessary. Specifically any initiative created in Ras Al Khaimah needs to include a more positive built environment one that provides resources and social support to help improve lifestyle choices made by individuals. Health officials and government agencies need to work with community planners to ensure the city has access to exercise facilities and designing the community in a manner that promotes active transportation (such as bike lanes and walking paths), safety for exercise (playgrounds away from the highway), and also cater to females within their cultural context (female only fitness centers, proper workout attire). Gaining access to a larger variety of health food options both in the local restaurants and supermarkets as well as school canteens and limiting access to less healthy options may prove to help improve overall diets of those living in this community. Implementing a health education class into school curriculums which talk about the consequences and effects of obesity, how to eat healthy and benefits of physical active could potentially be useful in educating students about healthy lifestyles. Increasing the number of physical education classes for all age groups including adding in physical education class for secondary students. Making these environmental changes in the schools (such as limiting the amount of high calorie, high fat foods such as croissants, donuts and strawberry milk) along with a targeted health education class and promoting of physical activity at an early age and specifically for females could prove effective. As television viewing has increased over the years and participants in this study indicated they spent hours watching television and on the internet where they see advertisements for unhealthy foods. Studies (Heim, Brandtzaeg, Kaare, Endestad, and Torgesen, 2007) show children spend more time watching television than they do in school or any other activity except for sleep. Introducing media literacy courses or workshops into the school would enable students to learn how to ask questions about what they are seeing, hearing or reading. It will provide them with tools necessary to critically analyze and evaluate the messages they are bombarded with on a daily basis with the hopes that they will be able to make informed decisions about whether “Life Begins Here” when you drink a can of coke.

This research suggests in order to promote healthier lifestyles and address childhood obesity there needs to involve a community, school and family approach

- Families, schools, community, and government agencies need to recognize a childhood obesity problem exists, identify risk factors, plan, implement, evaluate and maintain health promotion policies and programs
- Ways to approach the community and increase awareness include health fairs, announcements made in the Mosques, through students getting involved in wellness campaigns, television, advertisements and the malls
- The first step would be to set up a community meeting to address the objectives, values, needs and desires of the community in regards to promoting healthier schools and city
- Next identify qualified professionals from the Ministry of Health, Ministry of Education, medical personnel, health education teachers and members of the ruling family who are well respected in the community and train them to facility culturally sensitive health promoting sessions
- Then get interested individuals in the community, and schools to set goals (such as increasing the number of sport facilities in the community for males and females, health fair to increase awareness, or providing healthy menus in the school canteens, increasing the number of sidewalks or bike paths), brainstorm about the infrastructure, resources, plans and materials needed to bring about these types of change (such community center, fitness

equipment, certified personal trainers, nutritionist, or menus with calorie, fat and sodium content)

- The plan would then need to be implemented and evaluated by locally trained professionals to determine its effectiveness. This would include providing culturally appropriate material for all ethnic groups, gender specific programs (such as walking clubs for girls as females in this study indicated walking was their main sources of physical activity, more sports clubs for boys as male participants mentioned soccer was something they enjoyed playing), and age specific programs (separate physical activity classes for various age groups not having 6 year olds in the same taekwondo class as 15 year olds).

The aim is to increase awareness and to cultivate an environment that can bring about change in lifestyles and behaviors of students and their families. It is not designed to limit what people can and cannot eat or can and cannot do but to increase their opportunities to engage in interesting, enjoyable, fun programs that will motivate them to lead healthy lives. By incorporating the family, schools and community it will allow students to be involved in the process, to be role models and to do this with their friends and family. In order to maintain and sustain programs, regular evaluations by a team of trained local experts is required. It requires the support from governing bodies such as the school boards, Ministry of Health, Ministry of Education, the Sheikh and the ruling family. Although these programs include all ages the main focus needs to be on the youth as childhood obesity is the greatest concern

### **Conclusion:**

In summary, this research met its original aim. Firstly, to determine the extent teachers, parents and students perceived childhood obesity as an important issue in Ras Al Khaimah. This was shown through the analysis of interview responses collected from students, parents and teachers in regards to whether they believed obesity was an issue in their schools, community and families. Perceptions from teachers and parents were that obesity was a serious issue in the schools, families and communities, however, students believed childhood obesity was a problem in their schools and communities, but less of a problem in their families.

The second objective was to determine the eating habits, community practices, cultural and physical activity practices in school, home and community environments in Ras Al Khaimah. Results showed that although students view their community and families as encouragers of healthy eating and physical activity the lack of healthy foods served at restaurants, home, and schools, as well as the lack of physical activity facilities within the community and absence of daily physical activity offered at school contradicts these responses. Students lack of knowledge of correct portion sizes, high intake of fast foods, soda and junk food are also influences that have negatively impacted their health and has contributed to the childhood obesity epidemic.

The third and fourth objective was to determine students, parents and teachers perceptions on challenges or barriers in their schools or communities that prevent children from engaging in physical activity and eating healthy. Challenges and barriers mentioned by teachers and parents included television and other technology, as well as the propensity of students to eat fast food. Teachers mentioned the culture had a negative impact on students due to lack of parenting and parental knowledge about healthy eating and physical activity, lack of awareness, attire, and weather were all barriers children in this community face. Limited numbers of physical education classes, lack of bike lanes and limited walking paths, safety concerns, limited access to physical activity facilities in the community, especially for females, the inability to access healthy foods both in the schools and in the community, and a lack of a variety of foods available in the canteen were seen as barriers to both eating healthy and engaging in physical activity.

As was indicated at the beginning of this research few studies have been conducted assessing the serious issue of childhood obesity in the UAE, and virtually nothing has been done in the Emirate of Ras Al Khaimah. With the growth in the population of youth the UAE is experiencing, this study is timely in its investigation in regards to childhood obesity prevention. The literature review supports the need for this research and corroborates the findings of this study. Obesity has become a grave concern for health professionals around the globe, but even more so for those living in the Middle East because of the rapid rise in urbanization and adoption of Western lifestyles in such a short time frame.

In summary, from the observations, interviews, field notes, demographic information and literature review there is a clear consensus that environmental changes are key to obesity prevention, however, there needs to be individual behavioral changes which involves the adoption of healthier lifestyles including increase in physical activity and healthy eating. Obesity prevention in Ras Al Khaimah will require a corporate effort including schools, families, community, and government agencies. All need to play a role and take initiative to help deal with the issue if change is to come about.

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# POST-FORDISM AND INCORPORATED DISPOSITIONS. FROM A SITUATIONAL ANALYSIS, TO A STRUCTURAL- CONSTRUCTIVIST THEORY

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## Abstract

What we propose is to build a social analysis in order to bring out those structured and structuring dispositions culturally embedded in individual habitus through those distinction devices objectified by the conditional and selective policies of labour market and welfare state. These dispositions can be read as symbolic and cultural obstacles to the idea of an unconditional and universal basic income.

So, we suppose that the typical conditional and selective fordism-matrix of welfare and labour policies contributes strongly to the generation of individual narrow-minded and depending habitus, in the bourdieusian sense, which are today in open contradiction with the new flexible and open-minded post-Fordist habitus. A contradiction manifested by nowadays socio-economic problems and welfare hardship.

Thus, starting from the findings of a previous Situational Analysis, we acknowledge the paradigmatic changes occurred in our capitalist system. In turn, this acknowledgement has led us toward a critical review of welfare policies marketization, which is more and more grounded on the principles of conditionality and selectivity. So we suggest to undertake a research in which the operationalization of the heuristic concept of a universal and unconditional basic income will take place through the breaking of social actors' mental and dispositional frameworks. Indeed, actors will be analytically classified according to their own configuration of capitals, social and axiological position.

Moreover, thanks to an integrated qualitative/quantitative approach, the intent is to show how the mainstream architecture of contemporary welfare state and labour policies, based on the principles of selectivity and conditionality, contributes paradoxically to the generation of those social distinctions and problems that instead wants to oppose (excessive state aid, dependency, emancipatory constraints, exclusion, stigmatization, profiteering etc.).

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**Keywords:** Structural-constructivism, post-fordism, basic income, welfare

## Introduction:

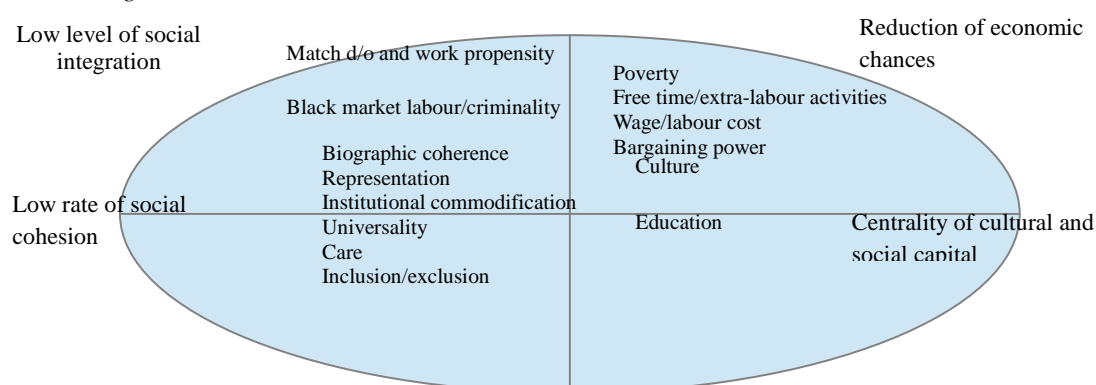
This article is a theoretical *a posteriori* reflection on an exploratory research based on the principles of the Grounded Theory, in order to provide a possible interpretation of the evidences emerged. Evidences researched starting from the need to identify new analytical ways to address the changing world of labour and the related welfare state crisis. In fact, we made a situational analysis (SA) to investigate the post-fordist socio-economic dynamics of welfare and labour fields in the provinces of Modena and Reggio Emilia. By using the heuristic potential of Basic Income concept (BI), we focused on a complex macro-social situation seen through the interpretation of some privileged observers belonging to the fields of employment and welfare. Such a situation can be roughly summarized as follows: we are in a state of transition, more and more rapid, from an economic model based on labour-intensive manufacturing, able to allow a social and institutional commitment towards full employment, to a model made up of highly skilled labour and low manpower intensity; where production follows increasingly the demand and the value of sense (symbolic) is exceeding the value of use. Therefore, we are in an economy where cultural, relational and affective elements play a

fundamental role in the new processes of wealth production and accumulation. This paradigmatic shift has even challenged the institutionalized structures for risks and social needs management, that were calibrated on the previous production model. Today, in fact, we are facing new risks and needs that are struggling to find effective responses. All this has been narrated in a polyphonic choir by our witnesses and condensed in the interpretative code *<hindrance of knowledge economy>*.

In fact, thanks to the adoption of an holistic approach, it has emerged how the *<hindrance of knowledge economy>* is generated by a low level of social and functional integration. In particular, our significant witnesses have brought to the surface the systemic productive and re-productive difficulties in cooperation and coordination, as well as the troubling issues of social exclusion. They also have acknowledged a constant and inexorable reduction of the disposable income and its uneven distribution among the various social groups. Our witnesses have then read in all that a significant lowering of social cohesion, in terms of identity and material recognition. Therefore, respondents considered, each from their own position and their own interests, that the phenomenon encoded as *<hindrance of knowledge economy>* can necessarily be countered by enhancing cultural capital, *objectified and incorporated*, and social capital. Finally, the plot of the interview has made come to light two opposite, but very significant, anthropological approaches: one that looks at the empirical manifestations treated in a humanist perspective, for which individuals are seen as ontologically capable of acting without the impulse of heteronomous forces (*humanists*), while the other reads a prevalent materialistic rationality in human behaviour, so that human action would in the end be moved by need or opportunistic calculation (*materialists*).

After crossing the tale built through SA with the variables identified by the witnesses about the changes that could be produced by a Basic Income provision (see Figure I), it was possible to obtain a series of sociological hypotheses of research.

Figure I - CROSSING BETWEEN GRAPHIC VARIABLES AND RESULTS OF SA



## CHAPTER II

### The hypothesis emerged and the interpretive paradigm

Among the most significant assumptions, we can report the followings: What would be the impact of BI on the propensity to work of social actors and, therefore, on the match between demand and supply of labour? What would be the relationship between BI and the crime rate? What could be the rebounds of BI on black market labour dynamics? What kind of role could play BI in the reconfiguration of an effective and efficient welfare system? How could be re-shaped the role of social services with BI, avoiding them from improper cares? And, therefore, what about the impact on relative and absolute poverty rates? What could be the effect on the wage system? And, above all, would it affirm once for all the power/right to the 'choice' of labour? If yes, what kind of outcomes could it bring about on industrial relations negotiations and on the union representation rates? Will the presence of BI facilitate the construction of more consistent and less precarious biographies? What can be its



quantitative and qualitative impact on self-care? And on social relations? Could BI encourage a greater social actors' inclusion? And how would it impact on their formal and informal cultural practices?

However, the question that comes up at a similar stage of investigation is: are these hypotheses testable? Can the relationship between the identified variables be verified by studying a case or by producing one artificially? In this sense, we place the search for answers inside the neo-positivist scientific paradigm, which examines reality through hypothetical-deductive inferences, or creates artificial experiments in order to study the significant changes compared to a control group. However, it should be noted that pure Basic Income, universal and unconditional, does not exist. Moreover, if we admit that such a provision would be quite difficult to be reproduced in laboratory, we have to ask: what can we do now? The exploratory research conducted so far seems to have brought us to a dead end, in a deafening absence of empirical verifiability that forces the results produced to remain at a merely discursive level. Well, this is true as long as we remain within the neo-positivist paradigm.

Looking at the hypotheses emerged from a socially *pragmatic* angle, we can read our hypothetical relationships between variables as "*social problems*". The problem of social exclusion, of unemployment, of inoccupation, of moral-hazard etc. Therefore, we abandon the hypothetical-deductive perspective to embrace the pragmatist one: '[...] *those who don't want to give up to place before epistemological categories at the basis of the research, and argues for a foundational paradigm in support of the mix quality/quantity [adopt the] traditional anti-metaphysical position of the school of philosophical pragmatist like Peirce, James, Dewey (Menand, 2001). Who refers to this position does not start so much by any doctrinal a-priori, but rather from the problem.*'<sup>140</sup> Whoever in social science speaks about *pragmatism* enters into the chaotic field of micro-interactionist and interpretative sociology. This sociology: '[...] *looks at the human subject and regards the world as a social construction of human consciousness. It opposes both the harsh structural image of the society proposed by the Durkheimians, and the materialism of conflict theory. The rigid predictability of science contrasts with the fluidity and the richness of meaning of humanism.*'<sup>141</sup> The phenomenology of symbolic interactionism allows us to adopt a neo-constructionist theoretical perspective (Randall, 1996 Niero, 2008). A broad theoretical tradition, which runs from Peirce to Mead, from Garfinkel to Goffman, passing through Schütz, Berger and Luckmann, just to mention some authors. A tradition so vast, that leaves us ample room for intellectual and heuristics manoeuvre. Therefore, looking at the assumptions identified from a *pragmatic* angle, we can rather ask: *how* do people construct their own reality, *which* is the set of symbols and meanings that bestow sense to their interactions, and *what* are the consequences of these constructions?

At this point, the apparent absence of a strong theoretical answer *ready to use* transports us into another way of looking at the issues arisen. In fact, our analysis has at a first moment placed us in front of some hypothetical regularities overshadowed by the desire for immediate answers from empirical world. Instead, the regularities emerged are sub-cortical in respect to the complex social universe of meanings. The instances ensued, the arguments made, and the experiential considerations listed actually ask us to understand (the Weberian *Verstehen*) the sense of actions, the contexts in which they are produced and the phenomena observed. To fulfill this, the pragmatic way proves itself to be a necessary path in the absence of any empirical referents to be studied empirically. Moreover, *to start from the problem* reflects that aptitudes and values change called '*post-modernity*'. Thus, not only the creator of SA, Adele Clarke, tells us that is necessary to consider the situation in its relational complexity to understand the heterogeneity of the social world, but many authors note that we

<sup>140</sup> Niero, M., *Il mix fra qualità e quantità nella ricerca sociale*, QuiEdit, Verona, 2008, pg. 47 All the translations have been made by the writer

<sup>141</sup> Randall, C., *Quattro tradizioni sociologiche*, Zanichelli, Bologna, 1996

are faced with a profound change of social life that shows us: *'How modern was characterized by many myths [...] so the post-modern is fragmented, denying the myths of the past as an absolute value [...] It come therefore to be emphasized aspects such as subjectivism, life everyday life-worlds, common sense, etc.'*<sup>142</sup>

Now, in order to read and to understand the complexity of post-modernity (Morin in Portera, 2006 Clarke, 2005), it is perhaps required more than ever the recognition of the researcher's contribution. He must be conceptually equipped to understand the empirical and cognitive magma which lies ahead of him. At this point, the exploratory analysis we conducted led us to some interpretative regularities that need a strong theoretical apparatus to be studied. In fact, we need a mighty theoretical equipment in order to know *how* and *where* to look at the complexity of reality. If the final goal of the SA was to lead us toward a theorization, this has been done indirectly, prompting in the writer a different glance towards the issues addressed. This new requirement of a strong conceptual baggage has been satisfied through the use of the theoretical model built by Pierre Bourdieu. Clearly, this is only one of the possible heuristic solutions that can be taken. However, the writer has found it more relevant to the investigation paradigmatic assumptions and to his theoretical position, believing that the *subject/object* dichotomy must be overcome in order to grasp the true essence of social reality: its intrinsic *relationality* (Bourdieu, 2005). As an example, just let think about that anthropological-ontological polarization emerged during the SA, which has split the group of our observers in two parts and which could be read as a possible indicator of the contrast between subjective social values and structural values. It remotely recalls also the paradigmatic fracture of sociology, divided between the dominance of external forces and the need to comprehend a sense-*provided* subject. However, it is a dichotomy that will be crucial for the future development of the present research.

So, without going too much into the description of the bourdieusian theoretical framework, it is enough to recall that for the great French sociologist, the reality is relational and social action is always situated in a complex balance between subjective characteristics, capital allocations and dispositions and objective situations, which are the fields of social action (Bourdieu, 2003). Difficult to place within any academic classifications or schools of thought, Bourdieu defines himself as a structural-constructivist. In fact, Bourdieu's theoretical thought is condensed at best in the analytical formula (habitus\*capital) + field= practices (Bourdieu, 1983). In one of his greatest works, *The Distinction*, Bourdieu explains how social space is always the first and last reality, what then determines our representations. That's why the notions of habitus, capital and field can not be separated one each other. In this sense, the real is relational: *'To the relationship a bit naive between individual and society, Bourdieu replaces the relationship between habitus, field and capital, to use his own words "between the history incarnated in bodies" as a "system of dispositions," and "the history objectified in things," in the form of systems of positions.'*<sup>143</sup> And it is precisely by looking at the habitus, the capitals, the fields, the dispositions and positions that we will try to analyse the changing world of labour and the crisis of the welfare state described by the reports of the SA's significant witnesses.

### CHAPTER III

#### The structural-constructivist approach to post-fordist welfare and labour

Taking a step back, Bourdieu showed us how to *'[...] exist in a space, being a point, an individual in space, means to stand out, be different [because] what we commonly call distinction, a certain quality usually held innate, [...] in reality is difference, scrap, distinctive feature, a relational property that exists only in relationship with other properties and thanks*

<sup>142</sup> Niero, M., *'Il mix fra qualità e quantità nella ricerca sociale'*, op.cit, pg. 64

<sup>143</sup> Paolucci, G., *'Pierre Bourdieu. Strutturalismo costruttivista e sguardo relazionale'*, Op. Cit., pg.12

to them'.<sup>144</sup> And given that: *'The social space is constructed so that agents or groups will distribute themselves according to their position in the statistical distributions following the two principles of difference unquestionably more efficient in advanced societies [...]: the economic capital and cultural capital.'*<sup>145</sup> So, it appears clear how differences in positional space produce different social dispositions, which in turn lead to different practices and position-takings (Bourdieu, 1983, 1995, 2005). In this sense, *'the habitus is the generating and the unifying principle which translates the intrinsic and relational features of a position in an unitary lifestyle, that is a unified whole of choices, practices, and goods. As the positions which are produced by, the habitus are differentiated, but also differentiating. Separated, distinguished, they are also operators of distinction [...].'*<sup>146</sup>

So, how suggested in *The Distinction*, positional differences, practices, material endowments, opinions and values, they all can be read as a language, that is, as symbolic differences constituted exactly by the fact that we distinguishes ourselves. Our diversities, willy-nilly, are communicated and read by those around us as distinctive signs, which unconsciously form in turn a symbolic system informing social interaction (Bourdieu 1995, 1983). A symbolic and praxeological system that determines the representations of social reality, reproducing itself through the habitus dialectic between incorporation and externalization of social structures (Bourdieu, 1983). To be understood, however, this reproduction need the application of the "principle of distinction": *'[to] seize structures and mechanisms [the researcher] can identify the real differences that separate structures and dispositions (habitus), whose principle must be sought not in the singularity of natures [...] but in the particularities of different collective stories.'*<sup>147</sup> How can we identify the differences, avoiding ideological traps and interpretative distinctions, that is, not to confuse the things of logic for the logic of the things (Bourdieu, 1995)? It is precisely at this point that the bourdieusian constructivist approach can be blended with the interactionist tradition. This means that it will be important to scrutinize actors' symbolic language of practices and positions within their social space.

In fact, if we try to read the social space identified with the situational maps through the bourdieusian theoretical framework, that is, by applying the formula  $practice = (habitus * capital) + field$ , it is possible to interpret the various fields of labour and social protection as one large single structure, within which move and interact different habitus in terms of position and capital equipment. Thus, the social space outlined opens up in front of our eyes as an intricate set of Fordist and post-Fordist practices and position-takings. Which, in turn, we can imagine that they reproduce themselves thanks also to the incorporation in the habitus of the dispositions implemented by the institutional structure of production and welfare. Thus, what are the differences between the risks and needs that the contemporary post-Fordist social space produces in respect to the risks and needs belonging to the past Fordist society? That is, what are the significant differences in the social space that today we are not able to fill? If we recognize that our welfare systems, in particular the mechanisms of income protection, still respond to the risks and needs of today post-Fordist practices with logic and tools created in another era, we can note how we are facing a social space torn by opposites conflicting clutches. For this reason, today many post-Fordist economic and social practices contrasts with an anachronistic institutional structure of social protection.

In this way, it is conceivable that many habitus, especially those post-Fordist, come to find themselves in a condition of internal dyscrasia, being forced to incorporate, on one hand, the structural and structuring Fordist dispositions in the relationship with social institutions

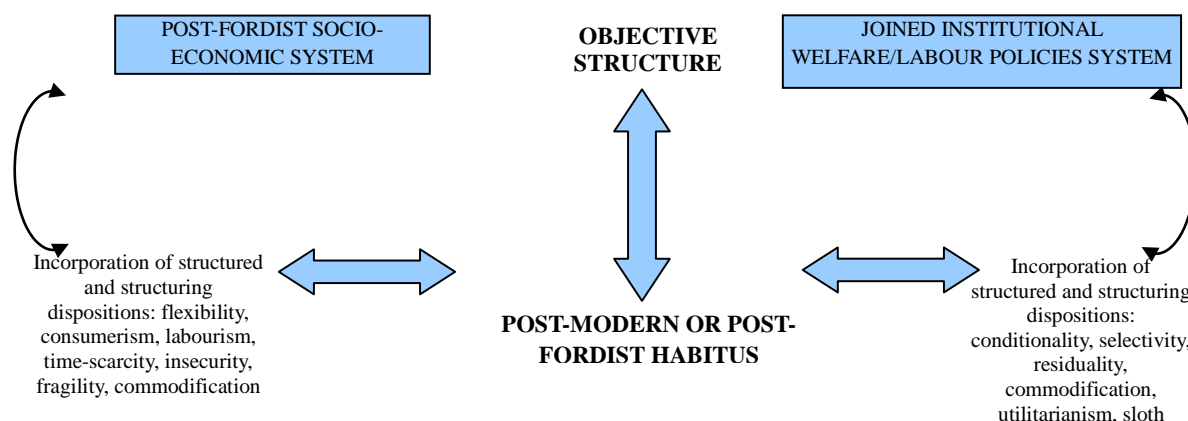
<sup>144</sup> Bourdieu, P., *'Ragioni pratiche'*, Il Mulino, Bologna, 1995, pg. 18 - 21

<sup>145</sup> Ivi, pg. 19

<sup>146</sup> Ivi, pg. 20

<sup>147</sup> Ivi, pg.15

and, on the other hand, to experience post-Fordist fields of work and life. This contradiction shows itself through problematic position-takings, empirically objectified by social phenomena such as unemployment, marginalization, insecurity and so on. This discrepancy can be understood as the problem to which Bourdieu referred talking about '[...] *the genesis of mental structures and classifications, [so] the social science must question the relationship between the principles of division, and the social divisions at their ground [...]*'.<sup>148</sup> Therefore, the result is a social space in crisis, vividly narrated by our privileged observers during the SA, and characterized by fewer and fewer latent conflicts, concerning the recognition of differences and the redistribution of resources, especially with regard to the economic and cultural capital. However, as mentioned, the social space tends to reproduce constantly itself through the dialectic between structural position-takings and dispositions, which are then incorporated and reproduced *in and by* the habitus.



Therefore, we can assume that a post-Fordist system of social protection, understood as a structured and structuring structure, to heal the contradictions in which is located in respect to the social and production system, it should be able to recognize the differences between his habitus and their position-takings. This recognition, however, can not occur as it has happened so far simply by doing an operation of distinction. That is, through the institutionalization and the assignment of some *catogoremi* that transform subjects' predicates in distinguishing attributes (ex: being unemployed and being recognized as the unemployed or the idler). Attributes that in the event of unemployment, marginalization and diversity are in general always negative black marks or stigma that they '[...] *make come out the difference from the continuum of indivisible discrete units, from what is undifferentiated*'.<sup>149</sup> However, how do the institutionalized structures of welfare and labour perform these operations of distinction? Here it comes again the important role of the researcher. To understand the differences we need to see, and correctly interpret, the symbolic language made up of material equipment of capital, practices and positions.

Well, deepening the theoretical reflection, if we try to read the dichotomous pairs of attributes *universality/selectivity* and *conditionality/unconditionality* on which are based the assumptions of our welfare and labour systems as *criteria of division* that '[...] *generating concepts, they also give a shape to the groups*'.<sup>150</sup> In that moment, institutionalized and culturally rooted social divisions would become principles of division, modelling the vision of the social world and inscribing the existing social order into brains and bodies. Fordism has left us a social order marked by deep categorical divisions: *employed vs unemployed, inoccupied vs. active, excluded vs included, worker vs slacker, marginalized vs. integrated, rich vs. poor, toxic vs intact, healthy vs sick, disabled vs. able-bodied*, etc.. These divisions have slowly inscribed in the cultural DNA of our advanced society and in their institutions.

<sup>148</sup> Bourdieu, P., 'La Distinzione. Critica sociale del gusto', Il Mulino, Bologna, 1983, pg. 458

<sup>149</sup> Ivi, pg.473

<sup>150</sup> Ibidem

However, the more the production system moves from the generation of added value through goods to the production of added value by symbolic means (and the money is the most powerful among them), that is, the more our economy de-materializes, the more crystallized social divisions with which we read and organize social reality are transformed into '[...] *incorporated limits [...] borders, with whom we come up against, and that we need to move.*'<sup>151</sup> The today crisis of welfare state and the tensions in labour market can be seen as objective manifestations of this struggle and of these borders.

The criteria of *conditionality* and *universality*, these fundamentum divisionis, diacrisis or discretio to employ the bourdieusian lexicon, are the basis of welfare systems and, more broadly, of the institution-citizen relationship. They represent a sort of invisible hand through which the dominant social structure has objectified itself inside the habitus of people, in their beliefs and in their logic; determining in general their positions and practices. This does not mean that social actors are entirely forged by social institutions like automatons, but simply that over the years the action of these institutions has rooted itself in the wide culture of the society. However, as social actors are not automatons, and although the habitus consists of classification schemes unconsciously acquired, human being is ontologically something more than his habitus, or rather, it is not only that. Thus, we are also able to observe different practices and values from the those dominant.

As far as we are concerned, the purpose of the research to be undertaken will be to try to bring out some of the cultural devices at the root of social statics, those principles of reproduction which enrol in bodies and brains and, like the taste in *The Distinction*, we believe they can be represented by today's welfare state and labour challenges. In fact, if we assume that the conditional and instrumental rationality institutionalized by the systems of income protection and by the labour market has been constantly introjected and incorporated by social actors' habitus: '*The cultural obstacles can no more be ignored: the idea that any public subsidy should be linked to a direct and tangible counterpart is deeply entrenched in public opinion.*'<sup>152</sup> So, it is plausible that this incorporation helps to create that productivist and workfarist culture, which makes us look at the changes of the production system in a purely economic perspective. In this sense, economic growth becomes a dogma, the worker is a commodity or, if expelled from the labour market becomes an unemployed person, guilty for not activating himself enough, or again the beneficiary of any type of institutional support becomes only a burden for the whole society and, in turn, welfare state comes to be seen as a mere cost to be reduced. All that, within an overall weakening of the role and meaning of the democratic state. This, according to the bourdieusian theory, we postulate that happens because *conditionality* and *selectivity* become '[...] *cognitive structures activated by the subjects to discover in the practical form social world [...]*'<sup>153</sup>, constituting themselves as incorporated social structures.

However, in this phase of structural change of the world of work, these social structures incorporate in very different habitus. In fact, simplifying for analytical purposes, we can divide the values and the practical attitudes of post-modern social actors into two main groups, typical of all the transitional stages: *old* habitus and *new* habitus. On the one hand, we are dealing with social actors mostly characterized by Fordist habitus, anagraphically older, culturally rigid and praxeologically hierarchized or hetero-direction used. On the other hand, we can rather observe different shades of post-Fordist habitus, anagraphically younger, more culturally opened and praxeologically flexible or more willing to self-organization. So, if we were to recognize social differences even within labour market and social protection' logics, may we be able to imagine a change in the contradictions of the social space? To put it more

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<sup>151</sup> Ibidem

<sup>152</sup> Ferrera, M., '*Il reddito di base incondizionato fra politica ed istituzioni*', in notizie di Politeia, 28, 105, 2012, pg. 64

<sup>153</sup> Bourdieu, P., '*La Distinzione. Critica sociale del gusto*', op.cit., pg. 458

schematically: If we vary the economic capital endowment within the formula *practice = (habitus\*capital) + field*, could we get different position-takings and, therefore, alternative social practices? And, in turn, these changes can shed light on the structural incorporated dispositions of *conditionality* and *selectivity*? Is it possible that, ensuring a basic economic capital to all social actors, the reproduction of such contradictions interrupts? Can the duty to work and the dogmas of productivism/consumerism be reconciled with the reality of a technological productive system that generates an enormous wealth with less and less manpower, and whose productivity depends on the quality and creativity of the society as a whole (Fumagalli, 2006)? Can this reconciliation take place through a structural variation in the relationship of dispositional incorporation, that is, through the objectification of a more equal and unconditional distribution of economic capital?

## **Conclusion:**

### **CHAPTER IV**

#### **A possible design of research**

In order to recognize the internal contradictions to the post-Fordist socio-economic dynamics, it will be necessary to adopt a pragmatic approach that integrates quantitatively and qualitatively the research perspective. Therefore, it will be particularly useful to follow part of the methodological pathway traced by *The Distinction*, in which qualitative and quantitative research techniques have found a functional synthesis through a sequential-exploratory research design (Niero, 2008). In fact, as the SA previously conducted represented just a first step of a broader research, even in *The Distinction* a major quantitative survey has followed to an initial series of exploratory interviews in order to impart a sense to statistical data (Bourdieu, 1983). However, while *The Distinction* investigated the mechanisms of differentiation analysing the social actors' aesthetic tastes in the France of the late 70s, we will try to apply the bourdieusian theoretical framework and the qualitative/quantitative technical approach to the study of post-Fordism and the crisis of welfare state. This, to understand whether those social problems that now seem intractable, may instead be read as testimony of those distinctions created by social and cultural structures. In fact, could be probable that such structures, disregarding those subjective differences invoked by the post-fordist production system, inscribe in social actors' bodies exactly those values and practices that they would counteract?

To do this, we will try to apply to a factorial-typological sample of social actors belonging to the post-Fordist Emilia region (the same studied with SA) a principle of distinction, implemented by an hypothetical change of one of the fundamental mechanisms of social differentiation: *the economic capital* (Bourdieu, 1995). And, it is precisely in this regard, that will return in all its heuristic potential the concept of basic income. At an operational level, however, the sample survey will be conducted either through the administration of questionnaires, either through in-depth ethnographies aimed at reconstructing the cognitive processes undertaken by the actors. Well, since being distinctive involves being significant (Bourdieu, 1995), to determine if a change in the allocation of basic economic capital can vary the dominant dispositions, freeing drives, aspirations, values and capacities in accordance with the post-Fordist pattern, the research will build a '*social space [that] means having at the same time the possibility of building theoretical classes as homogeneous as possible from the point of view of the two main determinants of practices and of all the properties that follow from them. The principle of classification thus put in place is really explanatory: it does not merely describe the set of classified reality but [...] takes a look at crucial properties that [...] allow to predict other properties, distinguishing and combining agents as much as possible similar between them.*'<sup>154</sup>

<sup>154</sup>

Ivi, pg. 22-23

Without running the risk of theory reification, from which Bourdieu warns us, the construction of an analytical social space, dividing Fordist and post-Fordist habitus in typed classes, will enable us to build a research similar to the one of *The Distinction*, but with a design based in the analytical phase on the convergence of qualitative and quantitative tools (Niero, 2008). In *The Distinction*, Bourdieu overlaps a cartography of the tastes and cultural practices to a cartography of social positions, determined by the configuration of habitus, economic and cultural capital. Thus, he traced those lifestyles featuring certain social groups, highlighting how they might act as operators of social distinction (Bourdieu, 1983). Well, what we shall try to do in our part is to build three maps to be compared: one concerning social positions (always determined according to the configuration obtained between Fordist and post-Fordist habitus and economic and cultural capital equipments), another relating to the axiological conception of human nature (taking the significant anthropological-ontological split between humanists and materialists emerged in the SA) and, finally, one that describes the possible practices in case of a change in the economic capital tied to the axiological criteria of *unconditionality* and *universality* (BI).

*Anthropological-ontological value judgments + social positions (F and PF Habitus) = culture of action (labour and welfare) → comparison with the expected social positions in presence of BI → Cultural Distinctions (values + practices) incorporated?*

In this way, we will try to obtain from the correspondences analysis between the first two maps a kind of *culture of social action* (in reference to work culture and the relationship debit/credit inherent in income social security). This can then be compared with the third map, the one of expected practices in presence of BI. Perhaps, correspondences analysis can highlight how changes or stasis in our actors' practices can produce or not some variations in their culture of action. Changes which, if found, would testify as the initial axiological positions (and the related distinctions) could be rather read as the result of an external culture to that of the actors. In this sense, it will be essential to use the concept of basic income, defined as a guaranteed and unlimited money transfer, approximately equal to relative poverty line, paid by a political community to all its members on an individual basis without distinction, combined and unconditional (Van Parijs P., Vanderborght Y., 2006 *Income for all*, 2009, *The Democracy of universal income*, 1997-Tiddi Mantegna, 1999).

The idea of a BI is a material change in the economic capital endowment and, at the same time, it condenses the criteria of unconditionality and universality; criteria opposite to those of the dominant *doxa*. For this, BI responds to the need to cause a break in the conceptual and mental habitus of the agents to be analyzed, this in order to arouse an interruption of those incorporated dispositional mechanisms that objectify the Fordist institutionalized structure of social protection and labour market management in contemporary post-Fordist habitus (*selectivity* and *conditionality*). Thus, the possible detection of changes in the expected practices and in social self-projected positions could serve to testimony the fact that the difference *exists and persists*. That is to say, the social world is complex and that even the institutionalized systems of welfare and of employment policies should recognize this complexity. For this reason, it is important to build also an adequate social space, capable of meeting the needs for reflexivity and *autopoietic-projection* required by the research. The differences detected, if one side are increasingly the lifeblood of the economic system, on the other side, remain hidden, unified or simplified at the look of social institutions appointed to combine the necessities of the social order with those of the economic order. They, ultimately, would like to demonstrate the *non-naturalness* of certain social distinctions and of certain clichés of the workfarist *doxa*, significantly exemplified by a famous verse of a popular Italian song: *who does not work, does not make love*. In addition, the adequacy of the sample will also be important to avoid some easy semantic

misunderstandings related to the expression: *basic income*. Misconceptions also emerged during the interviews with our witnesses and to be addressed in order to safeguard the reliability of the answers.

Well, in this way it will be precisely possible to test those hypotheses identified previously by our situational analysis. Clearly, as well Bourdieu reminds us, the argument itself triggers visceral ideological reactions as '[...] *the position occupied in the social space, that is in the structure of the different species of capital distribution, which are also weapons, determines the representation of that space and the position taken in the fight to conserve and transform it*'<sup>155</sup>. Talking about basic income inevitably means to challenge some balances, not only materially, but culturally and of power too, that impact directly on the positions taken by social actors in their struggles within the fields of reference. In fact, in response to those who see summarily basic income as a way *to make equally between unequal* (Gorrieri, 2002), we recall that *to give* everyone equally does not necessarily mean to not recognize differences, but rather to recognize a substantial equality that allows in turn *to treat* differences in a different way (for this, the writer is convinced that basic income is only a potential tool for systemic transformation, which would have the task of strengthening the overall welfare state framework, and not to dismantle it). The fundamental difference to be recognized, morally and legally, is contained inside the dialectic between the predicates *to give* and *to treat*. A dialectic that materializes itself through institutional provisions and that, in turn, is incorporated in the habitus. A dialectic which, in writer's opinion, has until now "given" unequally (systems of social and income protection) and "treated" equally only in certain areas (healthcare and education), so generating those social differences then objectified and internalized by the habitus as distinctions (quasi-natural characteristics of individuals: unemployed, toxic, the marginalized, the idler, the profiteer, the useless, the unproductive, the stranger danger etc..) However, here reflection slides into philosophical and political fields that are not within our competence. If the intent of *The Distinction* was not to state that: '*the motive of all human behaviour is the pursuit of distinction*'<sup>156</sup>, in the same way this research will not aim to demonstrate the effectiveness of basic income, or to assert that it could be a panacea to heal-all.

What will be built is rather an analytical social space, to bring out the objective differentiation mechanisms transmitted in the habitus of social actors by the social structures of labour market and welfare, through the objectification of selectivity and conditionality requirements. Criteria that can be read as symbolic and cultural obstacles to the idea of a basic income if brought back analytically to the values and dispositions of the structure. In addition, we will try to see how these structural differentiation devices generate in turn structured and structuring habitus, which are at the basis of those socio-economic issues highlighted in the situational analysis, in open contradiction with the practices of the new post-Fordist habitus. Thus, in short, through the breaking of of social actors' mental and dispositional frameworks, classified according to their capital endowments and their positions in the social space, by means of the heuristic operationalization of basic income concept, the intent will be to show how the institutional architecture of welfare state and labour market generates those distinctions that instead wants to tackle. In this sense, an integrated qualitative/quantitative design allow us, on one hand, to grasp the symbolic systems features of the objective social positions and, on the other, those of subjective dispositional systems. This will then take us, in the analytical phase, toward a Thick Analysis to interpret the deeper meaning of any observed variations. While it is true that '*societies, such as human lives, contain their own interpretation. You just have to learn how to be able to have access to it*'<sup>157</sup>, the concept of basic income, combined with those of habitus, capital and field, is going to be an attempt to

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<sup>155</sup> Ivi, pg. 25

<sup>156</sup> Ivi, pg. 21

<sup>157</sup> Geertz, C., '*Interpretazione di culture*', Il Mulino, Bologna, 1987, pg. 447



access this deeper meaning. A meaning that today seems to elude us, due to the insecurity and the frenzy of the socio-economic changes that are taking place.

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# YOUTH MEDIA IMAGINARIES IN PALESTINE: A HERMENEUTIC EXPLORATION

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## Abstract

A primary purpose of our paper is to demonstrate how young people in refugee camps in Palestine appropriate and reconfigure old and new media in the process of creating personal and social narratives. Focusing on Palestinian identity and selfhood, the project explores *how* and in *what* specific ways, children and young people engage with media forms to express their ideas of politics, citizenship, and democratic participation. The paper shall examine three Palestinian youth initiatives as case studies that span various media – magazines, radio, photography, video, and the new media – particularly the multiple uses of the Internet. Drawing insights from postcolonial and feminist epistemologies, media and cultural studies, certain strands of media education scholarship, the paper shall probe the issues through a set of inter-related questions. What are the salient features of the Palestinian youth media practices? What kinds of media narratives are produced and how do these relate to young people's notions of identity and selfhood? How do young people refashion the notion of the political? What do these media practices mean in Arab cultural contexts and settings? The researchers paid a visit to the Palestinian Territories and Haifa Israel to meet with youth media leaders and interview youth media writers.

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**Keywords:** Palestinian Youth, Palestinian Youth Media, Palestinian Identity

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A primary purpose of the project is to demonstrate how young people living in refugee camps in Palestine and as minority Palestinian Arabs in Israel appropriate and reconfigure old and new media in the process of creating personal and social narratives. Focusing on Arab Palestinian identity and selfhood (in Arabic *hawiyya* and *dhatiya*), the project explores *how* and in *what* specific ways children and young people engage with media forms to express their ideas of politics, citizenship, and democratic participation. Scholars have shown how young people can draw upon and combine a range of cultural materials – metaphors, symbols, local histories, global ideas – to produce a range of media narratives that are not only bracing critiques of adult-centered conceptions of citizenship, civil society, and public sphere, but also serving as pragmatic elaborations of the various notions (Asthana, 2009; Buckingham, 2007; Feilitzen and Carlsson, 2002). To these young people, citizenship is not as much a matter of contractual and legal obligations as it is a process marked by performative practices. For them, citizenship is as much about consensus as it is about 'conflictual' engagement (Miessen, 2007; Mouffe, 2007).

Palestinian youth share common legacies of socio-economic inequities, ongoing conflict, and the clash of religious and secular ontologies (Abourahme and Hilal, 2008; Bulle, 2009). However, their imagination is shaped not by despair, but to borrow Peter McLaren's (1993, p. 7) phrase, the "arch of social dreaming" – that is, a forum for sharing pain but also for constructing new hope through efforts that arch toward and eventually unite those whose

subordination appears to have minimized the possibility of their active struggle for an emancipated subjecthood.” Mamadou Diouf (2003, p. 6) noted that African and Arab youth are uniquely positioned to mediate across the local and global contexts, particularly in light of the failures of national political enterprises. Furthermore, Diouf argued that “looking beyond national borders, young people appropriate new technologies (digital and audiovisual),” to produce new narratives of democratic engagement. Appadurai (2002, p. 24), meanwhile, through his specific articulation of the idea of “deep democracy,” explains how poor people in the city of Mumbai, India mobilize and rework citizenship and “seek new ways to claim space and voice.” Likewise, Palestinian youth living in refugee camps and in Israel as minority Arabs are engaged in creating numerous media narratives that articulate interesting ideas of the *political*, one that stands in sharp contrast to dominant adult-centered understanding of politics.

The project shall examine four Palestinian youth initiatives as case studies to explore how the praxis of media education is being carried out, especially among poor, underprivileged children and young people from Palestine.<sup>158</sup> These case studies span various media – magazines, radio, photography, video, television, and the new media – particularly the multiple uses of the Internet. To study the various initiatives as case studies, the present project will deploy two methods – narrative and hermeneutic analysis of documents, policies, reports, youth-produced media content, and focused semi-ethnographic interviews with young people, youth media policy-makers, and program managers. Young people gain access to tools of media production in a variety of ways; from training and imparting basic to advanced technical skills, using production facilities and equipment to learning about script writing, story boarding, lighting, set design, page design, layout, digital graphics, and computers. The acquisition of media making knowledge and skills, embedded in the lived experience of young people, offers unique perspectives, a vision and a voice that need to be examined to understand how young people as authors and producers create imaginative ideas about themselves and the social world.

There are deeper issues at stake that relate to how young Palestinians engage with the media, which this project will identify and explore. For instance, some of these issues, stated above, can be better grasped through concepts like embodied practices, affect, and narrative identity. The project takes up the question of creation and production of media content in terms of dialectic between formal and cultural elements that go into the making of various media forms. Drawing insights from postcolonial and feminist theories, media education and cultural studies, the project sketches a praxis<sup>159</sup> oriented analytic framework by bringing together the idea of a “hermeneutic self” from Paul Ricoeur’s (1996) work, the notion of “social imaginaries” developed by postcolonial theory (Gaonkar, 2002; Appadurai, 2002; 1995; Chatterjee, 2004, Said, 2004), and new media studies concepts like participation, remediation, and bricolage (Lievrouw, 2006; Deuze, 2003; Bolter and Grusin, 1999). We probe the issues through a set of inter-related questions. What are the salient features of the Palestinian youth media practices? What kinds of media narratives are produced and how do these relate to young people’s notions of identity and selfhood? How do young people refashion the notion of the political?

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<sup>158</sup> Young people’s media practices span a wide range of activities – from learning technical, production, writing, and reporting skills to developing and deconstructing media content – and are closely connected to the processes of media education and literacy. In contrast to the common understanding of literacy as acquisition of technical, analytical and creative skills usually applied in classroom situations, curriculum development, and policy related legislations, Colin Lankshear, and Michele Knobel (2003) argue that the concept of media education and literacy is embedded in a range of social and cultural practices of reading, writing, and seeing.

<sup>159</sup> Praxis is understood “as a social or pedagogical process which enlists human efforts to understand the world more accurately in conjunction with a political will to transform social practices and relations” (Sholle and Denski, 1993).

## Background and Significance

The four Palestinian youth initiatives, *Baladna* (<http://www.momken.org/baladna/>), *Ibdaa* (<http://www.dheisheh-ibdaa.net/>), *Lajee* (<http://www.lajee.org/>), and *PYALARA* (<http://www.pyalara.org/>), accord a central role to media that ranges from disseminating information about their activities to training young participants as future journalists. In fact, a significant amount of media work relates to developing creative and critical media narratives in printed, audio, video, and digital formats. The young participants learn media making and production activities from local and international volunteers and mentors. *Baladna*, founded in 2000 in Haifa in Israel by the minority Palestinian Arab citizens of Israel, describes itself as a developmental and capacity building organization. A main purpose of *Baladna* is to promote the interests of the marginalized Palestinian Arabs inside Israel, and to seek a dialogue with larger Israeli society. An important part of *Baladna's* work relates to the articulation of Palestinian identity, wherein it is involved in “encouraging a Palestinian political culture based on pluralism and democracy capable of neutralizing factionalism and guaranteeing social and gender equity. And work to cultivate a healthy balance of pride and self-critique as a framework for developing genuine, durable individual and collective identity, strengthening youth capacity and enabling young people to express their leadership, cultural and creative potential.” The media projects developed by young people at *Baladna* involve the publication of a monthly magazine called “Shabab” and an online website “Momken” ([www.momken.org](http://www.momken.org)). In addition youth participants at *Baladna* have produced a photography project with support from Anna Thomin, a French volunteer, and a short film, “Against All Odds” with the help of Oriol Poveda, a volunteer from Spain.

The *Ibdaa Cultural Center* (henceforth *Ibdaa*, in Arabic *ibdaa* means ‘to create something out of nothing’) was set up near the Dheisheh Refugee Camp in Bethlehem in 1994. The media initiatives of *Ibdaa* are broad-based covering a range of grassroots activities: from the oral history and village documentation projects to digital storytelling and an online radio program called radio 194. A popular dance-documentary – “The Children of *Ibdaa*” – featured an interesting mix of Palestinian folk genres like *debka* to express the plight and struggles of Palestinian people in refugee camps. Through innovative use of computer labs across various refugee camps in the Middle East – Palestine, Syria, Jordan, Lebanon – young people at *Ibdaa* connected thousands of Palestinian refugees to each other and their homeland.<sup>160</sup>

The *Lajee Center* (henceforth *Lajee*, in Arabic *Lajee* means ‘refugee’) is located near the Aida Camp in Bethlehem and was established in 2000. Youth members of *Lajee* have been involved in producing a magazine, radio broadcasts, and a series of children’s storybooks and photographic projects with mentoring and training from the British creative artist and photographer, Rich Wiles. The photographic narratives offer powerful accounts of daily life in refugee camps, the aspirations and hopes of children and young people for a better future, and observations of nature and landscape in and around their camps and villages. The photo-exhibits and storybooks, “The Boy and the Wall,” “Dreams of Home,” “Our Eyes,” and “Flying Home” have been displayed at several locations around the world. The highly acclaimed children’s storybook “The Boy and the Wall” won several awards and, in addition, the film workshop “Dreaming in Palestine” resulted in several short films produced and directed by young participants at *Lajee*. The organization *PYALARA* (acronym for Palestinian Youth Association for Leadership and Rights Activation), established in 1999 in Jerusalem-Ramallah has taken a pragmatic approach to youth participation, stressing the leadership potential of young members through their rights. Several of these themes underpin the media initiatives pursued by young members of *PYALARA*, particularly from the monthly magazine,

<sup>160</sup> After the creation of Israel in 1948, Palestinians have been split into three groups, the Israeli Arabs (Palestinians living inside of Israel), Palestinians living in the occupied territories, and Palestinians in diaspora ((in Arabic, *Ghurba*) dispersed around the world.

“The Youth Times” to the regular television talk-show program, “Alli Sotak” (in Arabic, ‘Speak up’). With sponsorship and funding from the European Union and other international organizations, PYALARA is also involved in providing regular journalism training programs like “Journalism Across Boundaries” for the benefit of its young members, along with hosting a forum called “Tawasol” for young Palestinian journalists.

## Method

To study the various initiatives as case studies, the project will deploy two research methods: narrative and hermeneutic analysis of documents, policies, reports, youth-produced media content, and focused semi-ethnographic interviews with young people, youth media policy-makers, and program managers. The first stage of the research process will involve analyses of documents, reports, policy papers, and the multimedia materials (printed, audio, video, digital texts, and narratives), all of which may be considered “texts.” The narrative and hermeneutic analysis will be guided by Critical Textual Analysis (CTA), a methodology familiar to media scholars. CTA is appropriate for uncovering the deep meanings of texts (Denzin and Lincoln, 2000) and is valuable because it considers not only manifest content but also latent meanings driven by cultural nuances, and specific production settings and circumstances. As Jo Ellen Fair (1996, p. 8) writes, CTA “facilitates discovering how meaning is produced.” Two steps will be followed in carrying out the CTA: first, texts will be read repeatedly; and second, common themes will be identified and the entire body of text organized thematically.<sup>161</sup>

Margaret Somers’s (1994, pp. 618-625) reformulation of narrative provides two useful heuristic concepts that link her model with performative acts and embodied practices. Somers points out that narratives are “constituted by a person’s temporally and spatially variable place in culturally constructed stories composed of (breakable) rules, (variable) practices, binding (and unbinding) institutions and the multiple plots of family, nation, or economic life.” Somers specifies different types of narratives, out of which two are useful for our purposes: *ontological* and *public*. According to Somers, ontological narratives are “the stories that social actors use to make sense of – indeed, to act in – their lives.” In short, ontological narratives are about individual selves and their identities. Public narratives, on other hand, are “attached to cultural and institutional formations larger than the single individual, to inter-subjective networks or institutions,” where publicly shared set of beliefs get reproduced.

In the second stage of the research process, open-ended, structured and semi-ethnographic interviews with youth media policy-makers, program managers, media education trainers, mentors, and young people will be conducted at the four different locations in Palestine and Israel: Bethlehem, West Bank, Ramallah, and Haifa. For conducting the interviews, the specific IRB guidelines and protocols will be followed. The semi-ethnographic interviews will prove valuable because of what they will uncover about the planning, objectives, and intentions of the youth media policy-makers, and program managers. The interviews will complement the analysis of texts and will offer explanations of why and how texts are produced the way they are. Informants will be asked about their inspiration for producing media content, how and why specific messages were constructed, the meanings and purposes of messages, and general production goals, among other things. Informants will also be queried about how media products relate to notions of Palestinian identity and culture. There is growing interest in Palestinian youth media and the purpose that organizers and trainers hope to achieve.

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<sup>161</sup> These documents and multimedia materials will be transcribed from Arabic to English. The LPI and CO-LPI will also examine the symbolic and cultural meanings specific to the Arabic language. During the first stage of research, a research assistant will help the lead researchers in pursuing a detailed literature review of media education and media literacy published in the Arabic language. This is particularly important since a significant number of documents and multimedia materials are either written and/or produced in Arabic.

Julie Norman (254), who visited the West Bank around 2006, explains that youth media serve crucial multi-prong objectives where the end result is enhanced empowerment for youth through the camera lens or the airing of a journalistic report where the universe is the reflection of their daily perspective. Norman's analysis as to the potency of Palestinian youth media can be summed up with the following points:

- The bulk of the Palestinian-Israeli conflict coverage concentrates on perennial violence and top level decisions in world capitals. Accounts by communities and individuals, especially youth, are relegated to an auxiliary role. Young Palestinians through their youth media present a fresh perspective on occupation as seen by their own lens.
- Palestinian youth are frequently portrayed as either perpetrators of violence or hapless victims of it. Youth media alter the prevalent narrative and allow the budding reporters to share their stories in "proactive creative ways," thus nurturing the emergence of a different and more benevolent image.
- The mere process of youth media restores a sense of well-being, ability to function and lessens feelings of anomie and failure. According to a 2009 report by United Nations Development Program (UNDP), 80 percent of Palestinian youth suffer from depression.
- Palestinian youth media empower the young to express their views of the current environment in their own unique, reflective imaginaries

In order to personally assess the role of Palestinian youth media empowering the trainees to share their daily realities with the rest of the world, a field trip by the research team was undertaken to the West Bank and Haifa in Israel in early January 2013. During the eight-day trip, the team visited four youth centers, two in Bethlehem (Lajee, Ibd'a), Pyalara, one on the outskirts of Ramallah (the facto capital of Palestinian Territories), the last in Haifa, Israel (Baladna)

The team audio-taped interviews with trainers, young trainees and directors of the youth centers.

Some of the findings which emerged during the visit and later:

- The ability of youth to document the physical hardships and dangers they endure. Photo journalism and videography trainee Miras Al Az, was shot from an Israeli lookout six years ago when he was playing with other kids. Merely 13 the time, he shot a video which he narrated about his injury (see video)
- On April 9, 2013, videographer and former trainee Mohammad Al Azza, 22, grabbed his camera and rushed to document Israeli incursion into camp AIDA where the Lajee Center is located. He was warned by an Israeli soldier to stop taking picture: "You're shooting bullets, I am just taking pictures," Azza reportedly told the soldier. He was shot in the face with a rubber-coated bullet which shattered his cheekbone. (see pics of incursion and last pic Azza took of the soldier before he was shot).
- More often than not, the modus operandi of the trainees is to give youth a camera and tell them to go around shooting stories which reflect their culture, identity and their prism of reality. Frequently the subject of their daily reality is the eight-meter wall built around the West Bank.
- A number of trainees have come back, after getting degrees in journalism in the West Bank, to work in the youth centers, to train a new generation of budding journalists
- One of the assignments that youth remember fondly is when trainers armed them with cameras and asked them to go with grandfathers to their old villages and homes they had to abandon and document what they saw there.
- Some centers have magazines, others newspapers. Our Voice, a magazine by Lajee Center in Bethlehem empowered youth to write articles covering a wide range of topics. Each article had the youth's name and age, between 13-17. Only youth could write such articles as The Right to Play; Respect For the Views of the Child; The



Future of Our Camp; How Shall We Rebuild Our Village; Can We Palestinians and Israelis Live Together; Our Story With the Wall.

The magazine unfortunately ceased publication when its Belgian NGO withdrew support after the economic crisis hit the country.

- According to the director of the Pyalara Center, at the beginning Palestinian officials did not take the youth media seriously. One day a group of youth, enraged by poor school bus system, went to see the transportation minister. They confronted him with their journalistic tools: pens, notebooks and cameras. He was impressed. Now youth media are invited to press conferences.
- The position of Palestinian youth media in Israel is intriguing. As Israeli citizens they said they felt marginalized. As such, their biggest campaign now is to produce Public Service Announcements calling on young Palestinians to refuse army service. See examples of youth PSAs against public service.

Palestinian youth and their media are leaving their imprint on a society which traditionally did not believe in the role of young people.

As an assistant director of Pyalara put it:

“Young people are rarely regarded as partners and active members of the society.” (Rother, 229).

The four youth centers which are the subject of this society view their young charges as full partners who use the pen and the lens as a weapon of resistance and a conduit to document their daily realities. Below we offer some provisional analysis of youth media materials produced by young people from Baladna and Lajee.

## **Baladna**

For the minority Arab youth from the cities and towns of Haifa, Jaffa, Ramle, Lydda, and Accre in Israel, selfhood and otherness become central to the way they struggle to define their identities as both Arab-Palestinians and Israeli citizens, due to the burden of history, geopolitics, and Israeli state oppression. On the one hand, as Arabs they are denied basic citizenship rights by Israel, and on the other, as residents of Israel they are banned from entry to Arab countries. As residents of the so-called “mixed towns,” Arab-Palestinians live in poor segregated neighborhood “clusters” with little or no access to education and economic opportunities. Furthermore, the hegemony of the Hebrew language, inscribed in the governing logics of the state, the media apparatus, and other forms of public communication, has all but destroyed the Arabic language. What has emerged in its place is a strange hybrid colloquial “Arabebrew” that Anton Shammas (2007) argues is part of the ideological project of Zionism, designed to erase the linguistic and cultural identity of Arab-Palestinians in Haifa.

It is in this context that Baladna’s youth media projects explore the historical, cultural, and political dimensions of Arab-Palestinian identity. Broadly, Baladna’s youth media practices are conceived as projects for social change that appropriate ICTs and digital media in building collective solidarities among Israel’s Arab-Palestinians, between Arabs and Jews and in the wider regional/international community. Before discussing the youth media practices in detail, I offer a critical overview of Baladna’s overall institutional structure. Baladna, an independent youth-run organization from Haifa, was established in 2000 by a group of young Palestinian citizens of Israel—artists, community workers, feminist activists, journalists, and lawyers. While Baladna seeks to address socioeconomic inequalities and historic injustices at the hands of the Israeli state, it also questions dominant social practices of Palestinian society with respect to gender discrimination and religious ideology. Consequently, through this self-reflexive dual critique, Baladna opens up a space for debating pluralism, tolerance, democratic engagement, human rights, collective memory, and identity. Baladna’s activities are carried out through a wide network of partnerships with local, regional, and international youth groups, NGOs, and quasi-governmental agencies. Some of the partnerships have

resulted in translocal production and sharing of knowledge—particularly through the uses of the ICTs and digital media forms—about identity and community, which this chapter will examine in later sections. What is worth pointing out is the ability of Baladna’s youth participants to build local-local links as sites for exchange of memory and collective identity that might, perhaps, offer a way forward in reconciling the entrenched power-geometries in the Israeli-Palestinian conflict. To this end, “Baladna assures that Arab youth in Israel have access to a wide range of views and perspectives by linking Arab youth with the international community, regional Palestinian groups, and local Jewish groups.”<sup>162</sup>

Each year, around 30 to 40 university students are selected to participate in Baladna’s key project, the Youth Leadership Training Course, which extends over three months. The youth participate in a series of lectures, workshops, and debates covering topics around the history of Arab-Palestinians in Israel, Israel’s policies of discrimination, human rights, and democracy, as well as the changing configurations of identity, gender, and family structure in Palestinian society as a result of globalization. In addition, youth participants watch films and tour neighborhoods in towns and villages. According to Nadem Nashif, director of Baladna, one of the main purposes of the training course is to prepare youth for community-based activities. Two other youth projects, the Public Achievement Model and the Interregional Encounter, offer young people avenues to engage with local communities in resolving issues relating to public housing, health, street cleaning, environmental, educational needs, etc. Baladna organizes field trips for high school students from Haifa who visit historic sites such as Golan, Nazareth, Bethlehem, Jaffa, and Accre to understand the bygone culture of coexistence among Jews, Arabs, and Christians. Baladna’s youth participants have been involved in undertaking regular work camps where Arab-Palestinians and Jewish volunteers work side-by-side cleaning public spaces, fixing old homes, planting trees, etc. Baladna adapted the Public Achievement Model that had been developed at the Center for Democracy and Citizenship, Hubert Humphrey Institute for Public Affairs, University of Minnesota. Adapting the Humphrey Institute’s framework for community development programs, Baladna has localized and extended it as part of their agenda for social change in Haifa.<sup>163</sup> The interregional encounters enable a shared sense of community among young Arab-Palestinians from different regions of Israel. A notable feature of such encounters relates to increasing conversations between Arab-Palestinians and Jewish youth. Building upon the success of these conversations, Baladna developed the Jadal (debate) project that was led by the local Arab social movement Haifa El Fattah and sponsored by the Open Society. While the Debate through Dialogue program trains youth in critical thinking, debating skills, and techniques, the underlying idea is consciousness-raising and the cultivation of a tolerant and creative generation of young Palestinians. Since 2008, Baladna’s youth have been debating Israel’s controversial national civil service plan, which was designed for orthodox Jews and Arab-Palestinians to participate in voluntary civil service as a prelude to national military enlistment. In fact, Baladna argues that the civil service plan is undemocratic and a pretext to erase Palestinian identity. As part of the debate project, young people produce short videos of debate workshops that enable them to explore the topic in greater detail. A few videos posted on Baladna’s website examine the implications of the civil service plan for Palestinian identity, arguing against enlistment in the military because Israel’s army is fighting against Arabs and Palestinians.

Baladna’s youth media practices—*Shabab* magazine, photographic projects, and digital stories—explore interesting facets of Arab-Palestinian identity from a number of perspectives—historical, cultural, and political. Several media narratives deal with particular aspects of relational histories of Arab and Jews that make visible the overlaps between Arab/Jewish cultural identities. Recently, Baladna has begun to explore the role of hip-hop

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<sup>162</sup> <http://www.momken.org/baladna/en>

<sup>163</sup> Baladna, Annual Report, 2006.

and other poetic forms in articulating relational identities. Artistic and cultural practices such as hip-hop among Arab-Palestinians have been used to reconfigure the state discourse on identity and to bring back to the public arena larger socioeconomic issues such as endemic poverty, lack of employment, and state discrimination (Stein and Swedenburg, 2005).

At one level, Baladna, like other Palestinian groups, is involved in gathering and organizing oral histories on the Web and in other published formats, in what Doumani (2007) characterized as “archive fever” among Palestinians. Baladna’s youth media practices are engaged in refiguring identity by recuperating aspects of Palestinian collective memory in terms of its performative dimensions. While the question of memory for Palestinians is connected to *Al-Nakba* (the Catastrophe), the creative retelling and narration via media forms enable young people to grasp the multiple genealogies rendered in oral accounts, songs, letters, old photographs, personal objects, destroyed villages, etc. The presence of the past in *Al-Nakba*, reactivated across several social generations, finds a complex rendering in youth media practices where particular aspects of collective memory are translated into projects of social change. What is interesting in youth media projects is their ability to creatively rework oral histories and collective memories to produce narratives of empowerment that offer deeper insights into youth identity, selfhood, and otherness. Bodily practices and performativity have always been central to the articulation of Palestinian identity in public spaces such as Israeli checkpoints, to reactivating memories of *Al-Nakba*, and to other forms of resistance. The performative aspects of artistic expressions—songs, hip-hop lyrics, dance, music, theater, etc.—via ICTs and digital media have opened up and expanded the spaces for youth to refigure their identity and citizenship in terms of doings that reveal the affective and embodied elements of youth experience.

### **Lajee Center, Aida Refugee Camp**

Aida refugee camp in Bethlehem, established in 1950 by the United Nations Relief and Works Agency (UNRWA), is one of the several refugee camps that dot the Palestinian landscape. The camps, an outcome of the creation of Israel in 1948, are composed of hundreds of shanty homes where around 5,000 third-generation Palestinian refugees live. Lajee was established as a community-based grassroots cultural center offering the refugees avenues for exploring Palestinian traditions. Over the years, Lajee has developed a range of political and cultural initiatives centering on freedom, justice, and the right of return of all Palestinians. It has three main initiatives: *dabke* (traditional Palestinian folk dance), human rights workshops, and the new generation project (Al-Nashia). Both *dabke* and Al-Nashia are designed to recuperate Palestinian cultural memory in terms of oral history and performative practices. Through *dabke*, Lajee seeks to commemorate Palestinian national identity by reinterpreting the cultural traditions. (In the later sections of this chapter I will discuss the complex ways in which youth relate to Palestinian national identity.) The new generation project, Al-Nashia, is an extensive workshop where young people are trained in cultural remembrance of *al-Nakba* and in building cultural memory. The human rights project deals with enunciating children’s rights through the United Nations’s Convention on the Rights of the Child (CRC), as well as basic human rights issues in the region. A major component of Lajee’s activities centers around arts and media projects for children and youth aged fourteen to twenty-five. These projects include photography workshops, digital stories, radio podcasts, and a bilingual quarterly magazine that is published in Arabic and English. Lajee also uses the Internet as a platform for the youth-produced media. Young people are trained in the various aspects of media making by adult staff, mentors, and full-time volunteers who design specific workshops that continue over several weeks. The youth media narratives cover a wide array of subjects and topics that are developed as journalistic reports, features, short documentaries, and fictional stories. Topics deal with the daily lives of refugees in their camps, their ancestral villages, conversations with grandparents, the Palestinian right to return, children’s rights, etc.

Although Lajee refers to the youth-produced media as tools of resistance, several narratives explore Palestinian artistic and cultural traditions that offer glimpses into the particular ways young people explore their traditions. While such explorations into Palestinian traditions are fragmentary, they question certain dominant social practices like gender inequality within their own communities.

### Lajee's Media Projects

Over the years, numerous photo workshops have been conducted by the British photographer and volunteer Rich Wiles, who is also actively involved as an editorial member of Lajee's magazine. Several of the photo-essays have been published and also are available on Lajee's website. The photo-essays are evocative accounts of young people's daily lives, reflections on their dreams, hopes, and nightmares, and conversations with grandparents about their ancestral villages. Young people also produce short digital stories that are composed of series of still images with audio—either commentary or music, or sometimes both. More recently, Lajee initiated the radio podcast projects set up by an Australian volunteer, Daz Chandler. Young people use inexpensive software and low-end ICTs to produce a weekly podcast that can be accessed on the Lajee website. The eight-week radio podcast workshops have generated great enthusiasm among the youth from Aida camp. Apart from the ability to operate and use low-end ICTs and digital media, youth gain exposure and learn about the arts and skills and journalistic practices that underpin media-making processes. Young people receive extended education and training in a wide variety of subjects and are involved in producing Lajee's quarterly magazine, *Our Voice*. Every year, 60 youth participants, male and female, selected from Aida and other refugee camps in Bethlehem, participate in lectures/workshops over several months. The youth participants follow a structured syllabus based on the following subjects: children's rights, human rights, democracy and peace-building strategies for conflict resolution, gender equality, journalism, and photography. The lectures and workshops are led by academics and media professionals from Al Quds University and Birzeit University in Palestine and by other volunteers from outside Palestine. Some of the former youth members of Lajee lead the discussions on several topics. At the end of each session, the participants divide themselves into groups and begin developing ideas for features and stories for the magazine, collaborating on layout, graphics, photography, etc.

While all media projects at Lajee discuss issues around children's rights, *Our Voice* magazine offers a focused approach in articulating key principles of the UN Convention on the Rights of the Child (CRC).<sup>164</sup>

Lajee's radio podcasts scripted and produced by children and young people deal with a wide variety of personal, local, and global topics. Although the radio broadcasts are available on the Internet as podcasts, they utilize several low-tech applications through which children and young people produce radio narratives. On most occasions, Lajee's young members bring creative ideas regarding their view of the world that are then united with their right to expression. Interestingly, the young broadcasters do not think of their listeners as passive receivers; rather, in an uncanny way, they seem to dissolve the perceived separation between speaker and listener—a separation that Walter Benjamin termed the major flaw in the makings of the institution of radio. This offers us an interesting perspective, which on the one hand critiques the institutional epistemology of radio, and on the other hand offers a potential for creating dialogue via the Internet to produce forms of empowering and enabling communication. The motivation to become a radio broadcaster demonstrates that children seek to go beyond merely using media to voice their opinions. Rather, the abiding interest in radio has led numerous children to express their desires to pursue professional careers as civic broadcast journalists. While we may perceive this as an instance of what Appadurai

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<sup>164</sup> In 2009 the magazine received funding from the European Union and the nonprofit organization Broederlijk Delen.

characterized in terms of technologies altering relationships between identity, subjectivity, and social imagination, a notable feature of Lajee radio is the production of specific aspects of Palestinian soundscape that become available to other Palestinians living as exiles in the Middle East and other parts of the world. These radio stories via the Internet lead to the possibility of forging a network of translocal relations where place, identity, and subjectivity all tie into multiple registers: memories of their homeland, and a longing for return that Edward Said (2004: 133) characterized as having far-reaching pedagogic implications. Similarly, other media projects of Lajee are involved in forging translocal networks of relations. Through such connections and networks, young Palestinians are involved in crafting new forms of political spaces while at the same time archiving their memories of displacement and dispossession.

### **Photo-narratives**

The photographic projects and digital stories incorporate hundreds of still images either taken by the young people themselves or assembled from newspapers. The photo-narratives provide evocative glimpses into the disruptions in the everyday lives of young people, their families, and community. Yet, the young people do not seek the viewer's sympathy; rather, they demonstrate steadfastness (*sumud*) and resilience in the face of atrocities. Children and youth participants at Lajee pursued a series of media and photographic workshops over an extended period of time. After receiving training and mentoring from Rich Wiles, the young people undertook several photographic projects to document life in the refugee camps where they lived; interviewed their own grandparents about the villages they were forced to flee during the *Al-Nakba* in 1948; later traveled to these depopulated villages to take pictures of the empty places, rocks, streams, cactus and olive trees, and the landscape; and talked about their dreams and nightmares. With this method, Wiles pointed out, it is not just the act of photography but the entire process of collaborative thinking and creating media together that constituted learning and education. Children began to write and sketch out their deep-seated feelings, hopes, and anxieties and gradually began talking to other participants and peers about their feelings and emotions. According to Wiles (2006: 1), initial workshops discussed the ideas of the project and what it was that participants wanted to say with their work. Basic notions of composition and light were discussed along with creative ideas about visual storytelling and photographic documentary work. Participants then worked daily, shooting images around Aida refugee camp and also the neighboring Al Azzeh camp.

The photography project created by young people at Lajee, *A Window to Our World*, a series of still images with short captions, was exhibited at several centers around the world. The photographic exhibits were also used in British schools to familiarize school children about the lives of Palestinian children. Developed and published in a photo-essay format, the images depict life inside a Palestinian refugee camp, showing cramped lanes and cluttered houses with adults and children working and playing. For instance, Nimer Al Azzeh's photo of a girl standing in front of her home and Miras Al Azza's photo of two girls playing in a narrow street of Aida camp were placed next to each other with commentary in English and Arabic (Figures 3.1 and 3.2). In English it reads: "I want to take photographs again. I want to take pictures of a park with people playing in it. I would also like to photograph a beautiful city with wide streets that isn't crowded with narrow streets like the camp." Although the images render the palpable misery and suffering of people, the gestures, sighs, and bodily dispositions of people in those images evoke steadfastness and fortitude that resemble what many have characterized as *sumud*, a Palestinian approach to life. The photo project, *A Child's Rights in Palestine*, explored the idea of human rights among the Lajee participants. The children, eight boys and twelve girls, all students from the United Nations Refugee Welfare Association schools, participated in several sessions on children's rights. Later, the

young participants took pictures that portrayed different aspects of children's rights. Describing the irony of the situation and the accompanying pain and anguish, Wiles (2006: 50) stated, "a couple of hours after the exhibition had opened in Aida Camp a 13-year-old child was shot in the head with a rubber coated steel bullet by the Israeli army less than 100 meters from the gallery in which children had proudly showed their work discussing human rights protection for children, a child's rights in Palestine."

Another project, *Dreams of Home*, is based on children's interviews with their grandparents who lived through the *Al-Nakba* events of 1948.<sup>165</sup> Following the interviews, the children visited the eight villages around Jerusalem, Bethlehem, and Hebron to take pictures of the now depopulated villages. Thus, each child explored his/her grandparents' village and compared its present state with the grandparents' recollections. The project was published in the form of a photo-book. Ahmad Ibrahim Al-Aaraj, a fifteen-year-old visiting his ancestral village Al Walaja, in North Jerusalem, writes:

The visit revived my tired feelings, and empowered my hope and belief that we will return. I drank from Ein Al Hanieh, one day my grandparents drank from this spring. I ate from the big fig tree that was planted by my great grandfathers. I will never forget this. I filled a bottle of water and gave it to my grandfather, Abu Fahmi, he was very excited. I felt proud and said to myself: how could he bear all this pain being a refugee in a camp that is located only 5 kilometers from Al Walaja.<sup>166</sup>

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<sup>165</sup> <http://www.1948.com.au/2008events/melbourne/DOH/DOH.html>

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# THE UN AND PEACEBUILDING PROCESS: PROSPECTS FOR DEVELOPMENT

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## Abstract

The article focuses on the Peacebuilding Commission (PBC) activity as the UN intergovernmental advisory body that provides peace efforts in countries emerging from conflict, becoming one of the first evident achievements in the UN reforming process. One of the key points of the article is concentrated on the Peacebuilding Fund's efforts in stabilization, economic recovery and development of the countries after periods of crisis. Analysis of the PBC activity indicates several specific points. The first one is that we can admit attempts to underline a dominant role of the General Assembly in the prejudice of the Security Council authority. The second – striving to use the platform of the Commission for political debates on situation in post-conflict countries. Russia has been supported the idea of the Peacebuilding Commission foundation from the beginning, taking an active part in development of guidelines that define the PBC terms of reference, structure and relations with other UN bodies.

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**Keywords:** Peacebuilding, the UN bodies, initiatives and Russia

## Introduction:

Established in 2005, the Peacebuilding Commission (PBC) was seen as a milestone event, which should open new perspectives for the residents of the countries that emerging from conflicts. This initiative became the first achievement of the UN reform process. [1, 2]

The Commission acts as an intergovernmental advisory body that oversees international peacebuilding efforts and build up recommendations on stabilization, economic recovery and development of the countries faced "hot" periods of crises.

## I.

PBC builds its activity at the junction of the UN Security Council, Economic and Social Council (ECOSOC), representatives of international financial institutions and donor community efforts. By the creation of the PBC, international community has shown willingness to make extra efforts in order to those countries, which had faced an acute phase of a conflict, would not be at risk of recurrence of a crisis, after the main stage of peacekeeping through the UN or regional organizations will be finished.

Russia from the beginning supported the idea of the Peacebuilding Commission foundation. Representatives from Russia took an active part in development of guidelines that define the PBC terms of reference, its structure, relationships with other UN bodies. It was particularly emphasized that the Commission's activity should be developed with an active involvement of the Security Council, whose agenda was settlement questions in a particular country for a long time.

Due to the three-component architecture of the PBC, which includes the Organizational Committee, Country-Specific Configurations and Working Group on Lessons Learned, the UN Peacebuilding activity provides satisfaction of post-conflict needs with a focus on six



main areas. At present, Burundi, Sierra Leone, Guinea-Bissau, Central African Republic, Guinea and Liberia are on the agenda of the Commission.

The PBC Organizational Committee brings together 31 member states. It has seven members selected by the Security Council, seven members elected by the Economic and Social Council, five of the top providers of assessed contributions to United Nations budgets and of voluntary contributions to the United Nations funds, programs and agencies, including a standing Peacebuilding fund, five top providers of military personnel and civilian police to United Nations missions, seven members elected by the General Assembly, taking into consideration representation in the Commission all of the regional groups and countries emerging from post-conflict reconstruction.

PBC was established as a special institutional mechanism to satisfy special needs and to assist countries in establishing the foundations of durable peace and sustainable development. That is especially topical for the countries emerging from a conflict. With full support of the first two countries, included in the PBC agenda - Burundi and Sierra Leone, and through the PBC Country-Specific Configurations (CSCs), PBC began the processes of interaction with relevant organizations of the UN family and other ones, which participate in peace-building in the abovementioned countries.

The Commission has used a variety of methods for its work. These methods included peacekeeping operations, videoconferencing with key stakeholders in Sierra Leone and Burundi, creation of thematic structures and country-specific configurations, as well as special briefings for the UN highlight officials and other experts.

During the period from February, 2010 till January, 2011, the Secretary-General of the United Nations, Mr. Ban Ki-moon, the chairpersons of the Burundi configuration of the Peacebuilding Commission, Mr. Peter Maurer and his successor Mr. Paul Seger, as well as Ms. Judy Cheng-Hopkins, Assistant Secretary-General and head of the Peacebuilding Support Office, visited Burundi.

It was recommended to the Government of Burundi to provide the Independent National Electoral Commission (CENI) with resources required to fulfill its mandate and save its independence during elections in 2010. The PBC should provide connection between national and international electoral observers from the start of the first electoral campaign in 2010 through to the announcement of the results.

The President of Burundi officially launched the drafting process of peacebuilding strategy on the 12th of November, 2010. Good governance indicators must definitely be included in the new framework. Moreover, the problem of indicators will apply to all sectors of the new Growth and Poverty Reduction Strategy Framework. [3]

An important peculiarity of the PBC working methods is that provisional rules of procedure impose on the chairman of the Commission a task to provide conclusions and recommendations agreed by the member states on a consensus base in appropriate situations.

Taking into consideration existing strategies, frameworks in the countries, identified deficiencies and peacebuilding priorities, the Commission has also initiated discussions on integrated peacebuilding strategies development for every country.

The UN Peacebuilding Fund (PBF) has been operating since October 2006. It was established by the Secretary-General at the instance of the General Assembly. According to its terms of reference, the Fund's activity has the most important value in the very early stages of recovery efforts, when other funding mechanisms are not used. The Fund may support as the countries that are on the Commission's agenda, as other countries emerging post-conflict period. This is a separate mechanism of the Commission.

The PBF was created as an emergency peacebuilding fund for the purpose of addressing immediate needs in countries emerging from conflict. The Commission should play an important role in adoption of measures on the Fund's management, providing overall policy guidance on the use of the Fund's support in the countries it analyses.

As for September 2011, the Fund supports 193 projects in 22 countries. In accordance with its terms of reference, the countries which are not on agenda may be recipients. Russia attaches much significance to the PBF. The annual contribution to the Fund is two million US dollars.

The Fund has a multilevel management system in accordance with the UN General Assembly provides policy guidance through its resolutions to be agreed on the base of relevant reports of the Secretary-General. The Fund has an independent advisory group, which is determined by the Secretary-General.

The first countries received funding from the PBF were Burundi and Sierra Leone, then Cote d'Ivoire and the Central African Republic.

The PBC analysis indicates the following characteristic points. On the one hand, we can see attempts to underline a dominant role of the General Assembly in the prejudice of the Security Council authority, on the other hand, there was striving to use the platform of the Commission for political debates on situation in post-conflict countries, that is a new round of discussions, which had previously been in the UN Security Council.

One of dilemmas is in the way how the Fund's activity should dock with donor-funded programs of long-term development. The PBF acts - and this is expressed in its terms of reference - as a tool for peacebuilding financing at the very early stages when sufficient resources are not available. Experience has shown that the abovementioned peacebuilding process in Burundi and Sierra Leone took more time than it was expected. In the future, the UN country teams will need clear understanding of criteria for evaluating of peacebuilding needs. [5]

It would be better if coordination between the PBC and other structures as well as more careful preparation of Country-Specific Configurations meetings were enhanced. The PBC activity should be focused on development of agreed recommendations for the countries from agenda with a leading role of governments and in close coordination with the Security Council work on these dossiers. The process of the Commission establishment will be long enough to say that it is stably and effectively working. For this reason, it seems inappropriate to expand the PBC agenda by inclusion of new countries as well as to waste time and resources on abstract discussions.

Another conclusion from this research is that in respect of the Peacebuilding Commission (PBC) there is a problem of various forces influence. This is potentially a very dangerous trend, because if such an extension of the PBC responsibility will not be linked with finishing work on existing dossiers in portfolio, such a scheme is fraught with discredit this newly created body. Once there was a similar situation. The UN reputation was damaged in the second half of the 90's, because the UN was in charge of unbearable amount of peacekeeping tasks. The formula of the PBC effectiveness should include as a reasonable completion of the Commission's agenda as a timely finishing of previously made points.

The problem of highly qualified specialists for peacebuilding initiatives realization is also actual. As Alexander Pankin, the Representative of the Russian Federation to the UN, said at the UN Security Council meeting in March 2011: "One of important activities in international peacebuilding framework is formation of national reserve, consisted of highly qualified personnel of civilian experts in this field. The Russian Federation has submitted to the UN Secretariat lists of national experts in various fields. "

The current stage of international relations highlights the imperative of creating a special chapter in the UN Charter on international cooperation in the field of human rights. On March 15, 2006 the UN General Assembly adopted a resolution on the reform of the UN human rights activity. [4]

The key element of the resolution was the UN Human Rights Council (UNHRC) establishment, which replaced the United Nations Commission on Human Rights (UNCHR). Compared with abolished Commission, the status of the Council was upgraded to

a subsidiary body of the UN General Assembly, the number of member states was reduced - up to 47, certain criteria for membership were introduced, although all UN members states have the right to apply for the entry into the Council.

Human rights treaty bodies, an integral part of the UN human rights architecture, are expert committees, specifically created in accordance with basic international human rights treaties, in order to monitor states' compliance with their international obligations to promote and protect human rights.

Nowadays the following committees are in system of the UN human rights treaty bodies: Human Rights Committee (CCPR), Committee on Economic, Social and Cultural Rights (CESCR), Committee on the Elimination of Racial Discrimination (CERD), Committee on the Elimination of Discrimination against Women (CEDAW), Committee against Torture (CAT), Subcommittee on Prevention of Torture (SPT), Committee on the Rights of the Child (CRC), Committee on Migrant Workers (CMW), Committee on the Rights of Persons with Disabilities (CRPD), Committee on Enforced Disappearance (CED).

Until now the only untapped format of interaction was an intergovernmental discussion a wide range problems of human rights treaty bodies with the involvement of all UN member states.

On February 23, 2012 at the initiative of the Russian Federation, the UN General Assembly adopted a resolution on "Implementation in the General Assembly an intergovernmental process aimed at strengthening and improving the functioning of human rights treaty bodies." Co-authors of the resolution were Algeria, Bangladesh, Belarus, Bolivia, Venezuela, Vietnam, Zimbabwe, India, Indonesia, Iran, China, Democratic People's Republic of Korea, Cuba, Nicaragua, Pakistan, Syria, Sudan, Tajikistan, Thailand and Tunisia. The resolution was voted in 86 states and 66 countries abstained, none voted "against." The resolution was numbered A/RES/66/254.

The resolution provides launch of open intergovernmental process for strengthening and increasing functioning of human rights treaty bodies system in the framework of the UN General Assembly. It is emphasized that this process will be carried out via conducting of open, transparent and inclusive negotiations involving all member states, observer states, intergovernmental organizations and specialized agencies of the UN system.

The Russian Federation believes that adoption of this resolution and launch of the intergovernmental process within the UN GA will strengthen human rights treaty bodies system and will increase the effectiveness of an international regime of human rights promotion and protection in general. [6]

The Universal Periodic Review mechanism in separate countries (UPR) was created as a part of further reform of the UN human rights dimension. It has all possibilities to become one of the most significant elements in international human rights architecture.

Reviews should be unbiased and have an ultimate aim to promote full abidance by human rights, rather than promoting interests of a particular group of states, or even marginalization or conviction of certain countries. During the Universal Periodic Review it's necessary to consider the level of state's development, its social structure, religious and cultural traditions, governance system and other features.

Intergovernmental cooperation for human rights protection and promotion has been getting more and more important. In this case states should have major responsibility, and international institutions and mechanisms should play a supplementary role, helping to achieve the abovementioned goals through equal and mutually respectful dialogue considering national, religious, cultural and historical peculiarities of states, their level of development and socio-economic situation.

There is no doubt that human rights situation in a particular country may be legal concern for international community, but that does not mean that human rights issues can be used as a

reason for interference in internal affairs of a state. Such actions are considered to be flouting the universal principles and norms of international law, including the UN Charter.

The initial stage of the UN Human Rights Council has demonstrated that human rights are extremely tense and politicized area of international relations. The polarization of interests of different state groups made an extensive and constructive discussion of issues difficult, and led to politically motivated initiatives. The contradictions and differences between developed and developing countries on major human rights issues of our time not only have gone, but even became more apparent. A clear example of this situation is confrontation, which invariably accompanies the majority of discussions on "controversial" country subjects (Palestine, Sudan, Iran, Uzbekistan, Cuba, Belarus, etc.).

In general, debates on the UNHRC are evidence of existing watershed in conceptual understanding of human rights doctrine and tasks of the Council. The West is focused on individual rights and necessity of strict monitoring of their compliance, while developing countries support collective rights with the leading role of states.

### **Conclusion:**

In conclusion, coordination of generally acceptable approaches in the format of the UN is a very laborious process, providing thorough consideration of member states interests. Post-confrontational period has opened a new chapter in the UN development and it would be wrong to miss the opportunity to enhance international cooperation. As a result, today a number of achievements have been done on the reform way: the UN Human Rights Council and Peacebuilding Commission have strengthened their positions in the UN system and have achieved some success in human rights and peacebuilding, the UN global peacebuilding strategy in 2012 has been approved, mandates observation is carried out, decisions on revitalizing the UN GA are made. Work on the UN administrative reform is under way.

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# HOW TO MOVE STUDENTS FORWARD FROM ANALYTICAL AND SYNTOPICAL READERS TO PUBLIC SPEAKERS WHILE TEACHING ENGLISH AS A SECOND LANGUAGE

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## Abstract

To make students good readers and good speaker can be achieved through development of the receptive, productive and interactive skills and competencies through variety of methods and activities.

The work “How to Read a Book” by Mortimer Jerome Adler and Charles Van Doren provides a wide choice of concepts and theories and shows importance of moving the students from analytical reading to higher level of syntopical reading and the transition from good reading skills to public speaking. Based on the important concepts of the book the paper analyses:

- a. Analytical reading: how it strengthens and broadens the students’ knowledge about argumentation, analyze and evaluation through examples and step-by –step activities.
- b. Syntopical reading: how the students compare and contrast different works, demonstrate insight, articulate sophisticated ideas, learn effective ways to analyze, evaluate, and integrate ideas from a single source or synthesize the work from multiple sources to formulate and support original arguments.
- c. Transition and correlation between reading skills to speaking persuasively in order to deliver powerful, well-organized speech and present it to the audience; how to appreciate and emulate the speeches of great orators.

The paper provides methodological guides, judgments, tested activities and examples to make the students in-depth readers and confident, competent interpersonal communicators.

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**Keywords:** Reading, syntopical, analytical, speech delivery

## Introduction:

In language acquisition the students have to develop mastery all language skills, however the focus of our paper falls on reading and speaking skills and emphasize how gradually the student can go into in-depth knowledge, extend-integrate and generalize it.

The problem is how we can teach the students battle the waves of ocean in order to learn what to fish and how to fish. In teaching reading or speaking, therefore, the goal can be achieved through development of the receptive, productive and interactive skills and competencies equally well through variety of methods and activities. The proper goal will lead to appropriate outcome to help students, in the long run, become persuasive and ethical speakers, fostering effective habits of communication they need to contribute and succeed in their society, in the workplace, and in their private life. To become an articulate citizen and enjoy the art of public speaking requires critical thinking skills, research abilities, increasing knowledge and eloquence. There are people in our society who speak eloquently. Unfortunately, far too often this eloquence is hollow, for it is not accompanied by knowledge. How to make the students more knowledgeable? They major generator of gaining knowledge is by cultivating the habit of reading good books, newspapers, as well as by watching and listening to television, radio or surfing internet. However, knowledge alone will not help to be

a successful speaker, they will also need to know the methods and strategies how to deliver powerful, well-organized speech and present it to the audience; also, how to appreciate and emulate the speeches of great orators. Therefore, to become a persuasive speaker one needs to be a good reader. To show the transition from good reading skills to public speaking is like a bridge that connects two very important sides. We suggest the premise: All good readers can become good speakers. If we follow the syllogism: I am a good reader. The conclusion is: Therefore, I can become a good speaker. That is the proposition we try to prove in our research and that is the proposition we want the students to believe in.

We cannot deny the obvious that modern technology brought modern vision to everything. We are becoming more and more dependent and slaves of the technological progress. Technology shapes our taste, our emotions, even the ways of thinking and reasoning. Naturally the approach to reading has changed. For the better for the worse? Who knows? We need centuries to reap the seeds. Definitely it has become more available, more affordable, more comfortable and more entertaining. Do we do deep reading or surf reading? We really surf through books, skim and flip over the pages to see whether it carried interesting for us plot and adventures. We surf the ocean of internet. This became a norm contrary to the good reader who is actively involved with the text-through thinking, questioning, and evaluating. So, technology also brought some problems for E-generation. It is the fact that reading has become a struggle.

What is declining in reading? The quality. What about the quantity? We are busy reading ads, billboards, newspaper headlines. New things come and take over. We become superficial readers. Random books, random readers. Now we do not make conclusions or do underlying reading. We accept the writer's second-handed opinion without bothering what is behind the scene.

In this paper we will analyze the classical work of Mortimer Jerome Adler, American philosopher, educator, and popular author and co-author, American writer and editor and a Professor of the University of Connecticut, Charles Van Doren "How to Read a Book", which was updated in 1973 and still going strong today. While analyzing the important concepts of this book we set dual goals: to show the importance of analytical and syntopical reading and secondly, how we effectively applied these methods in practical work. We will provide our judgments and examples and show how these skills gained will help the students become confident, amiable, competent interpersonal communicators. We want the students become independent, intelligent readers and thinkers; change their perception of reading from being a casual hobby to a lifelong process of self-education. The road is complex and includes two steps - to make students good readers and to make them persuasive speakers. Let's analyze each separately.

### **Analytical reading:**

Mortimer Jerome Adler and Charles Van Doren in their work "How to Read a Book", identify four levels of reading:

**Elementary** (consists of remedial literacy, and it's usually achieved during the elementary schooling years); **Inspectional** (Scanning and superficial reading); **Analytical** and **Syntopical**.

The first two levels are more or less obtainable in the secondary school but the last two has become our special interest which needs special effort and practice.

Each of these four reading levels is cumulative. You can't progress to a higher level without mastering the levels that come before. However, our focus lies on the third - analytical and forth - syntopical reading levels.

In the book Adler identifies three stages for analytical reading:

The first stage is concerned with understanding the structure and purpose of the book. It begins with determining the basic topic and type of the book being read, so as to better

anticipate the contents and comprehend the book from the very beginning. Adler says that the reader must distinguish between practical and theoretical books, as well as determining the field of study that the book addresses. Further, Adler says that the reader must note any divisions in the book, and that these are not restricted to the divisions laid out in the table of contents. Lastly, the reader must find out what problems the author is trying to solve. So, the students have to outline the book, set forth the major parts of the book, and show how these parts are organized into a whole, restate the point of the book in their own words and determine the author's goal – what questions is the author trying to answer.

The second stage of analytical reading involves constructing the author's arguments which requires from the reader to note and understand any special phrases and terms that the author uses. Once that is done, Adler says that the reader should find and work to understand each proposition that the author advances, as well as the author's support for those propositions. In other words, the students have to locate or construct the basic arguments in the connection of sentences which offer the grounds or reasons for the author's judgments and conclusions. Then, state the author's argument in their own words and see if they can bring their own example to justify their point of view. The students should analyze the discussion by ordering the questions and issues in such a way as to throw maximum light on the subject.

More general issues should precede less general ones, and relations among issues should be clearly indicated.

In the third stage of the third level of reading, Adler directs the reader to criticize the book. He claims that now that the reader understands the author's propositions and arguments, the reader has been elevated to the level of understanding of the book's author, and is now able (and obligated) to judge the book's merit and accuracy. Adler advocates judging books based on the soundness of their arguments. Adler says that one may not disagree with an argument unless one can find fault in its reasoning, facts, or premises, though one is free to dislike it in any case. After having completed the reading the students should be able to say with reasonable certainty "I understand," before they express their opinion, whether they agree or disagree with the author's points. Then express their assumptions clearly by providing good reasons for any critical judgment they make. The method presented is sometimes called the Structure-Proposition-Evaluation (SPE) method, though this term is not used in the book.

At analytical level of reading, the readers are moved beyond superficial reading and mere information absorption. They are engaging critical mind to dig down into the meaning and motivation beyond the text. Whenever they master the skills of analytical reading the students will be able to get a true understanding of any work, they will a. Identify and classify the subject matter as a whole; b. Divide it into main parts and outline those parts; c. Define the problem(s) the author is trying to solve; d. Understand the author's terms and key words; e. Grasp the author's important propositions; f. Know the author's arguments; g. Determine whether the author solves the intended problems; h. Show where the author is uninformed, misinformed, illogical or incomplete or biased and so on.

Analytical reading requires several steps and strategies to follow. To illustrate what a good analytical reader does, we will take as an example the famous speech made by President Lincoln at Gettysburg and suggest different methods.

**Address Delivered at the Dedication of the Cemetery at Gettysburg  
Abraham Lincoln  
November 19, 1863**

*Four score and seven years ago our fathers brought forth on this continent, a new nation, conceived in Liberty, and dedicated to the proposition that all men are created equal. Now we are engaged in a great civil war, testing whether that nation, or any nation so conceived and dedicated, can long endure. We are met on a great battle-field of that war. We*

*have come to dedicate a portion of that field, as a final resting place for those who here gave their lives that that nation might live. It is altogether fitting and proper that we should do this.*

*But, in a larger sense, we cannot dedicate -- we cannot consecrate -- we cannot hallow -- this ground. The brave men, living and dead, who struggled here, have consecrated it, far above our poor power to add or detract. The world will little note, nor long remember what we say here, but it can never forget what they did here. It is for us the living, rather, to be dedicated here to the unfinished work which they who fought here have thus far so nobly advanced. It is rather for us to be here dedicated to the great task remaining before us -- that from these honored dead we take increased devotion to that cause for which they gave the last full measure of devotion -- that we here highly resolve that these dead shall not have died in vain -- that this nation, under God, shall have a new birth of freedom -- and that government of the people, by the people, for the people, shall not perish from the earth.*

In a two-minute speech that was comprised of only 10 sentences and 272 words, Lincoln was able to strike a chord that would resonate not only with his audience, but one that would resonate through time. Why is this short speech so memorable?

In order to answer these questions the students should go through different stages of work.

### **Assignment 1: Understand the words and find the relationship between the words and sentences**

The first and fundamental activity-decoding is a process of recognizing the words. Good comprehension requires more than simply knowing what each word means. The real meaning of any text lies in the relationship the words have with one another.

The students question after the reading: What is the author saying? What is the main idea of the speech? Can I paraphrase the writer's ideas into my own words? Can I understand the meaning of the words, for example: score, conceived, dedicated, consecrate, hallow, detract and others. Can I see the relationship between the words and sentences? "Four score and seven years ago", "nation so conceived"; "we cannot consecrate -- we cannot hallow", "to add or detract". Is there any pattern? Why the word dedicated is repeated so many times? Is the main idea supported?

### **Assignment 2 – Note taking, note-making**

Double-entry note-taking process is a while reading exercise and provides two columns which are in dialogue with one another. It is one of the critical skill development exercises. The left column is used for traditional note forms of direct quotations and citations.

The right column is used for commenting on the left-column notes.

For example:

| Note-Taking  | Note –Making (notes about left-column)   |
|--|--|
| Writing notes,<br>direct quotes,<br>observed note,<br>fragment,<br>lists,<br>images-often verbatim-(always with page numbers)<br>Citation... Page #, paragraph #<br>Citation...Page #, paragraph #<br>Quote... Page #, paragraph # | Summaries, formulations, revisions, suggestions,<br>comments about comments, comparisons, contrasts,<br>inferences, judgments, questions.<br>Why should I include this?<br>Why is it important?<br>How can I paraphrase it so that it does not change the meaning?<br>I wonder why the speaker said (did) this. Is there any connection here to previous actions? What is the significance here? |

### **Assignment 3-Learning about historical background:**

The students have to research the historical background about the Civil War and find the connection with the speech. Student's suggested answers: America was in the midst of a



bloody civil war. Union troops had only four months earlier defeated Confederate troops at the Battle of Gettysburg which is widely recognized as the turning point in the war. The stated purpose of Lincoln's speech was to dedicate a plot of land that would become Soldier's National Cemetery to honour the fallen. However, the Civil War still raged and Lincoln realized that he also had to inspire the people to continue the fight and so on and so forth.

#### **Assignment 4 - Identify the structure of the speech:**

Student's suggested answers: The Organizational pattern of this speech is chronological, suggesting a metaphor of organic growth pattern analogous to that of a single human life. The first part, which provides the basis on which the remainder of the speech depends, is identified as the birth of the nation (a child). The second part covers the present, or just completed, which has now grown to young manhood. This period is characterized as a time of sacrifice (by individual young men) for the protection of the child-nation. The third and final part is to realize its growth to the full promise of maturity.

#### **Assignment 5 – Organize the speech in time segments.**

Student's suggested answers: One of the ways of arranging the arguments in the speech is by time or history, to use a chronological organizational pattern. This pattern helps us to organize the speech in time segments. Most often the format involves discussions of the past, present and future.

The students complete the boxed below, in their own words, what Lincoln says about the past, the present and the future. Student's suggested answers:

##### **The Past**

879 (four score and seven) years earlier, the United States had won its freedom from Britain and thus embarked on the "Great Experiment". The preceding metaphors depict the founding of the nation in terms of a birth, with the framers of the constitution the fathers, and liberty the mother. This implies that the nation is alive...and a child, still growing and learning, is in need of protection. Lincoln reminds the audience of the basis on which the country was founded: liberty and equality. This is a perfect set up to the next sentence.

##### **The Present**

Here, Lincoln signals the challenge. The principles on which the nation was founded are under attack. He extends the significance of the fight beyond the borders of the United States. It is not just a question of whether America could survive, but rather a question of whether any nation founded on the same principles could survive. Thus does the war — and the importance of winning it — take on an even greater significance. Lincoln turns to recognize those who have fallen for their country and Show solemn respect for those who fought. It is an eloquent way of saying that their actions speak louder than Lincoln's words.

##### **The Future**

What effect did Lincoln hope The Battle of Gettysburg would have on the American people?  
 "The world will little note, nor long remember what we say here" / "but it can never forget what they did here."  
 Note the appeal to something larger. It is not the United States that will never forget, but the entire world.  
 Ironically, Lincoln was wrong on this point. Not only have his words been remembered to this day, they will continue to be remembered in the future. He finishes with a powerful triple that has become famous throughout the world: "government of the people, by the people, for the people".

#### **Assignment 6 – Find the arguments**

An argument is an assertion backed by a good reason. Arguments of the Gettysburg Address should be stated, then interpreted (explained). The students have to identify the issue and construct the arguments. By differing or providing contradictory responses to the same question or issue, they are able to flesh out all sides of an issue, based on the existing literature. When they understand multiple perspectives within an individual issue, they can intelligently discuss the issue, and come to their own conclusion (which may differ from everyone else, thereby expanding the issue and hopefully adding unique value). The method itself seems to be encouraging and stimulating for the development of student's intellectual capacity, flexibility and creativity and also, for building teacher-student relation during

interaction, open discussions, debates because the students get used to expressing ideas freely without any inhibition. The student's suggested arguments:

1. This nation was a new creation...a child of the age of enlightenment and social compact. This 18th century ideal must survive the test of time if it is to prove viable. (Argument by analogy)

2. Anything worthy of survival is worth fighting for ...so, with this country. (An **enthymeme**)

**Definition and explanation of enthymeme:** "A syllogism in which one of the premises or the conclusion is not stated explicitly".

In modern times, the enthymeme has come to be regarded as an abbreviated syllogism—that is, an argumentative statement that contains a conclusion and one of the premises, the other premise being implied. A statement like this would be regarded as an enthymeme: 'He must be a socialist because he favors a graduated income-tax.' Here the conclusion (He is a socialist) has been deduced from an expressed premise (He favors a graduated income-tax) and an implied premise. (a) Anyone who favors a graduated income-tax is a socialist or (b) A socialist is anyone who favors a graduated income-tax.

(Edward P.J. Corbett and Robert J. Connors, *Classical Rhetoric for the Modern Student*, 4th ed. Oxford Univ. Press, 1999))

3. Deeds count more than words...but a sacred oath, dedicating ourselves to a task, aligns words with deeds. (Argument by structure and style)

4. Those who have died can (and have) "passed the torch" to those who survive, who then owe a duty to continue carrying it. It is an argument based on the need for tradition and continuity through deductive reasoning: if there are givers and receivers, the receivers must eventually be givers in their turn, or the tradition/learning responsibility will die.) (Argument by causality)

5. Lincoln's speech was simulative and it inspired the soldiers. (Inductive argument from concrete to general). Lincoln took his audience on a journey that began with the founding of America and ended at the crossroads at which the country found itself at that moment. He wanted to make sure that Americans chose the right path. And he did.

### **Assignment 7 - Define stylistic devices used in the speech**

Students suggested answers: Lincoln uses contrast effectively. By stating "those who here gave their lives that this nation might live" Lincoln makes what is perhaps the ultimate contrast: life vs. death. There are also a couple of contrasts: "the living" with "the honored dead"; and "these dead shall not have died in vain" with "this nation ... shall have a new birth of freedom".

Repetition is an essential aspect of great public speaking. The trick is knowing what and how to repeat. We have to take a lesson from Lincoln. Sometimes the little words have the most power.

He uses consonance — the repetition of the same consonant in short succession — through words with the letter "f": battlefield; field; final; for; fitting.

The use of a "triple" is noticeable: "cannot dedicate ... cannot consecrate ... cannot hallow". Using triples is a powerful public speaking technique that can add power to the spoken words and make them memorable.

Another excellent example of a powerful triple that has become famous throughout the world is: "of the people, by the people, for the people".

There is alliteration: "poor power".

There is a double contrast in this sentence: "The world will little note, nor long remember what we say here" / "but it can never forget what they did here."

The speech is full of inspirational words such as "dedicated", "nobly", "great", "honored", "devotion", "highly resolve", "God", "birth" and "freedom".

### **Assignment 8 - Evaluate the speech**

The next step is to evaluate what the speaker said. The students have to answer the questions: Do the idea seem reasonable to you? Has the speaker provided sufficient support? What other information do you need before you can intelligently accept or reject the ideas? How do the author's ideas fit with what you know about the subject? Is there any evidence of bias, underlying, unstated motive? How emotional is the speech? Which prevails in the speech the emotion or the logical reasoning?

### **Assignment 9 –Present the issue**

The students have to prepare a speech on a chosen issue, create arguments, justify them with examples, evidence, facts, and statistics. The reasoning should be based on the source but the judgment generalized. They also have to enhance their non-verbal habits of communication and use body language appropriately during delivery.

### **Assignment 10 - Self-Evaluation**

The students have to answer the questions: What can you learn about public speaking by studying the great speeches of history. Why is the speech memorable? What have I gained from learning this speech? What have I learnt in terms of mastering the art of public speaking?

The same methods apply to working on other speeches of famous orators: Socrates' speech on being condemned to death, Thomas Jefferson's first Inaugural Address, Obama's address to students across America and other speeches of great significance.

After finishing analytical analyzes of other speeches of famous orators the students move to higher level of syntopical reading. They will be engaged in higher level thinking, how to compare and contrast different works, demonstrate insight, articulate sophisticated ideas, learn effective ways to analyze, evaluate, and integrate ideas from a single source or synthesize the work from multiple sources to formulate and support original arguments.

To sum up so far, the students are taught analytical reading techniques for reading different genre works like books, imaginative literature, plays, poetry, history, science and mathematics, philosophy and social science. Analytical reading strengthens and broadens their knowledge about argumentation, analyze and evaluation, examines how to incorporate information from other sources, how to use the language and text structure to make a powerful and memorable effect on the audience.

### **Syntopical reading**

Now, it's time to come to the highest level of reading, what Adler and Van Doren call syntopical reading. This involves comparative reading, or reading across several or many books, placing them in relation to one another according to the same subject about which they all revolve. The subject of a course is chosen from designed syllabus.

Syntopical reading is active reading at its highest level. To get the students' thinking and reading at a higher syntopical level the students have to get used to working on different sources. Unlike plain analytical reading, it is distinctly different because it is not confined by one work, it involves reading and comparing multiple works on one topic in order to reconstruct and offer the conversation on that subject.

During a Syntopical Reading, participants are asked to scan, read and later discuss a set of materials. The materials they are given contain an eclectic mix of essays, articles and book chapters, ranging from innovations in business, to science fiction; from new physics to social commentary. These may be focused on specific issues the participants are addressing, yet should provide as broad a range of perspectives as possible, appropriate to the situation.

What kind of reading is syntopical reading? It's been said that anyone can read five books on a topic and be an expert. That may be true, but how you read those five books will

make all the difference. If you read those five books analytically, you will become an expert on what five authors have said. If you read five books syntopically, you will develop your own unique perspective and expertise in the field. The purpose of syntopical reading is not mere comparison, but to construct an analysis of the subject that may not be in any of the books.

To make the idea of syntopical reading clearer we bring five steps suggested by Adler and Van Doren and provide our examples how we implement this kind of reading into our syllabus. According to Adler and Van Doren, there are five steps in syntopical reading.

**First - Inspection:** Inspectional reading means to identify which two or more books, stories, speeches, passages the students need to read from a sea of worthy or unworthy titles. So, the first step assumes selection and identification of a bibliography of works on the subject of interest. Here the main role plays the teacher who chooses and suggests relevant recommended works. It is up to the teacher to choose the works according to their syllabus coverage in order to reach the assessment objectives through the expansion of students' receptive, productive and interactive skills. For example, if we want the students have the notion of how the authors from different time period perceived the problems of leadership, government structure, moral or institutional governance, we suggest that the students read : George Orwell's "Animal Farm" , "1984", Jonathan Swift's "Gulliver's Travels" Part 4, Chapter 4 "The Houyhnhnm's notion of truth and falsehood", "The Lords of Flies" by William Golding.

**Second - Assimilation:** Bring the authors to terms. Unlike Analytical reading, the students need to take the ideas from the authors they read and synthesize them into their own language, rather than trying to fit their ideas into their language. If these authors wrote in different time periods, different places, or for different purposes, it is likely that they will refer to the same ideas using different terms and phrases. In syntopical reading the students' job is to translate those terms and ideas into one language so that they can build a coherent and intelligible conversation. So, in syntopical reading it is the reader who must establish the terms, and bring authors to them rather than the other way around.

Since the literature has been selected and analyzed the students have to identify and then familiarize the words and terminology After learning definitions and explanations of the terminology for example, Utopia, Dystopia, Socialism, Totalitarianism, Houyhnhnm's notions, indoctrination, justice, revolution, surveillance, propaganda, rules and order, etc. they have to interpret, paraphrase and internalize the words. Consequently, whenever they build the conversation they have to be able adequately apply their own terminology while expressing ideas or situations.

**Third - Getting the questions clear:** This time, the focus is on what questions the students need the answer as opposed to the problems each writer wants to solve. In order to compare key propositions advanced by two or more authors, the best thing to do is to frame a set of questions that shed light on the given problem and to which each of authors gives answers. It should be noted that an author may not have addressed the question directly or explicitly, but his answer may be inferred from what he said about another, related question, or from the structure of his general argument. Of course, it is possible that an author may be silent on that topic, or that his answer is indeterminate. This may require that the students draw inferences if any particular author does not directly address one of their questions.

Based on the given literature the students raise the questions like: Why were allegories used to criticize the societies? Does Leadership always lead to corruption? Is it possible to have control over the intellectually inferior without demonstrating power and violence? Are lies and deceit important tools for the governments? How can the countries avoid

Totalitarianism? Is there any truth in the quote “All animals are equal, but some are more equal than others”? What role does propaganda play in the hands of the leaders? We have example that Technology is used as the tool to maintain control over citizens why is it so?

What are the limits to personal freedom? From all the characters, it is Piggy who most often has useful ideas and sees the correct way for the boys to organize themselves. Yet the other boys rarely listen to him and frequently abuse him. Why is this the case? Why does it matter that these are kids? Would adults in the same situation act any differently?

**Fourth - Defining the issues:** When you ask a good question, clarify the questions and define the issues. When experts have differing or contradictory responses to the same question, you're able to flesh out all sides of an issue, based on the existing literature. Defining the issue may involve framing the question in a way that was not explicitly employed by any of the authors whose writings you are studying. Thus, the task of the syntopical reader is to define the issues in such a way as to insure that they are joined as well as may be. Sometimes to frame the question in a way that is not explicitly employed by any author. When the students understand multiple perspectives within an individual issue, they can intelligently discuss the issue, and come to their own conclusion, which may differ from everyone else, thereby expanding the issue and hopefully adding unique value. The questions suggested by the students in the third step are answered in an individual manner. The students are able to answer them expressing originality and presenting their viewpoint and judgment.

**Fifth - analyzing the discussion:** The last step is to attempt to extract some truth from the conflict of opposing answers. What are the salient points? What are the propositions? Where are the biggest controversies? What are the newest developments? And where is the discussion heading going forward? How to summarize major points? Propositions are the author's judgments about what is true or false. They are also the author's answers to questions, his or her major affirmations and denials. They are the most important things the author has to say. But now it is the student's turn and responsibility of taking a position in response to the propositions they have now read. "Reading a book is a kind of conversation...The author has had his say, and then it is the reader's turn." The students have to remember that they are now conversant enough to hold your own ideas and should not look like the unqualified, unsubstantiated opinion holders. It involves the recognition that on fundamental questions the truth may not lie wholly on any one side of the controversy, or that each side has gotten hold only of a part or that there may be still other parts of the truth that remain to be found. For some questions, the weight of argument and evidence may favor one answer over others. The conclusion may be clear and unassailable. But when it comes to those perennial questions that have preoccupied thinkers for centuries, there may not be a final or definitive answer to your original question. Rather, the value is found within the discussion among competing viewpoints concerning the same root information, rather than in any set of propositions or assertions about it.

The students have to synthesize the works, by integrating the topics into a coherent whole. Having mastered the complexity of the subject the students have to join all the works together demonstrating adequate understanding of a subject and create new ideas, formulate arguments based on mastery of the subject and support with relevant evidence.

Therefore, syntopical reading is about the readers and the problems they're trying to solve. In this sense, the reading materials be that the novels, stories, articles, speeches, different genres (poetry, history, science, fiction, et cetera), are simply tools that allow them to form an understanding that's never quite existed before. They are going to meld the information in those works with their own life experience and other knowledge to make connections and new insights.

## Speaking persuasively

It is easily noticeable that after the long practice in both reading skills, the students have already worked out the skills of analyzing, expressing their ideas, bring relevant examples, therefore, the goal to master art of oratory is attainable. Now individual presentation comes into focus. Presentations on different issues, reviews on weather, films, reading poetry, literary work, prose or poetry interpretation, presentations on visual stimulus, impromptu speaking, extemporaneous speaking, special occasion speeches or other kinds of creative speaking. Inevitably, different methods like debates, mock trials, variety of interactive activities, where the students theorize, generalize, hypothesize, reflect, generate the ideas should be added for creating authentic environment for delivering the speech. In adequate environment, in our classrooms, the students will have better access to knowledge, critical thought and expression, more possibility to break away from a circle of dependence and uncertainty, to understand and control the environment, and make free choices. We intentionally do not include in our work the ways and strategies of constructing arguments, organizing speech, importance of body language, posture, eye-contact or other speech elements. Neither have we mentioned how we can change normal classroom as different as possible, with a podium, a lectern and arena seating in a relaxed atmosphere in order to reduce stage-fright, beat the inhibition and other complexes. We just wanted to show the transition from one reading skill to another and correlation between reading skills to speaking persuasively. This transition should be smooth, coherent, and recognizable by the students and lecturers and effectively fitted and accomplished - in the allocated time frame.

The prime importance for the students as well as for the teachers, therefore, is to recognize the “role of rhetoric” in this process, i.e. the attempt in all communication “to convince or persuade” which is our ultimate goal that can be worded in a simple way: To make people like you, you must do two things: present yourself well and present your stand on the issue well.

## Conclusion:

To draw the conclusion, we strongly believe that analytical and syntopical reading skills are valuable tools to get the student forward to speech making. Without those two important reading skills it is almost impossible to make the students critical independent thinkers and speakers.

Done properly and putting the methods of analytical and syntopical reading in regular practice will perfect educational programs and thus eliminate the number of poor readers and poor speakers. This should be the educational aim for everyone.

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## CLUSTER'S LIFE CYCLE: HOW SPECIFIC PUBLIC POLICIES CAN CHANGE THE TREND

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### Abstract

The aim of this paper is to contribute to the discussion on clusters competitiveness and paths dependence. Italian clusters offer a recognized example of territorial production model, however, recent studies in the field showed that it is passing through a crisis. Several enterprises are delocalizing their manufacturing processes abroad losing the shared knowledge that characterizes the cluster culture.

This paper is part of the area of studies that analyses cluster dynamics (Krackhardt, 1994; Ahuja, 2000; Hansen, 2002; Zaho & Aram, 1995; Nooteboom, 1992, 2004; Gulati and Gargiulo, 1999) and explores the inter-organisational relationship in a cluster situated in the Campania region and concentrated, in particular, in the urban area of Naples. The focus of the empirical analysis is on the companies in the railway industry. The cluster has two central actors: an institution and a company linked to other companies in the cluster as their main final client.

In the first stage we analysed the strategic motivations that stimulate these actors to intervene and support processes of increasing the level of inter-organisational collaboration between the companies in the cluster. The first stage of the analysis that we present below is based upon structural indicators peculiar to the network analysis methodology. These first results over a short period allow us to highlight several limitations of the analysis of the main structural indicators of a network. However, the qualitative analysis is a useful complement to understanding the strategic behaviour of actors that operate in a very cohesive cluster, conditioning the evolution of the life cycles of the cluster and inter-organisational relationships between its actors.

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**KeyWords:** Cluster, network analysis, local development

### Research questions

Within the largest category of networks and on the trail of the definitions of the concept of an industrial district (Marshall, 1920; Becattini, 1979 and Scott, 1998), Porter (1998) defined clusters as a network with a clear geographical context. More recently, Cooke and Huggins (2003) have shown that in clusters there are relationships of competition and collaboration between the different actors, characterised by a shared vision of common objectives. In this way a cluster is a system with a high concentration of businesses and institutions that are strongly interrelated and, consequently, tend to be homogenous under a socio-institutional profile, with complex knowledge and information that can flow far more efficiently between businesses than under normal market conditions (Nohria, 1992; Saxenian, 1994; De Carolis and Deeds, 1999).



Many authors have studied Industrial Districts using a sociological approach. It stresses the importance of geographical proximity between firms that are embedded in a specific network (Porter, 1998) as a condition to guarantee cultural similarities, durable forms of interaction, interdependence among close actors and shared information (Cooke and Huggins, 2003; Nohria, 1992; De Carolis and Deeds, 1999). Firms are embedded in their economic space (Granovetter, 1985; Lorenzoni e Lipparini 1999; Ahuja, 2000; Nooteboom, 2004) and create high levels of social capital in the network with their co-localized partners (Saxenian, 1994).

Various studies on clusters have underlined the effects on the local system of the behaviour of some actors, the leading or guide companies – those companies on which the initial process of structuring the local production system and developing the network is based (Lomi and Lorenzoni, 1992; Lorenzoni and Baden-Fuller, 1995; Boari, 2001) and that exercise their influence through coordinating systems based on a hierarchy (Boari and Lipparini, 1999). This role of coordinating the network has also been recognised for another type of public or institutional actor (meta-organization) mainly in the phase of the building and birth of new clusters. These are actors who are able to become promoters, creators and sustainers of links in the network between the principal nodes of the local production system (Rullani, 1999; Consiglio and Antonelli, 2003; Pollock et al. 2004) and can act as a social broker (Antonelli, 2004). It plays a focal role in managing connections and communication channels between different nodes and in being responsible for several activities for the cluster itself.

The first aim of the paper is to study whether the introduction of an institutional actor, a meta-organiser, can change the cluster's dynamics and if it is the case, how it works.

These studies are mainly based on the perspective of embeddedness, according to which the success of single actors in the network is directly correlated to the position that each one holds in the network of social relationships (Granovetter, 1985; Saxenian, 1994; Uzzi, 1997; Lorenzoni and Lipparini 1999; Ahuja, 2000; Powell, Koput and Smith-Doerr, 1996; Walzer, Kogut and Shan, 1997).

Many authors have studied power by analysing the structural characteristics of networks and, in particular, the level of centrality (Cook and Emerson, 1978; Bonacich, 1987 and Burt, 1992). The fact of having a high level of centrality allows the actor to have access to more resources and to exercise power on other nodes, also thanks to the possibility of controlling exchanges of information and resources.

As a consequence, the leading company that has a central position makes the most of its "structural embedding" (Nooteboom, 2004; Uzzi, 1997; Zukin and Di Maggio, 1990) to control the cluster and also support processes of innovations and investment undertaken amongst the other actors.

From the interpretation of the inter-organisational relationships derived from the intervention of an institutional actor, the first point that emerges is related to changes in the level of power of the leading business (Alfa). The entrance to the cluster of a meta-organization (Busi), has meant redefining the inter-organisational relationships between actors that alters the structural indicators of the network.

The second aim of the paper is to show that, contrary to what is stated in literature, the indicators of structure are not by themselves able to explain the variations in some competitive balance. In particular, if the centrality indicator disappears in the guiding businesses there is no automatic corresponding loss of power. Interviews with the general managers of Alfa show the existence of a deliberate strategy in supporting the Busi creation.

According to the crisis in the cluster, the future could be characterized by two different scenarios with the same results i.e. the district will disappear. The feasible hypotheses are: the finished goods firms Alfa and Beta decline and, subsequently, the suppliers' population declines due to a strong symbiotic interdependence, or, otherwise, the suppliers lose

competitiveness and following that, Alfa and Beta initially turn towards suppliers outside of the cluster, but in the long run they lose their competitiveness themselves along with all the distinct advantages of being embedded in the cluster. The third aim of the paper is to analyze how computer simulations can help us in supporting this hypothesis.

### **The cluster analysed<sup>167</sup>**

The specific empirical setting that we analyze is the rail industry district of the Campania region in Italy. The railway industry cluster is an important productive reality in the Campania region. This is both in terms of generated and induced employment, for its ability to export a finished product with the made in Campania trademark, and also because it supports two large international players present in this region. It is made up of 68 firms that operate in the railway industry, with just under 4000 employees.

The railway industry is mainly characterised by:

- companies that produce rolling stock (trains, wagons, carriages, etc.);
- companies that produce systems for signalling and controlling railway circulation (on board trains and on the tracks);
- companies that maintain, repair and revamp rolling stock.

The cluster analyzed is made up of:

a global player amongst main international competitors, Alfa, which integrates systems and produces finished products for rolling stock (and the actor to which the research questions are referred);

- an international player, Beta, which has the role of producing complete products for rolling stock and supplies maintenance and repair services;
- small and medium size companies (in terms of employees and turnover) which produce sub-systems, components and parts for the rolling stock sector (mainly) and for communication and signalling systems.
- small and medium size companies (in terms of employees and turnover), that carry out part of the work on the production process for the production companies.
- small and medium size firms (in terms of employees and turnover), that supply spare parts for production and transport companies (end clients).
- companies involved in the maintenance, repair and revamping of rolling stock.

Without considering the two largest players, the companies in the cluster have the following characteristics:

- an average number of 40 employees.
- the level of specialisation in the sector (measured by the relationship between the turnover in the railway industry and turnover as a whole) is nearly 50%;
- the average turnover per employee is around 101,000 euro (2003).

In the analyzed sector, although there are many industrial companies, there is noticeable organisational isomorphism in the structural and relational mechanisms used by these companies. This strategic and organisational “similarity” is certainly due to a series of elements:

- the size of the companies, which are mainly small;
- the institutional overlapping of ownership and management in almost all cases;
- the type of technology and production used;
- their presence in the same area undertaking the same district meanings that characterise the cluster;
- the final demand characteristics (a high concentration and a few large clients that are the same for everybody).

<sup>167</sup> For more information see: The Cesit research report, *Le capacità e le competenze dell'industria ferroviaria nella provincia di Napoli*, Edizioni Scientifiche, Naples, 2005.

There are different types of relationships between actors in the system within the industrial railway sector.

These relationships can be:

- contractual relationships of supply (sub-suppliers – suppliers – railway transport company)
- contractual relationships of collaboration and not of supply (mainly in the form of consortia)
- collaborations with temporary contractual relations to take part in tenders for supply (ATI)
- inter-organisational group relationships or ownership links
- relationships of social networks of friends, acquaintances and relatives<sup>168</sup>.

In the clusters analysed almost all of these kinds of relationships are present, even if with large differences of intensity, solidity and continuity over time.

As proof of the importance of these inter-organisational relations, it is interesting to highlight the fact that almost all the companies (around 90%) believe it is fundamental to create relationships of collaboration and partnership. In particular, a very high score (5.1 on a scale of 1 to 6)<sup>169</sup> is given to the importance of creating relationships of collaboration with other companies in the industrial production chain. In more detail, importance is also given to relationships with suppliers (5.6) and with clients (5.6) while a significant degree of importance is also given to links with universities and research centres in the territory (4.5).

An analysis of networking within a cluster cannot leave out an analysis of the inter-organisational relations of the international leader Alfa and the other large group Beta.

Both Alfa and Beta are two important actors in the cluster, but Alfa is of more central and strategic importance. Beta (which produces finished products for end clients and has around 1200 employees in Italy), as well as being Alfa's important strategic part and absorbing supplies of around 37% for the companies in the group is also an important supplier for Alfa. However, the focal organisation is represented by Alfa, which plays this leading role mainly in an indirect manner, through acquisitions of orders in sub-supply.

This type of relationship is characterised by a large degree of stability over time (many relationships of sub-supply have existed for several years) and, above all, in many cases, to demonstrate the importance of this relationship, Alfa is the only client. Furthermore, due to the special production and technology of the final product, the supply relationship is often accompanied by Alfa's constant presence for the technical management of orders.

Alfa's purchasing policy involves 87% of the companies in the sector and almost all those in the area of mechanical and electrical/electronic components. In particular, the purchase of work (e.g. building boxes for locomotives, structures and carts, electrical and electronic apparatus, work in heavy and light alloys (e.g. doors, air-conditioning systems, seats, converters and décor).

The only cases of more structured inter-organisational relationships with other companies analysed are a consortium created with ABU and a temporary business association stipulated with ABB, aimed at acquiring new orders.

Many inter-organisational relations involve companies in the cluster working independently of Alfa.

The most interesting form of networking in the sector is definitely the sub-compartment of repairs that involves the two consortia. The consortium that involves three companies in the rolling stock sector has similar aims and covers the segments of carpentry and repairs.

There are also many temporary associations to be found in the cluster, which involve around 30% of the businesses. Naturally, the level of stability in this relationship is far less marked and strongly linked to the opportunity to take part in tender bids, which are from time

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<sup>168</sup> Even though these social relationships have been investigated, they are not included in this paper.

<sup>169</sup> Data collected are the result of interviews and questionnaires given out (see *infra* for further details).

to time received by the respective participants. This is, however, an important channel of transmission for the exchange of skills and experience and, in general terms, is a balancing mechanism within the system.

### **The institutional regulation project**

The Campania Region, with the involvement of Alfa (and the support of Beta), has created a strategic development programme with the following aims:

- to safeguard levels of employment and generate new employment in a sector that is going through a period of crisis
- to increase the level of competitiveness of companies in the cluster (increasing the capacity for innovation and for extra-regional export).

Methods of implementation identified in order to achieve these aims are:

- increasing the level of networking in the cluster through creating specialised consortia for technology and a production sub-compartment (mechanical, electronic, repair and maintenance work)
- setting up a coordinating structure known as a business integrator (Busi);
- implementing a finance programme for innovation, increasing the size of plants and creating new ones.

The business integrator plays a central role and coordinates financing initiatives, supplies technical and business skills to the consortium companies, supports the processes of raising the level of innovation and organises coordinating orders acquired by the consortium among the companies taking part. Its activities in greater detail are as follows:

- supporting business activity related to large industrial clients;
- selecting and segmenting consortium partners on the basis of individual technical competencies (in design and production) and cost;
- developing stable relationships between the SMF and the main companies producing rolling stock in the region and in Italy as a whole;
- transferring knowledge and skills related to the Life Cycle of vehicles from the companies that produce them to those that maintain them;
- developing technical skills related to maintenance activity and revamping of complex and innovative vehicles (locomotives, electric trains and vehicles for local transport);
- developing the managerial skills necessary to manage performance based contracts that include both supply and maintenance of vehicles;
- developing the financial skills related to managing contractual structures characterised by the use of innovative forms of financing for rolling stock (leasing, project leasing etc.).
- supporting the re-engineering of processes;
- managing intellectual property;
- managing technical and business contracts;
- supplying support instruments for the relationship system and for communication between partners;
- stimulating the creation of new consortia to “guide” and help the others.

### **Methods**

In order to analyse the effective importance of structural indicators in the network, two different types of methods have been used whose results are compared to support our argument.

The first is based on the use of typical *network analysis* aimed at briefly describing the characteristics of the cluster, through creating indicators of structure.

The second uses qualitative instruments in order to identify strategic behaviour and the motivations of the action of the two actors (the Campania region and *Alfa*). Both methods have been applied twice - before and after the intervention of the institutional actor - in order

to obtain data for important, even if brief, periods. In more detail, we have used socio-metric questionnaires to identify the different types of relationships that link the two actors in the network: supply, relationships of supply on order with consolidated relationships and temporary associations of companies and consortia. Relative networks have been constructed to describe the two situations, one before the intervention of the institutional actor and one after. Structural *embedding* has been analysed by processing data on inter-organisational relationships with UCINET (Borgatti S. P., M. G. Everett and L.C. Freeman 2005). In particular, some structure indexes have been used to verify the power exercised by different network actors. Focussing on the activity of governing the cluster, the presence of mechanisms of coordination has been identified using two measures that indicate norms of behaviour and shared ethical codes: the dimension of the network (*size*), i.e. the number of participants and the density of the network (Barnes, 1969), which indicates the percentage of all the direct links that potentially exist in a given network that are actually present<sup>170</sup>.

Furthermore, if we accept the hypothesis that the central position is an index of power, three types of measurement have been used:

- the *Freeman degree*, which represents the level of direct connections that each node has compared to the total of direct connections possible.

The *Bonacich*<sup>171</sup> index (1978);

- the *betweenness centrality* (Borgatti and White, 1994) that indicates the possibility for every actor to find himself at the centre of two different nodes and to be the only means of connection between the two.

In the context of the questionnaire, direct, semi-structured interviews were carried out with the managers of companies (around 90% of those selected) and with institutional officers from the Campania Region, aimed at identifying the strategic and organisational structure of businesses, the main structural indicators (turnover, employees, productive capacity, etc.) and the strategic motivations at the basis of their behaviour. Indirect sources were also examined, such as informative material, reports, end of year statements, planning documents of the Campania Region and others.

### **The structural characteristics of the cluster**

By analysing the network made up of actors in a cluster, we can see that the structure changes following the intervention of a regulator.

In this socio-metric questionnaire, the possible relationships are assessed using a scale from zero to two. In particular, the following were attributed:

- Zero intensity if there is no relationship between the two actors.
- Intensity level 1 if the link between the two actors is a simply supply relationship.
- Intensity level 2 if:
  - There is a supply on order with a stable relationship, with technical support and presence in the management of supply on the part of the client;
  - If this is a temporary association of consortia;
  - If this is a consortium.

The structure of the initial cluster is characterised by low density and the presence of a central actor, the leading company *Alfa*, which has the highest grade of centrality and power

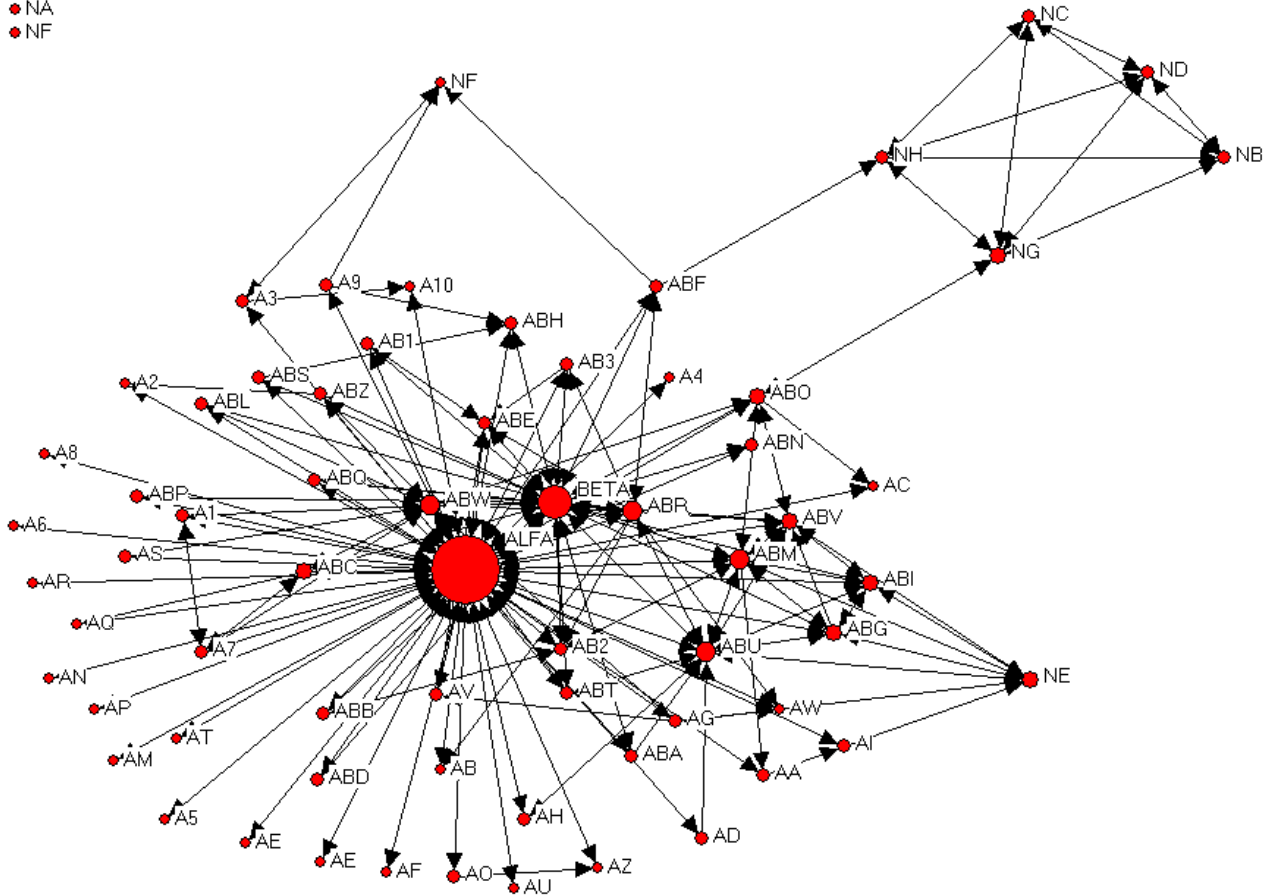
<sup>170</sup> If these two indicators are high, there is a situation in which the actors of the cluster have an advantage from the excess of information and relationships (Barnes, 1969).

<sup>171</sup> The *Bonacich* index, unlike other indexes that equate centrality with power, affirms that the most central actor is not the most powerful because it is connected to more nodes. The index of centrality proposed by *Freeman* (1979), for example, measures the level of variance in a network on the basis of the percentage in which it can be compared to a "star" network, in which the most central actors is connected with all the others directly and therefore determines a geodesic distance equal to one. *Bonacich*, however, believes that the actor with the highest level of power is that connected with isolated nodes that, in this way, depend exclusively on it.

(*Bonacich Power*, Table 1). It is also possible to see that its direct competitor *Beta*, also has a fairly central position, even if it cannot be compared to that of *Alfa*. The cluster is therefore strongly centralised (*Freeman Degree*: 82.61%).

**Table 1** – Cluster before the intervention of regulation (size of the nodes established with the Bonacich index)

● NA  
● NF

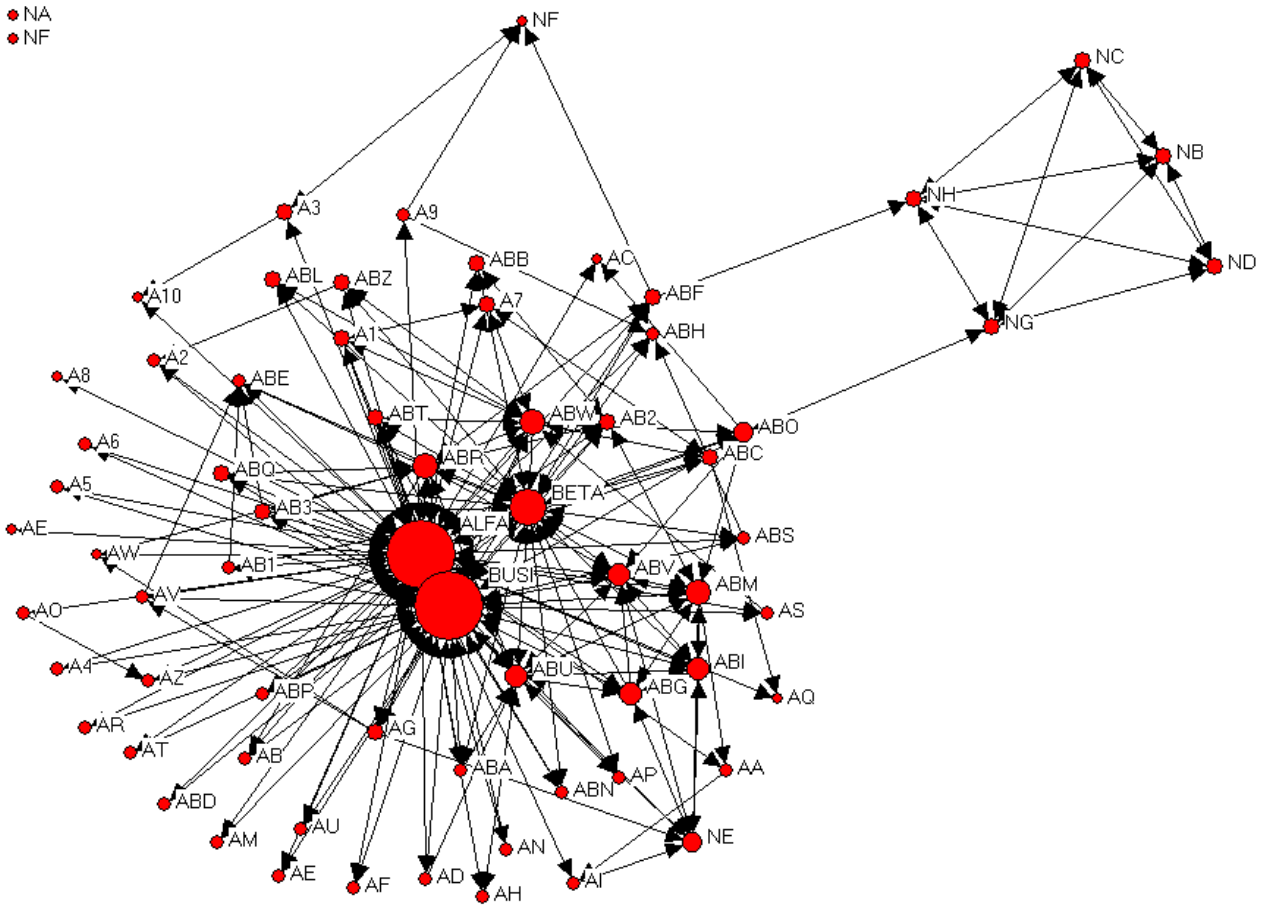


With the entrance of a new actor, *Busi*, which assumes the role of meta-organisation in the network, there is an evident loss of centrality of the two market leaders *Alfa* and *Beta*. It is interesting to note that in the network after *Busi*'s entrance:

- The businesses that are connected with *Busi* by the regional development programme have a strong relationship (intensity level 2) with *Busi*, in that they are part of a consortium.
- All *Alfa* and *Beta*'s suppliers that have a link with *Busi* see that the intensity of their relationship with *Alfa* and *Beta* diminishes from 2 to 1, as *Busi* substitutes many functions that were previously performed directly by *Alfa* e *Beta*;
- The intensity of the relationship remains the same in all the relationships not involved in the intervention of the institutional regulator.

By calculating the indexes of centrality (Table 3) we can see that both *Freeman*'s index (which decreases in absolute value to 54,38%), and *Bonacich*'s index (Table 2 and 3) that measures the power and the *betweenness centrality* of the leading business *Alfa* decreases, as the density of the network increases. The decrease in the value of the indexes of the leading business is in the favour of the new actor, who immediately imposes himself in a position of centrality and of force compared to the other actors in the cluster (Table 3). In the perspective of *structural embedding* the drop in these indexes should correspond to a considerable loss of strength on the part of *Alfa* in favour of *Busi* and, as a consequence, it is difficult to be coherent with a voluntary strategy of support for the entrance of a new actor.

**Table 2 – A cluster after regulation intervention (size of the nodes calculated with the Bonacich index)**



**Table 3 – Structural indicators of the cluster With Busi – without Busi**

|      | Power (Bonacich) |          | Size       |          | Degree (Freeman) |          | Betweenness |          |      |          |          |
|------|------------------|----------|------------|----------|------------------|----------|-------------|----------|------|----------|----------|
|      | senza Busi       | con Busi | senza Busi | con Busi | senza Busi       | con Busi | senza Busi  | con Busi |      |          |          |
| BUSI | -                | 80       | ALFA       | 58.00    | 59.00            | ALFA     | 116.000     | 81.000   | ALFA | 3421.648 | 2717.311 |
| ALFA | 116              | 79       | BUSI       | -        | 40.00            | BUSI     | -           | 80.000   | BUSI |          | 816.063  |
| BETA | 48               | 35       | BETA       | 26.00    | 28.00            | BETA     | 52.000      | 37.000   | ABO  | 461.386  | 466.575  |
| ABW  | 20               | 20       | ABR        | 12.00    | 13.00            | ABW      | 23.000      | 23.000   | NG   | 346.185  | 349.667  |
| ABM  | 19               | 19       | ABU        | 12.00    | 13.00            | ABU      | 22.000      | 22.000   | BETA | 340.931  | 298.796  |
| ABR  | 19               | 19       | ABW        | 12.00    | 13.00            | ABM      | 19.000      | 19.000   | ABF  | 165.272  | 176.367  |
| ABU  | 18               | 18       | ABM        | 10.00    | 11.00            | ABR      | 19.000      | 19.000   | NH   | 84.086   | 87.200   |
| ABG  | 14               | 14       | ABV        | 9.00     | 10.00            | ABV      | 17.000      | 17.000   | A3   | 81.371   | 79.567   |
| ABI  | 14               | 14       | ABG        | 7.00     | 8.00             | ABG      | 14.000      | 14.000   | ABW  | 53.517   | 49.922   |
| ABV  | 14               | 14       | ABI        | 7.00     | 8.00             | ABI      | 14.000      | 14.000   | ABM  | 49.742   | 30.331   |
| ABO  | 13               | 13       | ABO        | 7.00     | 8.00             | ABO      | 13.000      | 13.000   | ABU  | 34.800   | 23.086   |
| NE   | 9                | 11       | NE         | 7.00     | 8.00             | NE       | 11.000      | 13.000   | ABR  | 22.387   | 17.455   |
| NG   | 10               | 10       | AB2        | 5.00     | 6.00             | NG       | 10.000      | 10.000   | ABV  | 33.201   | 15.945   |
| ABC  | 9                | 9        | ABE        | 6.00     | 6.00             | AB2      | 9.000       | 9.000    | A9   | 17.371   | 14.567   |
| A7   | 8                | 8        | ABF        | 5.00     | 6.00             | ABC      | 9.000       | 9.000    | ABI  | 19.524   | 6.867    |
| AB2  | 8                | 8        | AG         | 5.00     | 6.00             | NH       | 9.000       | 9.000    | ABG  | 16.993   | 5.657    |
| ABF  | 8                | 8        | AB3        | 4.00     | 5.00             | A7       | 8.000       | 8.000    | NE   | 5.200    | 4.833    |
| ABT  | 8                | 8        | ABC        | 5.00     | 5.00             | ABE      | 8.000       | 8.000    | A1   | 7.782    | 3.341    |
| AG   | 7                | 8        | ABT        | 4.00     | 5.00             | ABF      | 8.000       | 8.000    | AG   | 6.782    | 2.786    |
| NB   | 8                | 8        | NG         | 5.00     | 5.00             | ABT      | 8.000       | 8.000    | ABC  | 2.476    | 2.458    |
| NC   | 8                | 8        | NH         | 5.00     | 5.00             | AG       | 7.000       | 8.000    | AB2  | 1.391    | 2.130    |
| ND   | 8                | 8        | A1         | 3.00     | 4.00             | NB       | 8.000       | 8.000    | NF   | 1.000    | 1.000    |
| NH   | 8                | 8        | A7         | 4.00     | 4.00             | NC       | 8.000       | 8.000    | A1   | 0.000    | 0.903    |
| A1   | 6                | 7        | AB1        | 3.00     | 4.00             | ND       | 8.000       | 8.000    | ABZ  | 1.143    | 0.792    |
| AB3  | 7                | 7        | ABA        | 3.00     | 4.00             | A1       | 6.000       | 7.000    | AV   | 0.500    | 0.725    |
| ABZ  | 7                | 7        | ABH        | 4.00     | 4.00             | AB3      | 7.000       | 7.000    | A7   | 0.667    | 0.667    |
| A3   | 6                | 6        | ABQ        | 3.00     | 4.00             | ABH      | 7.000       | 7.000    | AA   | 0.667    | 0.643    |
| ABB  | 6                | 6        | ABS        | 3.00     | 4.00             | ABZ      | 7.000       | 7.000    | AZ   | 0.000    | 0.625    |
| ABL  | 6                | 6        | ABZ        | 4.00     | 4.00             | A3       | 6.000       | 6.000    | ABT  | 0.837    | 0.575    |
| ABQ  | 6                | 6        | AV         | 3.00     | 4.00             | ABB      | 6.000       | 6.000    | ABH  | 0.500    | 0.500    |
| A9   | 5                | 5        | NB         | 4.00     | 4.00             | ABL      | 6.000       | 6.000    | ABS  | 0.000    | 0.410    |
| AB1  | 5                | 5        | NC         | 4.00     | 4.00             | ABQ      | 6.000       | 6.000    | ABE  | 0.500    | 0.333    |
| ABA  | 5                | 5        | ND         | 4.00     | 4.00             | A9       | 5.000       | 5.000    | A2   | 0.000    | 0.327    |
| ABS  | 5                | 5        | A2         | 2.00     | 3.00             | AB1      | 5.000       | 5.000    | AB1  | 0.000    | 0.225    |
| AD   | 4                | 5        | A3         | 3.00     | 3.00             | ABA      | 5.000       | 5.000    | AB3  | 0.000    | 0.225    |
| ABD  | 4                | 4        | A9         | 3.00     | 3.00             | ABS      | 5.000       | 5.000    | ABL  | 0.143    | 0.125    |
| ABE  | 4                | 4        | AA         | 3.00     | 3.00             | AD       | 4.000       | 5.000    | A10  | 0.000    | 0.000    |
| ABN  | 4                | 4        | AB         | 2.00     | 3.00             | AV       | 4.000       | 5.000    | A4   | 0.000    | 0.000    |
| ABP  | 4                | 4        | ABB        | 3.00     | 3.00             | A10      | 4.000       | 4.000    | A5   | 0.000    | 0.000    |
| AH   | 4                | 4        | ABL        | 3.00     | 3.00             | A2       | 3.000       | 4.000    | A6   | 0.000    | 0.000    |
| AS   | 3                | 4        | ABN        | 2.00     | 3.00             | AA       | 4.000       | 4.000    | A8   | 0.000    | 0.000    |
| AV   | 3                | 4        | ABP        | 2.00     | 3.00             | AB       | 3.000       | 4.000    | AB   | 0.000    | 0.000    |
| A2   | 2                | 3        | AD         | 2.00     | 3.00             | ABD      | 4.000       | 4.000    | ABA  | 0.000    | 0.000    |
| A4   | 2                | 3        | A1         | 3.00     | 3.00             | ABN      | 4.000       | 4.000    | ABB  | 0.000    | 0.000    |
| A5   | 2                | 3        | AP         | 1.00     | 3.00             | ABP      | 4.000       | 4.000    | ABD  | 0.000    | 0.000    |
| A6   | 2                | 3        | AS         | 2.00     | 3.00             | AH       | 4.000       | 4.000    | ABN  | 0.000    | 0.000    |
| AA   | 3                | 3        | AW         | 3.00     | 3.00             | A1       | 4.000       | 4.000    | ABP  | 0.000    | 0.000    |
| AB   | 2                | 3        | AZ         | 2.00     | 3.00             | AP       | 2.000       | 4.000    | ABQ  | 0.000    | 0.000    |
| ABH  | 4                | 3        | NF         | 3.00     | 3.00             | AS       | 3.000       | 4.000    | AC   | 0.000    | 0.000    |
| AE   | 2                | 3        | A10        | 2.00     | 2.00             | AW       | 4.000       | 4.000    | AD   | 0.000    | 0.000    |
| AF   | 2                | 3        | A4         | 1.00     | 2.00             | AZ       | 3.000       | 4.000    | AE   | 0.000    | 0.000    |
| A1   | 3                | 3        | A5         | 1.00     | 2.00             | NF       | 4.000       | 4.000    | AE   | 0.000    | 0.000    |
| AM   | 2                | 3        | A6         | 1.00     | 2.00             | A4       | 2.000       | 3.000    | AF   | 0.000    | 0.000    |
| AN   | 2                | 3        | ABD        | 2.00     | 2.00             | A5       | 2.000       | 3.000    | AH   | 0.000    | 0.000    |
| AO   | 3                | 3        | AC         | 2.00     | 2.00             | A6       | 2.000       | 3.000    | AM   | 0.000    | 0.000    |
| AP   | 2                | 3        | AE         | 1.00     | 2.00             | AC       | 3.000       | 3.000    | AN   | 0.000    | 0.000    |
| AR   | 2                | 3        | AF         | 1.00     | 2.00             | AE       | 2.000       | 3.000    | AO   | 0.000    | 0.000    |
| AT   | 2                | 3        | AH         | 2.00     | 2.00             | AF       | 2.000       | 3.000    | AP   | 0.000    | 0.000    |
| AU   | 2                | 3        | AM         | 1.00     | 2.00             | AM       | 2.000       | 3.000    | AQ   | 0.000    | 0.000    |
| AZ   | 2                | 3        | AN         | 1.00     | 2.00             | AN       | 2.000       | 3.000    | AR   | 0.000    | 0.000    |
| A10  | 2                | 2        | AO         | 2.00     | 2.00             | AO       | 3.000       | 3.000    | AS   | 0.000    | 0.000    |
| A8   | 2                | 2        | AQ         | 2.00     | 2.00             | AQ       | 3.000       | 3.000    | AT   | 0.000    | 0.000    |
| AC   | 2                | 2        | AR         | 1.00     | 2.00             | AR       | 2.000       | 3.000    | AU   | 0.000    | 0.000    |
| AE   | 2                | 2        | AT         | 1.00     | 2.00             | AT       | 2.000       | 3.000    | AW   | 0.000    | 0.000    |
| AQ   | 2                | 2        | AU         | 1.00     | 2.00             | AU       | 2.000       | 3.000    | NA   | 0.000    | 0.000    |
| NF   | 2                | 2        | A8         | 1.00     | 1.00             | A8       | 2.000       | 2.000    | NB   | 0.000    | 0.000    |
| AW   | 2                | 1        | AE         | 1.00     | 1.00             | AE       | 2.000       | 2.000    | NC   | 0.000    | 0.000    |
| NA   | 0                | 0        | NA         | 0.00     | 0.00             | NA       | 0.000       | 0.000    | ND   | 0.000    | 0.000    |
| NF   | 0                | 0        | NF         | 0.00     | 0.00             | NF       | 0.000       | 0.000    | NF   | 0.000    | 0.000    |

|   |  |
|---|--|
| Density<br>Senza Busi<br>Density (matrix average) = 0.1192<br>Standard deviation = 0.4676 | Con Busi<br>Density (matrix average) = 0.1262<br>Standard deviation = 0.4550 |
|---|--|



### **The actors' strategies**

Some interviews were conducted with the heads of the two organisations to understand the strategies that have inspired the institutional actor to promote the development of a cluster through the creation of a *business integrator* and, above all, the leading company to accept and sustain a strategy that apparently determines a consistent loss of power.

The institutional actor wants to govern inter-organisational dynamics to safeguard the cluster in a crisis, to reinforce its degree of innovation and to increase its level of competitiveness.

Since the beginning, however *Alfa* has stimulated and supported the regional intervention programme, also offering technical help to the companies that are to be involved in the project. There are many objectives that have inspired it to take this strategy on board, which involves many important changes in the inter-organisational compartment. Firstly, *Alfa* is one of the main competitors at an international level in all segments of the market in which it operates. It is active in the territory of the cluster analysed, with around 1000 employees (2003 data) with 3600 spread in various Italian regions at a group level. In 2004 *Alfa* decided to carry out a series of actions that led to diminishing the percentage of supplies purchased from companies not situated in Campania. It usually relied on supplies from companies that were not part of the cluster for a value of 70% of its total purchases.

The increase in purchasing within the cluster in Campania would mean the following for *Alfa's* strategic plan:

- a decrease in the costs of supply;
- greater control over products and components purchased;
- greater control over suppliers;
- less dependence on suppliers outside the cluster, which have greater contractual power than those of the cluster (since that for almost all the businesses of the cluster *Alfa* is the main client and, in some cases, the only client) (Pfeffer e Salancik, 1978).

The regional programme also stimulates innovation in the suppliers' base conditions to also increase the innovation potential of *Alfa* itself.

The final important result is linked to the *Business integrator*, which becomes (when the programme is running) *Alfa's* main interlocutor in entrusting production orders and supplying the businesses of the consortium with the technical-operative assistance and skills that are in many cases carried out directly by *Alfa*.

The other businesses in the cluster are encouraged to accept the presence of *Busi* and the regional development plan for different reasons: first of all, to access funding to support expansion, new plants and innovation projects, to raise the critical mass necessary to secure new orders and, finally, to increase the possibility of entering new sectors and new geographical markets.

### **Conclusions, limits and further developments**

From the first analysis of the structural indicators of the network it seems that *Alfa* has undertaken a "losing" competitive strategy in terms of controlling relations with other actors in the cluster. Its unchallenged central position was eroded by *Busi* and the strength of its links with the suppliers involved in the development decreased. Furthermore, in the light of the approach that depends on resources (Pfeffer e Salancik, 1978) the suppliers of *Alfa* and *Beta* manage their symbolic independence with the two main clients better than with *Busi*. Once again *Alfa* – which is managing a single strong relationship with *Busi*, as well as its strong, pre-existing relationships with suppliers that are not involved in the development programme – would see on one hand a decrease in transaction costs (Williamson, 1975), but on the other would have to negotiate and deal with an actor with a stronger contractual power.

In reality, what emerges from the interview with the management is that it is a deliberate strategy that has even stimulated and supported the institutional action.

Even if *Alfa* has to deal with a greater contractual power and will see its “formal” role as a leader altered, it will:

- have lower transaction costs
- manage less negotiations/contracts, with lower administrative costs.
- have lower costs for technical assistance to suppliers in the production phase
- be able in the mid-long term to better manage the symbiotic interdependence with suppliers outside the cluster, when those inside will be capable of replacing them.

Furthermore, *Alfa* would like to increase the innovative ability of the suppliers by favouring their recurrent aggregation and exchange in consortia coordinated by a meta-organisation. In reality, experts have stated that before radical innovations are developed, companies must be structured in very dense networks of relationships, characterised by a low level of centrality and by the frequent exchange of actors who give the possibility of coming into contact with different information and knowledge (Granovetter, 1973; Hansen, 1999; Burt, 1992 and Noteboom, 2004). Highly connected networks, on the other hand, favour innovation in terms of better exploitation of skills already present between actors, but do not develop new ones.

These first results over a short period allow us to highlight several limits of an analysis of the main structural indicators of a network. However, the qualitative analysis is a useful complement to understanding the strategic behaviour of actors that operate in a very cohesive cluster, conditioning the evolution of the life cycles of the cluster and inter-organisational relationships between its actors.

### **Limits of the study**

The first limit is linked to the time scheme. To verify the effective success of the strategy of two actors (*Alfa* and the Region) we must repeat the analysis carried out over the mid term. In this way we could analyse effects not only in terms of inter-organisational dynamics and structural characteristics, but also in terms of changes in the organisational demographic of the cluster (birth, death etc), collective performance and that of single actors (especially *Alfa*).

Another limit is that, in this study, social links have been identified but not considered (links of trust, friendship, kinship, etc.) that would condition a reading of the dynamics analysed. Furthermore, in this phase of the research, the object of the study was limited to the cluster in Campania and suppliers and clients of *Alfa*, which does not, however, coincide with the entire network of the leading company nor is it exhaustive in terms of all the relationships between the different actors involved. This is because we wanted to limit the research to the territory under the administrative control of the Campania Region.

Therefore, in the continuation of the research we will aim to enrich the theoretical *framework* with hypotheses linked to overcoming these limits by broadening the analysis to other actors involved in the network (other clients and suppliers).

The network study presented in the foregoing reveals a great deal of the structure of the analyzed cluster. Yet, the research elicits another important limit of the network approach. Indeed, in the study, the actor *Alfa* maintains its key role in the cluster despite the fact that it loses its centrality within the cluster's network. Another limit of the network analysis is that it is a static approach. The analysis offers the picture of the web of relationships among firms within the cluster but does not support the analysis of how the relationships will evolve over time. Indeed, traditionally, contributions on cluster dynamics have focused on advantages of co-localisation of supply-chain, in terms, for example, of entrenched reciprocal knowledge and relational capital in addition to savings on costs of logistics. Our empirical study suggests that the web of causal relationships in which various actors within a cluster are embedded may reveal long-term paradoxical situations.

### Dynamic hypotheses on cluster evolution: a cause-effect diagram

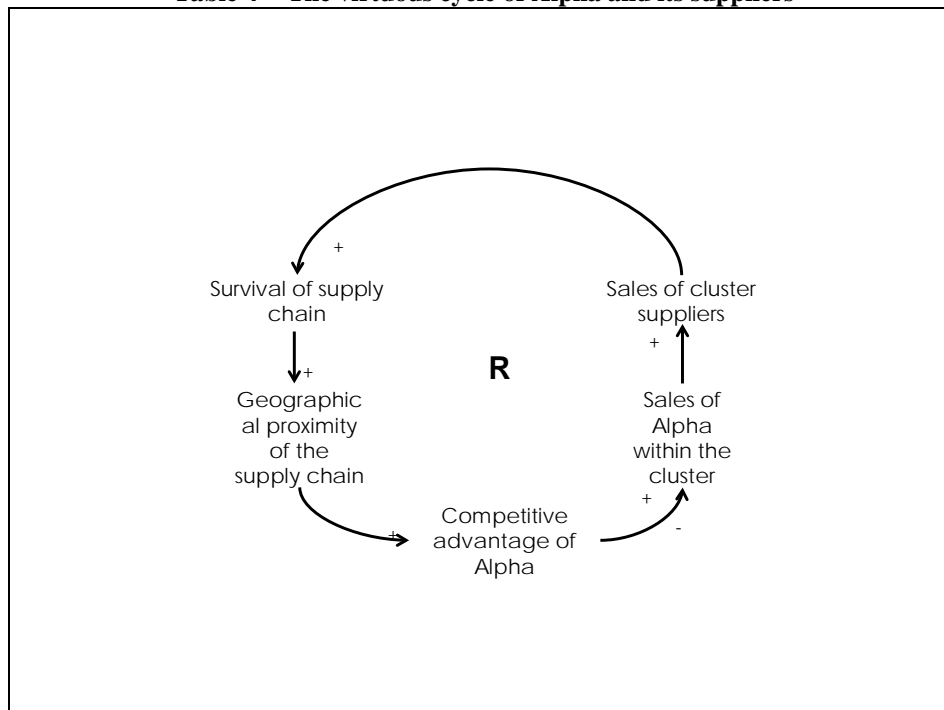
In tables 4 and 5, we use a cause-effect diagram to describe dynamics emerging from the web of relationships described in the network analysis. The presented causal structure embodies a dynamic hypothesis concerning plausible interaction dynamics.

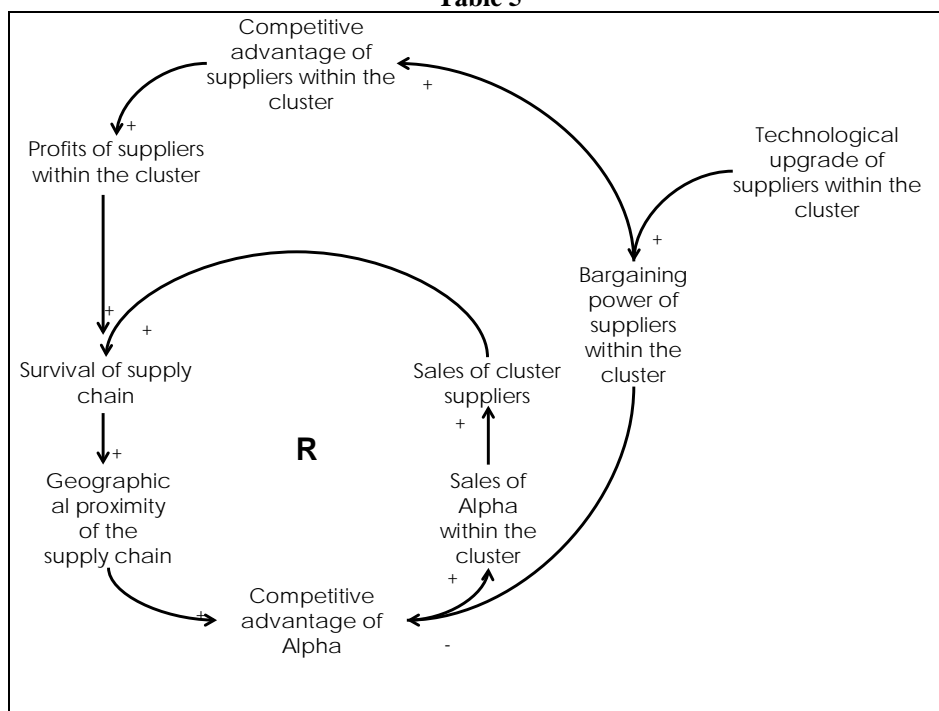
As described, we suggest that the relationship between Alpha and its suppliers crystallizes a paradoxical situation to deal with.

On the one hand, the diagram in table 4 depicts how the interaction of Alpha with its suppliers generates a virtuous cycle in which the geographical proximity of a supply-chain increases the competitive advantage of Alpha; Alpha is then able to increase its sales and to foster further growth of its supply-chain. The situation described is a win-win game in which incentives of Alpha and its supply-chain are aligned.

On the other hand, the diagram in table 5 explains how the close relationship between Alpha and its suppliers conceals a strong divergence in incentives as well. Indeed, the supply-chain of Alpha includes small and medium firms producing components with a low level of technological content. For this reason, Alpha enjoys high bargaining power since it can arbitrate among undifferentiated producers. However, the low technological knowledge that characterizes its supply-chain forces Alpha to depend on suppliers outside the cluster for the components with higher technological content. The suppliers of technology are often large firms situated in oligopolies. As a consequence, Alpha attempts to increase the level of technological know-how of its suppliers in order to decrease its dependency from these technological suppliers. A problem may emerge as the supply-chain of Alpha starts to shift towards differentiated products with higher technological content. On the one hand, Alpha enjoys the possibility to diversify supply of technology but, on the other hand, actors in the local supply-chain may increase their bargaining power and cut margins of Alpha.

**Table 4 - The virtuous cycle of Alpha and its suppliers**



**Table 5**

### Open questions and research approach

The described cause-effect diagrams stimulate a key question. What are the long-term consequences for Alpha of supporting the development of technological know-how in its supply-chain? We want to articulate the question by exploring a possible emerging behaviour generated by the cause-effect diagram presented in tables 4 and 5.

A number of possible avenues for further exploration are the following: how long does it take to create the necessary technological know-how in the supply-chain? Is there a specific governance structure of the supply-chain that better preserves the interests of Alpha along the evolution of the supply-chain? In particular, is the Business Integrator the appropriate agent to govern the transition of the cluster? Is there a specific area of investments that Alpha ought to privilege? What are the long-term consequences of deciding not to invest in upgrading the technological know-how of the supply-chain?

Using computer simulation, we would like to address the questions investigating how unexpected and non-trivial consequences of the represented causal structure unfold over time.

To pursue the analysis of the dynamics described in tables 4 and 5, we intend to use System Dynamics (SD) approach to modelling and simulation (Forrester, 1961; Sterman, 2000). SD has been previously used in social sciences; Hanneman, Collis and Moridt, for example, analyzed theories of conflict by using a SD model (1995). More specifically, we will base our work on previous SD applications in organizational and strategy research (Sastry; 1997; Gary, 2005). As far as our purpose is concerned, SD research methodology offers a number of advantages in modelling the described cluster dynamics. First, the methodology emphasizes a feedback perspective, and allows us to treat an organization, or a cluster of organizations, as a complex system consisting of one or more feedback loops. The dynamic interplay of these feedback loops explains emerging non-linear organizational behaviour carried by multi-level actors in complex social systems, which is not necessarily intuitively understood, nor can be replicated using other conventional research methodologies. Second, SD models approximate continuous-time, rather the discrete-time processes. Such a modelling approach is appropriate since our point of view stresses the role of emergent organizational decision making which unfolds gradually over time as the consequence of pressures, incentives and resources continuously accumulated within a cluster.

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# SEARCHING FOR A NEW FOREIGN POLICY STRATEGY FOR AZERBAIJAN – PUBLIC DIPLOMACY EFFORTS

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## Abstract

Nowadays public diplomacy is often investigated and analyzed in sociology in the context of the international public relations. This paper examines Public Diplomacy in general and Public Relations from a diplomatic perspective and its implications to the foreign policy of Azerbaijan.

The article marks general features of the public diplomacy and the international public relations, also referring to sociological sources affirms the fundamental unity between public diplomacy and international public relations, investigates the difference of public diplomacy from traditional diplomacy. At the same time, the public diplomacy elements in Azerbaijan's foreign policy and its chances in Nagorno Karabakh conflict solving are analyzed.

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**Keywords:** The new public diplomacy, instruments and models of public diplomacy, international public relations, national image and nation branding, soft power

## Introduction:

This paper intends to show the effectiveness and usage of Public Relations as a smart tool in public diplomacy of states, and will try to analyze Azerbaijan's current foreign policy from a Diplomatic PR perspective, and to present a new view of Azerbaijan's foreign policy where Diplomatic PR plays a tremendous role in developing of new public diplomacy strategy, including its role in conflict resolution in example of Nagorno-Karabakh conflict.

Public Diplomacy attracted attention in the 20<sup>th</sup> century when diplomacy fell under the scrutiny of the media and public opinion. It became a more substantial area during the cold war, dominated by campaigns to gain support for the delicate balance of nuclear weapons and the ideological battle for the hearts and minds of people around the world.<sup>172</sup>

If dealing with the major security issues requires cooperation at the global level with both governmental and non-governmental agencies, and if stable and effective collaboration can be secured only through engagement with broader foreign societies, public diplomacy becomes an integral and substantive, not just presentational, part of the foreign policy making process. Because of these above mentioned changes in international relations increasingly in the 21<sup>st</sup> century, diplomacy will be rather public diplomacy than traditional diplomacy. For example, The British Foreign Office has made a great show of taking public diplomacy seriously. It has created a Public Diplomacy Policy Department, which has produced a public diplomacy strategy for the UK.<sup>173</sup>

From my point of view these types of public diplomacy departments could be of great importance in this changing and globalizing world where everything and everyone is interrelated with global tie of communications.

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<sup>172</sup> Yale Richmond, *Cultural Exchange and the Cold War: Raising the Iron Curtain* (University Park, PA: Pennsylvania State University Press, 2004), p. 6

<sup>173</sup> Foreign and Commonwealth Office: *Public Diplomacy Strategy*, [www.fco.gov.uk](http://www.fco.gov.uk)



In Azerbaijan the Ministry of Foreign Affairs has Information Department and Press Service which can be transformed to one department under the name “Public Diplomacy Department” and include a sector responsible for *Diplomatic PR*. Of course, this type of change will require professionals trained by Public Relations experts in order to function properly and effectively. In perspective view we consider the PR departments of embassies should also to be created to meet challenges abroad in host country. These Public Relations departments can play significant role in creating the desired view in public opinion of the people of host country used as a smart tool of public diplomacy policy.

In “Public Relations and Diplomacy in a Globalized world: An Issue of Public Communication,” Jacquie L’Etang of Stirling in Britain explores various definitions and perspectives of public relations, its past, present, and future, with insights into how it can contribute to effective public diplomacy and its relationship to nation building and globalization. From my point of view this work of L’Etang noting prior work that contrasted public relations and diplomacy at theoretical and practical levels, provokes readers to consider further the theoretical and global issues of “Diplomatic PR” for states and organizations in the context of globalization.

### **Public Relations: Promoting image and reputation**

Investigation of the emergence and development of the *Public Relations (PR)* as a science, the problem of using it as a necessary instrument in the foreign policy of the Republic of Azerbaijan is of great importance both in the political-practical and theoretical-methodological aspects in the country’s present stage of development.

Nineteen years ago, on September 30, 1994 the national leader of Azerbaijan Republic Heydar Aliyev addressed the world community from the UN General Assembly’s session. In the person of Heydar Aliyev the world organizations heard the voice of Azerbaijan’s diplomacy. Later, the prominent politician’s statements at the 49<sup>th</sup> and 50<sup>th</sup> sessions of the UN General Assembly and at the Millennium summit was bright evidence to national public diplomacy which disclosed the country’s foreign policy priorities to the world. Uniting the world Azerbaijanis around the idea of Azerbaijanism, the great leader built a bridge of public diplomacy between Azerbaijan and the world. Statements of the President of Azerbaijan Ilham Aliyev at the 58<sup>th</sup> and 59<sup>th</sup> sessions of UN General Assembly raised the image of republic up in the level of international public relations.

Today Heydar Aliyev’s policy is continued in all spheres in Azerbaijan. The country’s foreign policy is active and successful. Azerbaijan is duly represented at the international organizations and its positions strengthen year-on-year. Now the country has more than 60 embassies abroad and new embassies are planned to be opened to promote international public relations through public diplomacy.

Public Relations is of crucial importance for national governments in their political and diplomatic activity. Being a preventive political mechanism in foreign policy, the public diplomacy requires active participation in the *international public relations* and intensive work with global public. Now, the corporations, transnational NGOs, and even separate citizens appear on the diplomatic arena. Therefore, the today’s national governments cannot do without hearing the voice of transnational public in decision-making. The public diplomacy joined by diasporas, corporations, social groups and communities, organizations, separate public figures, creative people, ordinary citizens work in harmony with the official diplomacy of Azerbaijani state to bring the truth of the conflict Azerbaijan is involved to the notice of world community, to make aware the world of the Azerbaijani realities.

Traditional annual meetings of the Azerbaijan President Ilham Aliyev with the heads of diplomatic missions at the Ministry of Foreign Affairs serve just to this key goal – to develop public diplomacy. These meetings have enormously promoted development of the role of *public relations and public diplomacy in foreign policy*.

In the first meeting (July 27, 2004) with the heads of diplomatic missions of Azerbaijan abroad President of the Republic of Azerbaijan Ilham Aliyev stated: “Azerbaijan successfully pursues its foreign policy. Perhaps, today the Azerbaijan diplomacy is at new level. Today the world community is fairly informed about Azerbaijan. We all, of course, first of all, the ambassadors representing Azerbaijan abroad and the staff of embassies have to try to make aware the countries’ communities of the Azerbaijani realities”.<sup>174</sup>

The challenge the head of Azerbaijani state made to promote long-term strategy of the country’s foreign policy has strongly raised public diplomatic activeness. After the congresses of the world Azerbaijanis the process of organization of the compatriots has gained a wide scope. The level of their participation in socio-political life of the country has raised, the propaganda of cultural heritage of Azerbaijan intensified, in particular, the relations with the Turkic Diasporas revived.

***One of the most critical foci of both public diplomacy and international public relations is relationship management.*** Given that public diplomacy also deals with mutually beneficial relationship building and maintenance in an international context, public diplomacy and foreign policy processes are closely correlated with international public relations endeavors of nation- states. The American sociologist Leonard<sup>175</sup> asserted that “public diplomacy should be about building relationships, starting from understanding other countries’ needs, cultures, and people and then looking for areas to make common cause”. From our point of view it is right approach. The policy and diplomacy backed by people, community and public achieves more reliable and have more useful outcomes. In the international relations the public diplomacy, the diplomacy of masses are mostly believed and relied.

In the abovementioned meeting of the heads of diplomatic missions, President of Azerbaijan Ilham Aliyev said: “We should carry out information attack. Sometimes we are accused of being belligerent. It may be, but our belligerence seems only in information field, and we have no other way.”<sup>176</sup> Azerbaijan’s public diplomacy network should be therefore created. The Meetings of the Coordination Council of the World Azerbaijanis, the State Committee for Work with Diaspora does a lot in the field of public diplomacy.

In November 2007, at the initiative of the Azerbaijan President Baku hosted the XI Congress of Friendship, Brotherhood and Cooperation of Turkic States and Communities. The congress was an example of international public diplomacy and discussed cooperation among the Turkic peoples in the field of science, techniques, culture, education, economy, trade, tourism and finance, propaganda of cultural heritage of the Turkic worlds, the mission of the Turkic youth and impact of globalization process on the life of Turkic nations. Similar actions mobilizing international public relations have notably increased effectiveness of country’s public diplomacy in region and world.

When applying the public relations perspective to public diplomacy, it is important to focus on dialogic, two-way, and interactive nature of the Internet. ***By utilizing interactivity through Internet communication, personal touch promoting public relations effectiveness can be enhanced. When personal contacts transform to public contacts they attain huge power, and thus, public diplomacy of national governments become more effective.***

Increasingly, foreign ministries and diplomats will need to go beyond bilateral and multilateral diplomacy and to construct and conduct relations with new global actors.<sup>177</sup> Public diplomacy should remain a government function. The private sector may serve as a

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<sup>174</sup> Speech of President Ilham Aliyev at the meeting with the heads of diplomatic missions of the Azerbaijan Republic (July 27, 2004) (in Azerbaijani)

<sup>175</sup> M. Leonard, *Diplomacy by other means*, 2002, pp. 21-22

<sup>176</sup> Speech of President Ilham Aliyev at the meeting with the heads of diplomatic missions of the Azerbaijan Republic (July 27, 2004) (in Azerbaijani)

<sup>177</sup> USC, “What is PD?”

complement to, but not a substitute for, public diplomacy. One scholar who has examined this question agrees, saying in effect that public diplomacy is a type of diplomacy, but to be successful, it should take advantage of the efforts of private parties working in international communications.<sup>178</sup>

### **Strengthening the Existing Traditional Diplomacy Structure --- Building Public Diplomacy strategy for Azerbaijan**

First of all, the Public Diplomacy Department must be created in order to coordinate and control these types of activities. Then public diplomacy department must be provided with adequate authority and resources. Public diplomacy needs a clear chain of command as well as adequate personnel and financial resources. It is essential to re-streamline public diplomacy channels by enhancing public diplomacy career training, increasing the number of experienced foreign service personnel abroad engaged in public affairs, and strengthening interagency coordination.

Second, Public diplomacy requires strategy. Azerbaijan's popularity abroad must be strengthened through various educational, cultural, scientific, sport related, public projects. Competing on the global battlefield of ideas requires not just platforms for disseminating information, but a strategy that defines the objectives and national interests that public diplomacy seeks to advance.

Public diplomacy, however, is closely tied to foreign policy objectives. Therefore public diplomacy strategies and campaigns have to be carefully and deliberately developed with the objective of achieving a particular policy objective. These strategies must be thus goal-oriented and policy-focused, but with both long-term and short-term timeframes.

In order to reach the current generation of social and political leaders short-term exchange programs can be used, although their cost per participant is quite high. The payoff can be strong, however, if the participants are carefully selected and their programs are designed to achieve four primary purposes:

- To build contacts between the advocate and target countries on a people-to-people basis (assuming there are no language issues);
- To allow the participants to get a firsthand look at something they clearly do not understand or about which they have insufficient knowledge (e.g., environmental practices in the advocate country, minority education opportunities, or treatment of religious minorities);
- To build a general impression of the advocate country in a participant who has no firsthand experience of the advocate country's people and society;
- And to strengthen contact between the participant and the Embassy over the longer term.

Third, Public diplomacy strategy requires messaging. In addition to strategic objectives, public diplomacy requires an account of how engagement with foreign publics can help meet those objectives; it requires a message that advances its strategy. The key factor in this channeling process is for the target audience member to realize there are benefits to be gained from knowing more about the advocate country or to recognize that there are shared values on which a positive relationship can be developed. For most people, benefits and self-interest will be the motivating factor, so *the public diplomat should manage the message to produce that effect.*

Once interest has been aroused, the target audience member becomes an active participant in the process and the public diplomat has mainly to make information available for the audience's use and consumption. There are several tools available for this purpose. Traditionally, governments used cultural centers, free "give-away" materials (e.g. brochures,

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<sup>178</sup> Fitzpatrick, "Privatized Public Diplomacy," pp. 168–169

booklets, magazines, translated and original books, etc.), film and video programs, and speakers to provide information to interested audiences. In more recent years, these tools have expanded to include websites and e-mail mailing lists, but the information is essentially the same, only the communication tools have changed.

Interviews and Embassy-organized media visits to foreign assistance projects must not be neglected as they can be especially well-targeted for the local audience and will reach the largest number of people on a regular basis.

Public diplomacy is not about changing public opinion unilaterally, but the proactive engagement of global audiences in support of a foreign policy that will stand alone and influence public opinion positively. Public diplomacy must be redefined not as a tool of simply promoting ideas and values but as a critical element of Azerbaijan's national security based on direct and indirect engagement of foreign publics, states and non-state actors.

***Public Diplomacy: the strategic planning and execution of informational, cultural and educational programming by an advocate country to create a public opinion environment in a target country or countries that will enable target country political leaders to make decisions that are supportive of advocate country's foreign policy objectives.***

As this definition clearly shows, public diplomacy involves the active, planned use of cultural, educational and informational programming to build a desired result that is directly related to a government's foreign policy objectives. It thus goes well beyond the usual concepts of propaganda, in which a particular message is "injected" into the target country over and over, or public relations, in which branding, image, and advertising are the key concepts.

As a result of the Azerbaijan's Foreign Ministry's constant activity on the economic criterion that is one of the major directions of the foreign policy, the public diplomacy includes investment and business forums to demonstrate Azerbaijan's economic potential and business environment, favorable conditions set up for development of free business, as well as the visits of governmental and private sector representatives of the foreign countries.

The Azerbaijan State Committee for Work with Diaspora and the Diaspora organizations functioning in the United States and other countries widely use the experience of public relations to promulgate the country's foreign policy in appropriate countries.

Large scale actions are implemented to form public and fair opinion in the countries Azerbaijan has established diplomatic relations with. Traditional conferences conducted on the role of Diaspora in development of partnership relations between Azerbaijan and other countries are the evidence the country attaches how much great importance to the public relations in the foreign policy. In particular, a 2-day conference on the topic "The role of Diaspora in the development of Azerbaijan-US strategic partnership relations" held in October 2008 in Washington, focused on significant themes.

The "First Forum of World Azerbaijani and Turkish Diaspora Organizations held on March 9, 2007 in Baku has been an important event in life of all the Turkish speaking peoples. As a result of the discussions, the participants adopted the "Joint activity strategy of the Azerbaijani and Turkish Diaspora Organizations, the "Baku Declaration" and other significant documents.<sup>179</sup>

On March 27, 2008, the annual meeting of Coordinating Council of World Azerbaijani and Turkish Diaspora Organizations was held in Berlin, Germany. The meeting elected co-chairs of the Council, discussed the tasks to develop cooperation among the Azerbaijani and Turkish Diaspora organizations and adopted the World Azerbaijanis' Solidarity Charter.<sup>180</sup>

At the mentioned meeting of the Coordination Council, Ali Hasanov, head of the Department on Social Political Issues, Presidential Administration of Azerbaijan Republic,

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<sup>179</sup> "Azerbaijan" newspaper, March 9, 2007(In Azeri)

<sup>180</sup> Materials of the annual meeting of Coordinating Council of World Azerbaijani and Turkish Diaspora Organizations, Berlin, Germany, March 27, 2008

touching upon the speedy processes of integration among the peoples in the globalizing world, the rising role of Diaspora and lobby organizations in the international policy, spoke of the ideology of Azerbaijanism developed by national leader Haydar Aliyev as the official state idea, the unification of the world Azerbaijanis around this idea. According to Ali Hasanov, this idea couldn't realize without union of Azerbaijani communities, societies in different countries. Speaking of the works the state of Azerbaijan does to protect the rights of compatriots abroad, Hasanov said the state attaches special attention to protection of the socio-political rights of Azerbaijanis living beyond its borders, using the public relations technology for this purpose.

At the present time, the concept of Diaspora becomes a necessary component of the international relations. The realities of globalizing world puts forward before Azerbaijan new tasks in Diaspora building. Rapid processes of integration among the peoples, the raising role of the Diaspora and lobby organizations in the international policy necessitates wider activity in this field.

The above mentioned facts give reason to confirm that the Azerbaijani Diaspora reached a new phase. Acceleration of the process of organization of the Azerbaijanis living abroad, emergence of new structures to coordinate the activity of communities, strengthening of relations with the Diasporas of other peoples, rising of the level of participation of compatriots in the socio-political life of the country they live, the achievements gained in lobby building are evidence to look ahead with confidence.

Public diplomacy is a field of multispectral activity. Active cooperation with the international structures is a necessary component of public diplomacy. For example, in Azerbaijan-NATO cooperation the public diplomacy plays important role.

In 2006, with the joint efforts of the NATO and the Government of Azerbaijan a Euro-Atlantic Center was founded in Baku to provide the investigators, students and other interested members of public with information on appropriate topics. Taking into account the necessity of implementation of public awareness actions also in regions, in 2007 the Center's branch was opened in Ganja, the second large city of Azerbaijan.

Another direction of public diplomacy activities in country is connected with the NATO's International School of Azerbaijan (NISA) supported by the Azerbaijan Ministry of Foreign Affairs and the NATO's Public Diplomacy Division (PDD) registered as NGO in January 2007. NISA regularly conducts "round tables", seminars, simulation games, as well as high level conferences to bring together representatives of the youth of Azerbaijan and other states of Euro-Asia space to promote exchange of views on security issues to contribute public awareness on Euro-Asia security questions and strengthen their knowledge.

In the Russian-Azerbaijani relations the role of public diplomacy rises year-on-year. The interstate humanitarian activity processes of the two countries, that is, the "soft power" mechanisms are not only a simple attachment to the political efforts of the two states, but also have become an independent process connecting the two countries on the level of civil society. To this end, the Haydar Aliyev Foundation headed by the First Lady of Azerbaijan, UNESCO and ISESCO Goodwill Ambassador Mehriban Aliyeva make huge contribution to this cause. Coordinator of the initiatives the Foundation implements in Russia is Leyla Aliyeva, head of the Foundation Moscow branch, head of the Azerbaijan Youth Organization of Russia (AYOR).

All above mentioned are the necessary components of public diplomacy stimulating mutually beneficial socio-cultural activity of the Azerbaijanis and Russians.

### **Armenian-Azerbaijan Nagorno Karabakh conflict: public diplomacy efforts**

Traditional meetings of the diplomatic service bodies of the Republic of Azerbaijan are of tremendous importance from the point of view of realization of the country's foreign policy and the tasks set for the diplomatic service bodies by the President of Azerbaijan. The

question of settlement of the Armenia-Azerbaijan, Nagorno Karabakh conflict in the frame of the country's sovereignty, territorial integrity and inviolability of borders has always been and is the major field of activity for the diplomatic service bodies. The facts of deliberate eradication of the historical and cultural monuments of Azerbaijanis by Armenia, changing the names and toponyms in the residential areas, illegal economic activity in the occupied lands were brought to the attention of the international community. Many editions and documents prepared and disseminated by the Foreign Ministry was certain contribution to the awareness of world community on the realities.

In the second meeting of heads of the diplomatic service bodies the Head of State said: "...I noted that our policy of integration to the world community is unchangeable, and in the latest period the state of Azerbaijan has made significant steps in this direction. We are open to the world. In this case, our foreign policy, the image of Azerbaijan should certainly strengthen abroad. In Azerbaijan, all processes, both in domestic and foreign policy, enable the country to be recognized more fairly and represented better among the world community. Each of us has to do it. All officials here, public figures, other structures and of course the ambassadors and diplomatic personnel of the embassies representing Azerbaijan abroad.

Underlining the necessity of establishing broader relations with the community of foreign countries, the president said: "...Our cooperation with the international organizations is successful. Our relations with different world organizations strengthen day by day. Last year's Azerbaijan has hosted authoritative international actions. The actions jointly organized with the Economic Cooperation Organization (ECO), the Organization of Islamic Conference (OIC), the European Union and NATO served to establish relations in the political, economic and cultural fields, and also were the events of presentation on Azerbaijan. Azerbaijan successfully and effectively cooperates with the CIS, GUAM, the Council of Europe and other partner organizations. Similar actions are of tremendous force of propaganda. Each international action hosted in Azerbaijan has two goals. On one hand, conducting of these actions in Azerbaijan is evidence to the rising role of country. Such actions allow the foreign delegates to eyewitness the realities of Azerbaijan, on the other hand.<sup>181</sup>

On May 14, 2008, the UN General Assembly in its 62<sup>nd</sup> session adopted a resolution "On situation in the occupied territories of Azerbaijan". Adoption of such important document once again confirms that the international community adhere settlement of the Armenia-Azerbaijan conflict in the frame of territorial integrity of Azerbaijan. Establishment of multilateral cooperation with international organizations, including the UN, the OSCE, the Organization of Islamic Conference, the Council of Europe, GUAM, NATO, the European Union, UNESCO and others, is significant component of the county's foreign policy, and just here the mechanism of public diplomacy should be more effective.

The actions based on social grounds, the efforts of public diplomacy become more effective in the foreign policy of Azerbaijan. Among noteworthy events in this direction is of great importance the regional conference of UNESCO on the education problems held in May 2008 at the initiative of the president of Haydar Aliyev Foundation, UNESCO and IESCO Goodwill Ambassador Mehriban Aliyeva, the works carried out for inclusion of Azerbaijan's historical-cultural monuments in the World Heritage List, the Mugham symposiums that have great public influence from the point of view of propaganda of the country's realities.

Azerbaijan locates at the junction of different cultures, and playing the role of inter-civilization bridge attaches great importance to development of the East and West inter-cultural dialogue and religious tolerance. Last years, therefore, the country has made a number of initiatives in this field and was welcomed internationally. Especially were landmark events the International Baku Forum "On expanding the role of women in cross-

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<sup>181</sup> Materials of the second meeting with heads of the diplomatic service bodies of the Azerbaijan Republic, "Khalq Qazeti", August 14, 2006 (In Azeri)

cultural dialogue”, held in Baku on June 10-11, 2008, at the initiative of Mehriban Aliyeva and the World Forum on Intercultural Dialogue held on 7-9 April, 2011.

Speaking on the role of public opinion and the importance of public relations in foreign policy at the annual meeting of the heads of diplomatic service bodies of the Azerbaijan Republic, President Ilham Aliyev said: “...The ambassadors should have close contacts with all the state and governmental bodies of the country they work, should bring the Azerbaijan’s realities to their notice, strengthen their joint activities with public structures, and have closer ties with the Azerbaijani communities abroad. I think, last year’s certain works have been done in this direction. Our Diaspora organizations have been created and they are functioning in almost countries where Azerbaijanis reside. This certainly benefits the compatriots living there and also is great support to Azerbaijan’s policy.”<sup>182</sup>

Dwelling on the role of public opinion and the importance of public diplomacy in foreign policy, the President stated: “... I would like Armenia’s occupant policy to be fully unmasked not only at the official bodies of states, but also in the public opinion, among the people, in mass media. And this is very important. As the public opinion plays significant role in the world, including in Azerbaijan. True information about the conflict, remaining of Azerbaijani lands under long occupation – these topics should persistently be in the center of talks and activity.

Today we already see positive changes not only on the international organizations, but also in international public opinion. Beginning from this year till 2013 Azerbaijan is a non-permanent member of UN Security Council. It was a major event of 2011 in Azerbaijan’s foreign policy. In 2011 Azerbaijan had won the Eurovision Song Contest which will give one more chance to show its realities by means of this cultural program. Now Azerbaijan has good economic opportunities. The budget of the Foreign Ministry increases year-on-year, and we shall increase it as much as it needs to bring the fair cause of Azerbaijan to the notice of international community so that fair approach in the world’s public opinion completely prevailed. We need it, both for continuation of talks and in the case of failure of talks, for taking other measures. These are the major tasks the ambassadors and embassies have to deal with.

Among the successes gained in strategic information field, noteworthy is the work by academician Ramiz Mehdiyev “Gorus-2010: season of the theater of absurd”. The work is a crashing blow to the Armenian propaganda in the information war. The academician once again underlines the necessity of confidence and honesty that are the major components of public diplomacy.

Recently, the use of social networks as “Facebook” and “Twitter”, mainly used by youth, has become an instrument of public diplomacy. The ongoing processes in the world, in particular in the Middle East, have once again demonstrated the power of social networks.

The deputy foreign minister of Azerbaijan Republic, rector of the Ministry’s Diplomatic Academy Hafiz Pashayev, in his interview to the day.az website highly assessed the contribution of the “Azerbaijan International” magazine to development of the bilateral relations between the United States and Azerbaijan, especially underlining the role of public diplomacy in this: “The public diplomacy, in a certain degree is useful and can play its role in solution of the problems the country faces. Public diplomacy is a part of our general diplomacy. At the same time, the public diplomacy cannot replace the process of negotiations at high level”.<sup>183</sup>

The last initiative in the frame of public diplomacy for settlement of Nagorno Karabakh conflict was realized with the participation of the ambassador of Azerbaijan to the Russian Federation Polad Bulbulgu. In this context, the symphonic ensemble conducted by Russian

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<sup>182</sup> Speech of President Ilham Aliyev at the third meeting with heads of the diplomatic service bodies of Azerbaijan Republic, July 7, 2008

<sup>183</sup> www.day.az, July 2, 2009

musician Vladimir Spivakov has given concerts in Baku and Yerevan. Unfortunately, and this initiative was not welcomed unambiguously. Moreover, it aroused debates whether correctly restarting the discussions on application of public diplomacy between Azerbaijan and Armenia.

As a continuing interest on public diplomacy at the last meeting in Sochi, January 23, 2012 the Presidents of Azerbaijan, Russia and Armenia had declared their readiness to promote the dialogue between intellectuals, scientific and social circles of conflicting sides.

### **Conclusion:**

Then, how much the public diplomacy, a key instrument of foreign policy, can be favorable and effective in settlement of conflicts as Nagorno Karabakh? Do we need public diplomacy when Armenia keeps Azerbaijani lands under occupation?

According to local and foreign experts, the public diplomacy's role is important in any conflict. It is because any agreement between political leaders should be agreed with the people. Any peace without agreement of peoples will not be lasting. The negotiations on Nagorno Karabakh conflict have been carried out already for 17 years behind the closed doors and the societies are rarely informed about the talks the political leaders carry out. Very often, the people feed on the rumors to satisfy. With the crucial moment in negotiations the societies become more and more active to regard the would-be-reached peace variant and in many cases the political leaders deviate from final consensus just because of the strong protest of societies.

For example, in 2001, when the sides were about reaching a consensus in Key West negotiations, strong protests erupted in public opinion both in Armenia and Azerbaijan, as a result the sides couldn't dare move ahead without their backing. And thus, significant progress reached in the result of confidential talks went for nothing. At that time, the international mediators have also stressed this point in their statements, underlining that now the main problem is that the sides have to prepare their communities for painful compromises.

So far in international practice, there are some successful examples of the application of public diplomacy in such conflicts. One of them is the Northern Ireland. The long-lasting conflict between London and Belfast is considered to be over with the agreement signed in 1998. Public diplomacy played significant role in reaching this agreement. Michael Martin, the Foreign Minister of the Northern Ireland, who was mediator in the conflict, has recently stated at the international conference in Dublin that his country to chair at the OSCE in 2012 is going to apply the Northern Ireland experience in regulation of the Armenia-Azerbaijan conflict. According to M. Martin, the time has arrived to apply the Northern Ireland's public diplomacy experience in the Nagorno Karabakh conflict. In our opinion, it is necessary to prepare and calm the society beforehand to avoid indignation and protests.

Another example to the public diplomacy is the reconciliation reached in the South African society after the apartheid regime was abolished. And in Georgia, once the public diplomacy was widely applied between the South Ossetia and Abkhazia. In particular, there were trade and some social connections between Abkhazia and other parts of Georgia. Despite this, it was impossible to persuade the abkhaz and ossetin separatist regimes into the status within Georgia and therefore, the known (August 2008) military operations erupted.

The same is observed in Nagorno Karabakh. A puppet regime under the control of Armenia and the Armenian Diaspora is functioning in region and therefore the public diplomacy has limited chances to be applied in regard with the Armenians of Karabakh.

As to Armenia, the situation is rather complicated. The "Karabakh clan" rules in Armenia and those who are in power have directly participated in occupation of Azerbaijani lands. The Karabakh clan has unbalanced power over the Armenian society. On the other hand, the Armenian society entirely has fallen ill with unrealistic dreams and aggression. In the country's media, you cannot see any realistic proposal for settlement of the Karabakh



conflict. It is impossible to find an Armenian intellectual or public figure who would intend to persuade the nation to return the occupied lands. The whole ideology is based on establishment and legalization of the second Armenian state in the territory of Azerbaijan. Political leadership of Armenia doesn't show any constructivism in negotiations. Application of public diplomacy in such situation will go for nothing.

On the other hand, the conflict caused heavy casualties and bloodshed narrows the chances of public diplomacy. On the background of the Khojaly genocide committed by Armenians in Karabakh and other military crimes, the policy of robbery and plunder in the occupied areas, obliteration of the Azerbaijani historical-cultural monuments any public diplomacy initiative with Armenia arouses irritation in the Azerbaijan society.

Along with that, it is admissible that whenever the peace talks between Armenia and Azerbaijan will bring any accord, then the role of public diplomacy will certainly rise, as the accord with society is inevitable for realization of the would-be-reached agreement. Thus, the public diplomacy can be effective when the negotiations reach any real advance. Yet Armenia doesn't display any interest in this. On the contrary, the Armenian state makes attempts to persuade public opinion into the possibility of legitimization of the fact of aggression. And this has become also an instrument for the ruling circles in Yerevan to keep power in their hands.

The developments predict that how radical and irritating the application of public diplomacy is for society, in case of reaching a consensus, all ways are acceptable to bring the idea of peaceful co-existence to the people. Otherwise, should the conflict be solved, the local clashes will be inevitable.

In general, taking into account the tempo of development of this sphere the followings can be proposed. Public diplomacy should actively be used both by the state's central foreign relations bodies and the foreign relations organizations abroad, as well as by the NGOs, separate socio-political leaders, numerous representatives of society.

In this case, the public diplomacy activity should include the below listed items:

- every act able to promote mutual interstate understanding both in the country and beyond its borders;
- the recommendations on creation of "public image" of the state;
- steps aiming at finding and elimination of the sources of misunderstanding;
- the activities of foreign relations bodies to expand sphere of influence through appropriate propaganda, meetings, gatherings, video demonstrations;
- any steps aiming at promotion to improvement of relations between the foreign relations bodies and public.

In particular, in parallel with the official foreign policy bodies of Azerbaijan, the creation of "National Public Relations Departments" in the foreign countries and their activity can increase our successes in the field of foreign policy even more.

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# THE POST-NATO AFGHANISTAN: PROSPECTS AND CHALLENGES

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## Abstract

Since the 11 September 2001 attack on the U.S and subsequent wars Afghanistan has become at the forefront of the global agenda. The U.S involvement in Afghanistan is mainly to defeat al Qaeda and dismantle the Taliban regime that harbored al Qaeda. After nearly twelve years of war the U.S although appears to be successful in weakening Al Qaeda but not able to destroy the group. Now the U.S and its allies are planning to pull out of Afghanistan. Following the plan to withdraw all NATO combatant troops from Afghanistan by the end of 2014 there is a growing concern for the weak U.S established Karzai government in particular and Afghanistan at large. This paper inquiries into what the war achieved, how the NATO forces will pull out of Afghanistan and what awaits Afghanistan after the NATO withdrawal.

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**Keywords:** Afghanistan, the U.S, NATO, withdrawal, Taliban and al Qaeda

## Introduction

The U.S administration's contradictory statements and the mismatch between the U.S administration's rhetoric and facts on the ground are the bases for my inquiry. The U.S administration, on one hand, claim to significantly dismantle its main adversary Taliban and that it is already established around 300,000 Afghanistan troops ready to take the security responsibility from the NATO forces completely by the end of 2014. However, on the other hand, the U.S administration is planning to provide a negotiated settlement with Taliban. So far, Taliban is reluctant to negotiate, which shows the power balance to the side of Taliban. In addition, the NATO and the Afghan troops hardly control areas beyond Kabul. Thus, this term attempts to unravel the above contradictions.

The aim of this paper is to examine the NATO achievement in Afghanistan especially related to the counterinsurgency program. The paper also attempts to identify alternative exit routes NATO is considering to transport its large cargo out of Afghanistan in the coming years. In addition, I attempt to analyze possible future security scenarios in the post NATO Afghanistan. The methodological approach I used in this study is qualitative methodology.

Qualitative methodology is more compatible to address the objectives. The major source is secondary sources that include documents, scholarly articles, news analysis, books etc. The selected method to study the topic is document analysis. The scope of the paper covers mainly the current developments unfolding in Afghanistan in relation to security. The NATO's remaining years are significant to understand the overall strategy of the U.S, as super power, war on terror that shapes its global security strategies. I organize this paper into five major parts. The first section discuss about the causes for the U.S-NATO involvement in Afghanistan. The second part is about the belligerents and the third part is about NATO's achievements. The fourth section discusses about the NATO pull out strategy and the fifth part is about the post NATO Afghanistan. Finally, I incorporated a brief conclusion.

## **Causes of the War**

According to many observers there are three major causes for the U.S led NATO military engagement in Afghanistan. These are security, geopolitical and economic. The immediate cause for the U.S engagement in Afghanistan, in 2001, is related to national security matters. The U.S-NATO military campaign was focused to dismantle the Taliban regime that was harboring al Qaida. Afghanistan and the Taliban regime were labeled as rogue state and fertile ground for terrorism. Since 2001, Afghanistan becomes a top U.S security priority. (Birku, 2011:22)

The U.S army went to Afghanistan to achieve four major military objectives. These are “capturing Osama bin Laden, capturing Mullah Umar, closing down al Qaeda in Afghanistan and elsewhere and releasing U.S prisoners in Afghanistan” (Jackson and Towel, 2006:176). Even though, initially the U.S major objective in Afghanistan was to destroy al Qaida and Taliban, it gradually adopted the task of nation building. The later task of nation building in Afghanistan by the U.S and its allies is unsuccessful so far, rather it made things more complicated in both local and regional politico-security spectrum. I will return to the latter point in detail in the topics to come.

Afghanistan has a “distinct geographical connection between Central Asia and the Middle East” (Rosén, 2008: 82). More to this, “the U.S is closely watching the co-operative framework between Russia, China, Pakistan, Kazakhstan, Uzbekistan, Tajikistan and Kyrgyzstan [under Shanghai Cooperation Organization]” (Birku: 24). The rivalry to dominate Central Asia between Russia, China and the U.S made Afghanistan geopolitically significant. In addition, the exiting tension between Iran and the U.S contributes for the strategically significance of Afghanistan in the eyes of the two states. Such strategic importance seems to have a vital place in the U.S desire to extend its presence in Afghanistan.

Afghanistan is also an important pass way to the economically reach region of Central Asia. The U.S desire to build oil/gas pipeline across Central Asia, according to some observers, is related to the U.S engagement in Afghanistan. As Birku cited from Yechury Afghanistan is vital “from energy stand point that stems from its geographic position as a potential transit route for oil and natural gas export from Central Asia to the Arabian Sea”. (Birku: 27)

## **The Belligerents**

The major actors in the Afghan war theater can be classified into two groups. These are NATO and Taliban. NATO represents all member states and international forces involved on the side of the U.S. Taliban; the name represents many groups that resist the foreign involvement in Afghanistan.

## **NATO**

Following the terrorist attack on September 11, 2001, the U.S administration immediately categorized Afghanistan as the major security threat. In addition, the attack “prompted Allies to launch Operation Active Endeavour, to adopt the Military Concept for Defense against Terrorism (MC472) and to initiate various capability and institutional changes”(NATO,2012:2). The U.S started air bombardment of Afghanistan on 7 October 2001 supported by the ‘Coalition of the willing’. The International Security Assistance Force (ISAF) established the Afghan Transitional Government on December 22, 2001. Initially, the ISAF had a limited mandate of peacekeeping in Kabul and its surrounding areas “to provide security for the interim Afghan government and UN agencies operating in the city” (Zisk, winter 2002-2003:36). In 2003, NATO overtook all the security responsibility in Afghanistan from International Security Assistance Force (ISAF), and the United States. (Hansen; Toff and Wivel, 2009:84)

The U.S as a primary player in the Afghan theatre is working with 49 different states and the Afghan army as well as government (Katzman, 2012:24). NATO immediately after the attacks on U.S announced its Article 5<sup>184</sup> for the first time ever. Then Afghanistan becomes NATO's first mission outside of Europe. In October 2011 the number of international forces was about "130,638 military personnel deployed as part of ISAF, from 49 contributing nations" (Taylor, 2011:13)

According to Minuto-Rizzo (2010), there is no comparable international organization other than NATO to handle such a huge responsibility. The UN lacks the efficiency even if it has enormous legitimacy. The responsibility among the NATO member states and partner states is distributed unevenly as shown in the Table below.

| States               | No. troops | States            | No. troops | States               | No. troops |
|----------------------|------------|-------------------|------------|----------------------|------------|
| Albania              | 286        | Germany           | 5000       | Poland               | 2580       |
| Armenia              | 126        | Greece            | 153        | Portugal             | 140        |
| Australia            | 1550       | Hungary           | 415        | Romania              | 1873       |
| Austria              | 3          | Iceland           | 4          | Singapore            | 39         |
| Azerbaijan           | 94         | Ireland           | 7          | Slovakia             | 309        |
| Belgium              | 520        | Italy             | 3952       | Slovenia             | 77         |
| Bosnia & Herzegovina | 55         | Jordan            | 0          | Spain                | 1526       |
| Bulgaria             | 597        | Republic of Korea | 350        | Sweden               | 500        |
| Canada               | 529        | Latvia            | 174        | Macedonia            | 163        |
| Croatia              | 317        | Lithuania         | 236        | Tonga                | 55         |
| Czech Republic       | 623        | Luxembourg        | 11         | Turkey               | 1840       |
| Denmark              | 750        | Malaysia          | 46         | Ukraine              | 23         |
| El Salvador          | 24         | Mongolia          | 114        | United Arab Emirates | 35         |
| Estonia              | 159        | Montenegro        | 39         | United Kingdom       | 9500       |
| Finland              | 156        | Netherlands       | 183        | United States        | 90000      |
| France               | 3932       | New Zealand       | 188        |                      |            |
| Georgia              | 937        | Norway            | 429        |                      |            |
|                      |            |                   |            | TOTAL                | 130,638    |

Source: ISAF Headquarters, 18 October 2011 (Taylor, 2011: 13-14)

## Taliban

Different groups in Afghanistan organize the insurgency against the NATO forces under the name Taliban. However, there are many versions of the Taliban. Among the different versions of the Taliban, Quetta Shura Taliban (under Mullah Umar), Hikmatyar Taliban (under Gulbuddin Hikmatyar), and Haqqani Taliban (under Jalaludin Haqqani) have been prominent. In addition, other insurgency groups like al Qaeda and the Tehrik-e-Taliban Pakistan operate in Afghanistan. (Katzman, 2012) There are some differences among the above groups. Some of them have a global agenda whereas others focus on local matters only. In addition, the area they are active differs. For instance, the Haqqani is more active in east of Afghanistan, whereas the Hikmatyar is more active in the south.

The insurgency groups also have many similarities. Among these, their ethnic group is the one. Most of the insurgency belongs to the Pashtun ethnic group. The Pashtun people inhabit eastern and southern part of Afghanistan and western part of Pakistan. The Pashtun people "pride themselves on never having paid taxes to any sovereign and never having their lands, which they consider veiled, or *purdah*, conquered". (Johnson and Mason, 2008:51)

<sup>184</sup> Article 5 of the NATO treaty states 'that an armed attack on one or more of [the allies] in Europe or North America shall be considered an attack against them all'

Similarly, they all are Muslims. Moreover, often they work together in a coordinated manner. In addition, it is reported al Qaeda has a close relation with both Hikmatyar and Quetta Shura Taliban.

### **NATO: 'Achievements'**

The achievements of NATO could be measured in terms of its objectives. As a security organization, its responsibility largely lies on security matters, specifically running the counterinsurgency<sup>185</sup> policy. The major achievement of the U.S was death of Osama bin Laden, the chief architect of the 9/11 attack, inside Pakistan. However, the counterinsurgency was not successful. The chief conniver of the counterinsurgency strategy, in Afghanistan, General Mc Chrystal outlined the program in the following manner, on August 30, 2006, That the goal of the U.S. military should be to protect the population rather than to focus on searching out and combating Taliban concentrations. Indicators of success such as ease of road travel, participation in local *shuras*, and normal life for families are more significant than counts of enemy fighters killed.

That there is potential for "mission failure" unless a fully resourced, comprehensive counter-insurgency strategy is pursued and reverses Taliban momentum within 12-18 months. About 44,000 additional U.S. combat troops (beyond those approved by the Obama Administration strategy review in March 2009) would be needed to have the greatest chance for his strategy's success. (Katzman, 2012:21)

There was, however, intense debate about the wisdom behind this surge. For instance, the dramatic increase in the number of troops was highly criticized by the Defense Secretary of the time Robert Gates. Gates was worried about the rise in the number of U.S troops because it might create a "sense of occupation [on the side of Afghans] that could prove counter-productive" (Ibid). After tense debate in the U.S president Obama announced on December 1, 2009:

That 30,000 additional U.S. forces (a "surge") would be sent (bringing U.S. levels close to 100,000) to "reverse the Taliban's momentum" and strengthen the capacity of Afghanistan's security forces and government.

That there would be a transition, beginning in July 2011, to Afghan leadership of the stabilization effort and a corresponding beginning of a drawdown of U.S. force levels. (Ibid)

Nevertheless, the U.S-NATO led counterinsurgency in Afghanistan is largely considered as a failure. The counterinsurgency, the skeptics fear leads the U.S into a 'quagmire'. The aspiration to win 'hearts and mind' was not successful as expected. The U.S soldiers' misconduct<sup>186</sup> and the indiscriminate drone attacks made the U.S and the international forces more unpopular in Afghanistan. Likewise, the other objective of the counterinsurgency, i.e. 'clear, hold, and build', failed to materialize in Afghanistan, because of stiff insurgency resistance and limited NATO troops on the ground to accomplish such a task. NATO/US and the Afghan Army have a very limited control over much of Afghanistan. (Branch and Wood, 2010: 3) Moreover, there is a limited trust between the NATO forces and Afghan forces. In contrary, counterinsurgency highly requires the close collaboration between the foreign forces and local forces, both police and the army.

Although, there is a limited progress in the area of nation building the international forces in Afghanistan have some success story when comes to socio-economic areas. In particular, the women involvement in public affairs showed a remarkable increase since the NATO involvement in Afghanistan (Chishti, 2010:254).

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<sup>185</sup> Counterinsurgency was unpopular among the U.S political circle since the Vietnam War. However, it was reintroduced during the Iraq War (II) in 2004. From Iraq, it transferred to Afghanistan theatre in 2009.

<sup>186</sup> There are large numbers of accusation on the U.S troops in Afghanistan such as the burring of the Quran, denigrating the dead, killing of civilians etc. This significantly reduced the U.S image in Afghanistan and across the Muslim world.

## **NATO Pull Out**

The NATO is looking to pull out of Afghanistan as much as possible with ‘a minimum of exit cost and a toll in lives’ (Daxner, 2011:71). In the Lisbon NATO Summit, November 9-10, 2010, member states agreed, “that the transition to Afghan leadership would begin in 2011 and would be completed by the end of 2014” (Katzman: 21). The pull out of the U.S troops, biggest contributor, begun in July 2011. In mid-2011, the U.S troops stationed numbered around 99,000. However, in May 2012 the number of U.S troops dropped to 90,000. Other states are also putting deadlines for their troops pull out such as France, Canada, Australia and others. Both the absence of progress in Afghanistan and domestic politics in each of the states seems the reason for the early exit.

Nevertheless, exit from Afghanistan is for the NATO forces are getting difficult. The pull out strategy of the U.S seems to suffer a big blow after Pakistan closed the road to Afghanistan. Now what is worrying NATO is “how to leave Afghanistan without losses rather than when to leave” (Burlinova, 2010:1). The Pakistani route to Afghanistan was the major supply route to the NATO forces. However, Pakistan closed its doors after U.S air attack killed around 24 Pakistan troops stationed near the Afghanistan border in November 2011. Since then high level U.S, officials are considering alternative route to facilitate relatively easy and less costly withdrawal. Recently, the Foreign Secretary Clinton signed a treaty with three Central Asian states for the same purpose. Although Pakistan and the U.S have already amended their broken relation the possibility of weakening relation remain imminent. This appears mainly true because on the Pakistan side the U.S refusal to halt repeated drone attacks on the Pakistan soil could be a deal breaker. The U.S in its part continued to criticize Pakistan, especially the intelligence, support to some insurgence groups in Afghanistan. An allegation Pakistan has been categorically denying.

Despite all these, the alternatives are less attractive compare to the Pakistani route in terms of both safety and cost. The international forces “has [estimated] 122,000 shipping containers and 70,000 vehicles in Afghanistan” the transportation of such a huge load create an enormous logistical challenge to the NATO forces (Merey, 2012:2). Compare to the other routes the Pakistani (southern) route is cheaper. However, Pakistan closed the route because of the incident indicated above. Hence, the NATO forces are obliged to search for alternative routes to transport their cargo out of Afghanistan. Alternatives to the Pakistan or the Southern route are the following:

- A) the Northern route – the transportation of NATO equipment’s via “former Soviet republics in Central Asia such as Uzbekistan, Tajikistan”(Ibid) and Kirgizstan. Then the cargos will transfer to train to reach a port. These states will demand a higher fee for the passage.
- B) Air- very expensive and there are huge loads that cannot be transported through the air.
- C) Iran- ‘not an option’ because of the unfriendly relation Iran has with the U.S and other NATO member states.

The NATO powers expressed their desire to take back significant amount of the military hard ware they were using in Afghanistan. However, given the difficult situation NATO forces are in, they will be forced to leave behind large amount of weaponries behind. These weaponries if they fell on Taliban or al Qaeda, hand they might be used to attack the West. These weapons, leftovers, could create power imbalance and exacerbate the already volatile security condition in Afghanistan.

## **Post-NATO Afghanistan**

As the foreign forces preparing to pull out of Afghanistan, many are asking what they are living behind. And as stated above, although there are some gains made by the help of foreign troops, Afghanistan still remain largely insecure where “insurgency still operates, poverty still festers and there is nothing resembling a genuine rule of law” (Ibid). Now it is accepted, it is nearly impossible to set up the envisioned ‘liberal nation state’ in Afghanistan.



What the U.S seems to achieve is 'a cold peace' because it become unattainable to win the war. In this section, I try to outline different scenarios concerning the future of Afghanistan after the NATO forces withdrawal.

Some scholars proposed a federal system that allocates significant power to the regional players, because the central authority already has no strong authority. Some even suggested dividing the Afghan provinces along ethnic lines. However, in both cases it is unlikely to ensure stability in Afghanistan. Others are proposing for involving Taliban in the Afghan government. However, this also has its own challenges. First, the NATO and their Afghan partners need to make 'a significant compromise', and this could be considered as a defeat. Second, most prominent Taliban actors are not willing to work with the present arrangements. The attempt to broker a deal with the Taliban failed recently after the U.S troops went on a killing rampage on civilians. Others are indicating, the possibility of putting Afghanistan under UN protectorate. However, this is also hardly enables to halt the civil war in the country.

On the latest summit on Afghanistan, the Chicago Summit May 20-21, 2012, the NATO members' states and their partner reaffirmed their commitment to the Islamic Republic of Afghanistan. The Chicago Summit's general principles indicated, "[O]ur efforts are part of the broader engagement of the International Community as outlined by the Kabul Conference in July 2010, the Istanbul Process on regional security and cooperation which was launched in November 2011 and the Bonn Conference in December 2011". (NATO, 2012: 1) The establishment of Taliban 'contact office' in Doha, Qatar created tension between the Karzai government, which felt sidelined, and the U.S.

Recently, the Western states are experiencing economic difficulty. As a result, many doubt the full realization of these commitments to Afghanistan. The U.S. has repeatedly indicated its desire to transfer its Afghan responsibility to some other international body. The Chicago Summit main aim was Afghanistan. The Chicago Summit was expected to "finalize the plan to transfer all security responsibilities to Afghan forces by the end of 2014. The summit will also establish enduring political and financial commitment to Afghanistan" (Coffey, 2012: 1). To help the Karzai government firmly stand on its feet seems to require enormous capital and strong dedication. However, both are missing in Afghanistan. With the international forces living behind very corrupt government, ill-trained soldiers, aid and drug driven economy the return of Taliban regime to power seems inevitable. All the gains the U.S and NATO are proud of could be lost in a few weeks, if the Afghan government does not continue to get the assistance.

I suspect in the early years after the NATO forces withdrawal Taliban will regain significant position, if not all, in much of Afghanistan. However, securing stability and order remain a challenge. In addition, the West will continue to support some groups and Pakistan might also fund some other groups. Therefore, I fear a Somalia like situation might surface in Afghanistan. At worst a protracted civil war will loom across much of Afghanistan with no strong central authority and foreign powers covert involvement.

## **Conclusion**

Afghanistan is significant to understand where the U.S. is heading on its war on terror. US-NATO forces were successful in the initial phase of the Afghan war. They secured a quick victory against al Qaeda and Taliban forces. U.S targeted assassination was also successfully eliminated prominent al Qaeda and Taliban leaders. In addition, the NATO forces were successful in securing main diplomatic quarters of Kabul.

Nevertheless, since the launch of the counterinsurgency strategy, in 2006, the insurgencies become powerful. The counterinsurgency's main objective of nation building fails to realize. NATO and its allies could not continue the war, agreed to leave Afghanistan

in 2014. Hence, NATO's exit strategy and the future fate Afghanistan becomes a major global agenda.

In general, Afghanistan showed the limits of the Western military powers. The U.S and its allies are now forced to reconsider their overall strategy on the so-called war on terror. The Afghanistan they are leaving behind may be much more a security threat than before the invasion. Today al Qaeda is proliferated in many parts of the world. In addition, the problem in Afghanistan is already spilling over to neighboring states like Pakistan. However, the overall impact of the NATO involvement in Afghanistan is yet to be seen in the years to come.

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# THE MAIN ASPECTS OF EVALUATING GOVERNMENT PROJECTS AND PROGRAMMES BY USING THE COST-BENEFIT ANALYSIS

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## Abstract

In a world of finite public and private resources, it is very important to support effective management of public finances. Effective management focuses on the core areas of public financial management – public program and project appraisal. The essential theoretical foundations of CBA are: benefits are defined as increases in human wellbeing (utility) and costs are defined as reductions in human wellbeing. Cost-benefit analysis is an analytical tool that can be used to measure the economic and social impact of government action by reference to the "net social benefits" that action might be produced. As such, it can be a valuable aid to decision making. Its power as an analytical tool rests in two main features: 1) costs and benefits are each as far as possible appropriate expressed in terms of money and hence, are directly comparable with one another; 2) costs and benefits are valued in terms of the economy and society as a whole, so the perspective is "global".

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**Keywords:** Public program and project appraisal, Cost-benefit analysis, Social costs and benefits

## Introduction:

The government supports the community in an increasingly complex and challenging fiscal and economic environment. In order to provide the highest quality outcomes, government has to optimize value for money in its use of resources. So, it is very important to support effective management of public finances. The core area of public financial management is public project appraisal. The public sector developed the methods for evaluating projects and programs throughout the system which is characterized by comparability of costs and benefits. These methods are applied in the economic analysis - the main part of the public sector within the economy.

Cost-benefit analysis as an analytical tool has been discussed for a long time. Besides, who would have thought that the issue of cost-benefit analysis would cause debates among Aristotle, Hegel, Sophocles and John Dewey?! Or cause debate about the possibility of human cognition and rational thought?! Or "make" a quiet scholar "angry". Sen rejected the analysis of expenses and benefits, as a "dream,"<sup>187</sup> while another scholar - Henry Richardson called this method "stupid".<sup>188</sup>

CBA history shows that its use began in France in XIX century for the purpose of evaluating infrastructure projects. The theory of welfare economics developed in microeconomics in the beginning of XIX century in parallel with "marginal" revolution. In 1920, it was followed by Pigou's Economics of Welfare which further formalised the notion

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<sup>187</sup> Sen, Amartya K. (1963). "Distribution, Transitivity and Little's Welfare Criteria," *Economic Journal*, 73(292), p 1-78.

<sup>188</sup> The costs and benefits of cost-benefit analysis – Adam Wolfson - 2001 [http://www.nationalaffairs.com/doclib/20080710\\_20011457thecostsandbenefitsofcostbenefitanalysismadamwolfson.pdf](http://www.nationalaffairs.com/doclib/20080710_20011457thecostsandbenefitsofcostbenefitanalysismadamwolfson.pdf)

of private and social costs and later, in 1930 - by the "new welfare economics" according to which the welfare economics was reconstructed according to benefits (utility theory).

Theory and practice are different, as the formal requirement came into force and in the USA it became necessary to compare costs and benefits in order to evaluate investments invested in public water-related projects. After World War II, the requirements for "efficiency in government" became especially stricter, i.e. the search for ways of effectively investing public funds was followed by the necessity of using the cost-benefit analysis. Since 1960, the cost-benefit analysis is a powerful analytical tool for the evaluation of public policies and projects.

The idea of economic accounting belongs to the French engineer J. Dupuit, whose article written in 1848 is still relevant today. British economist, Alfred Marshall formally established concepts that served as the base for the CBA. Practical, development of CBA started after the Federal Navigation Act of 1936 was enacted. The requirement of this Act was that U.S. troops would not be able to implement engineering projects without the cost-benefit calculation. At that time these calculations were made without the assistance of professional economists. Only 12 years later, in 1950, professional economists established thorough, consistent methods to calculate costs and benefits and to solve whether this project is worth financing. This analytical method was widely applied in Europe in 1960.<sup>189</sup> French scientists greatly contribution to applying the "costs and benefits" analysis for evaluating public projects.<sup>190</sup>

The largest French project that was implemented using this method was the railway between Paris, Marseille, Lyon and London. Evaluating projects by the cost-benefit analysis is the characteristic feature of the French School –external benefits and costs, the benefits of change and the rate of return for economic and financial norms.<sup>191</sup>

In the UK, this method was mainly used to evaluate transport projects, such as road between Birmingham and London, the London Underground and reconstruction of the third London airport.<sup>192</sup> The specificity of these projects is mainly related to changing market prices into shadow prices.

Today, the cost-benefit analysis methods are used in more and more countries, including developing countries; these methods are gradually being improved. The above mentioned is proved by the fact that the issue of distribution of income among participants, justification of the general and particular compensation scheme, was not paid attention and only the problem-solving efficiency was focused on.

Later the situation dramatically changed and the main problem became to analyze the distribution of income, particularly, within the scope of "the second best solution" approach.<sup>193</sup>

Consequently, in the end of XX century, evaluation of projects within the scope of the cost-benefit analysis substantially expanded the use of "the second best solution" approach<sup>194</sup> which emphasizes the limited opportunities of the use of the cost-benefit method developed

<sup>189</sup> Financial and Economic Analysis of Development Projects. Luxembourg: Office for Official Publications of the European Communities, European Commission, 1997.

<sup>190</sup> Little I. M. D., Mirrless J. A. Project Appraisal and Planning for Developing Countries. L.: Heinemann, 1974. P. 28

<sup>191</sup> Chervel M. L'évaluation économique des projets: Calcul économique publique et planification: les méthodes d'évaluation de projets, nuova edizione. P.: Publisud. 1995. Petit guide de l'évaluation des politiques publiques. P.: La Documentation Française, Conseil scientifique de l'évaluation, 1996.

<sup>192</sup> Commission on Third Airport / 1991 Annual Review. L.: BAA, 1992.

<sup>193</sup> R.G. Lipsey & Kelvin Lancaster (1956-1957). "The General Theory of Second Best". The Review of Economic Studies, 24(1), pp. 11–32. Reprinted in Robert E. Kuenne, ed. (2000), Readings in Social Welfare: Theory and Policy, pp.48-72

<sup>194</sup> Handbook of comparative public budgeting and financial management / ed. by T. D24. Hammerle N. Private choices, social costs, and public policy: an economic analysis of public health issues. Westport, Conn.: Praeger, 1992.

according to "the first best" theory in the real world, where commodity and factor markets are imperfect and family farms are characterized by various consumer preferences.

The three major problems and the basic directions of the cost-benefit analysis are: 1. Changes of net release and the amount of costs and benefits; 2. Selection of adequate methods for determining the shadow price 3. Putting in appropriate condition cost and benefit time by using social rate of discounting.

1. From the standpoint of economic evaluation, the approach developed by the U.S. National Institute of Standards and Technology is very important. The approach implies the necessity of using private and state return separately.<sup>195</sup> Meanwhile, the return on the positive net economic benefits of the project extend beyond the direct revenue. Distinction between private and public evaluations is considered as the difference between the initial impact, which is equal to the revenue from commercial activities, and further exposure to the recipient, which is consistent with the redistribution effect.
2. One of the important characteristic features of the cost-benefit analysis is that it can be measured in monetary units. The project resulted in a net income will not guarantee that it will increase each participant's net income; so, the measure is applied to the principle of pareto efficiency, but the principle is the potential pareto efficiency, according to which the project is realized as a "benefit" to compensate for their "lost" participants in the loss.<sup>196</sup>

Prices for goods that are for sale in an imperfect market, essentially cannot represent the marginal social costs.<sup>197</sup> The shadow price of the product is basis of its social marginal cost. Despite the fact that shadow prices are differs from the goods market price on the imperfect markets, in some cases the market price is used for calculating the shadow price. In any case, the basic idea is that the shadow price depends on how the economy reacts to the State intervention.

Various methods are offered for evaluating costs and benefits. For example: a) Utilizing market prices if they do not differ from the social marginal expenditures; b) Shadow prices which allow adjustment of market prices completing the deviation from social marginal expenditures that exists because of the market imperfection; c) The value of such goods which cannot be sold and is determined based on an individual's behavior. In particular, calculation of the benefit derived as a result of time-saving and evaluation of the benefit derived as a result of decreasing the death rate.<sup>198</sup>

There are other approaches as well, based on which trade goods is measured at the border or with the help of world prices, while non-trading goods - the equivalent amount of transportation means (in terms of the international exchange).<sup>199</sup> The World Bank projects are often used to evaluate the marginal pricing method which is a significant advantage is its relative simplicity.

3. During the cost-benefit analysis, putting in appropriate condition cost and benefit time by using social rate of discounting is a very important issue, which is defined in terms of social, state or shadow rate. It shows the alternative costs of the best use of resources on private as well as public sector level. In the of costand benefit analysis of

<sup>195</sup> Handbook of comparative public budgeting and financial management / ed. by T. D24. Hammerle N. Private choices, social costs, and public policy: an economic analysis of public health issues. Westport; Conn.: Praeger, 1992.

<sup>196</sup> Greenward, Bruce. Stiglitz, Joseph E (1986). "Externalities in economies with imperfect information and incomplete markets". Quarterly Journal of Economics 101 (2): 229-264.

<sup>197</sup> Boardman A, D Greenberg, A Vining, D Weimer, 1996. *Cost-Benefit Analysis: Concepts and Practice*, Prentice Hall, Upper Saddle River, USA.

<sup>198</sup> Harvey S. Rosen, Ted Gayer. Public finance. 2009 Edition: 9<sup>th</sup>. P173.

<sup>199</sup> Little I. M. D., Mirrless J. A. Project Appraisal and Planning for Developing Countries. L.: Heinemann, 1974.

public projects, there are two approaches for determining the appropriate discount rate.

There are three possible criteria while carrying out analysis in the public sector: the private rate of return before tax, weighted average rate of return before tax and the taxation of the private and social discounting rate. The choice is made depending on which sector is oppressed (investment or expenditure?) and what are the preferences of the society and the private markets.

Until 1968, there was an assumption that in the public sector the first approach could be used as the discounting rate for evaluating investments.

Risk factors are making the biggest impact to determine the discounting rate for developing and transitional countries. There is an assumption that it is possible to evaluate projects in the private and public sectors using a single discounting rate.

We agree with the opinion that the current value is to be calculated using different discounting rates, as a result what will be determined whether the current value is positive in case of any rational value of discounting. If the current value is positive, it will be clear that the response is not sensitive to the discounting rate. The sensitivity analysis is an important part of the cost-benefit analysis, after using of which it becomes clear how one parameter of the model changes as a result of the changes of other parameters.<sup>200</sup>

The research proves that there is no common opinion about certain issues of the cost-benefit analysis; therefore, it can definitely be said that it is widely used for calculating proceeds from socially significant projects and represents successful calculation (felicific calculus) of J. Bentham's utilitarianism<sup>201</sup>. It is also important that it makes possible to compare individual rationality and public (state) sector.

### **Conclusion:**

Thus, for ensuring effective management of limited financial resources in our country, it will be very important to implement world approved methods for evaluating programs and projects. The cost-benefit analysis (CBA) can be used to evaluate economic and social activities of the state. Its power as an analytical tool rests in two main features: costs and benefits are each as far as it is possible and appropriate are expressed in terms of money and hence, are directly comparable with one another; costs and benefits are valued in terms of the economy and society as a whole, so the perspective is "global".

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# COMPARATIVE ANALYSIS OF ETHNIC POLITICS IN KAZAKHSTAN AND GERMANY

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## Abstract

This article describes one of the modern problems – political condition of international relations, relations between nations and inter-ethnic consent. The authors analyze the experience of Kazakhstan and Germany in ethnic politics, explore the importance of these issues in the world today.

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**Keywords:** Nation, State, tolerance, inter-confessional relations, inter-ethnic consent

## Introduction:

It is known that changes, social and economic, political and ideological relations, increasing of military conflicts, elimination of confessional and national ideals and evaluation of general human values not on its level cause conflict situations between ethnics. Regulation and formation of international relations is a very complicated process. Complicity of this process is that education, world views, customs and traditions, religion and others formed variously.

Now all the States are considered as multinational. It is written in David Wilsh's book «International conflicts and international safety», published in 1993 that about 20 states from the States in the world are considered as one and the same ethnic group. And countries are not equal single ethnic, there are also small ethnic groups but they comprise not more than 5 percent [1] that's why the principles of consent and peace are established between the nations in each country.

Oxford English Dictionary published in 1972 gave a new meaning to ethnic problems (ethnicity). Ethnoc is a Greek word, at first it was given meaning «multi Gods idolaters», later they gave a racial meaning. In the USA they said a definition «ethnic groups» in regard to the Jewish, the Italians, the Mexicans and other different nations, whose origin is not British. The meaning «ethnos» has been used in the Soviet science since 50-60 years [2, p. 71]. Ethnos problem became one of global problems. Destruction of colonial system, appearing of new nations in the history gave a great meaning to this problem. Nowadays, social anthropology, psychology, social philosophy, ethnical pedagogics and other sciences are researching ethnical relations.

There are their own peculiarities of researching in each region. Scientific schools were formed in the beginning of XX century in the USA, where ethnical and racial groups are intensively mixed. As ethnical problems in Europe started to accord with religions, Germany, Great Britain, France and Netherlands started to pay attention to them also. European scientists and politicians were surprised that migrants did not adapt to cultural environment and did not stop their traditional principles, religion, relative relations and associational relations.

«Ethnical element» started to get a new importance in European countries and it attracts scientists' attention. And we give a state significance to a concept of «nation» when



we say Kazakhstan people and Kazakhstani [2, p. 73]. Each state accepts a concept of «ethnos» differently and the problem is also described differently.

As the basic principles of development of international relations culture shows possibilities to achieve general human values and values which appeared due to talent of each ethnical association through respecting traditions and customs, language and culture of other ethnical association; observing the properties in production and social life and treating to representatives of any nation with respect; keeping original culture and supporting to develop it.

### **Analyses:**

Today social science a concept «nation» is being used in two meanings:

a) a social theory divides a society not only in social, class, demographic, professional groups, but also ethnical -associational and ethnographical groups. When we say about state national composition, we say about nations or ethnics and diasporas.

b) it is used as an association of state citizens in the meaning of political nation.

Constitution of the Republic of Kazakhstan interprets a category of nation in ethnical meaning. For example, in the Article 14, Item 2 it is said that «It is forbidden to treat someone with indignity due to origin, social, positional and property condition, gender, race, nation, language, religion view, beliefs, accommodation place or due to any conditions» [3]. The Republic of Kazakhstan always pays attention to keeping of human's religious right of freedom having been set up as a legal, democratic and wise state.

The condition in the Federative Republic of Germany was different. Representatives of several nations live in this state. German association found its harmony based on the language, culture and theory. The Germans is still using a concept «people» (volk) [2, p. 73]. The Federative Republic of Germany formed a word «nation» as a meaning «people» («commonweal»).

The Republic of Kazakhstan does not limit principles of freedom of worship and freedom of religion, customs and traditions, holidays of different nations but it they took a name «nation». And in Germany it is formed to name them not as nation, not ethnos but «people».

Assembly of Kazakhstan people (AKP) which was formed by initiation of N. Nazarbaev, the President of the Republic of Kazakhstan is a unique way to provide civil stability and ethnical consent in our country. It played a great role in formation of Kazakhstan sample of the tolerance, which covers not only ethnic sphere but also inter-confessional and political and economic relations.

Nowadays the Assembly is an important democratic institute to develop inter-cultural uttering and assists to provide social consent in the multi-ethnical and multi-confessional country.

Decision about opening of Assembly of Kazakhstan people was adopted at the Congress of Kazakhstan people, which was held in December of 1992. The President of the Republic of Kazakhstan issued his Decree about formation of Assembly of Kazakhstan people on the 1<sup>st</sup> of March in 1995. And the first session of the Assembly was held on the 24<sup>th</sup> of March in 1995. According to the Decree of the State Head 320 representatives of 33 nations entered this Assembly. With initiation of the Assembly more than 40 national and cultural organizations, including a Republican organizations «Kazak tili (Kazakh language)», Association of Worldwide Kazakhs, «Russian Community», «Russian Union», cultural and educational organization «Istoki (Sources)», a Republican Tatar cultural Center, Board of the Germans in Kazakhstan, National and cultural centers of the Uzbeks, the Kirghiz, the Ukrainians, the Armenians, the Greeks, the Polish, the Czechs, the Hungarians, the Assyrians, the Kurds and the Chinese [4, p. 48 ]. Assembly of Kazakhstan people is a unique way to provide civil stability and ethnical consent in our country.

Now many nations started to understand importance of inter-ethnic friendship due to increasing of different dangers. Therefore mediation is important not only for Kazakhstan but also for worldwide. In connection with this it must be noted that Kazakhstan adopted a Law «About mediation» in January in 2011. No one can turn inter-ethnic conflicts into political problem. Today the Assembly of Kazakhstan people became a mediator to connect a civil society and Authority [5, p. 300]. Kazakhstan became a model mediator that connected world civilization.

With the purpose to advocate this national policy the Assembly of Kazakhstan people is strengthening relations with foreign organizations. With this purpose special trips were organized to Germany, Belgium, the Netherlands, the USA, Ukraine and Russia last year. Members of the delegation met and held round tables with deputies of the Bundestag, the Euro-parliament, and Center of Equal Possibilities, the United Nations Organization, Heads of National Committee of American Foreign Policy and political leaders in the named countries.

Some reforms and measures were started to be organized in Germany in 1920 in relation to small nations. At that time mainly the Polish, the Jewish, the Russians and the Sorbian lived there. In 1920 Germany gave state credits based on agricultural reforms to small nation ethnics in order to buy lands. In 1922 there was agreement concluded in Geneva at the Polish-German convention about construction of schools for Polish ethnics in Silesia in German land. So Polish schools were started to be opened and got possibility to teach in their own language. A Polish staff was formed for Polish children in German schools: the lectures were read, the books were published for Polish children and their studies were paid there. The Jewish were considered mainly in three groups: Ghetto-Jewish, German-Jewish and Russian-Jewish. At first there was more indignity and detraction to the Jewish. Later the Jewish started to celebrate their national holidays [6, p.39]. Several events were started to be organized in Geneva convention related to nations and ethnics on German land. We can say that they made their contribution fully into social and political life in Germany and there were no any contradictions from the side of State.

Inter-ethnic policy has been realizing in Germany since 1920 and in Kazakhstan inter-ethnic relations have been realizing since Kazakhstan got its independence and sovereignty, i.e. it is a social and political fact, emerged in 1991. Germany is one of the States which has a great experience in keeping inter-ethnic policy for a long time.

Determined measures are being carried out in Kazakhstan with the purpose to improve cultural variety and to develop languages of ethnic groups. 88 schools are working which teach in Uzbek, Tajik, Uighur and Ukrainian languages. Languages of 20 ethnic groups are taught in 108 schools. 195 linguistic centers are working for teaching languages of 30 ethnic groups. There are Uzbek, German, Korean and Uighur theaters except Kazakh and Russian ones. Three of them are the only theatre in the area of Countries of Independent States. With the purpose to keep language and religion of ethnic groups 35 ethnic newspapers and magazines are published. The newspapers and magazines are published in 11 languages and radio programs are broadcasted in 8 languages, 7 programs became favourite ones of the audience. Total number of mass media is over 80 thousand [7, p. 71].

It played a great role in formation of Kazakhstan sample of the tolerance, which covers not only ethnic sphere but also inter-confessional and political and economic relations.

The main results of Kazakhstan model of inter-ethnic consent are the following:

- 1) To keep and to make inter-ethnic consent strong as a result of realization of effective national policy in the Republic of Kazakhstan;
- 2) To form concept about inter-cultural dialogue and inter-ethnic consent in habitants' sense as necessary conditions of development of corresponding ethnical relations in the Republic of Kazakhstan;
- 3) To make organizations of the citizens who belong themselves to determined ethnical society within the established law as institutions;

- 4) To regulate emigration processes in the region of the Republic of Kazakhstan;
- 5) To decontaminate reasons and pre-conditions of extremism, which emerge due to ethnical and religious bases;
- 6) To form Kazakhstan patriotism advocating and developing culture, language and tradition in relation with the history of different nations and based on mentality of national groups [8, p. 200].

Nowadays the Assembly is an important democratic institute to develop inter-cultural uttering and assists to provide social consent in the multi-ethnic and multi-confessional country.

Normative and legal conditions have been made, which give possibility to all means of mass media (MMM) to act equally in the Republic in spite of their language and religion.

Totally, 2180 means of mass media are working in the country. There are some Republican cultural unions and 33 national editions are published in 15 languages in order to advocate activities of the Association of Kazakhstan People. Four programs are working in 11 languages on air (Uzbek, Ukrainian, Polish, English, German, Korean, Uighur, Dungan, Turkish, Tatar, Parsee). Electronic mass media is working more effectively in Kazakhstan society in formation of cultural values. Television projects are being created on the Republican and regional air of TV channels with participation of representatives of cultural centers, which follow ethnical direction. From year to year number of this kind of projects is increasing and it is evidence of their necessity. Among them there are programs «My Kazakhstan», «Dostyk-Druzhiba (Friendship)», «Shanyrak», «Dostyk besigi (Friendship cradle)», «Kazakhstan is our general home». These programs are constantly broadcasted in TV channels «Kazakhstan», «Khabar», «El Arna», «Caspionet» and on radio air «Kazakh Radio» [9, p. 40]. The main condition of keeping of peculiarities of Kazakhstan people is formation of steady language (verbal) environment. For this one all conditions were provided according to people's demand and necessities.

It is known that representatives of 4 nations have lived in Germany for centuries. They are: the Serbians, the Friesian, the Danes and the Gipsies. Framework convention of the Federative Republic, European Government of Protection of small nations and European Charter signed for regional language and languages of small nations. Two documents have been legally realized in Germany since 1998.

There is a Serbian culture and literature institution inside Leipzig university, there are many schools, organizations and other culture centers of development and keeping of Serbian language and culture in Germany. The Danes are keeping their language and customs and traditions in Schleswig district. In the State 70 thousand Gipsies got German citizenship. German Gipsies Central Government has been giving financial help since 1982.

International youth communication is a connector of international unity and consent. International meetings strengthen steadiness and safety in the country. German Government is financing 3000 events based on children and youth plan within the international youth consent. Every year 155.000 German and French young people participated in German-French Forum and in 7 thousand events. This organization, which was created 34 years ago offered and realized 190.000 programs and over 5 million people took a part there. Forum of German-Polish Youth set a bilateral agreement between the youth in the beginning of 1993. Their programs were made in 1999 and 124.000 German and Polish young people participated. TANDEM centers were opened in Regensburg between German and Czech young people. Purpose of these organizations is to be familiarized with policy, economic, culture, customs and traditions of other States and to establish international communication and unity between the States. They support and finance in accordance with the program "Youth is in Europe" formed within the frame of European organization.

There is a foreign press – conference in Bonn and Berlin where 1200 accredited correspondents are working. According to small nations' culture Institute of Goethe, German

Academic Exchange Service, Fund of Alexander Gumbold, International Culture and Communication Institution and a society «INTER NATIONES» carry out cultural events every year [10].

N. Nazarbaev, the President of the Republic of Kazakhstan names three keys of Kazakhstan success which is our people's prosperity, firstly, a unique document about advantage of state policy in the sphere of inter-ethnic relations – it is adopting and realizing of National unity Doctrine, secondly, serious understanding and acceptance of ethnical and religious difference with respect», it is a strategic fund of the society and state, thirdly, the first position of the National Unity Doctrine «One country – one fate» which forms values and a general system of future for everyone in spite of their religion [9, p. 299].

Thanks to successful realization of this kind of events and measures Kazakhstan is getting warm treatment, good intention, support, assistance, goodwill, generosity from others and also it is also thanks to our country's undertakings, sharp sense and conscious policy. Evidence for this is being of our country chairman of European Organization of Safety and Unity (EOSU). This experience of the Republic of Kazakhstan was a reason that our country is worth being a chairman of EOSU. Personal experience of realization of international and inter-religions policy makes influence on formation of society's tolerant principles and it can be useful for other states in the world. Most of our people are sure that our Republic will give a positive experience in the period of chairmanship. It is an important historical predominance of our country in providing of safety in political space. Through chairmanship Kazakhstan opens a way to provide stability and safety. Being a chairman of international organization shows the following achievements of our State: firstly, democratic institutions of Kazakhstan are developed, stability is formed and that Kazakhstan is a practiced and experienced State to carry civilized negotiations; secondly, Kazakhstan was recognized as a country which is able to protect friendship and harmony between nations and religions and State interests on international level.

Programs were formed in the policy of Kazakhstan and Germany, which provide returning back of country – fellows who are living in foreign countries to their motherland. For example, “Late emigrants” is a program of repatriation of ethnical Germans from the countries of East Europe and former USSR to Germany, “Nurly Kosh” is a Kazakhstan program of repatriation of oralmans (repatriates).

German emigrants are persons of German origin («German people») or citizens of Germany, who fall within the scope of Law of the Federative Republic of Germany (FRG) «About outcasts and refugees», and also members of their families, emigrated to Germany for permanent accommodation. Decision about giving a status of emigrant and nowadays status of late emigrant is issued by Federal Administrative Department of Germany and follows in the country where he lived and until his actual emigration to Germany. Since 1997 within the frame of such inspection conversation with a pretender for status of late emigrant is carried out in German language. In case if Federal Administrative Department approves application about acceptance, the applicant will get a “Decision about acceptance”, which guarantees that he and his family members, indicated in the document will be accepted based on the above mentioned Law. Persons, who officially got a status of emigrant, and since 1993 – a status of late emigrant are recognized as German based on the Article 116 of Constitution of FRG and get German citizenship directly after emigration to Germany [11]. This program has been working in Germany since 1950. Some changes were made into the program since 1993.

«Nurly Kosh» is a State program of the Republic of Kazakhstan for rational displacement and assistance in arrangement: for ethnical emigrants, formed citizens of Kazakhstan, who came to carry out labor activity at the territory of the Republic of Kazakhstan. At the present moment a program is being realized for 2009 – 2011. The program was confirmed by the Resolution of the Government of the Republic of Kazakhstan dated December 2, 2008 Ref. №1126.

The following targets are to be solved in order to achieve purposes of the Program: stimulating of displacement of the Program participants in accordance with economic demands in labor resources and for realization of breakthrough projects; working out and realization of new mechanisms of social support of the Program participants; providing of the Program participants with accommodation through crediting for housing construction and buying of house; providing of steady employment of the Program participants; improvement of normative legal base of regulation of migration processes [11]. Nowadays so many repatriates are returning back to their motherland. It shows that this program is being realized with high results.

### **Conclusion:**

Inter- ethnic and inter- confessional consent is an important element in the development of any country. Today development of inter-ethnic consent and mutual understanding became one of the strategic obligations. Nowadays it is difficult to overestimate meaning of tolerance as one of the main factors of stability in the world. Hardness of mechanisms which resist main dangers to peace is being strongly tested. Except terrorism, famine and epidemic nowadays there are actions of dividing of world based on civilization sign. In the XXI century, as a result of globalization, national borders are more open. Restructuring of the world mostly relies not on making the regions as autonomy and not on state basis but on the basis of other ethnical, religious, language basis. As a process of world restructuring is being passed in more contradiction and differently, it influences on development of contradictions. It is known for all of us that Kazakhstan and Germany consisting of different ethnic groups, races, cultural customs and traditions are the States that accumulated a great experience from harmonic realization of inter – ethnical policy. Different ethnical, cultural, religious groups in Germany and Kazakhstan forms great nations and take part in making of important decisions which affect on their life. It is considered as leading experience for other States. One of the modern main components, which is necessary world political and economic, social and cultural development is keeping of consent and stability in international relations in the Republic.

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# AN ESTIMATION OF PER CAPITA FOOD CONSUMPTION AND RELATED POVERTY IN FAQIRABAD AREA (PESHAWAR CITY)

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## Abstract

This study analyzes the per capita food consumption and related poverty in Peshawar Valley, Faqirabad Area was selected. The average household size, based on 400 households is 7.77. It appears that on average an adult equivalent takes 210.30 grams of flour, 73.10 grams of meat, 57.11 grams of rice, 319.14 grams of vegetables, 52.30 grams of pulses, 193.00 grams of fruits, 191.71 grams of milk, 51.80 grams of fats, 8.65 grams of black tea, 39.56 grams of sugar, and 6.16 grams of spices daily. To live a normal life an adult person requires 2350 calories per day. The poverty status of the households surveyed shows that out of 400 households studied, 58.5% are above, 37% below, and 4.5% on the poverty line. The comparison shows that in most of the cases, food consumption has reduced due to price hike, so it is recommended that actions should be taken to either stabilize the prices by subsidizing the major food items or to increase the monthly incomes of households to help them increase food consumption.

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**Keywords:** Estimation, Food, Consumption, Poverty

## Introduction

Pakistan has a rich and vast natural resource base, covering various ecological and climatic zones; hence the country has great potential for producing all types of food commodities. Agriculture has an important direct and indirect role in generating economic growth. The importance of agriculture to the economy may be seen in three ways: first, it provides food to consumers and fibres for domestic industry; second, it is a source of scarce foreign exchange earnings; and third, it provides a market for industrial goods.

Normally, at its simplest, Pakistani cooking today consists of staple foods which are cheap and abundant. Wheat and other flour products is the mainstay of the diet, one familiar form being CHAPATI. Vegetables, usually seasonal, such as: tomatoes, onions, cauliflower, cabbage, lady finger, egg plant, lentils etc are commonly used. Families with large incomes eat more meat (beef, mutton, poultry, and fish), eggs and fruits. And the more affluent cook with GHEE, which is clarified butter, instead of with vegetable oil. From the earliest times, the imaginative - and sometimes heavy - use of spices, herbs, seeds, and flavorings and seasonings have helped people transform rather ordinary staple foods into an exotic cuisine. Milk, pulses (gram, mung, masoor, beans) and tea (black and green) are also the main food items both in rural and urban areas of Pakistan. (Taus-Bolstad, S 2003 )

Food dynamics are important aspects of life. Consumption patterns are changing over time. Several factors including food prices, income of consumers, increasing population and personal taste and preferences of the individuals are responsible for this change. Aggregate food consumption is also influenced by population growth and its distribution between the rural and urban areas, the level and distribution of income, food prices, education, profession, social mobilization, age, human taste and preferences, etc. (GoP, 1988)

The household food consumption expenditure is also affected by the household strength/size. As the number of persons in households increase, the consumption expenditure on food also increases. Education level of the household is another factor, which affect the consumption expenditure on major food commodities and consumption patterns.

The level of human food consumption and its composition are very important. The level of food consumption determines how much a nation and its inhabitants are poor. Poverty is a multi-dimensional concept – income, health care, nutritional status, education and leisure time all provide insights into individual welfare. However consumption expenditure will be used as a welfare indicator because first, it measures the command an individual has over goods and services that are inputs into the welfare. Second, there is a strong theoretical basis for it as an indicator of current welfare. Third, it is perhaps the most common indicator of welfare used in poverty analysis (Lampietti and Stalker 2000).

Keeping the importance of food consumption in consideration, the researcher is interested in sorting out the household consumption of various food items and determining the level of poverty based on food-based calorie intake. Specifically, the study focuses to find out level and composition of food consumption in Faqirabad Area (Peshawar city) based on primary data and to work out the monthly and daily per capita consumption of major food items and compare with the previous studies. And also to estimate monthly expenditure of average household incurred on various food commodities.

## **Review of literature**

Several studies have been conducted on food consumption such as Chishti (2000) studied four major daily use agricultural commodities (wheat, Chickpea, potato and onion) in order to evaluate the performance of agricultural markets in Pakistan. This revealed that the changes in prices of wheat and potato were fully transmitted between their respective markets over a period and hence such markets were fully integrated.

Hohn (2000) advocated that in order to improve fruit and vegetable consumption, fruit quality needs to be guaranteed from harvest to consumption. He has also measures for quality maintenance and marketing of golden delicious apples and pears.

Rawski et al. (2000) examined constraints for the marketing and demand of fruit and vegetables and its processed products in Mali. Constraints for quality control are also outlined, including the absence of norms, lack of suitable control equipment poor packaging, no processing and low level of training. Strategies to improve the situation are discussed, including more publicity (use of mass media), participation in expositions and trade markets, and standardized quality controls.

Buckley et al. (2002) found that US per capita use of processed fruit and vegetables was growing because of improved distribution and availability of, introduction of new product forms, better storage facilities, higher disposable personal incomes, increased advertising and promotion, and the desire of increasingly health conscious consumers to include more fruits and vegetables in their diet.

Noreen (2002) studied the food consumption patterns in Peshawar Valley. Two sites, Zaryab Colony (urban area) and village Amankot (rural area) were selected. The results showed that with the increase in household income, superior food commodities (meat, fruits and milk) replaced the inferior food commodities (vegetables and pulses).

Sofia (2005) conducted her research in Hayatabad Township on food consumption patterns and estimated the basic food need poverty by using the basic food needs approach. Poverty Band suggested that though Hayatabad Township on average was above Poverty Line, but its 11% people lie within poverty band and 6% below poverty band.

Shoaib (2005) studied the survey in rural and urban Mansehra and analyzed the food consumption patterns and estimated the basic food needs approach for comparison of food consumption pattern and calories intake poverty in rural and urban Mansehra.

Robina (2006) suggested that in Dheri Baghbanan an adult household member consumed on average 340.39 gm of flour, 43.05 gm of meat, 484.41 gm of vegetables, 36.07 gm of rice, 27.80 gm of pulses, 115.45 gm of fruits, 35.23 gm of fats, 156.44 gm of milk, 51.64 gm of sugar and 5.46 gm of tea per day. Poverty line was also estimated which showed that Present Study= 1.03, Tarnab=1.39, Shabqadar= 1.44, Wah Cantt=1.05, Peshawar= 0.9880, Dargai=1.02, Timargara=1.07 and Bajour= 0.89.

Nafees (2007) conducted an analysis of food consumption pattern and food intake poverty in Rural Peshawar. The household's poverty ranking showed that on the basis of GPLR, 88.75% were above poverty line and 11.25% were below poverty line.

Afshan (2007) investigated food consumption patterns in Urban Hayatabad and observed that to increase and improve food production and its availability so that food consumption is enhanced and poverty reduces/vanishes.

## Materials and methods

A sample of 400 households was randomly selected from Faqir Abad area of Peshawar city. Every eleventh household was selected in the area, and the lady-in-charge of the household was interviewed, using the interview scheduled.

1. Descriptive statistics (mean, standard deviation, minimum and maximum) have been developed and used to elaborate and discuss a number of aspects related to the theme of the study undertaken.
2. Data on food consumption were collected on weekly basis and then converted to have it on daily, monthly and yearly basis, wherever necessitated.
3. Data on food consumption were collected for a household, which were later on converted into an adult-equivalent basis as per the following procedure.

The average size of the household of our respondents was turned out to be 7.77, with 3.18 numbers of children ( $\leq 15$  years), 4.20 numbers of adults (16-60 years) and 0.40 numbers of elderly persons (Table 1).

Table 1: Composition and size of household

| Particulars                 | Age (in years) | Mean values (Number) | Standard deviation | Minimum | Maximum |
|-----------------------------|----------------|----------------------|--------------------|---------|---------|
| <b>Children</b>             |                |                      |                    |         |         |
|                             | Below 5        | 1.12                 | 1.5060             | 0       | 8       |
|                             | 5-10 years     | 0.88                 | 1.0546             | 0       | 7       |
|                             | 11-15 years    | 1.18                 | 1.2826             | 0       | 10      |
|                             | All $\leq 15$  | 3.18                 | 2.6791             | 0       | 18      |
| <b>Adults</b>               | 16-60          | 4.20                 | 2.8193             | 1       | 27      |
| <b>Aged/elderly</b>         | >60            | 0.40                 | 0.7619             | 0       | 7       |
| <b>Household size (Nos)</b> |                | 7.77                 | 4.1250             | 2       | 34      |

We converted the above reported composition of households into its adult-equivalent, taking into account various ages-calorie requirements (Table 2).



Table 2: Calorie required by age and sex (per capita/ day)

| Age (in year)  | Male | Female               |
|--|------|----------------------|
| 01-04  | 1304 | 1304                 |
| 05-09  | 1768 | 1768                 |
| 10-14  | 2816 | 2464                 |
| 15-19  | 3087 | 2322                 |
| 20-39  | 2760 | 2080                 |
| 40-49  | 2640 | 1976                 |
| 50-59  | 2460 | 1872                 |
| 60+  | 2146 | 1632                 |
| <b>National Average<br/>(based on age, sex and<br/>activities)</b> |      | 2150<br><b>2350*</b> |

*Source: Adopted from CRPRID (2002). Pakistan Human Condition Report, Centre for Research on Poverty Reduction and Income Distribution, Pak Secretariat, Islamabad, p.79.*

We used above fractions/weights to convert the actual household size of 7.77 persons to adult-equivalent household size of 6.96. We used this adult-equivalent household size (6.96) to convert weekly household food consumption in to adult-equivalent per capita consumption, using the following formula.

$$FPPD(\text{gm}) = \frac{FCPH(\text{Kg})}{6.96 * 7} * 1000 \quad (3.1)$$

Where

FPPD stands for food consumption per capita per day in grams

FCPH stands for food consumption per household per week in kilograms

And 6.96 and 7 represent adult-equivalent and number of days in one week respectively. We also multiply the resultant figures with 1000 to convert consumption from kilograms to grams.

4. The adult-equivalent per capita daily consumption of food was then converted in to calorie-intake estimates, using the calorie contents per 100 gram of various foods (table 3).

Table 3: Household size conversion to adult-equivalent

| Particulars                     | Age         | Actual strength | Weight (to convert into adults equivalent) | Adults equivalent |
|---------------------------------|-------------|-----------------|--|-------------------|
| <b>Children</b>                 |             |                 |  |                   |
|                                 | Below 5     | 1.12            | 0.55                                       | 0.6174            |
|                                 | 5-10 years  | 0.88            | 0.75                                       | 0.6562            |
|                                 | 10-15 years | 1.18            | 1.00                                       | 1.1775            |
|                                 | All < 15    | 3.18            |  | 2.4511            |
| <b>Adults</b>                   | 16-60       | 4.20            | 1.00                                       | 4.1975            |
| <b>Aged</b>                     | >60         | 0.40            | 0.80                                       | 0.3160            |
| <b>Household size (Numbers)</b> |             | 7.77            |  | 6.9600            |

5. The following poverty-status measures were estimated, using the food-based calorie intake of the households surveyed.

#### Poverty line

$$PL = DCI/2350 \quad (3.2)$$

Where PL = Poverty line

DCI = daily calorie intake

## Poverty-gap

Since poverty line is a thin line, and people may drop from and go above this line with a slight change in food consumption and the resultant calorie intake, a more accurate measure of poverty estimates may be computed in terms of Poverty-Gap. Poverty-gap includes all population, which falls within a 2.50% above and 2.50% below poverty line already discussed.

## Vulnerable, Transient and Absolute Poor

The above estimated poverty-gap helps classify two other types of poor, Vulnerable-Poor and Transient-Poor. Those people who fall within a range of 5% above poverty-gap are called vulnerable-poor and those who fall within 5% range below poverty-gap are called transient-poor. All those who fall below transient-poor category are referred to as Absolute-Poor and all those who fall above vulnerable-poor category are called Non-Poor.

## Results and discussion

### Household Size and Composition

Results showed that an adult person requires 2350 calorie per day. A child of 1 - 4 years of age requires 1304 calories, which estimates at 0.55 of the adult calorie requirements (2350 calorie). Similarly, the children of 5 - 9 years of ages' calorie requirements are estimated at 0.75 of that of adults. Children of 10 - 14 years may be considered equivalent to the adults. The adults up to age 59 may also be considered equivalent to an adult. For the aged people above 60, the average calorie requirements for a male is 2146 and female is 1632, and the average of these two estimates at 1889 or 0.80 of that of adults. Hence the household members of various ages would be converted to its adult-equivalent by using the following fractions.

Using the above fractions/weights, we converted the actual household size into adult-equivalent, which turned out to be 6.96. Thus our household size, which consists of 7.77 persons of various ages, is equal to 6.96 adult-equivalents as per conversion provided in (table 3).

### Food consumption per capita

We collect data of various food commodities consumed by the household on weekly basis. The averages are presented in (table 4).

Table 4: Consumption per household per week (kg)

| Particulars       | Consumption (kg) | Particulars         | Consumption (kg) |
|-------------------|------------------|---------------------|------------------|
| <b>Flour</b>      | <b>10.9778</b>   | Beans               | 0.9017           |
| Beef              | 1.3585           | Chick Pea           | 0.2455           |
| Mutton            | 0.4475           | Black Mung          | 0.0125           |
| Poultry           | 1.6981           | Mash                | 0.02187          |
| Fish              | 0.3119           | <b>Total pulses</b> | <b>2.7081</b>    |
| <b>Total meat</b> | <b>3.8160</b>    | Apple               | 1.7425           |
| Basmati rice      | 2.1592           | Mango               | 1.9962           |
| Rough rice        | 0.8222           | Guava               | 1.1463           |
| <b>Total rice</b> | <b>2.9814</b>    | Banana              | 1.5025           |
| Onions            | 2.3519           | Grapes              | 1.3075           |
| Potato            | 2.3660           | Watermelon          | 0.9413           |
| Ladyfinger        | 1.5164           | Orange              | 0.06875          |
| Cauliflower       | 0.7100           | Peach               | 0.3175           |
| Pea               | 1.1515           | Apricot             | 0.1396           |
| Spinach           | 1.0527           | Pear                | 0.0000           |
| Bitter gourd      | 0.6087           | Musk melon          | 0.9125           |
| Cucumber          | 0.6705           | <b>Total fruit</b>  | <b>10.07465</b>  |

|                         |               |                    |                |
|-------------------------|---------------|--------------------|----------------|
| Tomato                  | 2.5600        | Fresh fluid milk   | 8.4825         |
| Carrot                  | 0.4085        | Packed fluid milk  | 1.4700         |
| Turnip                  | 0.8260        | Powder milk        | 0.0547         |
| Eggplant                | 0.8731        | <b>Total milk</b>  | <b>10.0072</b> |
| Calocacia               | 0.7456        | Cooking oil        | 1.6931         |
| Cabbage                 | 0.4094        | Banaspati ghee     | 1.0106         |
| Radish                  | 0.0325        | <b>Total fats</b>  | <b>2.7037</b>  |
| Sponge gourd            | 0.1675        | <b>Black Tea</b>   | <b>0.4516</b>  |
| Loki                    | 0.2087        | White Sugar        | 1.9427         |
| <b>Total vegetables</b> | <b>16.659</b> | Brown Sugar        | 0.1225         |
| Gram                    | 0.6910        | <b>Total Sugar</b> | <b>2.0652</b>  |
| Mung                    | 0.4691        | <b>Spices</b>      | <b>0.3216</b>  |
| Masoor                  | 0.3883        |                    |                |

We further converted the data on food consumption per household per week into per capita per adult-equivalent. For this purpose, we used the formula (3.1).

And 6.96 and 7 represent adult-equivalent and number of days in one week respectively. We also multiply the resultant figures with 1000 to convert consumption from kilograms to grams.

To convert the daily food consumption into yearly basis, we multiplied the food consumption per capita per day with 365 days and divided yearly consumption by 12 to have consumption on monthly basis.

Using formula (3.2) and adopting the two stated steps, we arrived at the food consumption per capita per day, per month and per year, with estimates provided in (table 5).

Table 5: Food consumption per capita per day, per month and per year (gram)

| Particulars             | Daily Consumption | Monthly Consumption | Yearly Consumption |
|-------------------------|-------------------|---------------------|--------------------|
| <b>Flour</b>            | <b>210.30</b>     | <b>6396.75</b>      | <b>76761.04</b>    |
| Beef                    | 26.02             | 791.59              | 9499.09            |
| Mutton                  | 8.57              | 260.76              | 3129.07            |
| Poultry                 | 32.53             | 989.47              | 11873.69           |
| Fish                    | 5.97              | 181.74              | 2180.91            |
| <b>Total meat</b>       | <b>73.10</b>      | <b>2223.56</b>      | <b>26682.76</b>    |
| Basmati rice            | 41.36             | 1258.16             | 15097.85           |
| Rough rice              | 15.75             | 479.09              | 5749.10            |
| <b>Total rice</b>       | <b>57.11</b>      | <b>1737.25</b>      | <b>20846.95</b>    |
| Onions                  | 45.05             | 1370.44             | 16445.28           |
| Potato                  | 45.32             | 1378.66             | 16543.87           |
| Ladyfinger              | 29.04             | 883.60              | 10603.18           |
| Cauliflower             | 13.60             | 413.71              | 4964.56            |
| Pea                     | 22.05             | 670.97              | 8051.68            |
| Spinach                 | 20.16             | 613.40              | 7360.83            |
| Bitter gourd            | 11.66             | 354.69              | 4256.24            |
| Cucumber                | 12.84             | 390.70              | 4688.36            |
| Tomato                  | 49.04             | 1491.70             | 17900.38           |
| Carrot                  | 7.82              | 238.03              | 2856.37            |
| Turnip                  | 15.82             | 481.31              | 5775.67            |
| Eggplant                | 16.72             | 508.75              | 6105.01            |
| Calocacia               | 14.28             | 434.46              | 5213.49            |
| Cabbage                 | 7.84              | 238.56              | 2862.66            |
| Radish                  | 0.62              | 18.94               | 227.25             |
| Sponge gourd            | 3.21              | 97.60               | 1171.22            |
| Loki                    | 3.10              | 121.60              | 1459.30            |
| <b>Total vegetables</b> | <b>319.14</b>     | <b>9707.11</b>      | <b>116485.3</b>    |
| Gram                    | 13.24             | 402.64              | 4831.71            |

|                     |               |                |                 |
|---------------------|---------------|----------------|-----------------|
| Mung                | 8.99          | 273.34         | 3280.11         |
| Masoor              | 7.44          | 226.26         | 2715.12         |
| Beans               | 17.27         | 525.42         | 6304.99         |
| Chick Pea           | 4.70          | 143.05         | 1716.62         |
| Black Mung          | 0.24          | 7.28           | 87.40           |
| Mash                | 0.42          | 12.74          | 152.92          |
| <b>Total pulses</b> | <b>52.30</b>  | <b>1590.74</b> | <b>19088.87</b> |
| Apple               | 33.38         | 1015.35        | 12184.15        |
| Mango               | 38.24         | 1163.18        | 13958.1         |
| Guava               | 21.96         | 667.94         | 8015.32         |
| Banana              | 28.78         | 875.50         | 10505.99        |
| Grapes              | 25.05         | 761.87         | 9142.48         |
| Watermelon          | 18.03         | 548.49         | 6581.89         |
| Orange              | 1.32          | 40.06          | 480.72          |
| Peach               | 6.08          | 185.01         | 2220.07         |
| Apricot             | 2.67          | 81.34          | 976.13          |
| Musk melon          | 17.48         | 531.71         | 6380.51         |
| <b>Total fruit</b>  | <b>193.00</b> | <b>5870.45</b> | <b>70445.35</b> |
| Fresh fluid milk    | 162.50        | 4942.71        | 59312.50        |
| Packed fluid milk   | 28.16         | 856.56         | 10278.74        |
| Powder milk         | 1.05          | 31.87          | 382.48          |
| <b>Total milk</b>   | <b>191.71</b> | <b>5831.14</b> | <b>69973.72</b> |
| Cooking oil         | 32.43         | 986.56         | 11838.73        |
| Banaspati ghee      | 19.36         | 588.87         | 7066.46         |
| <b>Total fats</b>   | <b>51.80</b>  | <b>1575.43</b> | <b>18905.19</b> |
| <b>Black Tea</b>    | <b>8.65</b>   | <b>263.14</b>  | <b>3157.74</b>  |
| White Sugar         | 37.22         | 1132.00        | 13584.01        |
| Brown Sugar         | 2.35          | 71.38          | 856.56          |
| <b>Total Sugar</b>  | <b>39.56</b>  | <b>1203.38</b> | <b>14440.57</b> |
| <b>Spices</b>       | <b>6.16</b>   | <b>187.39</b>  | <b>2248.74</b>  |

### Comparison with surveys conducted at national level

A comparison of present study estimates with that of two national surveys conducted during 2001-02 and 2004-05 is provided in (table 7). As indicated in (table 7), year 2001-02 shows the highest flour consumption (8.94 kg) followed by 8.20 and 6.397 kg in 2004.05 and 2007-08 respectively. Similarly meat consumption (2.219 kg), vegetables consumption (4.24 kg) pulses consumption (0.9 kg) and fats consumption (1.58 kg) are highest in present study as compared to previous national surveys while sugar (1.2 kg) and milk consumption (5.82 kg) are the least in present study as compared to previous surveys. Lastly the highest trend in fruits consumption (4.73 kg) was observed in 2004-05 followed by 1.8kg in 2001-02 and 1.9 kg in 2007-08.

Table 7 Per capita monthly food consumption: a comparison with national surveys conducted during 2001-02 and 2004-05

| Food Commodities/<br>Products | Present<br>Study<br>(2007-08)<br>Kg. | National<br>Survey<br>(2001-02)<br>Kg. | National<br>Survey<br>(2004-05)<br>Kg. |
|-------------------------------|--------------------------------------|--|--|
| <b>Flour</b>                  | <b>6.397</b>                         | <b>8.94</b>                            | <b>8.20</b>                            |
| Beef                          | 0.79                                 | 0.30                                   | 0.33                                   |
| Mutton                        | 0.26                                 | 0.10                                   | 0.07                                   |
| Poultry                       | 0.989                                | 0.14                                   | 0.23                                   |
| Fish                          | 0.18                                 | 0.05                                   | 0.06                                   |
| <b>Total meat</b>             | <b>2.219</b>                         | <b>0.59</b>                            | <b>0.69</b>                            |
| <b>Rice</b>                   | <b>1.74</b>                          | <b>1.17</b>                            | <b>1.03</b>                            |
| Onions                        | 1.37                                 | 0.98                                   | 0.94                                   |
| Potato                        | 1.38                                 | 1.05                                   | 1.18                                   |
| Tomato                        | 1.49                                 | 0.34                                   | 0.36                                   |
| <b>Total vegetables</b>       | <b>4.24</b>                          | <b>2.37</b>                            | <b>2.48</b>                            |

|                     |             |             |             |
|---------------------|-------------|-------------|-------------|
| Gram                | 0.40        | 0.16        | 0.20        |
| Mung                | 0.27        | 0.07        | 0.09        |
| Masoor              | 0.22        | 0.05        | 0.06        |
| Mash                | 0.01        | 0.04        | 0.06        |
| <b>Total Pulses</b> | <b>0.9</b>  | <b>0.32</b> | <b>0.41</b> |
| Apple               | 1.02        | 0.11        | 0.24        |
| Banana              | 0.88        | 1.69        | 4.49        |
| <b>Total Fruits</b> | <b>1.9</b>  | <b>1.8</b>  | <b>4.73</b> |
| Fresh fluid milk    | 4.94        | 5.80        | 6.67        |
| Packed fluid milk   | 0.85        | 2.15        | 0.06        |
| Powder milk         | 0.03        | 0.01        | 0.01        |
| <b>Total milk</b>   | <b>5.82</b> | <b>7.96</b> | <b>6.74</b> |
| Cooking oil         | 0.99        | 0.09        | 0.12        |
| Banaspati ghee      | 0.59        | 0.64        | 0.67        |
| <b>Total fats</b>   | <b>1.58</b> | <b>0.73</b> | <b>0.79</b> |
| White Sugar         | 1.13        | 1.26        | 1.31        |
| Brown Sugar         | 0.07        | 0.15        | 0.17        |
| <b>Total Sugar</b>  | <b>1.2</b>  | <b>1.41</b> | <b>1.48</b> |

Source: Data collected in previous years has been extracted from: Household Integrated Economic Survey, 2001-02 and 2004-05 by Federal Bureau of Statistics, Islamabad

### Expenditure on Food Commodities

Percentage share of expenditure of each of the commodity is also estimated (table 8). According to Table 4.8, an average household spent Rs.9894.68 of their monthly income on food consumption. Meat had the greatest contribution in expenditure, which accounted for 20.14% of the total expenditure, followed by vegetables (14.08%), fruits (13.54%), milk (13.87%), fats (9.96%), pulses (5.7%), rice (5.58%), black tea (3.68%), spices (3.31%), and sugar (2.49%).

Table 8: Monthly Expenditure on Food Consumption by Commodity

| Particulars       | Total Expenditure Per Month (Rs.) | As % of Total Expenditure on Food |
|-------------------|-----------------------------------|-----------------------------------|
| <b>Flour</b>      | <b>755.13</b>                     | <b>7.63</b>                       |
| Beef              | 665.15                            | 6.72                              |
| Mutton            | 347.86                            | 3.52                              |
| Poultry           | 806.78                            | 8.15                              |
| Fish              | 173.35                            | 1.75                              |
| <b>Total meat</b> | <b>1993.14</b>                    | <b>20.14</b>                      |
| Basmati rice      | 453.03                            | 4.58                              |
| Rough rice        | 99.27                             | 1.00                              |
| <b>Total rice</b> | <b>552.30</b>                     | <b>5.58</b>                       |
| Onions            | 213.65                            | 2.16                              |
| Potato            | 177.02                            | 1.79                              |
| Ladyfinger        | 139.29                            | 1.41                              |
| Cauliflower       | 48.70                             | 0.49                              |
| Pea               | 142.89                            | 1.44                              |
| Spinach           | 51.97                             | 0.52                              |
| Bitter gourd      | 49.60                             | 0.50                              |
| Cucumber          | 37.58                             | 0.38                              |
| Tomato            | 267.35                            | 2.70                              |
| Carrot            | 19.32                             | 0.19                              |
| Turnip            | 51.32                             | 0.52                              |
| Eggplant          | 65.56                             | 0.66                              |
| Calocacia         | 72.43                             | 0.732                             |
| Cabbage           | 24.90                             | 0.25                              |
| Radish            | 1.32                              | 0.01                              |
| Sponge gourd      | 10.51                             | 0.11                              |

|                         |                |               |
|-------------------------|----------------|---------------|
| Loki                    | 20.28          | 0.20          |
| <b>Total vegetables</b> | <b>1393.71</b> | <b>14.08</b>  |
| Gram                    | 135.88         | 1.37          |
| Mung                    | 118.34         | 1.20          |
| Masoor                  | 76.43          | 0.77          |
| Beans                   | 173.97         | 1.76          |
| Chick Pea               | 54.06          | 0.55          |
| Black Mung              | 2.03           | 0.02          |
| Mash                    | 3.55           | 0.04          |
| <b>Total pulses</b>     | <b>564.26</b>  | <b>5.70</b>   |
| Apple                   | 276.54         | 2.79          |
| Mango                   | 285.87         | 2.88          |
| Guava                   | 112.59         | 1.14          |
| Banana                  | 200.40         | 2.02          |
| Grapes                  | 285.69         | 2.89          |
| Watermelon              | 45.81          | 0.46          |
| Orange                  | 8.36           | 0.08          |
| Peach                   | 32.46          | 0.33          |
| Apricot                 | 22.17          | 0.22          |
| Musk melon              | 70.01          | 0.71          |
| <b>Total fruit</b>      | <b>1339.90</b> | <b>13.54</b>  |
| Fresh fluid milk        | 1044.26        | 10.55         |
| Packed fluid milk       | 273.66         | 2.76          |
| Powder milk             | 54.37          | 0.55          |
| <b>Total milk</b>       | <b>1372.29</b> | <b>13.87</b>  |
| Cooking oil             | 602.61         | 6.09          |
| Banaspati ghee          | 382.52         | 3.86          |
| <b>Total Fats</b>       | <b>985.12</b>  | <b>9.96</b>   |
| <b>Black tea</b>        | <b>364.34</b>  | <b>3.68</b>   |
| White sugar             | 226.52         | 2.29          |
| Brown sugar             | 20.02          | 0.20          |
| <b>Total sugar</b>      | <b>246.54</b>  | <b>2.49</b>   |
| <b>Spices</b>           | <b>327.94</b>  | <b>3.31</b>   |
| <b>Total</b>            | <b>9894.68</b> | <b>100.00</b> |

### Food Consumption, Calorie Intake and Poverty

According to (Table 9), an individual member (adult-equivalent) of the surveyed household takes food, yielding 2437.98 calories per day. The flour has the greatest contribution in calories intake, contributing 731.86 calories per day. Meats contribute 137.31 calories, vegetables 189.55 calories, rice 206.80 calories, pulses 185.67 calories, fruits 122.25 calories, 207.35 calories, fats 459.67 calories, sugar 152.79 calories, black tea 25.09 calories and spices 19.65 calories.

Table 9: Estimated calories intake per capita per day

| Particulars       | Per Capita Daily Food Consumption (gram) | Calories per 100 grams of food weight | Estimated calories per capita per day |
|-------------------|--|---------------------------------------|---------------------------------------|
| <b>Flour</b>      | <b>210.30</b>                            | <b>348</b>                            | <b>731.86</b>                         |
| Beef              | 26.02                                    | 212                                   | 55.17                                 |
| Mutton            | 8.57                                     | 178                                   | 15.26                                 |
| Poultry           | 32.53                                    | 185                                   | 60.18                                 |
| Fish              | 5.98                                     | 112                                   | 6.69                                  |
| <b>Total meat</b> | <b>73.10</b>                             |                                       | <b>137.31</b>                         |
| Basmati rice      | 41.36                                    | 364                                   | 150.56                                |
| Rough rice        | 15.75                                    | 357                                   | 56.23                                 |
| <b>Total rice</b> | <b>57.11</b>                             |                                       | <b>206.80</b>                         |
| Onions            | 45.06                                    | 41                                    | 18.47                                 |

|                         |               |            |                |
|-------------------------|---------------|------------|----------------|
| Potato                  | 45.32         | 81         | 36.71          |
| Ladyfinger              | 29.05         | 31         | 9.01           |
| Cauliflower             | 13.60         | 26         | 3.54           |
| Pea                     | 22.06         | 330        | 72.80          |
| Spinach                 | 20.17         | 31         | 6.25           |
| Bitter gourd            | 11.66         | 19         | 2.22           |
| Cucumber                | 12.84         | 15         | 1.93           |
| Tomato                  | 49.04         | 20         | 9.81           |
| Carrot                  | 7.82          | 37         | 2.90           |
| Turnip                  | 15.82         | 28         | 4.43           |
| Eggplant                | 16.73         | 25         | 4.18           |
| Calocacia               | 14.28         | 91         | 12.10          |
| Cabbage                 | 7.84          | 28         | 2.20           |
| Radish                  | 0.62          | 18         | 0.11           |
| Sponge gourd            | 3.21          | 19         | 0.61           |
| Loki                    | 3.10          | 35         | 1.40           |
| <b>Total vegetables</b> | <b>319.14</b> |            | <b>189.55</b>  |
| Gram                    | 13.24         | 357        | 47.26          |
| Mung                    | 8.99          | 361        | 32.44          |
| Masoor                  | 7.44          | 354        | 26.33          |
| Beans                   | 17.27         | 350        | 60.46          |
| Chick Pea               | 4.70          | 357        | 16.79          |
| Black Mung              | 0.24          | 361        | 0.86           |
| Mash                    | 0.42          | 363        | 1.52           |
| <b>Total pulses</b>     | <b>52.30</b>  |            | <b>185.67</b>  |
| Apple                   | 33.38         | 58         | 19.36          |
| Mango                   | 38.24         | 64         | 24.47          |
| Guava                   | 21.96         | 78         | 17.13          |
| Banana                  | 28.78         | 108        | 31.09          |
| Grapes                  | 25.05         | 71         | 17.78          |
| Watermelon              | 18.03         | 19         | 3.43           |
| Orange                  | 1.32          | 25         | 0.33           |
| Peach                   | 6.08          | 53         | 3.22           |
| Apricot                 | 2.67          | 53         | 1.42           |
| Musk melon              | 17.48         | 23         | 4.02           |
| <b>Total fruit</b>      | <b>193.00</b> |            | <b>122.25</b>  |
| Fresh fluid milk        | 162.50        | 106        | 172.25         |
| Packed fluid milk       | 28.16         | 106        | 29.85          |
| Powder milk             | 1.05          | 501        | 5.25           |
| <b>Total milk</b>       | <b>191.71</b> |            | <b>207.35</b>  |
| Cooking oil             | 32.43         | 880        | 285.43         |
| Banaspati ghee          | 19.36         | 900        | 174.24         |
| <b>Total fats</b>       | <b>51.80</b>  |            | <b>459.67</b>  |
| <b>Black Tea</b>        | <b>8.65</b>   | <b>290</b> | <b>25.09</b>   |
| White Sugar             | 37.22         | 391        | 145.52         |
| Brown Sugar             | 2.35          | 310        | 7.27           |
| <b>Total Sugar</b>      | <b>39.56</b>  |            | <b>152.79</b>  |
| <b>Spices</b>           | <b>6.16</b>   | <b>319</b> | <b>19.65</b>   |
| <b>Total</b>            |               |            | <b>2437.98</b> |

### Calorie intake and poverty line

The poverty line can thus be determined using the following formula.

$$PL = DCI/2350 \quad (4.1)$$

Where PL = Poverty line

DCI = daily calorie intake

If  $PL > 1$ , it means the person is above poverty line; if  $PL = 1$ , the person is on poverty line and if  $PL < 1$ , then the person is below poverty line.

Using formula (4.1), we compute poverty line for the average calorie intake estimated.

$$PL = 2437.98/2350 = 1.04 \quad (4.2)$$

On the basis of average calorie intake, the surveyed households are found, on average, a little above poverty line.

### Poverty line, poverty-gap and poverty status of households surveyed

Since poverty line is a thin line, and people may drop from and go above this line with a slight change in food consumption and the resultant calorie intake, a more accurate measure of poverty estimates may be computed in terms of Poverty-Gap. Poverty-gap includes all population, which falls within a 2.50% above and 2.50% below poverty line already discussed. Those people who fall within a range of 5% above poverty-gap are called vulnerable-poor and those who fall within 5% range below poverty-gap are called transient-poor.

All those who fall below transient-poor category are referred to as Absolute-Poor and all those who fall above vulnerable-poor category are called Non-Poor. Following the above definitions, the poverty status of the households surveyed is re-estimated; results are provided in (table 10). Which shows that out of 400 households studied, 58.5% are above, 37% below, and 4.5% on the poverty line.

Table 10: Poverty estimates: further details

| Category        | Households<br>Number | Households<br>In percentage |
|-----------------|----------------------|-----------------------------|
| Non-Poor        | 206                  | 51.50                       |
| Vulnerable-Poor | 17                   | 4.25                        |
| Poverty-Gap     | 44                   | 11.00                       |
| Transient-Poor  | 25                   | 6.25                        |
| Absolute-Poor   | 108                  | 27.00                       |
| Total           | 400                  | 100                         |

## Summary, conclusions and recommendations

### Summary

This study analyze the per capita food consumption and related poverty in Peshawar Valley, Faqirabad Area was selected. The average household size, based on 400 households is 7.77. An average adult equivalent takes 210.30 grams of flour, 73.10 grams of meat, 57.11 grams of rice, 319.14 grams of vegetables, 52.30 grams of pulses, 193.00 grams of fruits, 191.71 grams of milk, 51.80 grams of fats, 8.65 grams of black tea, 39.56 grams of sugar, and 6.16 grams of spices daily. Moreover, an average household spends Rs.9894.68 of their monthly income on food consumption.

On the basis of average calorie intake, the surveyed households are found, on average, a little above poverty line (PL= 1.04). On the basis of poverty status analysis, 4.5% of households fall on poverty line, 37% below poverty line and 58.5% above poverty line.

### Conclusions and Recommendations

Results concluded that on the basis of average calorie intake, the surveyed households are found, on average, a little above poverty line (PL= 1.04). The poverty status of the households surveyed shows that out of 400 households studied, 58.5% are above, 37% below, and 4.5% on the poverty line. Amongst the 21.5% Poor, 4.25% are Vulnerable-poor, 11.00% fall with in the poverty band and remaining 6.25% are Transient-poor. The comparison shows that in most of the cases, food consumption has reduced due to price hike, so it is recommended that actions should be taken to either stabilize the prices by subsidizing the major food items or to increase the monthly incomes of households to help them increase food consumption. And at most half of the population under study is suffering from poverty, so policy makers and other involved should take a serious note of it and should apply some strategies to make the population better off.



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# NATION-BUILDING AND CULTURAL POLICY IN KAZAKHSTAN

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## Abstract

Kazakhstan, the last emerging independent state from the former Soviet Union, inherited multiple challenges of having to build a new state and nation, while engaged in the painful economic and political transformation. Since independence was declared in 1991, diversity and tolerance have been officially at the heart of Kazakhstan's national identity. Nevertheless, building a single nation in the country of two large ethnic groups (Russians and Kazakhs), with the reversed proportion of the language proficiency – as there are more ethnic Kazakhs but more Russian-speakers in the country – has been an ambivalent and controversial process. Constructing a nation in a primordial sense in this multi-ethnic country might well prove to be a mission impossible. Another option is promotion of the idea of a civic nation based on carefully drafted and consciously adapted multicultural policies. The existence, implementation, and success of such policies are contingent on several factors, including historical, demographic, and social ones. Some are linked to expedient political and economic strategies, however, and their further development would entail democratization of the political system in Kazakhstan. It seems that in Kazakhstan, inter-ethnic tensions have been alleviated by the fact that two major ethnic groups have not been, by and large, in direct confrontation and are balancing each other in the managed tradeoffs. So far, the dynamically developing society might be able to accommodate the interests of major ethnic groups but all the proposed solutions are inconclusive. The focus of this paper is on the bi-lingual and multicultural constellation and cultural and language policy pathways in Kazakhstan, as analyzed through the lenses of several models available in the respective literature on post-communist nation-building. The paper's methodology explores systematic historical and cultural interpretations and comparative intercultural-institutional analysis.

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**Keywords:** Nation-building, Kazakhstan, ethnic diversity, cultural and language policy, nationalizing state, democratization

## Introduction

As in the other post-Soviet successor states, the disintegration of the Soviet Union had offered political elites in Kazakhstan and opportunity to link the historical ambitions and culture of the titular nation more closely to the existing and newly-built state structures and to increasingly secure equality, if not privileges, to the titular ethnos in society. From the very beginning, the process was characterized by the ambivalence in perceiving the meaning of the newly-gained independence in reorganization of spheres of influence among ethnic groups. It is noteworthy that Kazakhstan was the last of the Soviet republics to declare its independence, the hesitant act (which happened rather by default) of the country little prepared for state and nation-building tasks lying ahead (cf. Allison, 2004; Lloyd, 1997, p. 97).

Kazakhstan, geographically the largest country in Central Asia (as large as all of Western Europe), would be no exception to the notion of Central Asian “awkward states” as

defined by Field (2001) and Kavalski (2006), in a sense a combination of demobilized population and the relatively weak state.<sup>1</sup> By its ethnic composition, the country can be called truly multi-ethnic in nature, hosting numerous ethnic groups with a long history of migration and changing ethno-cultural spatial patterns. According to official statistics, more than 140 different ethnic groups live on the territory of Kazakhstan today. In 2009, 63.1 per cent of the population was Kazakh, 23.7 per cent was Russian, and some 10 per cent comprised Germans, Tatars, Ukrainians, Uzbeks, and Uyghurs. The remaining 3 per cent include members of dozens of other nationalities. In Kazakhstan, the majority group's (Kazakhs') share of the total population is in Kazakhstan the lowest of all post-communist states (with the exception of Latvia). Historically, the northern part of Kazakhstan tended to have a higher Russian population-ratio due to an extensive influx of Russians and Cossacks during the late 19th century, and during periods of Soviet agricultural development, especially from the 1960s. Kazakhs had traditionally been a nomadic nation losing its lifestyle relatively recently. During the 19th century, across this vast country perhaps a million Kazakhs died as the region was subjected to Russian, Cossack and Tartar immigration, and due to failed revolts, famine and oppression by the Russian army (Rashid 1994, p. 111). Some 250,000 Kazakhs also died in a failed revolt in 1916, with perhaps another million perishing during enforced collectivization of farms (Gardiner-Garden 1995b, p.36). After 1924, the Soviets sought to settle the nomadic Kazakh into a more static life-style around villages and later on collective farms, often hunting down those groups which refused to cooperate (Taheri 1989, p.102). During the WW2 the country was used by Stalin as a 'dumping ground for ethnic groups whose loyalties were in doubt' (Rashid 1994, p. 107). These groups included dozens of minorities, including Germans, Chechens, Meshket Turks, Uzbeks, Tartars, Armenians, Koreans and others.

In a sense, and partly utilizing a moderated version of Brubaker, we may look at Kazakhstan as a "nationalizing state" as one featuring the following characteristics: (1) the existence of a conceived core nation (here the Kazakh nation); (2) achieving the statehood in which the titular nation forms a majority; (3) but is not perceived as fully realized or is conceived; (4) perceptions and expectation that pushes the elite to take actions. Another Brubaker's point referring to the elites' actions as "often justified by previous discriminations" (cf. Brubaker, 1996) does not play a significant role here.

However, arguably, unlike its Central Asian counterparts, Kazakhstan has officially set out on the path of building a multiethnic civic nation. This path, especially if pursued more consistently than it has actually been so far, would set Kazakhstan apart from typical "nationalizing states" as theorized by Brubaker. Since the fall of the Soviet Union Kazakhstan has been building a new state in which the key role was played by the formerly sovietized (but mostly Kazakh) elite recycled from the Soviet times and which was increasingly dominated by its President Nursultan Nazarbayev. Gradually, Nazarbayev has granted himself ever-stronger authoritarian powers, allowing him to initiate and sponsor, if not absolutely control, all major projects in the country, including the process on building anew nation. Nazarbayev's options for steering these projects were determined and limited mostly by three factors: the ethnic heterogeneity of the population, the widespread use of the Russian language among the population at large (including ethnic Kazakhs), the consideration of the power-balance, and perhaps also, geopolitical considerations. By him controlled Kazakhstan's ruling elite did not consider it reasonable to apply a purely ethnicity-based conception of nationhood to the newly independent Kazakhstan, as did not seem either prudent nor feasible.

### **A brief political history of Kazakhs**

During a military expansion in the sixteenth century Kazakh territories were divided into three hordes (*zhuz*), each of which was governed by a Khan. The Great Horde (*Uly zhuz*) spread through the southern territories, the Middle Horde (*Orta zhuz*) over the north-east parts

and the Small Horde (*Kishi zhuz*) over the western area, covering approximately the current territory of Kazakhstan (Gumpfenberg, 2002, p. 31). This division gave the new nation not only a strategic military advantage, “but was also contingent to the particular geography of the steppes since the three most important pasture lands were divided among the hordes” (Olcott, 1995, p. 11). Despite the administrative division of the vast territory, surprisingly, very few linguistic or cultural differences developed among the *zhuzes*. Rather, belonging to one of these hordes (which even today often plays a role in determining one’s ancestry) has been tied to the idea of having Kazakh ethnicity. In the Kazakh mythology, the three hordes are the key element of the legend of Kazakh unity, according to which the first Khans of the three hordes were the sons of the mythic founder of the Kazakh nation *Alash* (cf. Kesici, 2011). From 1825, the Kazakh territories of the Middle and Little Horde were incorporated into the growing Russian empire, partly as a result of the military standoff between the Hordes and the Dzhungar empire. By the mid-nineteenth century, the Russian empire had administrative and military control over all Kazakh territories and the Kazakh Khanate had been completely abolished (Otarbaeva, 1998, p. 426). In the big wave of Russian colonization, at least 1.5 million ethnic Russians moved to Kazakhstan between 1886 and 1916 (Davis et al., 1998, p.478). Because of clear Russian predominance in economic and military affairs, the situation of Kazaks had become increasingly precarious, and their political sovereignty was non-existent.

Kazakhstan has inherited from the Soviet times “a unique system for managing the needs of ethnic minorities” dating back to its Soviet past (Jones, 2010, 159). As in other Soviet republics, Kazakhstan was affected by an important aspect of the Soviet nation-building strategy: the institutionalization of the ethnic category (see Brubaker, 1998). In Lenin’s notion of how the nationality question was to be solved, the non-Russian peoples of the former Russian empire had to go through a process of identity emancipation in order to be fully integrated into a new socialist state. In making this argument, Lenin warned against the danger of the legacy of the colonial past accompanied by repression eventually leading to ‘reactive ethnicity’, which could endanger the solidarity of a workerist-peasant state. A process of revitalization and equalization of other ethnic nations and ethnic groups would be achieved by allowing the formerly colonized ethnics to retain and develop their own linguistic and cultural traditions and to gain a certain level of autonomy within a federal Soviet Union.

This was supposed to serve as a precondition for these groups to be able to accept the new civilizational objectives of the socialist revolution - and thus be able to draw closer together and, with the next step melting into one Soviet nation (Kaiser, 1994, pp. 98-100). Depending on its relative level of development a group was given the status of a ‘nation’ (*natsiya*), a ‘people’ (*narodnost*) or an ‘ethnic group’ (*etnicheskaya gruppa*) (see Benner, 1996, pp. 44-45). As the Kazaks fitted into Stalin’s definition used to determine whether an ethnic group was to be given the status of a ‘nation’, they were granted their (socialist) autonomous republic in which they became the ‘titular’ nation.<sup>3</sup>

In 1927-1928, in the framework of its policy of ‘indigenization’ (*korenizatsiya* in Russia) the Soviet Union began to promote the mandatory recruitment of members of the core nation to the administration, communist party and cultural establishments of the autonomous republic. The main objective of this strategy was to rally non-Russian populations around the common socialist ideology and the Bolshevik project in the hope that a Soviet socialist identity will be formed, as captured by Stalin’s terms of “national in form, socialist in content” (Jones, 164; cf. Beyrau, 2001, pp. 208-210). At the same time, as Kaiser (1994) notes, “The development of national forms, along with a rapid increase in literacy and educational attainment in the indigenous language, [were] the major achievements of this period of *korenizatsiya*” (p. 125). In the process, in addition to drawing national Kazakh cadres to the Communist Party and the republic’s administration, the promotion of the Kazakh language “further separated the national majority from minorities who were not part of the

core nation, thereby creating a distinct boundary between Kazakhs and non-Kazakh minorities” (Kesici, p. 41).

One goal of *korenizatsiia* was to make it difficult for Soviet citizens to identify themselves with traditional categories of religion, locality, or kin and, instead of depending on such identifications, the non-Russian population were expected to identify themselves as members of officially designated ethnic nations, drawn under the control of the officially institutionalized ideology. Thus, as Jones (2010) argued, “*korenizatsiia* helped to eliminate potential oppositions to state-sponsored identities making the officially sponsored forms of identification” (p. 163). However, the policy, took by the end of 1930s another turn when the Soviet leaders started a campaign of “normative inversion” (cf. Simon, 1986, p.172). The ethnic Russians were declared ‘first among equals’ and especially from 1937 enjoyed a position of the culturally superior group tasked with the mission to help more backwards peoples in their modernization efforts (cf. *ibid*). This new strategy led to a policy of russification, i.e. of including the ‘backwards’ groups in the Soviet nation through an increased influence of ethnic Russians and Russian language. Many Kazakh national institutions were closed and the requirement that Russian officials in non-Russian republics speak the indigenous languages (which was a prerequisite for employment during the *korenizatsiia*) was removed (see Dave, 2007, p. 65). The Russification of the education system was progressing systematically; as a result, for instance, “by the late Soviet period only two Kazakh-language schools were left in Almaty, the most populous city of Kazakhstan” (Fierman, 2005, p. 406). This process of “russification of the masses” was perhaps more successful in Kazakhstan than in any other soviet national republic. According to Jones (2010), the effects of *korenizatsiia* and its reversal before WW2 have cast its long shadow on the perception of national identity in the independent Kazakhstan in the “reduced ethnic nationalism to the level of form through the usage of ethnic languages and the performance of cultural traditions, while Soviet citizens practiced “civic nationalism” through a socialist “content” (p. 164).

Similarly, J. Wheeler (2010) succinctly captured the ambivalence resulting from the Soviet policies:

*“[The] Soviet nationalities policy meant that, even as the culture and way of life of the Kazakh steppes were being destroyed, a primordial sense of ethnicity became valorised as the most important marker of identity; and the Kazakh SSR, in which Kazakhs were a minority, was deemed the homeland of the newly defined Kazakh nation. The result is that modern Kazakh identity is marked by a deep sense of insecurity: while there is an awareness on the part of the Kazakhs that their position in modernity is shaped by the Russians, who both bullied and helped them into it, there is nevertheless a sense that they must be distinct from Russians, that the nationality inscribed in their papers should carry some meaning.”*

### **Institutionalization of “kazakhization” after 1991**

The issue of nation-building, particularly in a sense of determining the question of who and in whose interest will be able to appropriate or access the resources of the state, is inevitably linked, (and to a large degree) to the issue of consolidation of the state. After Kazakhstan gained independence, it granted citizenship to all its population, regardless of their ethnic background;<sup>4</sup> at the same time, however, some elements of nationalization’ of Kazakhstan (to use Brubaker’s ‘ terms) have been introduced. This was done mostly through another “normative inversion”, this time as enhancing the position of Kazakhs within the ethnic hierarchy (cf. Kesici, p. 38). Increased emphasis on the Kazakh ethnic content of the nation is evident in comparing the first two constitutions of Kazakhstan, of 1993 and 1995.<sup>5</sup> Whatever exact reason for the change were, it is clear that a new emphasis on the ethnicity-based concept of territoriality was effectively introduced. Thus in principle, as Kesici puts it, “the constitution lays the foundation of the concept of Kazakhstan as the homeland of ethnic

Kazakhs” (Kesici, p.45). Significant as this might be, the preamble of the Constitution keeps the idea of Kazakhstan as a country of unified people(s) without assigning privileges to any of them. This moderate nationalist idea was elaborated in Nazarbayev’s *Order On the Conception of the Formation of State Identity of the Republic of Kazakhstan* (in May 1996). The order starts with the assumption that “every state emerges on the basis of an ethnic community, and that every ethnic group needs its own state to provide for the material and spiritual needs of this ethnic group” (as cited in Kesici, p. 45). In the Order, Nazarbayev argues that Kazakhstan is the ethnic centre of the Kazakhs and that the multinationalism of Kazakhstan society was the result of emigration by non-Kazakh groups into Kazakh territories. What logically follows from this is that Kazakhs should have special status in Kazakhstan and that any nation building has to take this fact into account. (*Conception of the Formation of State Identity of the RK*, 1996). This very assumption that the Kazakh group is the ‘state-forming nation’, existing somehow parallel to the Kazakhstani nation which comprises the ‘people of Kazakhstan’, has been repeated many times by Nazarbayev (cf. Lillis, 2010).

At the onset of independence, new state symbols were introduced to further highlight the Kazakh origins of the country. The three main state symbols of Kazakhstan, the national flag, the national emblem and the national anthem, have almost exclusive national Kazakh connotations and refer to the Kazakh traditional values, images, and symbols. Unlike the national flags of Uzbekistan and Turkmenistan, the flag of Kazakhstan has no religious symbols (there are no half-crescents or stars). Thus, unlike the neighboring states, Kazakhstan did not attempt to “instrumentalize religion in creating a national ideology” (cf. Hilger, 2009). The country’s national emblem features another traditional Kazakh symbols: the housetop (*shanyraq*) of the traditional Kazakh *yurt* depicted in its middle. As for the Kazakhstan’s national anthem, its latest version adopted in 2006 reflects, akin to the Constitution, the evolving nation-building strategy of Kazakhstan. Kazakhs, as the original successors to the nationhood, are portrayed as natural epic heroes of the state creation, in which, however, their ethnic and civic belongings to Kazakhstan complement each other. Concurrently, the anthem can be interpreted as linking all traditional non-Kazakh ethnic groups to the territory of the state by their birth, citizenship and common historical fate, granting them special civic status in Kazakhstan.<sup>6</sup>

One of the sources of Nazarbayev’s rather conciliatory approach to the national question has very likely been a weak level of national identity self-perception among the citizenry. There has been little research done, both in the country and elsewhere, on issue of subjective feeling of one’s ethical or national identity and its strength. There are some indications, however, that intensity of national identity or nationalism is rather low for most of the Kazakhstan’s ethnic group, including the Kazakhs (cf. Jones, 2010).<sup>7</sup> Most observers agree that Kazakh national identity and nationalism are “relatively weak due to the fuzzy boundaries between Kazakh and Russian culture, and the ‘negative identity’ of many Kazakh elites at the time of independence (Cummings, 2005, p. 78; see also Schatz, 2004; Dave, 2007).

### **Ideology and institutions**

Nazarbayev has often emphasized that Kazakhstan is a multi-cultural country that has been able to maintain a high degree of inter-ethnic harmony (Lillis, 2010). Apart for the slowly forwarding of the language policy (*see next*), President Nazarbayev, designed another instrument intended to institutionalize inter-ethnic relations, *Assembly of the Peoples of Kazakhstan* (APK), a unique consultative body established by the Constitution’s Article 44 and designed to represent interests of all ethnic groups in the country.<sup>8</sup> Established in 1995, the APK brings together more than 800 ethnic and cultural associations. (It meets in full session at least annually to discuss new ideas and the Assembly’s operating strategy.) In 2007,

the Assembly became a constitutionally-recognized body which sends nine members to the national Parliament. The constitutional-legal basis for the Assembly was provided in October 2008 with the *Law On the Assembly of the Peoples of Kazakhstan*. According to the Law, “the Assembly contributes to the realization of the government’s policies regarding nationalities ... [and] to guaranteeing interethnic harmony in Kazakhstan within the process of forming a Kazakhstan state identity and nation ... in relation to the consolidating role of the Kazakh people.” (Nazarbayev, 2008) The law states that a primary assignment of the Assembly is to promote the preservation, revitalization, and the development of the ethnic cultures, languages, and traditions of the peoples of Kazakhstan, “on the basis of principles of equality”. (Ibid)<sup>9</sup> At the APK session in 2008, five main principles were formulated in order to facilitate a Kazakhstan’s model of interethnic and inter-confessional tolerance: 1) people’s unity; 2) national values- tolerance and responsibility; 3) consolidating role of the title ethnicity; 4) ethnic, confessional, cultural and language diversity as main wealth; and 5) the state creates conditions for languages’ cultural development. Arguably, the Assembly is to serve as resource of support the promotion of cultural preservation and revitalization among Kazakhstan’s ethnic nations, as a forum for discussing issues related to inter-ethnic coexistence and keep the country on the track of civic nation building in Kazakhstan. However, as some note, the APK might be seen as a “grouping of presidential loyalists representing the country’s ethnic groups” (Lillis, 2009).

*In 2009, President Nazarbayev initiated the so-called Doctrine of National Unity (further doctrine) which was to provide a blueprint for strengthening the inter-ethnic harmony for years to come. Implementation of the doctrine should ensure maintaining the multicultural character of the Kazakh society and its consolidation around common values, such as patriotism, tolerance, appreciation of common history. Three key principles are singled out in the doctrine: 1. “one country, one destiny”, 2, “various origins, equal opportunities”, and 3. “development of a national spirit” (cf. Mostafa, 2011).<sup>10</sup> The doctrine explicitly prohibits any forms of discrimination based on race, ethnicity, language or religion and provides specific recommendations for state institutions, education system, and mass media.<sup>11</sup>*

The doctrine has not been uncontested in Kazakhstan, namely because in it Nazarbayev envisaged Kazakhstan to become a kind of multicultural melting pot in which every citizen was first and foremost a "Kazakhstani."<sup>12</sup> This notion of new ethnicity-neutral citizenship, where the civic boundaries of the nation have been expanded to include all ethnic groups (Kesici, p. 53)<sup>13</sup> attracted criticism from Kazakh “nationalists”. In response to Nazarbayev’s doctrine, a group identifying itself as “the National Patriots” (further Patriots) has, for instance, argued that the Kazakh language is losing out to Russian and should receive even more prominence in the state than Kazakhstan’s official policies permit. With the input of the Kazakh ethnonational groups, changes were made to the final version of the doctrine, which had to take into consideration their objections and demands of and was introduced in May 2010 (Lillis, 2010). Thus, as Lillis noted, the process of promoting national unity may have become more protracted than originally anticipated, but it also showed that political dialogue (albeit limited) can produce positive results in Kazakhstan (Lillis, 2010).

### **Language policy in Kazakhstan**

The process of nation-building in the post-Soviet space inevitably brought to the forefront the status of native languages across the respective republics. The native language issue has been addressed by the former Soviet republics in different ways, depending on states’ historical retrospective, local component/population, political, cultural and socio-economic content, etc. However, in the Republic of Kazakhstan after twenty years of independence the discourse and empirical manifestation of the implementation of Kazakh language (the language of the titular nation), and the status of Russian as the language of



inter-ethnic communication has evolved in a quite specific, if not unique, manner. This evolution, on one hand at the level of intensiveness of learning, usage and cultural perception of the Kazakh language within the multi-ethnic society of the state, and on the other hand the escalation of political debates on the matter of the language importance in the context of nation-building and civic identity among the various types of Kazakhstani elites, activists and institutions, has been complex and contentious. This paper aims to contextualize the uniqueness of this particular titular language case, and will analyze the current policies, tendencies and perspectives around the language issue in Kazakhstan over the course of its independence.

### **Language official status and policies (brief overview)**

According to article 7 of the Constitution of the Republic of Kazakhstan (1995), the Kazakh language is officially recognized as the state language. Added later were Constitutional modifications (1997) and interpretations of the Constitutional Council of KZ (2001, 2007) which kept the official status of the Kazakh language and strengthened its priority, while the Russian language, earlier in 1989 was defined as the “language of interethnic communication,” as well as entitled in 1995 to be “equally used with Kazakh language in state institutions” (Constitution of 1995, art. 7; Law on Languages, art. 5).

Some experts and politicians mention that this rather pragmatic approach would allow a reconciliation of the historical context of the ethnically diverse Kazakhstani population, its geographic distribution (affecting the usage of Kazakh or Russian in different parts of the country), and simultaneously retaining inter-ethnic stability, possibly minimizing the emigration of Russian-speaking population from the state, which could be observed in some post-Soviet territories, and sometimes had an overwhelming character and negative economic impact for the last two decades (Matuszkiewicz, 2010). The unquestioned significance and impact of the Russian language in cultural, socio-economic and political arena of Kazakhstan becomes clear with the overwhelming number of higher educational institutions, schools (Fierman, 2006), media space conversant in Russian language. Its importance has been articulated by the President of Kazakhstan repeatedly, as has state policy towards the respect and value of the languages of other ethnicities of the country, followed by establishment (and representation in the Parliament) of the institution of the Assembly of the Kazakhstani Nation. Moreover, Kazakhstani authorities in 2007 attempted to enlarge the multi-language framework by a so-called “Trinity of the Languages” cultural project, including Kazakh, Russian and English into the category of the prior languages, as well as announcing 2007 as the “Year of the Russian Language” (State Program of the Functioning and Development of Languages, 1998). The latter, however, was not fulfilled or vastly supported neither by institutions, nor by local intelligentsia or large community due to various reasons, amongst which the slow progress of learning/usage and extremely low demand of the state language at the level of socio-economic sphere was a main argument.

The range of official (governmental) steps undertaken to enforce the implementation of the Kazakh language included the following: issuing of the State Program on the steady transition of the documentation proceedings into Kazakh language in the state institutions 2001- 2010 (Decree of the President of RK, 2000), increase of the Kazakh language subject portions in the curricula of educational programs (in Russian-speaking educational institutions), introduction of the state TV channel “Kazakhstan” entirely broadcasting in Kazakh language (Law of the Republic of Kazakhstan on TV and Radio Broadcasting, 1997), a required knowledge of state language while being employed into governmental structures, etc. This wide instrumental assortment accompanied by other measures taken (for example, repatriation of the ethnic Kazakhs (oralmans) from other territories), aiming to revitalize and enforce the national values, language and unity finally frames into the process of “kazakhization”, which is highly discussed today and represents a complicated, often

controversial socio-political process, naturally affecting the overall scenario of national self-identification, civil unification and nation-building in the state.

Certain examples depicting the outcomes of language policies implementation provide significant room for further discussions about linguistics at the top political level. Recent appeals by the Head of the Board of the “Khabar Agency” A. Ukibayev, who proposed to the Senate representatives to require all foreign TV channels broadcasting in Kazakhstan to follow a language balance of not less than 50% conducted in Kazakh language, received a positive response from some Senate deputies (<http://news.nur.kz/kk/266412.html>). At the same time, the Head of the working committee on Assistance to Voluntary Migration to Russia in the Embassy of Russian Federation, M. Pusteko, mentioned in an interview that a sharp rise (doubling in 2011) in potential migrants was explained in many cases as the result of “fear that the young generation may lose Russian culture and language” and limited economic opportunities for Russians due to the lack of Kazakh language skills (<http://www.km.ru>). Although the official reaction of leading authorities to extreme nationalistic policies still demonstrates a pragmatic and careful approach towards state language promotion and status, and, as a result of this policy, often refers to the stable Kazakhstani inter-ethnic situation, there are ongoing debates among political elites as to the efficiency of a soft policy towards the Russian language on the one hand, and a concurrent intensification of kazakhization of society at all levels on the other (Zhuravlev, 2011).

### **The arguments surrounding the language issue**

The supporters of intensification of the linguistic kazakhization, using various channels of influence – from open letters to the President and mass media statements to political parties representations and state officials – insists on a quick transition to the Kazakh language in all spheres of life, emphasizing the unity, if not inseparability between language, civic, and national consciousness, independence, sovereignty and statehood. Their appeal reflects on a gamut of issues and complaints, encountering the previous historical colonial injustices towards the Kazakhs and their language during the Russian-Soviet periods, intensive cultural russification and sovietization, linguistically unbeneficial replacements of the alphabet from Arabic to Latin and then Cyrillic styles, lack of Kazakh knowledge among many ethnic Kazakhs or state-officials, extremely low socio-economic need of Kazakh language in urban zones, etc., and even fears of a possible vanishing of Kazakh language in the future. (Mashayev, 2012).

Their opponents, mostly coalescing around President Nazarbayev, point out the inevitability of a steady transformation of the Kazakhstani society, an evolving reality of social modernization and unification and consolidation around the idea of a multi-ethnic nation. Those more liberal among them would even argue that narrowly perceived politico-cultural kazakhization contradicts introduction of “liberal reforms, and democratization” (cf. Nurekeyev, 2013).

### **New tendencies**

The proposal on transformation of the Kazakh alphabet to Latin by 2025 became yet another contentious tangent to the language issue. It created broad disputes of pros and cons of such a linguistic shift inside all social and political groups, regardless of their position towards the language status and its political implications. Again, the issue created two main flows of disputers, encountering philologists, political scientists, sociologists, and other representatives of intelligencia.

Numerous factors are used to support the arguments of both sides, again ranging from the geo-historical to the political. The Turkic origins of the Kazakh language for some specialists and experts appears to be a strong argument for following the example and experience of Turkey and Azerbaijan in regard to alphabetical latinization. Moreover, a

radical group of latinization supporters proposes settling the issue by 2017, that is, by the beginning of the international exposition “Expo 2017” (Aleksperov, 2013). To accent the importance of such a linguistic transformation, they emphasize its necessity in terms of cultural integration and the political identity of the nation, overcoming the Russian influence, the pan-Turkic dimension, and the evolution of the language itself. The technological benefits from latinization for successful integration into the world informational space serves as another powerful argument for them (Kozyrev, 2012). To accelerate the process, a group of philologists at the Language Institute named after A. Baitursynov has already prepared a project for the Latin graphic alphabet, recently published in the state newspaper (Kazakhstanskaya Pravda).

Opponents charge that this change would discourage learning of Kazakh (the Cyrillic alphabet, they say, used for the Russian language looks and sounds more familiar to the Kazakhstani Russian-speaking groups, especially the elderly, while Latin letters would be completely associated with a foreign language cognation) (Umarov, 2012). Others warn of the possibility of a budgetary collapse, highlighting the enormous financial implications of the process, pointing out the unpreparedness of the educational system, the problems of communication across older and younger generations, issues of information and values “being lost in translation”, and the political risk involved in the project should it fail (cf. Kozyrev, 2012).

The alphabetical change would inevitably bring a revolutionary transformation in the educational, economic, cultural, social and political arenas, but the question, with which all the discussants struggle, remains: how and whether it would contribute to the process of national unification and formation of the strong nation, statehood and civic society in Kazakhstan?

### **Challenges of nation-building in Kazakhstan: Models and theories**

As Wheeler (2010) points out, at the start of the country’s independence Kazakhstan’s leader were well aware of the challenge “posed by large numbers of ethnic Russians living in the north of the country, who previously had scarcely been aware of which side of the border they were living on.” According to Wheeler, the old Soviet internationalism could help to avoid secessionist claims from Russians in the northern part of the country but “internationalism was not enough to ensure state legitimacy. Kazakhstan was born into a world of nation-states.”<sup>14</sup>

The debate over the doctrine in the 2002 and the ongoing debate on the issues related to the promotion and reform of the Kazakh language cut directly through the dilemma of available models of arrangements between the state and ethnic groups (and their asymmetries). The original text of the Nazarbayev’s doctrine argued that “favoring a civic rather than an ethnic model of national community is the course upon which Kazakhstan’s leaders have chosen to establish interethnic stability in the society” (Jones, p. 166).

According to Kesici (2011), the dilemma between a civic Kazakhstani nation and ethnic Kazakh nation is from the historical perspective inevitable. On the one hand, “the civic notion of nation, which the state elite is trying to institutionalize, exists in parallel to the ethnic Kazakh nation, which legitimizes the existence of Kazakhstan as a nation state” (p. 54). On the other hand, the very Kazakh nation, “consolidated especially through the existence of the Kazakh Khanate and Alash Orda, and these entities claims of territory and statehood, cannot be undone; the Kazakh nation, rooted in the tradition of the hordes system, “cannot be swept aside” (ibid, p. 55).

Taking a more complex approach, constructivist and historical approaches emphasize that both national and international actors, through the historical, political, economic, and technological processes within the social context of modernity are the main forces in constructing the nation, rather than narrowly understood cultural and language factors.

Similarly, Brubaker general theory characterizing “nationalizing states” or “nationalizing nationalism” derives from the assumption that nation should not be viewed as a definitive group category but rather as political practices whereby nationalism is evoked to serve political objectives.

For instance, as Taras Kuzio (2001) in his criticism of Brubaker points out, (all) civic state may be seen as “nationalizing states”, and having “ethnocultural cores” and thus cannot be “wholly neutral when deciding such questions as [their own] historical myths, languages, ...symbols” (p. 136). The case of Kazakhstan in particular seems to confirm Kuzio’s main argument that the distinction between “nationalizing state” and nation-building makes little analytical sense. Brubaker’s framework assumes a dynamic inter-relation between the factors of “nationalizing”, among which the national state-elite plays a hegemonic role at the expense of minorities. This has not been the case in Kazakhstan where even the official rhetoric has been treading carefully as to not make any impression of exclusion of any minority from the common nation-building – except for the (rather natural) insistence on the growing role of the Kazakh language and identifying the state symbols from among the traditional Kazakh historical symbols.

## **Conclusion:**

### **Hesitant nation-builders in Kazakhstan**

Nation-building in Kazakhstan has faced, from its very start, an almost impossible dilemma of a titular *ethnicum* insecure in its identity, only half-conscious of its ambitions, not mastering in its majority its own language, and only slowly recovering from the social and ethnic stereotypes of the Soviet system. As Wheeler (2010) put it,

*“[T]he USSR represented the bravest of efforts to [transcend ethnicity], but paradoxically its very internationalism ultimately institutionalised the nationalities it sought to transcend. The post-independence trajectory of Kazakhstan is haunted by this legacy.”*

In Kazakhstan, the process on nation-building has been mostly directed from above and followed the vision of President Nazarbayev. Implementation of his vision, especially in its language-policy aspect, was, however, much inconclusive and inconsistent. The nationalizing context in KZ focuses on the language issue, at the expense of historical narratives used in different policies associated with nation-building and is characterized by the vacillation between ethnicity-informed and civic models. This irresolution is welcome by almost everybody, as long as the peace, stability, and the interests of the elites (in whatever order) in the country remain untouched.<sup>15</sup> Jones (2010) rightly asserts, though in largely depoliticized terms:

*“Rather than constructing a state-sponsored national identity based exclusively on ethnic Kazakh culture to assimilate the large non-Kazakh portion of the population, the leaders of Kazakhstan have opted for a multiethnic civic nation aiming to enfranchise all of its citizens completely, regardless of their cultural identities. This nation-building approach encourages the state’s ethnic minorities to preserve and revitalize their own ethnic cultures and languages while it simultaneously characterizes Kazakh culture and language as the instruments of national consolidation”* (p.160).

There has been little formalized discourse and the lack of consensus regarding the process. Most of the people in Kazakhstan do not care much about the issue but otherwise seem they can live with Nazarbayev’s vision of Kazakhstani citizenship, if they can grasp it at all. Quite expectedly, the Russian minority would like to keep the language and other privileges that they inherited from the previous periods, while few vocal “nationalists call for stronger measures in support of Kazakh language and culture. Some Kazakh intellectuals (e.g. Belger) strongly (albeit often intuitively) oppose political manipulation of the language and ethnic issue support liberal multicultural coexistence of all ethnic groups. Some argue that almost every element in and the policy of nation-building as a whole is an exclusive design of

President Nazarbayev who imposes his articulate vision on the whole society but does not care much about feasibility of his projects as long as they suit power interests of his and his closest relatives and loyalists. In the same vein, Rolf Peters (1999) made the assertion that the president was using the “national question” to consolidate his power referring to dangerous scenarios of ethnopolitical conflict which would be destructive for Kazakhstan society, thereby positioning himself up as the sole guarantor of interethnic peace and order in Kazakhstan (p. 49). In this sense, it is in the interests of the president to maintain ‘interethnic peace’ through a balancing act: he must not appear to be privileging any particular group in order to avoid international and domestic criticism for discrimination on the grounds of ethnicity, but must also appear to be complying with the demands of all ethnopolitical actors in the country, who could potentially mobilize the population on ethnonational grounds.”

One can argue that it is difficult, if not impossible, to build a successful, viable civic nation in a country which can hardly be called liberal-democratic, i.e. one based on popular sovereignty which respects the rights of individuals, associations of civil society, and the free and independent media. The inevitable question occurs: What kind of nation is there to build, in a country with a mixture of Kazakh and Russian culture overlapping elements and multicultural reality where more people speak the Russian language than that of the titular nation? This almost fatal dilemma is inevitably reflected in the ambivalent goals of the relatively weak ‘nationalizing state’ and the zig-zag process of language policy implementation.

As mentioned, Kazakhstan can hardly be taken as a country fitting Brubaker’s notion on nationalizing state, as the process of realigning ethnicity and citizenship, as well as the role of the state in it has been quite fluid and ambivalent in Kazakhstan. While one can perhaps never know the outcome of the efforts of varying actors in such a process, the contemporary template might be discernible in the direction many of the post-communist countries might have taken. In the case of Kazakhstan, there is no clear feasible template discernible, only bits and pieces of orders and policies that consist of hardly reconcilable elements – which are often competing against each other. The competing claims and visions not always correspond to the reality. Is Kazakhstan heading to a civic nation unified by ethnic Kazakhs, or a civic nation of tri-lingual Kazakhstanis, or a multi-cultural mosaic of the nationalities of Kazakhstan, or a binational state?<sup>16</sup>

As yet there has been little pressure from society at large to address the identity and language issues, or the national question as such and the efforts by the elites to steer the issues of nation-building are met rather with confusion, if taken seriously at all. It seems that the further dynamic in dealing with the national issue in Kazakhstan will much depend on the regroupment of political forces after President Nazarbayev leaves his office and on the changing demographic (ethnic) composition of the country, namely the expected increase of the share of the ethnic-Kazakh population, especially those speaking Kazakh as their mother tongue, as well as on Kazakhstan’s position in the regional integration projects.

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### Endnotes:

- 1 Such a state has usually difficulties in using its potential effectively in implementing its policies and /or maintaining its security.
- 2 Over the years, many nationalities and ethnic groups migrated to Kazakhstan and eventually turned the country into one of “the most multinational, multi-confessional, multiethnic countries in the world”. But not all nationalities came to Kazakhstan on their own will rather were driven by political repression and persecution. During the repressive regime of Stalin about 1.5 million of political prisoners from Russia and other regions were deported to Kazakhstan and about 1.3 million were deported during the WW2 as they were labelled as the “representatives of unreliable nations”. (Mostafa, 2011)
- 3 They had to be a historically evolved community that shared a common language, territory, economic way of life and a psychological mindset which could be traced back to a common culture (Stalin, 1950, p. 315)
- 4 However, as in the Soviet Union, ethnic affiliation was highlighted in passports. Interestingly, the requirement to specify ethnic affiliation has recently been dropped (cf. Kesici, 2011, p. 51)

5 While in its preamble the Constitution of 1993 speaks of the country using the wording “We, the people of Kazakhstan, as an inseparable part of the world community, take the unshakeable Kazakh statehood into our consciousness [...],” the Constitution of 1995 the corresponding lines changed to: “We, the people of Kazakhstan, united by a common historic fate, creating a state on the indigenous Kazak land [...].” (Constitution of the RK, 1995).

6 Jones studied how substantial ethnic identifications are to people’s lives. He found that for the majority of his non-Kazakh respondents, possessing an ethnic identity was important to them. However, “only a small number actually participate in activities contributing to the preservation or revitalization of ethnic cultures, languages, or traditions. Most are unaware of the existence and activities of the Assembly [of Peoples] and express ambivalence about the consolidating role of Kazakh culture and language.” According to Jones, “if a large number of Kazakhstan’s citizens are unlikely to participate in activities to preserve their ethnic cultures, why does the state rely so heavily on ethnic cultural preservation as a primary tool to create a civic national identity?” (Jones, 167) Jones concludes that “the work of civic nation-building thus depends upon this general recognition that ethnic categories, as introduced during the Soviet times and preserved in independent Kazakhstan, exist, and something is officially being done about them, to raise the value of citizenship in Kazakhstan for non-Kazakhs.” (ibid, p.168)

7 It is also interesting to note that despite of the Kazakh ethnonational character of the state symbols, if one looks at them closely, one has to notice from the fact that many exclusively Kazakh symbols were not chosen, that evidently the current symbols are to a large degree encompassing and /or acceptable to all other country’s ethnic groups (Aydingün, 2008, pp.142-150). A statue of Lenin in Almaty’s centre was replaced with a statue of the Golden Warrior, a mythical figure that roots Kazakhs identity as far back as the third century B.C. (Aydingün, 2008, pp.140). Also, many former Soviet topographic names, particularly of towns and streets were replaced with Kazakh names. (For instance, the main street in Almaty, now the Dostyk [??] Street was formerly known as Lenin Street.)

8 The following ethnic groups are represented in the Assembly: German (49 members), Kazakh (40), Korean (36), Tatar (29), Slav (27), Chechen and Ingush (26), Azerbaijani (23), Uighur (21), Russian (20), Ukrainian (19), Jewish (18), Polish (16), Turkish (14), Greek (12), Armenian (11), Byelorussian (10), Dungan (10), Kurd (8), Uzbek (8), Cossack (6), with the Turkmen, Bulgarians and Dagestani having four members each, the Kyrgyz and Tajik three members each, the Karachaev, Balkarian, Chinese, Chuvash and Karakalpak two members each, and the Assyrian, Czech, Baltic nations, Georgian, Osetin, Lezgin, Iranian, Buryat, Hungarian and Romanian one member each. (Inter-Ethnic Dialogue: The Kazakhstan Model of Peaceful Coexistence and Preservation of Inter-Ethnic Stability, The Embassy of Kazakhstan in New Delhi, India, <http://www.kazembassy.in/people.htm>.)

9 “Through a structure reaching from President [Nazarbayev] down to the members of the affiliated national cultural centers of the country’s smallest villages, the Assembly and its partners operate as a system of hierarchical councils.” In addition to the national Assembly each Oblast, as well as the cities Astana and Almaty, has its own “small” Assembly whose composition and operations mirror that of the national structure. The Oblast Assemblies may also maintain filial in the counties (*raioni*) under their jurisdiction– the structure of the *raion*-level institutions again resembles those on the Oblast and state levels.” (Jones, 164-5)

10 Within the first principle of the doctrine, Nazarbayev once again emphasized the common fate and history of all ethnic groups in the country. The second principle focuses on the equality of all persons is highlighted once again, and ethnic affiliation is emphasized against the backdrop of common civic affiliation. The third principle considers the traditions of patriotism, competition and victory as the most important factors for the development of the national spirit (Ibid; as cited in Kesici).



11 Apart for measures strengthening the use of the Kazakh language in public life, the doctrine proposes the introduction of interethnic tolerance classes in school curricula, popularizing positive imaging of all ethnic groups in the country's mass media, strengthening legal norms securing equal rights of all citizens regardless of race, ethnicity and/or religion, improving mechanisms of early detection of social conflicts and contradictions, which pose a risk of acquiring ethnic character. (Ibid)

12 Nazarbayev first introduced the term 'Kazakhstani' into his speech on the strategy programme for Kazakhstan in 1997 called "Kazakhstan – 2030". Here, he asked who Kazakhstanis were: "Today it is not everybody that can answer the seemingly simple question: 'Who are we – the Kazakhstanis?' (52) Kesici, 2011) According to Article 19 of Kazakhstan's Constitution, every citizen has the right to indicate or to decline to indicate an ethnicity; however, Article 57 (On Families and Marriage) states that children must select the ethnicity of one of their parents. Therefore, technically anyone may refuse to select an ethnicity on applications for state identification cards and passports for international use. So far, "Kazakhstani" nationality is not an option.

13 The poll showed most people rejecting the idea of ethnic Kazakhs having a special role: 31 percent backed the concept, but 60 percent supported the idea that all citizens should thought of as "state-forming." Just one in five people supported changing the official name of the country. (Lillis, 2010)

14 The latter, however, was not quite successful, largely because of the low institutional and grass-root support.

15 Jones described some of the stakes as follows: "Kazakhstan's civic nation-building strategy's reliance on Kazakh language and culture stands little chance of provoking violent conflict, but as a unifying discourse it has even less of a chance of consolidating its non-Kazakh population into a Kazakhstani civic nation." (Jones, 168)

16 The further evolution of the genuine multi-culturalist option has not been elaborated on consistently in the current stakeholders' discourse and political directions and may have little chance in succeeding in the foreseeable future, but its elements emerge from time, at a subdued level, to time as significant contributions to the ongoing discourse and may gain even more prominence with the growing labour migration from neighbouring countries.

# CITIZENS' TRUST IN PUBLIC AUTHORITIES OF LATVIA AND PARTICIPATION PARADIGM

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## Abstract

Lack of trust in public authorities is a problem not only in Latvia. The trend of decreasing citizens' trust can be observed all over the world. However, Latvian government and the parliament enjoy an extremely low level of trust. According to the Eurobarometer 79<sup>202</sup> data of Spring 2013, only 15 % of respondents tend to trust in the parliament of Latvia, and 20 % of respondents have tend to trust in national government. The gap between the society and political power has grown considerably. The majority of electors are neither satisfied with the democracy form of the parties, nor do they approve of their activities in the state and local governments. At the same time citizens' trust in local governments is much higher than in the national government and parliament, namely, 42% of residents trust in local public authorities. This article deals with the theoretical aspects of public trust, as well as, on the basis of survey, analyzes public opinion about various public authorities in Latvia. This publication aims to explore whether there is any coherence between the levels of trust that the public expresses in various public institutions? Whether citizens' positive assessment of the performance of local authorities has positive impact on evaluation of the national parliament and government? Whether in local authorities where citizens are more satisfied with local authorities' work, the citizen participation is also higher?

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**Keywords:** Citizens' trust, local governments, national government, parliament, participation

## Introduction

The decrease of public trust in governments is a problem in the last decade, which has attracted huge attention by public administration researchers all over the world. The explicit decrease of public trust in governments and national parliaments is observed in so called developed democracies – the USA, Canada, Sweden, Great Britain and other EU member states. The renewal or increase of public trust is urgent question for many countries.

In Latvia too for the last 20 years explicit public trust decrease to parliament and government is observed, but, in comparison with above mentioned states, the public trust indicators are critically low and indicate at fundamental problems in state administration. The majority of population is not satisfied with previous political parties' activities and political culture. Unlike in the other states, although the problem of public trust in Latvia is admitted by both researchers of the politics and politicians themselves, yet there are not research carried out in systematical and extended manner that would examine relations between society and government as well as the causes for public trust decrease.

According to the latest Eurobarometer<sup>1</sup> data only 15% population of Latvia tend to trust parliament of Latvia (Saeima), 85% - tend no to trust. It means that only every sixth inhabitant of Latvia trusts parliament work. Trust level to government is higher for 5

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<sup>202</sup> *Standart Eurobarometer 79, Public Opinion in the European Union, Fieldwork: May 2013.* Available: [http://ec.europa.eu/public\\_opinion/archives/eb/eb79/eb79\\_en.htm](http://ec.europa.eu/public_opinion/archives/eb/eb79/eb79_en.htm)

percentage points, government is trusted by 20% or each 5th inhabitant. Citizens' trust to political parties is critically low. In Latvia only 9% population trust political parties which is one of the lowest indicators among European Union member states. At the same time comparatively high level of trust to local authorities is observed in Latvia – 42% Latvia's population trust local authorities which is the only trust indicator that corresponds EU average level – 43%.<sup>203</sup>

If trust indicators at the local level are satisfactory then public trust indicators at the national level are alarming and show that the majority of Latvia's society does not trust public administration institutions and its representatives at the level of national administration already for longer time period. National sustainability cannot be imaginable without renewal of society's trust to public authority institutions as society's trust reflects population's attitude towards the situation in the country and creates conditions for the state to exist, for example, grounds necessity to pay taxes, engage in business and after all, grounds the choice to live in the particular country. Till now neither politicians nor political scientists have found the solution to renewal of public trust to government and parliament in Latvia.

As the result of economical and far-gone public trust crisis the consequences of public trust is observed – citizens emigrate to other countries, in search for better life conditions and do not associate their lives with Latvia any more. The remaining part of society still distrust that politicians are able to direct the country in direction of development, that citizens' needs correspond with politicians' comprehension about citizens' needs, that the aim of the ruling coalition is to serve the interests of all society rather than active lobby of certain interests or interests of narrow group of society. The trust of remaining population is decreased by domination of negative information in media sphere about professional activity of public authority officials, as well as politicians' inability to balance contradictions between citizens' immediate social needs and national financial resources.

## Theoretical framework and research hypothesis

### Definition of trust

Trust is a complex concept and its comprehension depends on the fact which factors are being researched<sup>204</sup>. Psychology defines trust as cognitive notion among those who are being trusted and those who trust. (Rotter, 1967)<sup>205</sup>. Economists define trust according to calculations and rational expectations from a party or an organization (Williamson, 1993)<sup>206</sup>. Sociologists see trust as totality of relations between a person and institutions (Lewis & Weigert)<sup>207</sup>. Researchers of public administration justify the meaning of trust with necessity to acquire public trust at least in the minimal level for those programmes, which political parties decide to implement (Ruscio, 1997)<sup>208</sup>.

Trust is formed from one person's assumptions about other person and/or process in which she/he trusts. The author Margaret Levi emphasizes – the more a person is tended to trust the less he/she would try to acquire additional information about the person who is trusted and his/her reliability.<sup>209</sup> People trust because they consider that from positive cooperation and

<sup>203</sup> *Standart Eurobarometer 79, Public Opinion in the European Union, Fieldwork: May 2013*. Available: [http://ec.europa.eu/public\\_opinion/archives/eb/eb79/eb79\\_en.htm](http://ec.europa.eu/public_opinion/archives/eb/eb79/eb79_en.htm)

<sup>204</sup> Kim, Seok-Eun *The Role of Trust in the Modern Administrative State :An integrative Model* In: Administration & Society 2005 November, Kansas State University, 2005. 611-617.p.

<sup>205</sup> Rotter, J.B. (1967) *A new scale for the measurement of interpersonal trust*. In: Journal of Personality, 35, 651-660.p.

<sup>206</sup> Williamson, O.E. (1993) *Calculativeness, trust, and economic organization*. In: journal of Law&Economics, 36, 453-458.p.

<sup>207</sup> Lewis, J.G. & Weigert, A. (1985) *Trust as a social reality*. In: Social Force, 36, 967-985.p.

<sup>208</sup> Ruscio, K.P. (1997) *Trust in the administrative state*. In: Public Administration Review, 57, 454-458.p.

<sup>209</sup> Levi, M. *A State of Trust* In: Braithwaite, V. and Levi, M. (Editors.) *Trust& Government*, Volume I in the Russell Sage Foundation Series on Trust, Russell Sage Foundation, New York, 1998. 78. p.

their trust use in a positive sense it can benefit a person. The author Margaret Levi considers knowledge as one of the main trust factors: „Although a reasonable belief that the trustee will act consistently with the truster’s interests depends on knowledge of the trustee, this can but need not be detailed, personal knowledge.”<sup>210</sup> In case a person has not necessary knowledge or right information about another person it can trust incorrectly.

The researcher Russell Hardin has defined public trust very generally, he has explained: „Trust has three parts: A trusts B to do X (or respect to matters X).”<sup>211</sup> Hardin describes trust as a form of encapsulated interest. A trust in B is typically encapsulated in A’s interest in fulfilling B’s trust. A trusts B because A presumes it is in B’s interest to act in a way conformable with A’s interest.

Examining various definitions of public trust, the authors conclude that some authors incline more on psychological aspects of the concept, for example, by defining trust as „A psychological construct, the experience of which is the outcome of the interaction of people’s values, attitudes, and moods and emotions.” (Jones and George, 1998).<sup>212</sup>

Others – in their turn consider that formation of trust is more affected by conclusions about previous deeds and rational considerations, - as “an expectation about outcomes based on perceptions and life experiences” (Golembiewski, R.T. and McConkie, M.L., 1975).<sup>213</sup>

Also as the basis of citizens’ formation of opinion about ruling politicians there are various considerations – some, by evaluating government, parliament or local authorities’ work, use rational arguments. Such people adopt decisions, by analysing particular facts, calculating expenses and benefits which they acquire from events, decisions which can influence them. But there is also irrational part of people which draw conclusions based on various social groups or general opinion of society.<sup>214</sup>

Speaking about trust in the context of society the authors sympathize division in 2 aspects. One is the so called political trust, but other – social trust. Political trust clearly manifests itself, when citizens evaluate the work of government and its institutions, government’s implemented policy (it is called macro-level trust or organization trust) and /or the work of individual leaders, honesty and abiding by ones’ promises, which is called individual political trust or micro-level trust. The political trust can be defined as “judgment of the citizenry that the system and the political incumbents are responsive, and will do what is right even in the absence of constant scrutiny” (Miller and Listhaug, 1990).<sup>215</sup>

The political trust does not exist outside society and its established norms, therefore important role is played by social trust. Social trust is trust among the members of society. Majority of theoreticians admit that social and political trust does not exclude one another, however, the theoreticians have different opinions whether political trust is going to increase, if social trust increases and vice versa. Public administration researchers Gabriel Almond and Sidney Verba have emphasized that: “Belief in the benignity of one’s fellow citizen is directly related to one’s propensity to join with others in political activity. General social trust is translated into politically relevant trust.”<sup>216</sup> Whereas, sociologists associate increasing social distrust, with a more active political involvement, and eventually, enhanced political trust (Gamson, 1968)<sup>217</sup>.

<sup>210</sup> Ibid. 78.p.

<sup>211</sup> Hardin, R. *Trust in Government* In: Braithwaite, V. and Levi, M. (Editors.) *Trust & Government Volume I* in the Russell Sage Foundation Series on Trust, Russel Sage Foundation, New York.1998. 12. p.

<sup>212</sup> Jones, G.R. and George J.M. (1998) *The experience and evolution of trust: Implications for cooperation and teamwork*. In: *Academy of Management Review*, 23, 532.p.

<sup>213</sup> Golembiewski, R. T., & McConkie, M. L. (1975). *The centrality of interpersonal trust in group processes*. In: C. L. Cooper (Ed.), *Theories of group processes*. New York: John Wiley. 131-185.p.

<sup>214</sup> Houghton, Patrick, *Political Psychology* Routledge, 2009, New York. 6.p.

<sup>215</sup> Miller, A. H. and Listhaug, O. *Political Parties and Confidence in Government: A Comparison of Norway, Sweden and the United States*. In: *British Journal of Political Science* 20, 3(July 1990), 358.p.

<sup>216</sup> Almond, G., & Verba, S. (1965). *The civic culture*. Boston, MA: Little-Brown. 228.p.

<sup>217</sup> Gamson, W.A. *Power and Discontent*. Homewood, IL: Dorsey, 1968.

## Public trust and participation

Just the same as theoretical literature does not comprise united opinion about the interaction of social and political trust, the political researchers have various opinions about the importance and necessity of participation as well as the influence of participation on formation of public trust.

Political researchers who have admitted elections as the only important instrument of democracy (Dahl, 1956, Sartori, 1987), considered that the use of other participation forms are not necessary, it is even obstructive and can cause threats for stability of democracy. Whereas at the end of 20th century the participatory democracy theory was topical (Almond & Verba, 1963, Pateman, 1975), where participation was evaluated as important part of democracy, as participation creates understanding for citizens about democratic procedures, teaches tolerance, responsibility, develops skills and enhance interest about political processes, and makes public administrators give an account to citizens.

Sociologist and politologist Robert Putnam was one of the first who admitted the necessity for organizations to socialize their members, by teaching them trust, cooperation and solidarity. According to him, the political and civic culture of society is characterized by knowledge about political events, interest and also attitude towards political life in general.<sup>218</sup>

Trust according to Inglehart ensures authorities' legitimacy, but not only – Putnam declared that trust also establishes individual's readiness to adopt and realize decisions adopted by state authority. Putnam believed that political participation and activity depends on the role an individual takes on, by taking part in a political organization. Whether an individual takes part in any activity related to politics depends on motivation. For example, if his/her activity shall benefit, produce a profit and other factors. The lack of motivation is observed in cases when an individual considers impossible to change anything, or does not see meaning to his/her political activity. Although in democracy an individual has the most chances to influence the political situation and situation in the country, often it is not used.<sup>219</sup>. As democracy defends individuals' rights, take into account their interests, there is no real necessity for oneself to get involved as regards introducing or passing legislation.

Other political researchers studying the link between participation and public trust are not so optimistic. For example, political researcher Zmerli (2007) in his research concluded, that although in theoretical literature there is evidence that between participation in voluntary organizations and trust exists a close link, in his opinion this link is very weak and fragmentary, and is proved only in particular countries.

Interesting is researchers HiaoHu Wang and Montgomery Wan Wart (2007) study about participation's influence of public trust. The authors concluded that trust formation is influenced by behavioural factors of two main public administrators.

„First, participation affects trust when it produces high-quality services that the public wants. Second, enhanced ethical behavior on the part of administration is another reason that participation leads to trust. Public trust increases when public officials demonstrate integrity, honesty, and moral leadership and when ethics are institutionalized in government through the process of participation.”<sup>220</sup>

At the same time we have to take into accounts how much the administrators themselves are ready to trust and trust their citizens. The author Kaifen Yang admits that large part of theories that explain increase of public trust in governments is insufficient, as they overlook the condition that trust is mutual and reciprocal. Citizens would not trust public administrators and would not want to take part, if they knew and/ or feel that public administrators do not trust them.

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<sup>218</sup> Putnam, R. *America's Declining Social Capital*. In: *Journal of Democracy* 6:1, Jan 1995, 65-66.p.

<sup>219</sup> *Ibid*, 65-66.p.

<sup>220</sup> XiaoHu, Wang, *When Public Participation in Administration Leads to Trust: An Empirical Assessment of Managers' Perceptions* In: *Public Administration Review*, March /April 2007, 276.p.

Mutual trust between citizens and public administrators is a part of democratic governance, and is necessary so that society might develop, it is as a precondition for collective action and learning.<sup>221</sup> Consequently, the more qualitatively and ethically public administrators shall exercise their functions the more citizens shall trust them. If citizens themselves shall feel efficacious and more trusting, the more citizens are going to participate in democratic processes.

Although in democratic societies the public trust is important in order to ensure the legitimacy of authority, yet in the context of representative democracy also public scepticism brings some benefits, as it shows citizens' ability to assess the events and requires the involvement of society. For example, researcher Russel Hardin in his studies concludes that also citizens' reasonable distrust may bring some benefits to state administration - "First, citizens might actually constrain their government by distrusting it within reason. Second, by cooperating with their government - also within reason - citizens generally enhance the effectiveness of the government."<sup>222</sup>

By decreasing citizens' support to political parties, democratic institutions and diminishing activity at the elections, the efficiency of representative democracy is being criticized. As a solution to diminished trust representative democracies offer to introduce the instruments of direct democracy and let citizens be more involved in the processes of decision making.

### Research design

The basis of the research is citizens' survey carried out in Latvia in July, 2012 by the author and Marketing and Public Opinion Research Centre (SKDS).

### Research hypothesis

- (1) Citizens' positive assessment of the performance of local government has positive impact on evaluation of the national parliament and government.
- (2) Citizens' satisfaction with local authority's work enables more trust in local authority and more active level of participation.

Using stratified random sampling, 1050 permanent residents of Latvia aged 15-74 were surveyed, which is the representative sample of the general population. All regions of Latvia were included in the polling. The survey data was analysed using SPSS statistics program.

By elaborating the theoretical framework of the research, the authors used the methods of scientific literature and statistics data analysis, as well as the research of European Commission's Standard Eurobarometer on citizens' trust in public authorities in time period of 2003 -2014.

### Analysis of Latvia's case

During the last ten years the split between the society and public authority institutions in Latvia has increased considerably; it is characterized by citizens' trust indicators. In comparison with the time period ten years ago, i.e. 2003, citizens' trust level in government has decreased for 26 percentage points, but trust level in the Parliament (Saeima) – has shrunk for 24 percentage points (see Fig.1)

Trust in political parties historically in Latvia has been low.<sup>223</sup> In 2003 only 12% Latvia's

<sup>221</sup> Kaifeng, Y, *Public Administrators' Trust in Citizens: A Missing Link in Citizens Involvement Efforts* In: *Public Administration Review*, Volume 65, number 3, May/June 2005, ISSN 0033-3352, Print in the USA by American Society for Public Administration. 273.p.

<sup>222</sup> Hardin, R. (2013). *Government without trust*, In: *Journal of Trust Research*, 3:1, 32-52, DOI: 10.1080/21515581.2013.771502 Publisher: Routledge, Published online: 29 April 2013. Available <http://dx.doi.org/10.1080/21515581.2013.771502> 33-34.p.

<sup>223</sup> *Standard Eurobarometer 79, Public Opinion in the European Union, Fieldwork: May 2013*. Available: [http://ec.europa.eu/public\\_opinion/archives/eb/eb79/eb79\\_en.htm](http://ec.europa.eu/public_opinion/archives/eb/eb79/eb79_en.htm)

population trusted in political parties, but in 2013 – 9% (-3%). It has to be admitted that in the last Eurobarometer survey (spring 2013) the trust level has increased for 3% in comparison with autumn 2012, when trust level in political parties in Latvia was only 6%, which was one of the lowest trust level in political parties among all European Union member states.<sup>18</sup>

Data about trust in local authorities are not examined in this period. First data about trust in local authorities are summarized, beginning with the autumn 2008 and show that in local authorities in Latvia trust 44% of Latvia's population.

Trust in local authorities' work in 2013 has remained comparatively steady without large variations with previous periods – 42% (-2%). If comparing citizens' trust level in particular institutions in Latvia with the average indicators in European Union member states, then only trust in local authorities (42%) correspond with the average level in EU member states (43%). Citizens' trust in parliament, government and political parties in Latvia is lower than on average in EU.

Although trust in local authorities in Latvia is higher if compared with trust in parliament and government, yet citizens' activity at local elections in comparison with parliament elections is lower (See Table 1). Moreover, at the last local authorities' election which took place on 1st June 2013, the citizens' activity has been the lowest in 23 years of the renewed Latvia's state.

Table 1 Voters turnout in the parliamentary and local elections in Latvia (1993 – 2013), (%)

| Year                    | 1993 | 1994 | 1995 | 1997 | 1998 | 2001 | 2002 | 2005 | 2006 | 2009 | 2010 | 2011 | 2013 |
|-------------------------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| Parliamentary elections | 89.9 |      | 71.9 |      | 71.9 |      | 71.5 |      | 60.9 |      | 63.1 | 59.4 |      |
| Local elections         |      | 58.5 |      | 56.8 |      | 61.9 |      | 52.8 |      | 53.8 |      |      | 46.0 |

Source: The Central Election Commission of Latvia, 2013

In the research<sup>224</sup> of the electoral attitude after the local authorities' elections, the respondents who did not vote at the elections were asked for the reasons of their inactivity, 18% answered "there is no point" and 12% answered "they do not believe, do no trust anything"

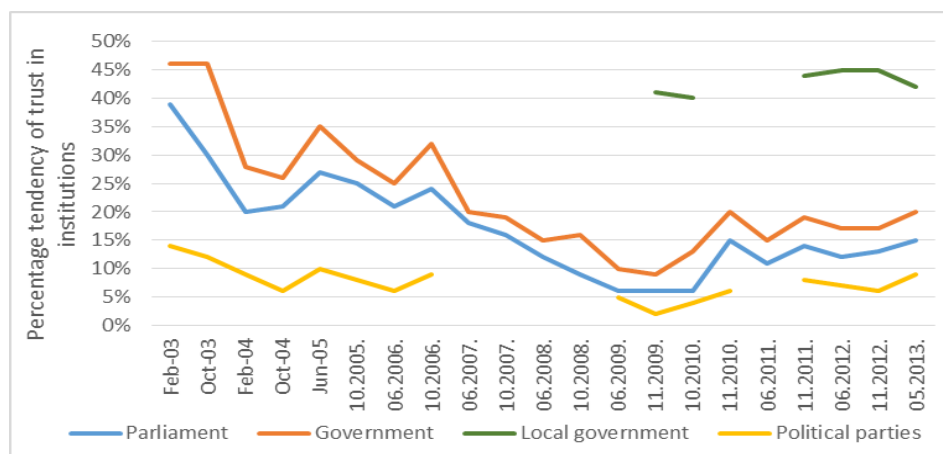


Figure 1 Citizens' trust in public authorities (percent, %)<sup>225</sup>

Apart from parliament and local authorities' elections, the legislation of the Republic of Latvia provides various ways how citizens can be involved in adoption of decisions of state administration and local authorities. Moreover, for cooperation with residents the local

<sup>224</sup> Public opinion survey *Electoral Attitude Research 2013* in Latvian. (June 2013). The Central Election Commission of Latvia. Available at: [http://cvk.lv/pub/upload\\_file/Petijumi/atskaite\\_CVK\\_062013.pdf](http://cvk.lv/pub/upload_file/Petijumi/atskaite_CVK_062013.pdf)

<sup>225</sup> Standart Eurobarometer (2003.-2013.) Available: [http://ec.europa.eu/public\\_opinion/archives/eb\\_arch\\_en.htm](http://ec.europa.eu/public_opinion/archives/eb_arch_en.htm)

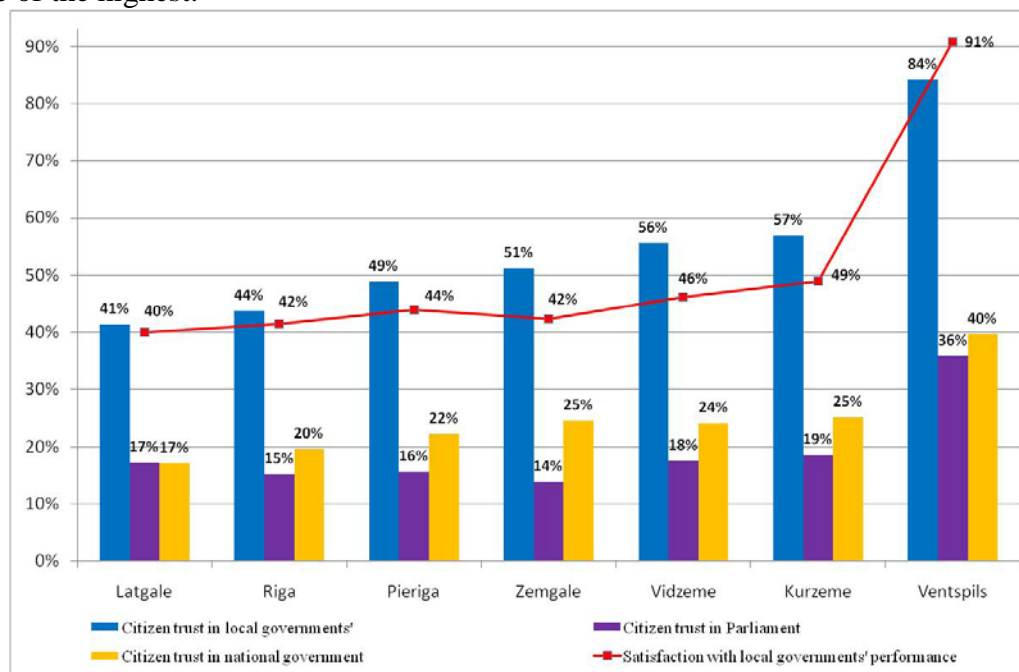
authorities in their administrative territories can realize volunteering initiatives regarding any question which is in their competence and are not prohibited by law. However, the author's research carried out in 2012 revealed an explicit tendency that citizens quite rarely take part in officially regulated participation forms. More popular are those cooperation and communication forms that are outside the official participation framework (for example, the use of social media etc.), which means that a considerable revision is needed throughout the regulated participation mechanisms.

### Citizens' satisfaction with local authorities work and citizens' trust in national public authorities

One of the aims of the publication was to examine if residents' satisfaction level with the performance of local authorities leave positive impact also on trust indicators to central power institutions. Whether resident's positive assessment on the work of local authorities correlates in evaluation of national parliament and government?

Inspecting acquired data in regional distribution, this hypothesis proved true in Kurzeme and Vidzeme – in regions where respondents are most satisfied with their local authorities' performance and trust them most (see Fig.2). Respondents from both regions relatively higher assessed also their trust in national parliament and government (see Fig.2). However, acquired data do not allow this conclusion generalize regarding all statistical regions. For example, respondents in Latgale region in comparison with respondents from other regions assessed both their satisfaction with local authorities work the lowest and their trust in local authorities, yet they trust in the Parliament even more than respondents from Zemgale, Riga and Pieriga, who assessed the performance of their local authorities and their trust in them higher.

By comparing two municipal governments in Latvia (see Fig.2), whose work was the most satisfying for citizens – Riga and Ventspils, two different sceneries were revealed: Riga has the lowest trust indicators in Latvia's parliament and government, whereas Ventspils – one of the highest.<sup>226</sup>



Source: Author's calculations on survey conducted by Lilita Seimuškāne and SKDS, 2012 (n=1050).

Figure 2 Coherence between public appraisal of local governments' performance and trust in different level of public authorities (local government, national parliament and government)

<sup>226</sup> Seimuškāne, L., Market and Public Opinion Research Centre (SKDS), 2012. Public opinion survey: *The Evaluation of Citizen Participation Process in Latvia*.



It allows draw conclusion that satisfaction with one's local authority' performance and trust level in it is important factor in forming attitude towards activities of central power institutions, but certainly it is not the only influential factor.<sup>227</sup> The acquired research data in correlation with the nationality structure in statistical regions acquired in 2011 Population Census process in Latvia, affirm already mentioned conclusion, than public power institutions in Latvia are more positively evaluated by respondents in regions with most number of Latvians, i.e. Vidzeme region (87% Latvians), Kurzeme region (76% Latvians).<sup>228</sup>

Whereas in regions where proportion of Latvians are less than half – in Latgale (46%) and Riga (40%) respondents have assessed their trust in national government the lowest (see Fig. 2).

### **Citizens' trust and participation**

Within the research the authors also tend to examine the hypothesis – whether in local authorities were citizens are more satisfied with the local authority' work, the level of citizens' participation is higher.

During a survey on different aspects of citizen participation in local governments, when asked what would be the respondent's reaction in case the local government council made a decision in conflict with the interests of the residents of the local government, half (50%) of the respondents said they wouldn't engage in any activity, even if the local government council made a decision which interfered with their interests. Only one third or 35% of the respondents stated that they would actively respond to such doings of the local government<sup>229</sup>.

Examining research data in territorial division between statistical regions, it can be stated that most active respondents live in Vidzeme, almost 48% would be ready to take part in any activities, if local authority adopted a decision which interfered with citizen interests. In respect of activity Zemgale and Pieriga follows (38%), then Riga (34%). Less active would be residents of Latgale (26%) and also Kurzeme (30%).

By comparing research data in Riga and Ventspils, i.e. municipal governments were residents are very satisfied with local authority's work, the research data show that the level of citizens' participation is the lowest, even lower than the average activity level in Latvia. The lowest activity would be in Latgale region, characterized by the lowest socio-economic indicators. However, interconnection between the activity of other regions and the level of regions' socio-economic development is not observed.

Verifying interconnection between answers about active performance and citizen trust indicators to local authorities, it was revealed that most inactive are residents in those regions, where they trust most in their local authorities – Kurzeme (60%) and the least – in Latgale (46%).

The coherence between citizens' readiness to get involved in activities in case local authority adopted a decision which interfered with their interests, people's trust indicators and satisfaction with self-government work is given in Figure 3.

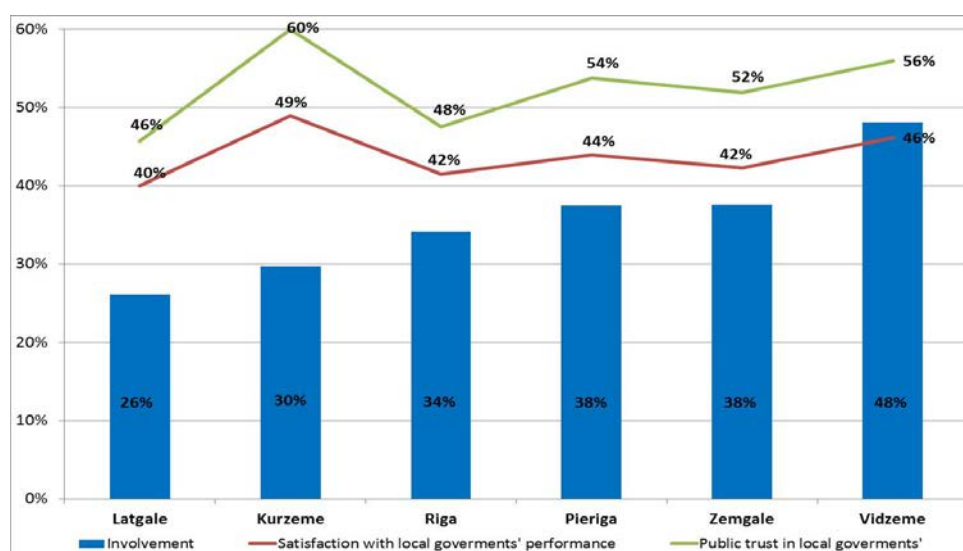
Inspecting distribution of respondents' answers in similar question about citizen satisfaction with local authorities' work, the acquired data match with assessment in question about public trust – the most satisfied with the work of their local authority are residents of Kurzeme, but the most dissatisfied – residents of Latgale.

<sup>227</sup> Seimuskane, L., Vilka, I. (2013). *Relations between citizen's trust and participation in local governments in Latvia*.

NISPAcee 21th Annual Conference proceedings.

<sup>228</sup> Central statistical Bureau of Latvia. Central statistical Bureau of Latvia. 2011 Population census data in brief. Informative survey. Available at: [www.csb.gov.lv/sites/default/files/publikacijas/nr\\_13\\_2011gada\\_tautas\\_skaitisanas\\_rezultati\\_isuma\\_12\\_00\\_lv.pdf](http://www.csb.gov.lv/sites/default/files/publikacijas/nr_13_2011gada_tautas_skaitisanas_rezultati_isuma_12_00_lv.pdf)

<sup>229</sup> Seimuškāne, L., Market and Public Opinion Research Centre (SKDS), 2012. Public opinion survey: *The Evaluation of Citizen Participation Process in Latvia*.



Source: Author's calculations on survey conducted by Lilita Seimuskane and SKDS, 2012 (n=1050).

Fig. 3 The coherence between residents' readiness to act in situation if local government adopted decision that interfered with residents' interests, citizen trust indicators and satisfaction with local government work

The acquired data of the research updates necessity, by studying residents' participation motivation, to pay more attention to this aspect, whether:

- residents' low participation level is related to discontent, distrust in institutions of public authority;
- residents' low participation level is related to distrust, that it is possible to change anything by participation; lack of seeing the point of participation;
- the basis of low participation level is consideration that people's everyday life and well-being is not endangered in any way; residents are convinced that their lives are well represented within the local authority.

## Conclusion

Although the local authorities in Latvia enjoy more citizens' trust in comparison with the national level authorities – Parliament and government, yet at the local level in the area of democratic participation citizens are very passive. Moreover, this passivity has no connection with citizens being more or less satisfied with their local authorities' performance. The results of the research demonstrated that the most passivity in the area of participation is in those local authorities where citizens are the most satisfied with the local authority's work (Kurzeme) and the least satisfied (Latgale).

During the last elections which took place in Latvia in June 2013, the analysis of citizens' activity demonstrated that there is no explicit correlation between citizens' satisfaction with local authorities' work and electorate activity. So, for example, in Kurzeme region where citizens in authors' survey expressed the most satisfaction with the work of their local authority, the electorate activity during these elections was one of the lowest (41%), even lower than on average in Latvia. Only for one percentage point it was higher in Latgale region (42%) where citizens were the least satisfied with their local authority's work.

Citizens' satisfaction with their local authority's work is an important factor in formation of citizens' attitude towards authority as such. At the level of local authorities citizens' satisfaction has the closest interconnection with the trust level, namely, the most satisfied are citizens with the work of the local authority the higher the trust level. However, in formation of attitude against the state authority – i.e. parliament and government the influence of this factor was not absolute. In the authors' research certain local authorities demonstrated this influence, whereas in others there was no interconnectedness. Wherewith it can be concluded

that trust in institutions of national level is formed by other factors as well.

The majority of traditional forms of representation become weaker. What is there to offer instead? How to renew trust in public authority institutions and how to rouse citizens' interest in decision making, especially if those decisions refer to citizens themselves? Those are the problem questions, easier to discuss than implement. The authors see as one of the directions of possible action policy in Kaifen Yand's expressed conclusion – maybe, thinking about trust, it is worth to think about the development of mutual process – not only citizens' trust in public authorities administrators, but also public authority's trust in its citizens.

The profesor at the University of Pittsburgh, authority in the field of public administration Guy Peters<sup>230</sup> admits that not only in Latvia but also in many other countries the wish of authority representatives to involve citizens in decision making is very formal. Most often it is based on requirements of legislation or good management. But in majority of cases the agenda is already established – citizens simply have to render answers on the options that are already decided in administrative offices. But in fact people have to be given chance to search and debate about their choices themselves. Because trust is never single-acting, it is reversible and mutual.

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# AESTHETICS AND ETHICS OF THE SUSTAINABLE ORGANIZATIONS

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## Abstract

The paper aims to analyse the strong links between the company and the local community. We live a very fragile condition at both micro level and at macro level. The most solid organizations (companies, foundations, non profit) feel the uncertainty that oppresses visionary leaps and crushes the passions of employees. At macro level, national governments and supranational organizations don't show the capacity to react and to project in an adequate way to the complexity of the problems. The two aspects are usually treated individually by separate disciplines. We argue that separating points of view don't improve the skills of analysis and diagnosis, nor the strategic and political intervention. To understand the union between company and local communities we analyse two Italian companies, known for their responsible actions: Olivetti and Luxottica. The first belongs to our past: 1950s. For Adriano Olivetti, the company is a community of people pursuing a common good through combinations of labour and capital. The ethics of the common good has been directly involved in the economic governance of the company. The second is a current example of innovative governance based on the human aspects of organizational life and on the quality of relationships among people. Luxottica has developed as a subject in itself with humanity, a human community in the full meaning of the term. Both examples show that the stress of the economic performance is combined synergistically with the development of the local community; in this ago-antagonist relationship the aesthetic dimension plays a non-additional role.

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**Keywords:** Ethics, corporate social responsibility, local community

## Introduction:

This paper embraces the institutional perspective of the company in Italian Business Economics, which sees the enterprise as an organization a third party different from the stakeholders (Freeman 1984). It corresponds to a set of theories that are well known to Italian business economists since they founded the cultural environment in which they grew up (Zappa, 1937 and 1957; Masini 1978). In its radical formulation, the firm is seen as a living subject, relatively autonomous from the stakeholders, although depending on them for their vast resources widely understood (Vicari, 1991). Based on the relationship between the organization and the local community we can interpret the firm as an open social or socio-technical system (Mella, 2003), inserted in a macrosystem, characterized by an environment (Gazzola, 2006). The company is designed as a permanent organization that operates in an ethical, social, political environment that conditions or favors long-term viability (Gazzola and Pellicelli, 2009) of which it is part and with which it interacts, not only through a system of physical, monetary, financial exchanges, but also through human flows and communication, which it produces knowledge, trust and reputation (Pralhad & Bettis, 1986; Harrison & St. John, 1998). These factors lead to a clear evolution of the concept of corporate social responsibility (CSR) (De Bettignies, 2002) through the transition from compliance with

the expectations of the stakeholders to action understood as responsible corporate behavior aimed at highlighting and consolidating the corporate social citizenship (Vaccari, 1998) and the "righteousness of an enterprise" (Keeley, 1988).

The CSR then defines a transparent business behavior based on ethical values (Crivelli, 2001) and on respect for employees, for the local community and the environment (Borzaghi, 2003). Especially the ethical aspects of fairness, accountability, transparency, and respect of fundamental rights have an important role because the social legitimacy of the business depends on them without which the enterprise can not survive and grow, but the entrepreneur can only achieve this by demonstrating publicly that it has considered, in its development programs, the compatibility with the shared values of the communities in which he operates.

From the understanding that there is a contrast between the economic foresight and social responsibility (Kotler, Lee 2005) comes the social citizenship of a firm which expresses a commitment to the creation of wealth in the communities where it operates. The corporate social citizenship depends on the relations that the company develops with its own political, social (Perrini, 2003) and territorial system and, in particular, on the ethical obligation to contribute and use tools and methodology precautions to avoid damaging the community of reference, with the observance of laws, the enhancement of social customs and local culture, involvement in the cultural and political life, protecting the environment with non-destructive systems for the management of natural resources, with efficient recycling systems and investing in projects to protect and improve the environment (Mucelli, 2000).

### **Complexity and separation of the problems**

The close ties between business, political, social and territorial system, today leads to a continuous process of increasing complexity (Le Moigne, 1987; Yates, 1987). The relationships between organizations (companies, foundations, non profit), national governments and supranational organizations have become increasingly intertwined, creating a strong interdependence and awareness to any small change. This climate of uncertainty on the one hand weakens the sense of belonging and commitment of employees and on the other shows inadequate understanding of the complexity of the problems. Both in private organizations and those in the public, prevail reductionist analysis of problems and answers which have already been tried/ carried out without success or have even made the problems worse. We see for example the massive injection of liquidity injected from 2008 to 2009 in the financial system, which has filled the banks of sovereign debt and now has to be repeated in larger doses to defuse the crisis of the same sovereign debt and its propagation to the World financial system. We see again at the micro level that many companies have reduced their investment in the development of knowledge and are facing the uncertainties and the market crisis uneven more fragile terms (Colombo, 2011).

We don't believe it is fair to give this upsurge of uncertainty and complexity to the financial markets or the perversion of the bankers as if they were an earthquake or another natural disaster insurmountable that has fallen on virtuous public and private actors in the real economy. There has been unjust behavior which has made the crisis even more serious, the latter together with this behavior is endogenous to the system and has a long history.

For almost three decades, prevails in the Western world, a simplistic analysis of the problems that has progressively marginalized any critical thinking. Faced with the complexity it is almost a conditioned reflex that we try to separate the issues, analyze them precisely, or choose a perspective, some which are a delimitation of the field. For example, we haven't treat the problems of companies together with those of local communities both are far too complex and therefore in need of definition. And instead in this conditioned reflex hides the danger of inadequate responses. The problems of the enterprises are not solved because we

do not confront those of local communities and they are aggravated by the crisis to which companies respond with inadequate means.

### **The firm - institute and balance between stakeholders**

The definition that Masini (1978) gives of the institute is: "An institute is presented as a complex of elements and factors, of energy and personal resources and materials. It is long lasting (sometimes incorrectly it is said to be "stable"). His persistence is of the dynamic species, for internal phenomena, and for those of external relationships with the environment. How complex is ordered (it rises, continues and extinguishes) according to their own laws also of various kinds (physical, sociological, economic, religious, etc.) and in multiform combination "(p.11).

The heart of the problem is in the amount of energy needed to raise and preserve the institute and, therefore, also the firm. More than a positive definition of organization and enterprise, it seems to be a program, not only scientific but also in a certain way, political. The research program has been welcomed by some students of the Master resulting in a contoured shape of economic business. The political agenda has been instead largely ignored. Both dimensions are worth reflection.

The energy necessary for all participants (stakeholders) to generate a new entity of higher order, the company – the institute, is in fact, a kind of big - bang organization. It's a miracle that happens every time a new firm, is founded, around the vision of the entrepreneur who founded it becomes something more than a "mere" nexus of contracts. The vitality of entrepreneurship was quite clear to the Austrian school (especially Schumpeter 1933), but was also viewed with concern by the 50s Italian business economists, who preferred to speak of widespread entrepreneurial function within the organization.

Even a consolidated firm needs a constant supply of energy to maintain internal cohesion among the internal actors and stakeholders. Vicari (1991, p. 98) presents the perspective of the living firm, right around the concept of negative entropy, i.e. of charging energy which contrasts the entropic degradation or, in other words, the aging of the organization.

The company, conceived as a cognitive system (autopoietic), is still subject to the second law of thermodynamics, the growth of entropy to a maximum value. It is measured as an index of energy not available in the system at a given time. The company cognitive system is a closed system, within their code, in its organizational culture, it is dependent on exclusive resources, skills and routines which become factors of rigidity. It is, therefore, exposed to the inevitable entropic decay. The Greater the amount of work done, the more mature the organization, becomes the greater the degradation is. One aspect of the "energetic" interpretation is nevertheless central to the setting of Vicari and also for the point of view expressed here.

"Some systems are able to reduce, cancel, and at least temporarily reverse the entropic degradation process internally." (...) "The self-organizing systems, in fact, and those living among them which stand out, are able to import the same or more energy from the outside than the one destroyed in the system. In absolute terms, however, there is destruction of energy available, but from the point of view of the system considered there is instead a reduction in entropy. (...) The social systems, the firm in particular, know how to escape the degradation process, at least for a certain period of time, precisely because, like other living systems, they are able to import an active negative entropy. Living systems are actually systems that, to use an expression effectively, can produce order, ie they feed negentropy "(pp. 98-99).

Undoubtedly, the import of energy from the outside requires skill, energy, and resources from various actors both internal and external, which in turn are catalyzed by a leadership that will bring the long-term vision to a practical and fascinating one. The theme was also developed by Coda (1988) in the strategic orientation.

All this is not enough, because in the strategic orientation of a firm there is an effective long-term focus. It is also necessary that the current leadership is capable of assuring the goal of long-term survival, so it becomes the motivator of daily behavior as well as operating effectively. The survival of long-term value is likely to remain ineffective if there is no clear direction, if it does not give off a certain charm – this will lead to not having the right impact and, finally, it will not have clear working implications in today's world."(p. 126-127).

The firm is an institute if it has a visionary leadership capable of mobilizing resources around the strategic plan. This in turn implies an understanding of the forces and the interests expressed by various stakeholders, in other words, political skills applied to the continuous research of the institutional balance are necessary also by means of proposed new structures and rules of governance (Airoldi, Brunetti, Coda, 1988). Such balance cannot be anything other than of a dynamic species in a continuous tension among the poles of interest, according to reports of type ago/antagonist (Morin 1977, 1980, 1986, 2001, 2004, Martinet 2001, 2008).

The definition of Masini (1978) can be understood as if the firm has always been an institute, it is instead, in our view, a regulatory statement. The firm should be an institute, there are conditions imposed for it to be an institute. Moving from a normative to a positive point of view, we must recognize that these conditions are observed only in relatively rare cases and for a defined time. For this it is proposed to consider the firm – still an institute today but as a research program. It's still important to understand how the degradation is triggered in an organization, how such degradation can be avoided temporarily, when a degraded organization is recoverable, when the costs of remediation are justified and from what points of view, and whether it is preferable to facilitate the dissolution of the nexus of contracts or, conversely, if at a certain level of exit barriers, there is an incentive for the strategic renewal.

It's also useful, however, to reflect on the political dimension of the definition of firm - institute. This dimension is somehow evoked by Masini that, in his remarks to chap. 10, he criticizes the settings of economic governance adopted by some countries, including Italy (at that time). Masini preferences seem to go to the Germanic model, which had not yet been defined, rhenish. As already suggested by Masini, understanding the patterns of corporate governance adopted by various countries, one cannot ignore the historical-legal study of corporate law and other regulatory institutions (agencies, etc.).

The limits of this essay (and authors) do not allow one to study the origins and evolution of legal and regulatory frameworks that shape governance systems. Such a study would of course be complementary and not substitutive of applied economic analysis to corporate governance. For example, the model Germanic (in Masini's time and also today) has the advantage of better representing the interests of some stakeholders (that other models ignore): workers and local communities. However it does not protect, appropriately the interests of minority shareholders (and even workers with atypical contracts). It is also characterized by high institutional rigidity and, above all, it does not ease the contestability of the control. Today, ideal governance structure does not seem to exist. The study of the roots of each model should also lead to the proposals of reform (sometimes radical).

The reforms have strengthened the position of the shareholders of large listed companies and they create incentives for the responsible exercise of the owner's functions. With reference to the same class of business, and the limitations of an analysis not sufficiently detailed, we briefly describe below the general principles of corporate governance necessary to strengthen the institutional dimension of the company.

First of all stakeholders and not shareholders, in particular the workers, should be represented in governing bodies and unions of economic governance. Workers contribute to economic results, sharing in parts the risks; this then founds the power of government devolved upon them, and the residual remuneration based on the results. Profit-sharing, alone



without these powers, is an error from the theoretical side, since the right and duty to govern the company is based on waiver to fixed remuneration by contract and, therefore, on the assumption that the rulers are the most interested in long-term success enterprise. The exercise, albeit indirect, of the prerogatives of government can enhance feelings of psychological properties. It is not evident that profit-sharing alone obtains the same result.

By contrast, the principle that those who participate in the government shares the risk and acting on residual results should be strengthened by greater flexibility in the labor market (both outbound and inbound). As a shareholder, the employee should also have the concrete choice between making themselves heard, through indirect forms of participation in government, and "leave", or disinvesting their time, their energy, their passion and their knowledge in an enterprise in which he no longer believes. Today in some countries the choice to abandon the enterprise is hampered by obvious gaps in social protection systems. Measures designed to enable freedom of work should be part of the governments,' agendas at least for the EU member states.

The strengthening of the antitrust laws and those of the competition authorities is as necessary as the reform of corporate governance. It 's quite clear that the institutional balance is not such if it is achieved at the expense of the customers. The economic history of our countries has often spoken of large companies, real institutions that have characterized the economy of entire regions for generations. But often these companies were operating in protected markets (natural or legal monopolies). The strengthening of the institutional dimension was indeed the result of enlightened leaders, but also of monopoly rents used to remunerate shareholders (often public) and employees. The company – institute cannot be the cause of allocative inefficiency, exacerbating anti-trust laws and strengthening the supervisory authorities should be avoided<sup>231</sup>.

In the same direction are the bankruptcy rules, the protection of creditors, should not prevent the recovery of the firm or, where this is possible, determine excessive exit barriers. In other words, the bankruptcy legislation should have the difficult aim to balance the protection of creditors, with the interests of other stakeholders in reorganizing the company while respecting the efficiency of markets in their allocative function.

We can therefore suppose that the multi-stakeholder approach is needed to understand the complexity with which the firm - organization coexists inside and in the relationships with other stakeholders. The other hypothesis based on the reflection undertaken here is that the approach the multi-stakeholder requires is a base of governance (structures and rules of economic governance of the company, but also the regulatory agencies of markets and competition).

### **From welfare theory the basis for the ethics of the territory**

To address the speech on the complexity, it is not enough to analyze the firm with a multi-stakeholder approach (Freeman and Velamuri 2008), but it is necessary to consider the ability of the company to remain in a state of equilibrium, responding to internal and external requests also determined by the macrosystem characterized by the environment in which the firm is located. Such balance should not be obtained at the expense of the interests of external weak stakeholders; as is the case, for example, of customers when the markets are not efficient enough. Focusing the attention on the analysis of the interests of the parties, leads us to consider the welfare theory as a complement to that of consumption.

Starting from the theory of the consumer firms and that of the welfare theory, we have the right conditions to introduce the concept of ethic of the territory.

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<sup>231</sup> Quite different is, for example, the case study of Olivetti Company at the time of Adriano. It was not only a great institution that has shaped from many points of view their territory, trying, despite many difficulties, to achieve a balance between the institutions, but also an innovative company operating in markets characterized by intense rivalry

Dissatisfaction for the established theory of profit gives rise to Zappa the welfare theory. He thought the theory of profit inadequate to fully explain the complex phenomenon of consumption.

The radical change in the basic premises allows a shift from traditional economy of profit to a new welfare economics. We analyze the two main aspects. First, the rejection of utilitarianism and individualism and the emergence of altruism and sociality, such essential human characters (Business to Consumer, p. 686 et seq.). Gino Zappa's work seems to have been influenced by OF Boucke, who in his work "A Critique of Economics" (1922) challenges the selfish view of the needs in favor of an altruistic vision. Secondly, the interests and needs of individuals working in the companies are not just mere economic and material needs, but also moral, social, political, religious etc. (Business to Consumer, p. 595). Of particular importance is the concept of common good, not reducible to a sum of special interests (Business to Consumer, p. 714).

Zappa starts from these assumptions to present a theory of consumption as a provision that takes as the objective function the pursuit of the overall and general well being and not the maximization of consumption of material goods, as they did, instead, in the theory of profit.

But how can this well being been achieved? Only by increasing the consumption of material goods or even by a containment of the needs? The thought of Zappa leaves no doubt: "... with respect to each individual it should recognize that welfare is not achieved through the increase of its wealth, but through prudent limitation of its needs" (Business to Consumer, p. 566).

The containment of strictly material needs can establish a mechanism to achieve a well-being of the same individual only in so far as it includes the spiritual, ethics and morality dimension in the model, of the individual himself. Only in this way, the individual can appreciate and understand the limitation of his own material needs in order to meet the needs of a higher order, which have to do with the spiritual dimension and the unselfishness of the person. This was not possible in the traditional theory of profit, where the increase of material goods is always an increase in individual utility.

To state briefly the theory of consumer and of business consumption, should be directed towards the pursuit of a broader well-being, including moral, social, intellectual, religious aspects and more precisely towards the broader morals, intellectual and social needs, it has opened the way for the containment of material needs as a way for the pursuit of that wealth.

Zappa in outlining his model does not separate the economic aspects from non-economic related to the individual sphere, it doesn't abstractly seeks to isolate them to make them applicable to the traditional categories of utility maximization and of the individual profit. Conversely performs the opposite operation: preserves the complex interplay between economic and noneconomic needs/ purposes, anticipating the need to build a new "welfare theory" where is the overall welfare of the individual to have the centrality of cognitive interest and where the economics aspects become instrumental to the pursuit of economic and particularly non-economic purposes.

The assessment of this broad perspective, including the ethical, moral and spiritual aspects of the individual, raises two important issues. The first theme concerns the need for a clear understanding of human needs, materials and non-materials. This knowledge is a prerequisite for any study on consumption. In fact, Zappa explicitly states the need to construct quantitative measures of needs, in order to give substance to the studies on this phenomenon and to make the theory useful in understanding the actual processes of consumption. Moreover, he underlines the difficulty of identifying such quantitative measures (Coda 2002). He then proceeds to least an ordinal classification and scale of individual needs according to the criterion of the intensity of need, of its extension and its duration, so as to give them a first systematization. (Business to Consumer, p. 574).

The second theme concerns the participation of individuals in the life of a variety of

companies. Zappa identifies this participation in most companies - and not only in the direct consumption of economic goods - a precise manner of satisfying the needs of individual membership. The results are complex plots and interrelationships between companies; of this phenomenon, according to Gino Zappa, it is necessary to consider the advancement of economics sciences (Business to Consumer, p. 700).

The second theme represents the introduction of the behavior of individuals as part of a wider local community that derives from the organicist vision of the reality of Zappa. In this vision the company, while acting as a function of creating value for shareholders, tends to align them in the long term period with those of other stakeholders, through conscious behavior and responsible management (Bhattacharya, Korschun, and Sen, 2011). The ability to manage the aspirations of different stakeholders plays an important role in ensuring the business economy.

The organization to survive requires a dynamic management system, able to adapt to continuous and sudden changes in the environment. On the basis of what has been said, arises the dependence between business and environment. This leads to a general focus on "land ethic" intended as an ethic of social responsibility towards the local community needed in a complex social system like the present.

### **Olivetti and ethics of the common good**

Olivetti brings us back to the fifties of the last century and to an experience of a happy marriage between enterprise and local community. The experience is that of Olivetti company of Adriano Olivetti, which is incomprehensible except in connection with the political-administrative movement of community. In that same experience we understand the link between aesthetic and ethical dimensions of organizational relations, both within the business and the local community.

We start with the company. Adriano Olivetti has always tried to encourage the formation of knowledge both individual and group. Olivetti for years has offered job opportunities for engineers and experts, forming different generations of electromechanical technicians, first, and then electronic. He set up professional schools to educate the workers hired without basic training, he provided the factories with libraries to encourage general reading among workers and employees.

The valorization of knowledge has played an important role in the creativity that has characterized Olivetti in the fifties and sixties. Product and process innovations of the electromechanical era and those of the subsequent electronic age are largely endogenous, fueled by the development of technical and managerial knowledge on which the firm has invested in a systematic and continuous way. The size of the corporate knowledge cannot be separated in Olivetti's firm from ethic and aesthetics, because they are interconnected.

For Adrian, the company is a community of people that pursue a common good through combinations of labor and capital. The ethics of the common good had genuine implications being involved in the economic governance of the firm, especially in industrial relations through employee participation, in investment choices and in activities related to the development of people. In this manner Adriano created collaborative relationships that facilitated collective learning and innovation processes. The aesthetic dimension has never been incidental, as according to Adrian a good product must also be attractive and a good production process must take place in attractive factories. The aesthetics of the organization is functional whether there is cooperative relationships, therefore the ethics of the common good, or whether there is creativity and innovation in the product and process

Also the local community had a vital role. According to Adriano the company is an actor of the community in which it operates and has a duty to promote in the community the ethics of the common good which is achieved through participation. In communities aesthetically

pleasing one can develop cooperative relationships easier, among families, local government and companies oriented to the common good.

### **Luxottica: the human aspect of the enterprise**

Luxottica characterizes the Italian reality of nowadays, with its welfare program, it is positioned as a pioneer in its commitment to social responsibility towards the reality in which, it operates, the environment and people.

The Social responsibility is the main lever with which Luxottica Group is committed to sustainable development of their business. It has shown a great interest in people and this interest has declined in a vast corporate welfare program, characterized by a strong attachment to the land and the desire for involvement of workers and union representatives.

Luxottica has created a new system of industrial relations that seeks the reinforcement of the productive system, the improvement of all workers actual wages and foresees the promotion of services in favour of the workers themselves.

Luxottica gives primary importance to the human aspects of organizational life, the quality of the relationships between people, the satisfaction of their needs and the fulfillment of their aspirations. The basic idea is that all these aspects affect the daily operation of the company performance and therefore on the market performance.

The company has focused primarily on "involvement" with the conviction that the organization has to make everyone feel part of it like belonging to a large family in which the contribution of the individual is precious for the good of all. All these concepts revolves around an idea which is the sense of identification, the will of commitment and personal adherence of the employees' to the activities and the objectives of the firm constitute, more so in the uncertainty of today's market scenario, ...vital resources for business competitiveness

In a more general perspective, this peculiar predisposition to care for their people is the fundamental aspect that allows us to characterize the conduct of the company in terms of sustainable action. The activities of Luxottica for the welfare of employees and their families are inserted fully into the framework.

On this front the efforts of the group are certainly important, as confirmed on the occasion of 50th anniversary, the allocation of bonus shares of the company to the employees of Italian factories in recognition of their contribution to business success.

Luxottica listened to the needs of its staff and distributed goods and services not only to the most deserving but to everyone in the company. The employees have fully understood the added value of this transaction. Agreements have been reached with the retail chains to purchase primary goods; with preventive diagnostic medical centers, dental care, pediatric and specialists; support for the means of transport; interventions for school education; scholarships and career guidance. All this was carried out by Luxottica in constant agreement and cooperation with trade unions and the territory.

The belief of the firm is that each one could help retrieve this value that had been lost, by paying attention to "how" one works meaning ones daily habit, respecting the rules that guide the process, the caring of the workplace and the tools that are used by everybody, an example that can be given to others. If all pursue this behavior it then becomes a habits and therefore it is possible to measure the recovery in value, monitor and activate the circle that creates value and convey it to the people. The project, therefore, can be self-financing with the resources that are saved by the reduction of waste. (Solomon 2011)

The concept of "quality" is joined to "welfare" with the desire to create a virtuous cycle: quality of life (if you feel part of a family, you work better and you are more stimulated), the quality of process (because process is made by the people), product quality, reducing of waste. At the base there is a strong emphasis on meritocracy and fairness to all employees. To give substance to the project there are four principles: work organization, prevention, communication and collegiality.

Consequently the invisible assets represented by the sense of belonging and loyalty of human resources should be appropriately encouraged, but that they are also able to create a virtuous link between employee involvement and a series of indicators related to the provision organization such as the reduction of absenteeism and the increase of the orientation to quality work.

### **Conclusion:**

The experience of Olivetti in Ivrea and elsewhere in Italy should not be idealized; even without taking notice of the ideological criticism of that time, it must be acknowledged that the company has failed the challenge of traumatic succession and that the communities like Olivetti have serious problems of dimension that can not be analyzed by engineering criteria as, partially, Adriano seemed to have wanted to do. How big can a community be so that relations of reciprocity prevail and the common good is strongly experienced? How does one avoid that these communities are closing in on themselves, forgetting that each island is basically always a peninsula? The answer is perhaps in the process, the logic of the process has to prevail on the logical target.

The Olivetti case allows us to consider that the aesthetics and ethics are inseparable dimensions of the organization and local communities. Both dimensions are functional to the creativity and the innovation and are essential to their diffusion in the organization and in local communities. Spreading creativity and innovation is perhaps the best way to cope with the complexity and uncertainty, receiving resources for sustainable development. The aesthetic dimension of organizations is not then a luxury we can only afford in times of prosperity because it encourages innovation; entrepreneurship and art which are passions that feed creativity and can be usefully conjugated to the welfare organizations and local communities. They also offer hope to the younger generations (and ability) to build for themselves and for others a future where one can live happily.

These aspects are even more pronounced in the Luxottica case where it is possible to highlight the human face of the organization, i.e. a company which, thanks to its dedication towards its employees, tends to develop an individual endowed with humanity, a human community in the full sense of the word, regardless of its size and its degree of articulation.

In this time of heavy economic uncertainty, Luxottica's experience shows that investing in people, it is possible to improve the quality of production, the welfare of employees and the territory community. This leads to improved organizational performance, to reduction of non-quality costs and makes the virtuous circle, by the recovery of resources to be used in a welfare program which improves the quality of the workers', life and that of their families. This commitment moves without doubt from the intention of management to managing some negative effects caused by the current economic and financial situation (3-4 days of layoffs in the Italian group), confirming that a crisis period could turn into an opportunity for innovation.

The involvement pursued and realized in Luxottica has the focus element in the practice of direct participation of staff and unions in the formulation and in the continued development of the model of corporate welfare. This "giving voice" and "seek contributions" makes possible the realization of "corporate citizenship".

Interventions for the benefit of stakeholders "collaborators" and the basic direction that inspires them give to the formula a sustainability (Elkington, 2004), which is working in Luxottica an essential simplicity, given that: a) it is not credible the attention to the sustainability issues facing the outside (eg, through philanthropy, the construction of social partnership, or the production of goods / services of collective meaning) but not open to the needs of internal stakeholders of the company, b) employees really are not only recipients, among others, of the initiatives of social responsibility but also the primary vehicle by which it is possible to create behavior of sustainability in the environment more or less immediate.

At the same time, without taking into account other areas where it presumably embodies the social orientation of the company, its commitment to the employees give a glimpse of some aspects of the inevitable complexity implied by a (trusted) path in corporate sustainability.

Today many companies are working on sustainable development, social responsibility, ethics, but, as evidenced in the research, we can trace the deep roots of this commitment in the development of the institutional theory (the Italian version, but perhaps also the German) from the 30s to the 50s of the twentieth century.

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# SOME ASPECTS OF A JOURNALIST'S PROFESSIONAL ETHICS – FOREIGN EXPERIENCE AND GEORGIAN REALITY

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## Abstract

Journalism is a synthetic profession. It comprises various functions and obligations. Meanwhile, it determines public opinion, intentions and desires. Journalism has the greatest levers for managing society. Consequently, journalists have special responsibility towards society. Namely this is the reason journalists should have thorough knowledge in the norms of professional ethics and have to follow them. Ethical norms make journalists' activities rather transparent and ensure reliance on them. These issues cause interest in our country as Georgia has been facing a lot of ethical dilemmas for the last years, such as: interference in an individual's personal life, candid camera, demonstrating violence, promoting drugs, alcohol, etc. The ethical problems existing in Georgian media are discussed on the example of BBC (British Broadcasting Corporation) as BBC was established as the Public Broadcaster. It gradually improved its broadcasting strategy as well as its own ethical regulations. Ethical criteria of BBC have become a kind of measure and key point for many public broadcasters of the world, Georgia is among them. Ethical norms help journalists to determine the border between publicity and private life, what is more significant – sensation or a simple fact, how to follow the ethics in such delicate situations. In such cases the main thing is society's interest. It does not imply hiding the truth or disguising it; just the contrary, only demonstrating the problem and following the ethical norms one can solve the existing problems and achieve progress.

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**Keywords:** Ethics, Journalist, Broadcasting, Society, Media

*“Two things amaze me: stars on the sky and the morality in me” – Immanuel Kant*

## Introduction:

Morality is the supporting point of an individual and cultural society. Society that does not follow moral principles cannot be cultural. That is why the maxima of the modern epoch is “If you want to be a person, you have to follow moral codes”.

Aristotle was the first who spoke about the significance of society's moral relations. In ancient times, ethics was perceived as the inseparable part of philosophy, but modern scholars consider it together with psychology and sociology.

The word “ethics” can be defined as the norms of as a kind behaviour among different parts of society. It can be considered as one of the forms of social awareness that sets certain rules to a person's consciousness; a person has to decide whether to fulfill or not these rules.

The moral field is so human that it comprises all directions of existence, action and activities. Ethical norms are urgent for journalists, politicians, teachers as well as for doctors. A person of any profession has to rely on ethical aspects. Professional ethics is a certain limit that should not be exceeded. The fundamentals of the rules of professional ethics are universal norms. Their aim is a person to defend human rights while performing his/her activities.



Taking into consideration these norms contributes to developing professions as well as society.

Nowadays, when media has a great impact on society, journalism cannot be considered without professional ethics. As it has already been stated, professional-ethical norms should be followed in any kind of activity, but they are of vital importance in journalism. If a journalist, a media organization or generally media do not comply with moral norms, it will definitely have impact on society and its development.

Journalist's professional ethics is based on certain rules of behaviour and prohibitions. It is noteworthy that it is an unwritten law and a professional him/herself has to decide whether to fulfill it. Consequently, an unethical act is not punished by justice; there is not juridical form of ethical norms that will regulate the mentioned problem. It is interesting what will happen if a journalist violated the unwritten law of ethics. The answer is simple – he/she will lose the trust of society and his/her colleagues.

It is not easy for a journalist and media to gain society's trust. World known media brands are proud that people trust them. For instance, CNN slogan sounds like this: "CNN International – We Are Trusted"; BBC priorities are as follows: "Our goal is to be the most creative and reliable broadcaster and programme producer organization in the world. We also aim at seeking for the ways to provide society with information, educational and entertainment programmes and satisfy their interest; encourage British talented and progressive people. We strive to be independent from establishments, defend justice and follow ethical standards". [2, 23].

The major ethical values of BBC are: impartiality, exactness, establishing relations between people and cultures, editorial independence, keeping secret, considering taste and moral standards as well as the diversity of audience, caring for children, fair attitude towards respondents, excluding commercial bargain and developing society's culture.

BBC was established as the Public Broadcaster. It gradually improved its broadcasting strategy as well as its own ethical regulations. Ethical criteria of BBC have become a kind of measure and key point for many public broadcasters of the world, Georgia is among them. Though, Georgian Public Broadcaster was and is being formed in different historical and political conditions. It is noteworthy that it was not easy to move from one platform what was called state television to another – Public Broadcaster. State television named I channel had bad reputation; people did not trust them anymore. Besides, other competitive channels appeared in the 90s of XX century. Majority of broadcasters recognize the rightness of the ethical regulations of BBC. Due to this fact, we can consider the ethical aspect of modern Georgian media on the example of BBC ethical regulations.

I would like to focus on several significant aspects: interference in an individual's personal life, candid camera, demonstrating violence, promoting drugs, alcohol, etc. Nowadays, many hidden camera records appear in Georgian media. These materials mainly concern people's private life. Their legality is dubious. Destruction of these materials is a permanent subject of discussion. According to BBC ethical legislation, the Public Broadcaster has to respect the confidentiality right of each person. Interference in a person's life is justified if its aim serves humanism. A person's behavior, private correspondence and conversations should not be discussed publicly if it is not an extraordinary case. A journalist should not cross those borders that condition protecting an individual's confidentiality rights and his/her fair treatment. Confidentiality right is more protected in one's private dwelling place than in public places as, besides exceptional cases, use of a candid camera is forbidden on one's own territory (home, hotel room, etc). The Broadcaster CBS follows the same regulations.

Candid camera should not be used for political and other purposes. It is allowed only in the following cases: to ascertain serious antisocial and criminal cases; to obtain those materials that are not available for everybody in such countries where the local law does not

follow the principles of democracy and freedom or cause serious obstacles to authors of programmes; to conduct social survey if this latter cannot be legally carried out (in such cases works the practice of hiding a person's identity); for entertainment purposes. When candid camera is a main part of entertainment, it is necessary an individual to give his/her consent.

When the author of BBC programme uses candid camera, it should preliminarily be allowed by the administration. In such a case, the corresponding department should monitor the process: how the existing norms were followed, who gave the permission about using candid camera, etc. Such monitoring process should take place in any case, notwithstanding the programme is broadcasted or not. The administration of the channel is responsible for monitoring what enables the company to watch and study the whole process of using this method.

BBC never makes record of telephone conversations for broadcast purposes if the company does not have the consent of at least one participant of the conversation.

Almost majority of Georgian televisions broadcasted illegally obtained materials that described people's private life; in most cases they were shot on private territories. No television considered the ethical norms and journalists did not follow their moral responsibilities. When BBC is offered candid camera materials, BBC administration finds out how expedient the material is and decided whether to broadcast it or not.

Broadcasting of programmes demonstrating mournful and stressed people requires special attention (e.g. hospitals, funerals, etc). This can be done only in case of consent of these people. Broadcasting of the material concerning the small child's secret murder is noteworthy. The journalists were asking stressed people to estimate the hardest situation. It is obvious that broadcasting of comments of such mournful witnesses was not ethical.

Today, the ethical side of the well-known material depicting the prison violence broadcasted by almost every channel arouses a lot of questions. While demonstrating such material the following should be considered: whether the fact of violence corresponds to the content of the programme; how the violence episodes will influence audience watching them for the first time; what effect such programme will have if it is broadcasted several times. Material should be balanced; audience should have a desire to see and find out the truth. It is considered that the more horrified material is and the more shocked the audience is the more credible is the fact. A certain part of such material can comprise not only violence acts, but also materials depicting their results.

While broadcasting the prison materials, the ethical norms were violated; violators' faces were shown; they were identified; airtime was not kept; the material was broadcasted several times a day.

When using archive materials, authors of programmes should not often use stereotypes. Scenes demonstrating the acts of the hardest violation can provoke disgust of the audience and have bad influence on teenagers.

Unfortunately, there are some cases in society that should necessarily be publicized, that require society's reaction, that should be revealed. It is obvious that public should be aware of such cases but media should try its best to follow the main postulate of professional ethics – "do not make harm". Every person has the right to know the truth notwithstanding its content. It is evident that negative information has negative impact on each individual or the whole society. Stream of negative news can cause even mass depression. In order to avoid society's negative emotions media can preliminarily warn public about the expected results and thus get rid of unexpectedness effect. Society has to know the real exiting situation; otherwise the problem can become more acute and have sorrowful results. The airtime of the material is very important for society. Broadcasting of the scenes depicting violence, sex and misfortune as well as of indecent words and phrases depends not only on editing and content factors, but also on the airtime. Special attention should be paid to broadcasting the material demonstrating violence until 9 p.m. Though it should not be forgotten that today everybody

can reverse any TV programme and watch it any time. Thus, each programme becomes available for teenagers and even for children.

**Conclusion:**

In developed countries, media, society and establishment agree that compliance with the ethical norms serves to their development and promotion. In Georgia, certain steps are made in this direction. Compliance with the ethical norms does not imply restricting media activities. Namely deficiency of certain norms deprives media of free will and this latter often becomes a simple tool.

More freedom always implies more responsibility. A journalist's profession is contradictory itself. On the one hand it is oriented to special news, in exceptional case – to sensation; on the other hand it is based on trust as without trust of society and establishment a journalist's activity becomes unimportant.

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# VOICE, SUPEREGO AND VIOLENCE

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## Abstract

The ideology is constructed with a social discourse interweaved with the *unconscious desire* of the parents to the child, registered through *signifiers*. The plot that organizes all these modes of transmission and the way to incorporate and subjectivize them is the voice. The voices of the parents take place in the *superego*. The *superego* is a foundation for subsequent voices of authority, whether educational or political. The voices of the *superego* are fierce and imperative and does not admit doubt. From this basis we are going to do a critical reading to the governmental dispositive to attend intra-family violence in Mexico.

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**Keywords:** Superego, Voice, Unconscious, Subjectivization

## Introduction

Marx, in his *Preface to A Contribution to The Critique of Political Economy*, formulated one of his principal aphorisms and the foundation of a materialist psychology: "It is not the consciousness of the man that determines their being social, but their social being that determines consciousness"(1978:518) (1859).

The analytic practice confirms this Marxist postulate. Although they have had reciprocal influences, the differences between Psychology and Psychoanalysis are well known. The object of study of Psychoanalysis is the *unconscious*. Departing from the Marxist aphorism and adding this *unconscious* dimension, the same phrase could be restated as: "it is not the *unconscious* part of humans which determines their social being, but it is rather their social being that determines the *unconscious*."

Freud demonstrated that consciousness is a mere surface where thoughts and associations appear, but having an evanescent character. Lacan considers *the unconscious* as the condition for the social and the speaker being (*parlêtre*) (1973). "The *unconscious* is that part of concrete discourse qua transindividual, which is not at the *subject's* disposal in reestablishing the continuity of his conscious discourse." (Lacan, 2006: 214).

Language is emphasized by Lacan's notion of the social being (1989). Without language, the subject would not be a *subject of desire*. The *unconscious* derives from our being speakers. The discourse generates the social link and is the archive of the social experience. Because the child has a place in the discourse, it has later access to the word, although a *beance* is necessary. The complex subjective operations linked to castration are here intertwined with the power relations of the linguistic market to create dominance and *symbolic violence*.

Special emphasis will be placed on the way the superego is constructed, because it is the instance that internalizes the voice of interdiction and authority, and because this instance has close relations with the *ego* ideal, that is linked as well to the social ideal, as suggested by Freud.

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### The “social being” according to Marxism

Both the way of being and the social context that produces and nourishes it are designed by the social being, although the economic means of production are in fact in charge of creating the people’s way of being and acting, and not vice versa. When Marx proposed that aphorism, the notion of conscience was neither psychological nor neurological, but ideological, related to the *ego* of the *subject*, as an instance of the unknown (Lacan, 1981:368).

The dominant ideology is thus created by the owners of the means of production and imposed upon the rest of society. Ideology is in charge of creating, sustaining, and reproducing that same order.

This ideology is transmitted not only by discourse but also by subtle operations that escape the word, and as a consequence, the conscience. This was pointed out by Bourdieu when referring to the construction of *habitus*, which is transmitted avoiding language and conscience.

### Subjectivation in Lacan and Freud

For Psychoanalysis, the social being is the result of subjectivation, which does not exist at birth, but is produced throughout life during key periods, like the first childhood and the adolescence. Freud defines *superego* as the instance of the psychic apparatus that interweaves the voices of parents, tradition, and culture. This *superego* is as well closely linked to the *id*, which is in turn a precipitation of transgenerational experiences. Ideology is then constructed with the social discourse that is intertwined with the *unconscious desire* of the parents for their child, recorded through the *signifier*, according to Lacan’s teachings.

There are two ways of subjectivation explained by Psychoanalysis: one is the produced by culture through family and education, the social order mediated by the transindividual discourse (either orally or in acts). The other one is produced by Psychoanalysis in the analytic act, which consists in the subjectivation of the *lack*. I turn firstly to the first form of subjectivation: At birth, the *subject* is inserted within a culture with political determinations of the social order that will be imprinted in its body, acquiring a place assigned by tradition and a name according to gender.

The habits of the *subject* will be modeled regarding its social class, organizing a map of the social world, and of its condition, as well as of the condition of the others’; the infant will pick the thread that defines its style, the ethics and aesthetics of its being, its way of dressing and its habitat. In its constitution, the body collects the social, political, and cultural orders, and the real unconscious of each *subject*.

The infant will belong to a family, or an institution in the case of orphanage, no matter its structure and dynamics. It will become a speaker of the language provided by the mother, but this fate will develop mostly in an unconscious way. The infant, in its prematurity and weakness, will be submitted to depend on the adults, that will help, and at its best, love and recognize it in filiation.

Freud acknowledge both the way in which culture was mediated by parents and educators in the first childhood, as well as the way in which voices that are constitutive of the intergenerational transmission were collected in the *id*.

The notion of the *id* proposed to Freud by Groddeck (Freud, 2008a, XIX: 25) is discursive; it is the thoughts that stalk the *subject* and cannot stop; they either impose when the *ego* tries to forget them, or they are back deformed.

The *id* governs the *ego* like a horse governs the rider, or more precisely like a serf: (Freud, 2008a, XIX: 27). The threads of the *id* are collected fragmentarily in the enunciations of the others and in the way the family myth is conveyed.

## Culture and the *superego*

These threads updated by the voice that parents direct to children, creates uncoordinated and heterogeneous tendencies. It is the voice that incorporates and subjectivates them, in an absolutely singular way. The *superego's* complex nature, due to the relations it has with the *id* and the *ego*, is the instance that collects these voices.

In the Greek tragedy, for example, the voice was extremely important. The voice of the actor gave the text atimeless haste and anupdated drama. That is, the voice updates the forebears' desires. There we have the *Other*, in the sense of Lacan.

The *superego* is an instance that subjectivates a basic law of social order since it results from identification with the father, who is the cultural carrier of the law of interdiction of incest. It is based on a first organizing identification, subsequent to the rest. (Freud, 2008a, XIX: 49).

It is the unsatisfied demand that precipitates the infant to the first identification, commanded by a first *signifier* that will be completed in three moments (Lacan, session 22-I-58).

The *superego* is an instance that settles the parental voices heard by the *subject* on its early childhood. The voice will be the *signifier's* vehicle that will support the step to the word. (Lacan, session 23-IV-58).

Because of that, the *superego* is asurrogate of the *id*, the voice that transforms a speech fragment into *pulsion*, the voice that cuts the pulsional reservoir and translates it into a mandate, often tyrannical, towards the *subject* and towards the others. The *superego* is the representative of the parental instance that keeps in record the otherness of "you".

The voices of the parents are often made of requests and misunderstood phrases; although these voices are not always directed exclusively to the child, it will eventually grasp them. Upon the foundation of these parental voices, the voices of educators and politicians will also hook.

The voice is not only the vehicle of the word, of the enunciative act, but also the support of the registration of the *real*; it carries the enigma transmitted in the beat, the volume, the pitch, and the tune that do not carry out explicit meaning, but have the possibility of transmitting ambiguity for the things that are not said between voice and silence. The voice has the possibility of conveying the slip; the enunciation always says more than what the *ego* wants to say.

The voice is the place "that sediments" affection, and that produces in turn affection in the body of the infant; affection is just a thread of the unspeakable phallic enjoyment (*jouissance*)(Lacan, 11-06-1974) and the misunderstandings of why the parents gave this child to themselves.

The voices of greater significance for the child are those it retained because they were not understood but they acquired signification later, interweaving with representations of things that were seen, mixing what was heard with what was seen. In this way, it is in fantasy that the past of the parents and the forebears combines (Freud, 1986, I: 289) with that seen for oneself.

The voice of the *Other*, once its sonority is lost, enables the *invoking pulsion* in the infant, first held for its crying in the way of a call, and then by *lalangue* (Lacan, 4-XI-1971): This notion differs from the psychological theorization of "baby talk," because it involves all the operations that will later bear the speaking being (*parlêtre*) thanks to the phallic function. This deployment occurs at the time of the *child's transitivity* studied by Bühler (1935).

*Pulsions* do not preexist in the *id*, as suggested by Freud when he affirmed that there was a *pulsional reservoir* or an instance of *pulsional motions* (2008b, XIX: 156). *Pulsions* are already a cut and a selection of the sayings of the *id* that have been embodied, and participate of the unconscious *ego* in that way. Before the *pulsion* is weaved with the child's

body, it is not yet *pulsion*. It is just a saying with potential effects on the possibility of binding or not, to the body of the infant.

Considering, like Lacan, that *pulsion* makes loop contours around the *a object*, this object will not exist prior to the subjective *Spaltung*. The *pulsion* is the echo in the body that has a saying. (Lacan, 18-XI-1975). Not everything heard echoes in the body.

The parents' watchful eye is internalized in the *superego's* watchful eye; it haunts the *subject*, guides its behavior, and stalks it with feelings of guilt that tyrannize the neurotic at the least transgression, or even at its thoughts. Freud pointed out that the enigma of this *superego's* sadistic cruelty was not well elucidated.

Freud raised the point that hatred is older than love (1976, XIV: 133). Because of its precocity, the *superego* is the foundation that collects the hatred of dissatisfactions, that lead to the first identification; this way hatred towards the frustrating object, initially rejected, turns against itself by way of identification.

Hence, the *superego* gives place to violence in the *subject*, violence that in an act of desperation is commanded by a poorly subjectivized *lack*, and by a not assumed incompleteness. The *superego* possesses knowledge about the *subject*; when speaking from the position of the *superego*, the *subject* stalks others. It becomes a master that "knows," telling others what it thinks they must do; it is dominated and seeks to dominate others as well.

For Lacan, such first identification is possible due to a first *signifier*, cornerstone of the subjective foundation. It is the master *signifier*, the *one* of pure difference; but because of its early inscription, it does not fall from its position of *signifier*, as easily as others (Rodulfo, 1996:61).

It is not enough to enunciate it to become signification; it resists entering chain. That quality gives a compulsive, uncontrollable and destructive character towards the *subject* itself. The *superego* contains the voice of otherness, the "you must..." the imperative, impossible to defer.

The *superego* is also inhabited by ideology interweaved with the *subject's* fantasy about what is expected of itself, to the extent that the voices of the parents are half encrypting imperatives of what they expect from their son. The son is asked that which restores the parents' narcissism and is affected by culture, the precise historical moments they live, and the social class that they belong to.

Through the *superego*, the subject endorses many plans unconsciously adopted like someone does when hypnotized. It is an internalized master whose consequences are huge for the political order.

Both in the hysterics' hypnosis and in the mass "hypnosis" that happened when following a leader like Hitler, there is a voice mediating in what it is said and how it is said. It is the master's voice that picks from the other(s) the resource of its power, in a situation of helplessness or fragility.

The internalization of authority is a great cultural achievement. Moral conscience is no longer a foreign coercion that acts from within the *subject*. A new stage is then reached. (Freud, 1976, XXI:121).

### **The subjectivation produced by the analytic act**

Through analysis, the *subject* produces a critical turn on its subjectivation. It is the analytic listening that enables the *subject* to listen to those voices and to make "those choices" adopted passively. But it suffers for not making them conscious. The analytic act points to the subjectivation of the *lack* in a symbolic sense; it is the idea proposed by Allouch about "the clinical is grief" (1995:373), the duel for the phallus that will result in the subjectivation of the *lack*. Once the *lack* is subjectivized, the master stops being such.

### Critique of the notion of violence

The *superego* is paradoxically the place that reflects the social law, but it is also the place of violence since it does not question the certainties that emanate from this instance. It has internalized the social coercion, as well as the first child's hatred towards the object, that does not satisfy its demands.

Violence is a desperate resource used to submit the other. Violence is too the background of every social organization. It is against violence that society creates norms and rules for social interaction, since it permanently threatens with destroying every link. As an heir of ancient thinkers like Hobbes or Rousseau, Freud proposed that *superego* is a cultural achievement, since it operates like an internal *pulsions'* control, for the sake of keeping the social group's integrity. (Freud, 1976, XXI: 94).

Violence lies within the *subject*, and it does not need many conditions to be triggered (Lacan, 1989: 360). The word is the possibility of the covenant, a liberating possibility that stops or keeps away violence. When distress, anguish, or suffering is lasting, the *superego* positions get stronger, and the dialogs with the others cease.

And the words, far from facilitating the covenant during the conflicts, turn into stones or darts, and the necessity for a divine master to solve them, gets imperious.

The strategy for the social attention to domestic violence in numerous state programs in Mexico is unfortunately reduced to its legal dimension. In criminal situations, the legal system assigns two places: victim and victimizer. Using this for family issues represents an advance, especially when transgression is present.

Although this is not enough if other social disciplines do not participate, operating pre-established programs but also making a profound criticism of the logic and the "theory" (read ideology) behind them, because this logic evades the origin of violence. State liability is thus completely avoided. This Manichean logic that misunderstands gender conceptions is favored by the state: Evil is set on the side of men as perpetrators, and Good on the side of women, as victims.

This logic perpetuates violence, does not resolve it since who suffers violence also exerts it on others. The violence that plagues many couples comes not only from them, but it is also from the social, economic and political situation.

It is not a problem located in a body or on a genre. Violence is relational and is fed or not from each of the conflicting parties, but it is generated beyond the limits of the couple. The legalist strategy freezes *subjects* in dispute and not held responsible to one side.

Who is put as a victim does not have to ask anything, does not question why one is part of that relationship and how one feeds the conflict. On the other hand, one only expects that the legal and psychological devices relate their suffering condition. The so called "offender" will also be the scape goat of the state.

Violence underlies in each human being, no matter their gender or age, and their responsibility grows according to age and social role. The continuation of the struggle from civil society organizations to achieve the full realization of human rights of men and women is indispensable.

The invitation is to deconstruct the mentioned Manichean dispositive that perpetuates violence instead of combatting it. This dispositive prevents professionals that provide care to read what is at stake in those demands and to take a certain position to face them. We must be aware that these do not generate *symbolic violence* in turn.

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# BRIDGING THE GAP BETWEEN THE TOURISM INDUSTRY AND TERTIARY INSTITUTIONS OFFERING TOURISM IN GHANA: A CASE STUDY OF CAPE COAST

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## Abstract

Ghana, as a country, has been trying to promote tourism with the aim of achieving rapid socio-economic development objectives, including employment creation, improvements in standard of living, diversification of economies and making the industry one of the main foreign exchange earners for the country. One way of realising these, is to ascertain the benefits that tertiary institutions and tourism establishments derive from the tourist activities and the challenges that they face. This paper, therefore, aims at finding out the level of collaboration between the tourism industry and educational institutions offering tourism and hospitality management, the benefits that they derive and the challenges they face in trying to collaborate with one another and recommendations for improving the level of collaboration. Data for the study were collected using an interview guide from five Lecturers and 20 management and staff from hotels, restaurants, tour operations and attractions. The study employs the qualitative method of analysis. The results of the study show that the educational institutions and the tourism industry both derived some benefits from some sort of collaboration. However, they were faced with challenges such as inadequate practical knowledge of graduates from the academic institutions, lack of regular and in-depth communication between the industry and the academic institutions. This paper recommends a partnerships approach aimed at surmounting the challenges and fostering closer collaboration.

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**Keywords:** Tourism, Benefits, Challenges, Collaboration, Ghana

## Introduction/Literature Review

Tourism is one of the oldest industries in the world. As far back as 3,000 B.C., some of the elite in Mesopotamia, who had discretionary income, travelled to foreign destinations for leisure. In ancient Egypt, Greece, and Rome, some elite also did the same thing. Wealthy Romans, for example, travelled to the sites of older civilizations such as the Egyptian and Greek civilizations as early as 200 B.C. In the Middle Ages, religious tourism started to grow. However, it was not until the nineteenth century that cultural and recreational tourism became within reach of a larger number of people, particularly in Europe ((Makhlouf, 2012: 233). As Weaver and Lawton (2002 cited in (Makhlouf, 2012)) noted, Thomas Cook, who was a British Baptist Priest, who turned into a pioneer in international tourism, began a series of Bible camps and other religious excursions in the 1840s. In the 1860s, he shifted his attention to broad-based excursions. His first international excursion was to the Swiss Alps in 1863. This was followed by an around-the-world excursion in 1872. These “Cook excursions [marked] the beginning of international tourism...although such trips were... still the prerogative of the wealthy” (Weaver and Lawton, 2002, p. 66).

At present, international tourism occupies fourth place among the world’s leading industries, the other three being energy, chemicals, and automotives (Honey and Golpin, 2009, p. 2 cited in Makhlouf, 2012)). In 2010, the number of international tourists reached

about 940 million, compared to a mere 25 million in 1950. The annual revenue from this industry has also been growing at an annual rate ranging from 4 to 7 percent, and reaching \$919 billion in 2010, according to the UN World Tourism Organization (WTO). As the number of tourists and the revenues from international tourism grew, the number of favoured destination countries had also increased, with the developing and emergent economies attracting increasingly larger numbers of tourists. As Honey and Golpin (2009 cited in Makhlouf, 2012) pointed out, “in 1950, just 15 destinations – primarily European – accounted for 98 percent of all international arrivals. By 2007 that figure had fallen to 57 percent... The developing world has now become ... major growth area. Tourism (has become) a key foreign exchange earner for 83 percent of developing countries and the leading export earner for one-third of the world’s poorest countries” (p. 2), including Ghana. In Ghana, it has, since the late 1980s, received considerable attention in the country’s economic development strategy (Teye, 1998). The government, in a bid to show its commitment to tourism development, established a Ministry of Tourism in 1993 (Teye, 1998). Over the years, tourism has moved from the sidelines to the centre-stage of development policy in Ghana. From an insignificant entry subsumed under ‘miscellaneous items’ in the national accounts, tourism had by 2007 emerged as a significant sector contributing 6.3% of gross domestic product. By that same year, Ghana had emerged as the third leading destination for international tourism in the West African sub-region (World Tourism Organization, 2008 cited in Akyeampong, 2009: 1). It comes after minerals, cocoa and foreign remittances as the fourth leading foreign exchange earner (Akyeampong, 2009: 1).

Despite this trend, international tourism, as an industry, is far below its potential in many developing countries in terms of the dollars earned. Hence, there is room for growth with more investment in the infrastructure and tourism-related businesses and more ambitious tourism management and marketing strategies. Referring to the importance of the strategic leadership role of destination country governments, Honey and Golpin (2009 cited in Makhlouf, 2012) noted that “tourism cannot grow into a thriving sector... without constructive leadership from the national government. Too many countries fail to reap the rewards of tourism because of poor planning, poorly thought out strategies, and fragmented policies” (p.9).

Dodds and Butler (2009 cited in Dodds, 2012, p. 55), referencing multiple authors believe that sustainable tourism is the responsibility of all stakeholders and if so, there is a need to understand stakeholder roles and their role in sustainable tourism practices. Stakeholders are defined as any individual or group who can affect the firm’s performance or who is affected by the achievement of the organization’s objectives (Freeman, 1984 cited in Dodds, 2012: 55). In a tourism context, Sautter and Leisen (1999 cited in Dodds, 2012: 55) and Bansal and Roth (2000 cited in Dodds, 2012: 55) outline that stakeholders consist of residents, management, government, activist groups/NGOs, employees, tourists and industry associations. Stakeholder management can be a useful way of organising, as it can respond to the concerns of stakeholders because those stakeholders can ultimately affect the plans and activities of the firm (Husted, 1989 cited in Dodds, 2012, p. 55). The organisational setting of a firm can be similar to that of a destination as destinations are also bunches of resources just like companies (Ryan, 2002 cited in Dodds, 2012, p. 55). For the long-term viable management of a destination, it is important to understand the views of stakeholders as they can motivate or impede sustainability in organizations (competitive advantage, regulatory compliance, economic considerations, etc.) (Graci & Dodds, 2008; Bansal & Roth, 2000; Carroll, 2000; Lantos, 2001 cited in Dodds, 2012, p. 55).

Some destination studies have identified motives and barriers to sustainability. These include economic considerations, political power and salience, lack of or inadequate coordination among stakeholders, lack of or inadequate accountability of all stakeholders, lack

of will and integration among government bodies (Ioannides, 2001; Dodds, 2007a; 2007b cited in Dodds, 2012, p. 55).

If there is lack of or inadequate co-ordination among stakeholders, for example, for our purpose in this paper between tourism managers or employers and academics, attaining sustainable tourism development becomes a nightmare. According to Solnet, Robinson & Cooper (2007), tourism and hospitality management are applied fields that call for close links between the tourism industry and academics, curriculum development experts and students, but strategies for industry engagement in many education institutions are often haphazard and lack focus, commitment and resources. Well-established fora, at which academic and practical-based debates and discussions between educators and other concerned parties are held, are not encouraged (Mayaka & Akama, 2007). Executives working in the hospitality industry have not developed programmes that help tourism students move ahead in an orderly manner (Berger, 2008). Whenever job opportunities in other sectors are scarce, many graduates run to the tourism industry and seek refuge there. For them, the industry becomes a first step or temporary occupation. Many tourism employers do not recognise the importance of education; they have a complete lack of appreciation of tourism education and underlying theories, framework and concepts that should guide tourism as a major social and economic global phenomenon (Zagonari, 2009). According to Dale & Robinson (2001 cited in Cervera-Talet & Ruiz-Molina, 2008, p.61), some of them “often recruit non-tourism graduates (for example, graduates in business studies) who are able to demonstrate the generic skills required for a vocation in tourism“. Such employers might have to equip the newly-employed staff with specialist skills that they might not have acquired during their previous training (Cervera-Talet et al., 2008, p. 61). However, there are some employers, who are only interested in having cheap labour (Mustafa, 2012) and therefore are not interested in generic skills that the graduates might have acquired. Such steps are not in line with the aspirations of the training institutions, whose aim is to give students structured training. In view of the differing interests, training institutions and the tourism industry do not have a strategic direction (Solnet et al., 2007).

Goodenough and Page (1993) point out the need to forge a closer link between the tourism industry and the training institutions. Through such a partnership, the industry and the educational institutions would develop and meet the training requirements of course participants.

The main objective of this study is to explore the extent, to which tertiary institutions offering courses in tourism and hospitality management in the Cape Coast Metropolis collaborate with institutions such as hotels, restaurants, tour operations as well as ticketing and travel agencies that operate within the tourism sector.

Specifically the study seeks to:

- (i) explore the level of collaboration between tourism establishments and hospitality management training institutions/departments in the Cape Coast Metropolis
- (ii) identify benefits that are derived through such collaboration
- (iii) assess constraints or challenges faced through such collaboration
- (iv) use the results of the study to make recommendations to help boost tourism in the Cape Coast Metropolis in particular and in Ghana in general.

The research will provide information, which will be useful to all stakeholders, including the government, educational institutions offering tourism, hotels, restaurants, tour operating agencies, ticketing and travel agencies, municipal and district assemblies, etc. that deal with tourism

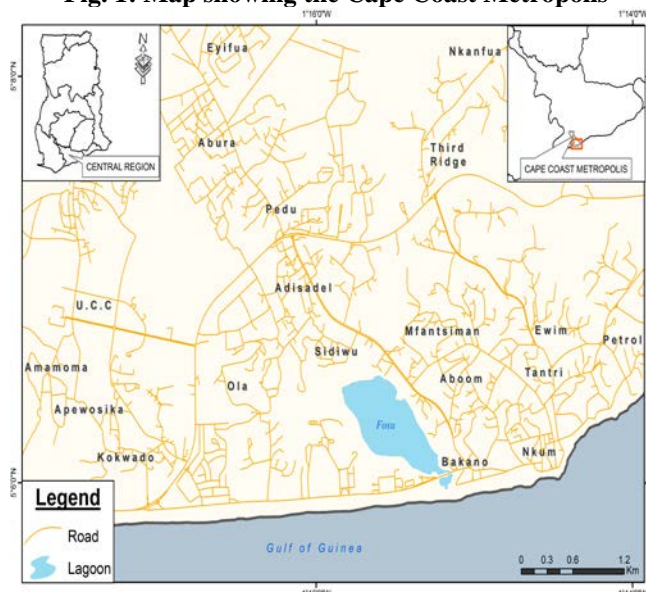
Again, the outcome of the study will provide people with the needed knowledge and understanding of the collaborative efforts that need to be scaled up to boost the tourism industry in Ghana.

This paper has been organized into five sections: Introduction/literature review, study area, data and methods, results, and discussion and conclusion.

### The study area

The study area is the Cape Coast Municipality, which is the administrative capital of the Central Region. It is a historic and political geographical area in the Central Region. It has served as an entry point for the Europeans in the 15<sup>th</sup> century and later served as a port, military post and a receptacle to slaves from the interior during the Trans-Atlantic Slave Trade. During the Gold Coast era, it also served as the first national capital of Ghana and seat of government until 1877, when it lost that status to Accra, the present national capital and seat of government. Cape Coast town is both the administrative and most viable commercial centre in the region with a population of about 169,894 of which 82,810 are males and 87,084 females (Ghana Statistical Service Report 2010). Apart from these functions, it also hosts a number of hotels, guest houses, attractions and restaurants. As at 2012, there were 158 hotels/lodges/guest houses in the Central Region, out of which Cape Coast had 40. There were 15 restaurants. Ten (10) of these were in Cape Coast. Attractions that were in Cape Coast as at the period include the Cape Coast Castle, the Military Cemetery, the London Bridge, the Kotokuraba Market, Emintsimadze Palace, Fort Victoria, Fort William, Merchant Houses and the Posuban Shrine. Two very important attractions – The National Kakum Park and the Elmina Castle – are not far from the Metropolis. Thus, many tourists visiting Cape Coast visit these attractions.

**Fig. 1: Map showing the Cape Coast Metropolis**



Source: Geographic Information Systems and Cartographic Unit, Department of Geography and Tourism, University of Cape Coast

### Data and methods

The research uses descriptive analysis to show the level of collaboration between tertiary institutions and the tourism industry. The research was conducted using qualitative research methodology. This was used to help the researcher seek the views of employers and employees in the tourism industry as well as those of staff in training institutions regarding the level of collaboration between them and the benefits they derive from such collaboration as well as the challenges they face. As qualitative research, respondents were offered the opportunity to respond to questions more elaborately. It also provided information about the human side of the phenomenon under study.

Five (5) Lecturers and 20 management and staff from the tourism industry were selected largely by non-probability sampling techniques. Non-probability sampling has been

explained by Singleton, Strait, Strait & McAllister (1988) to mean the processes of selection other than random selection. It involves the use of convenience sampling, purposive sampling, quota sampling and snowball sampling. Despite the problems of investigator's bias in the selection of units and the inability to calculate sampling error or its precision, non-probability sampling has been more appropriate in many instances, especially when the researcher wants to be more informed about the problem itself (Singleton *et al.*, 1988).

Respondents were selected on the basis of their role in the tourism industry of the area. Purposive sampling procedure was used to select lecturers in tourism, the staff of attractions, the staff of hotels and the staff of tour operating agencies. According to Kumekepor (2002), purposive sampling has to do with the deliberate picking of respondents who satisfy some qualities for a given research. These respondents may not be obtained through a random sampling procedure due to the fact that the specific characteristics required of the respondents may not be randomly distributed in the universe.

The study was carried out in two stages. The first stage involved a collection of secondary information from existing literature. This was to help the researcher to review the works various researchers have done on the topic and the study area. This has the effect of avoiding repetition, refining the problem and directing the focus of the work (Schaefer, 2006). The second stage of the study took the form of field work, which was to collect primary data from tertiary institutions that teach tourism and hospitality management and from management and staff operating in the tourism industry by interviewing them and soliciting their views regarding the benefits of their collaboration and challenges facing them.

The researcher conducted the study using an interview guide which he had prepared in advance. The questions on the interview guide reflected the objectives of the study. The reliability of the interview guide was ascertained through a pre-test with lecturers and staff operating in the tourism industry. Having done away with every ambiguity, a Senior Research Assistant in the Department of Sociology and Anthropology of the University of Cape Coast conducted the interviews. He took notes and tape-recorded what respondents stated during the interviews. The data that were taped recorded were first transcribed. This was done by listening to the audio tapes and writing down the responses verbatim. The transcripts and prepared notes of the fieldwork provided a large volume of information, which still had to be processed before analysis could be done. Manual sorting was carried out. This included reading of the notes and transcripts several times, identifying and writing down major points, and themes emerging from each question from the interviews. This was to put the information into easily identifiable categories that would make it simple for analysis. Very interesting quotes were written down into a response sheet and later used in the text of the analysis to support the arguments made.

The analysis of the data was done after the sorting. Bodgan & Biklen (1982, p. 145) have argued that analysis in qualitative data involves working with data, organising them, breaking them into manageable units, synthesizing them, searching for patterns, discovering what is important and what is to be learned and deciding what to tell others. Patton (1990) intimates that qualitative analysis involves inductive analysis. This means that critical themes emerge out of the data. The challenge of this analysis was to place raw data into logical meaningful categories, to examine them holistically; and to find a way to communicate this interpretation to the readers. After the analysis, the next stage was to make sense out of the sorted data, provide interpretation for the emerging trends and features of the data, and compare them with the literature.

### **Problem encountered during the study**

The researcher could not interview some people, who were purposively selected, because they did not want to make themselves available for the interview.

## Results

### Benefits derived by tertiary institutions and the tourism sector

In discussing the benefits that the tertiary institutions and the tourism sector derived from each other, the respondents from both sectors stated that they benefited through the attachment of students. Those from the tertiary institutions stated that they benefited by sending their students on attachment, while the ones from the tourism sector mentioned that they benefited by receiving students, who provided some services.

A 34-year-old male Lecturer at a tertiary institution had this to say:

*The tourism sector provides us the opportunity to send our students to do attachments in their outfit. By so doing, they help in the practical training at the attraction centres. Some of them also give job opportunities to our students. This is important because if we produce graduates in tourism and they are not employed, our department will not be attractive for people to pursue our courses. In this way, our programmes will not be sustainable.*

A 22-year-old female Teaching Assistant of a tertiary institution stated:

*The tourism industry provides avenues for our graduates to get jobs to do. We have the opportunity to do attachment in the industry in order to gain practical knowledge. We also use the attractions as 'laboratories', where we undertake educational trips and excursions.*

Similarly, a 32-year-old male employee of an attraction stated:

*People do come here for attachment and national service. Currently employment is a problem, so people prefer to come here voluntarily.*

A 34-year-old interviewee mentioned that apart from the benefits derived from attachment, the students are given the opportunity to do research.

*The attractions also give our students the opportunity to conduct research.*

### Challenges faced by tertiary institutions and the tourism sector

The stakeholders in the tertiary institutions and those in the tourism industry were faced with a number of challenges, including environmental problems in the attractions, criminal activities, inadequate number of personnel speaking foreign languages such as French, poor infrastructure in the attractions, lack of highly trained personnel to man the attractions, etc.

A 34-year-old Lecturer made mention of the fact that there was lack of institutional collaboration:

*I think the industry is faced with a number of challenges.*

Some interviewees felt that the training provided in the tertiary institutions was too theoretical.

The 34-year-old Lecturer mentioned above said:

*I did my Bachelors Degree in tourism at the University [name withheld]. The University has great lecturers, but what we were doing was too academic. In order to effectively deliver in the tourism industry, one needs to have skills in ticket reservation, guard operations, hospitality law, etc., but such important courses were not taught during our training. The result is that when one went out to look for a job and produced a transcript that did not indicate that one had done those courses, it is often rejected.*

The 22-year-old female Teaching Assistant mentioned above put it bluntly this way:

*You will be surprised that an HND [Higher National Diploma] holder in tourism goes to a hotel industry and does not know how to lay a bed. We are too theoretical.*

A female guide talked about difficulties faced by students when they have to carry out research:

*Sometimes students come to collect data for research purposes, but we are unable to provide them with the requisite materials they need. Our library is not well-stocked with books. We do have a few books, but students have to buy them, and most of them are not able*

*to do so. The result is that they end up producing work that we cannot use to improve upon what we do.*

A 33-year-old male working at a beach resort mentioned the fact that after training students from the institutions, particularly from the Universities, they hardly get any feedback from the authorities.

*After offering practical training to students from the institutions, we often do not get any feedback from the schools, particularly the Universities, to help us improve upon the training we offer. The Polytechnics sometimes do a follow-up. The industrial liaison unit sends officers to us to ascertain how a student is performing. We then get feedback from the students' supervisors. But the Universities do not do that.*

Another challenge that some respondents pointed out is the fact that many attractions do not want to employ highly-skilled persons.

A 29-year-old Lecturer stated:

*They [tourism industry] do not want to employ our graduates because of salaries.*

*They think employing graduates will mean paying higher salaries and for that matter they employ SHS [senior high school] graduates who are either unskilled or semi-skilled and pay them between 80 and 150 Ghana Cedis a month. This however, affects the quality of service they have to offer to customers.*

Another Lecturer made a similar statement:

*The small-scale medium industries are unable to employ people with higher qualifications. They often employ their own family members. To them employing professionals will mean paying higher salaries which will deplete their profit margins. The bigger tourism industries such as big hotels also complain that the graduates they employ are too academic and theoretical. According to them, when they employ the graduates, they have to retrain them, and this comes as an additional cost to them.*

Some respondents pointed out that because most of the staff did not possess skills in foreign languages such as French, they were not able to serve visitors well.

One male Lecturer stated:

*There is lack of adequate qualified personnel to man the centres. The tour guides at times do not have a high command of the English language, let alone French. This makes it difficult for foreigners to get quality service from the centres.*

### **Collaboration between the tourism industry and tertiary institutions**

Some of the respondents indicated that there was some degree of collaboration between the tourism industries and the educational institutions, but the majority of them agreed that quite apart from the attachments that students did, and the honouring of invitations by some personnel from the tourism industry to the tertiary institutions to give talks on what pertained in the industry, there was very little or no collaboration.

A 54-year-old Senior Lecturer mentioned the employment of graduates from the institution, in which he teaches, by the tourism industry as collaboration. He stated:

*A study I conducted indicated that 41 percent of our graduates are absorbed by the tourism industry.*

A 34-year-old Lecturer, who also felt there was a degree of collaboration, stated the following:

*During National Tourism Celebrations we are invited to observe the events; we go to the tourism industry to find out from them what they require from us; and in 2003, we constituted an advisory committee made up of professionals from both the tourism industry and the educational institutions to draw a plan geared towards making our courses more practical.*

However, he agreed that more could be done. He pointed out that that there was very little institutional collaboration.



A 29-year-old Lecturer made a similar statement. He stated:

*There is lack of institutional collaboration among the various players in the industry – the educational sector, the attraction sector, the hotel industry and the government, etc. As it is now collaboration is limited to attachment facilities for our students, annual get-togethers and parties*

A female Teaching Assistant simply said:

*There is a very big gap between the [tertiary] institutions and the industry.*

Respondents suggested strategies to overcome challenges and strengthen collaboration

A 45-year-old male staff member of an attraction stated:

*The tourism industry is improving day by day and once it gets to a certain level, professionals will be needed to run it. So I believe that the institutions should collaborate with the organisations much more for them to really know what is happening in the organizations, so that when they are training people, they can get to know the fact on the ground and get capable people who will come and address issues for the industry to move forward.*

A 34-year-old Lecturer of a tertiary institution said:

*There should be institutional collaboration. Most of the time it is the students who go round to look for attraction centres to work with or do their attachment. Such students go to places where they know people there. But the attachment should be institutionalised. The attractions should give us feedback as to what they expect from us so that we would be informed as to the kind of quality products we should produce.*

A 27-year-old female worker of an attraction stated:

*We should be seen as partners by these tertiary institutions. These institutions should have good knowledge of our operations, so that they can train people to be absorbed by the tourism industry.*

## **Discussion and conclusion**

The study set out to ascertain the level of collaboration between tertiary institutions that teach tourism and hospitality management and the tourism industry, what benefits each of them derive from the collaboration and what challenges they are confronted with. The results of the study revealed that there was some amount of collaboration. As part of the training of the tourism students, they go to attractions on attachment to gain some practical experience.

On graduating from the institutions, the graduates are employed by the tourism industry. As indicated above, this is one of the benefits derived from tourism. However, the challenge here is that many of the graduates, who are employed, and the students, who go on attachment, are not able to fit well into the industry because they are not able to apply what they learn in the institutions on the job. This supports an argument made by Mayaka and Akama (2009) that there is a lack of proper academic understanding and focused theoretical framework of most tourism studies. This engenders a lack of provision of clear directions in the teaching of tourism courses. Another challenge that the results of the study revealed was that many employers in the tourism industry do not see the importance of education. Some employers engage the services of their own kith and kin. They do this because they would not want to employ professionals, whom they would have to give higher remuneration. As the literature points out, many employers in the tourism industry hire cheap labour (Mustafa, 2012). One strategy that needs to be adopted to ensure that Ghana, as a country, survives the competitive market place is that highly-skilled persons are trained to serve as managers in the industry (Akyeampong, 2009). The continuous appointment of people, who are unqualified, would collapse the industry. The challenge can only be faced squarely, if educational institutions offering courses in tourism and hospitality management collaborate more closely with the tourism industry (Goodenough & Page). As Akyeampong (2009, p. 21) points out, during the first 50 years of tourism development in Ghana, it was the partnership of the public and private sectors... and not the competition among them that contributed to the rapid

growth of the industry. The tourism industry should be seen to be contributing to the development of curriculum for tourism students. Seminars and workshops aimed at exchanging ideas should be organised on regular basis. During such fora, students would become well-equipped. They would gain a lot of both theoretical and practical knowledge. In this way, the graduates from the institutions would not be square pegs in round holes, when they enter the world of work in the tourism industry.

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# TOURIST COMMUNICATION: A SPECIALIZED DISCOURSE WITH DIFFICULTIES IN TRANSLATION

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## Abstract

In everyday speech, we often hear expressions like language of music, language of computing, language of civil engineering etc., and we know that these various fields communicate with us. Why should we not use this term: the language of tourism? This article highlights the importance of considering and developing the language of tourism as a specialized discourse which encounters several difficulties in translation. It is language-like in its properties; it is structured, it follows certain grammar rules, it has a specialized vocabulary and a semantic content, it conveys messages and operates through a conventional system of symbols and codes; moreover, it adopts a special register.

As tourism communication is an intercultural discourse not only should the translator be proficient in both languages, but s/he should also be multicultural and able to identify with the original author as well as with the content in order to detect all the finer points of the language s/he is translating into. The major problem in translating tourist discourse is due to its cultural content. This type of texts describes and informs about other cultures and therefore, their main difficulty is to introduce a reality (being a city, a country, a type of food, etc.) to a person who may have never heard of it. Also, we often find words or concepts that do not exist in other cultures, so called *realia*, what makes translators employ different techniques with the aim at transferring the original meaning to the target audience and to solve the problem.

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**Keywords:** Specialized discourse, translation ,communication

As all languages have to be learned, the language of tourism, too, requires a process of socialization for those who generate it and those who translate. It is claimed that tourism is also referred to as communication, advertising, publicity and promotion. Since the tourist industry has become one of the most important economic influences and also one of the fastest growing industries of modern times, it needs certain advertising and public relations efforts to offer various services to the traveling public and encourage them to travel to specific places. For this purpose, promotional material in the form of pamphlets, brochures, posters, leaflets, throwaways etc. is published in order to familiarize travelers with the services offered, report on the facilities and amenities available, or simply provide information about a certain place of interest or a sight.

Therefore, tourist brochures have to appeal to the tourists, firstly by well-conceived outward form and alluring pictures, and secondly, which is of even greater importance, by addressing the tourist in spotless English. The language should meet the criteria of terminological accuracy and stylistic fluency, and be effective in terms of the communicative situation of a tourism text, which differs from other forms of human exchange. Dann (35) adds four additional characteristics of the language of tourism, which distinguish the language of tourism from other forms of communication. The characteristics are the following: lack of sender identification, monologue, euphoria, tautology. These are equally important for the translator as for the writer of the tourism text. Furthermore, the translator should be able to

recognize the properties of tourism language in the pre-translation analysis of the text tourism are presented.

### **The translators of tourist brochure and difficulties that are encountered**

The most widely spread opinion is the “traditional view” –that translators should translate only into their mother tongue in order to create linguistically and culturally acceptable translations. This traditional truism is not universally accepted, either in practice or in the theory of translation. It can happen that such translations made by non-native speakers are full of “unacceptable or improbable collocations” (Pokorn Kocjančič 310). One of the most repeated critiques according to Duff (11) is that the translation is not readable fluently and does not feel natural because of the strong source language influence.

Translator of tourist texts should not only be proficient in both languages, s/he should also be multicultural and able to identify with the original author as well as with the content in order to detect all the finer points of the language s/he is translating into.

As I mentioned above, tourists come into contact with a town, a region, a country by reading and consulting tourist texts (tourist brochure, leaflet, guide book), and it is often the case that tourists receive their first impression from a translation of these texts. Tourist texts present several difficulties that are based on the features that we have seen before. Nevertheless, the major problem in translating tourist discourse is due to its cultural content. This type of texts describes and informs about other cultures and therefore, their main difficulty is to introduce a reality (being a city, a country, a type of food, etc.) to a person who may have never heard of it. Also, we often find words or concepts that do not exist in other cultures, so called *realia*, what makes translators employ different techniques with the aim at transferring the original meaning to the target audience and thus, to solve the problem.

Apart from that main problem about *realia*, the translation of tourist texts also present other difficulties related to cultural aspects. In our opinion, the cultural problems that present tourist texts would not exist if translators had an adequate level of knowledge about the cultures involved, source and target cultures. However, translators who translate tourist texts are not trained to do so and lack cultural knowledge so as to offer high-quality translations. The choice of non-professional translators to translate tourist texts is mainly due to the fact that the language of tourism is not considered a specialized discourse. This is the idea behind all orders to translate tourist texts: anyone can do it because it is very easy. As Pierini (2007: 99) states, “The complexity of promotional tourist discourse is underestimated by clients and translators: it may appear to be deceptively easy to translate with its extensive use of general language; yet, it is a specialized discourse with specific linguistic/cultural features”. With this complexity of the language of tourism claimed by Pierini, the need for language experts in this field turns evident and essential. We require experts that could create effective promotional materials and, thus, achieve success in a field characterized by keen competition.

Following with the problems that can be found in tourist texts and that can cause translation mistakes, we have to mention another cultural difficulty: translation equivalents of proper names (people, museums, institutions, typical dishes, customs, festivals, etc.)

The translation of proper names is controversial and of high difficulty, since every language treat them in a different way and there is no a unique rule to translate them. For example, nowadays in Spanish we just translate proper names of kings and queens (*Elisabeth II*, in English = *Isabel II*, in Spanish) and popes, but before we used to translate all proper names (*Karl Marx*, *William Shakespeare*, etc.), either artists' names or kings.

Regarding typical dishes, festivals, places, etc. the translator must look for an adequate solution according to the text function, its audience, and the media, in order to maintain the same message as in the original text and to correctly transfer it to its target audience. This is considered a very important matter, since the target audience must understand the text in order to do, go, buy or whatever the aim of the text be.

In case the audience did not understand the text, the function would be broken and therefore, its aim would not be fulfilled and the communication would fail. Place names are also proper names, but they cause a diverse difficulty, since there is no rule to translate them. We can find some equivalents in other languages that are used nowadays (*New York*, in English = *Nueva York*, in Spanish; *Sevilla*, in Spanish = *Seville*, in English), but also we can find equivalents that are not used any more (*Neu-York*, in German). In this sense, not all place names are adaptable neither the adapted ones are always easy to recognize.

Regarding style, also there are some differences between languages and cultures. For instance, Spanish tends to be more formal and less colloquial than English, as well as Spanish texts employ more poetic structures and description than English ones. All this makes English and Spanish texts be different from a style viewpoint.

Stylistic conventions also differ from one language to another and hence, translators have to know discursive, syntactic and textual conventions to obtain an optimal result. In the following fragment, taken from the official site of the Italian Agenzia Nazionale del Turismo, we can observe several examples of misadaptation and lack of nativeness:

(Italian) Dove dormire in Italia? Esiste solo l'imbarazzo della scelta. Agli oltre trentatremila alberghi, disseminati in ogni località, si aggiungono altri trentacinquemila indirizzi di campeggi, alloggi agriturismo, bed & breakfast, ostelli per la gioventù, alloggi privati e così via.

(English) Where to sleep in Italy? There is only an embarrassment of choice. In addition to more than thirty thousand hotels located in every part of the country, there are an additional thirty five thousand addresses of campsites, country farmhouses, bed and breakfasts, youth hostels, private accommodation and so forth.

The translator transferred Italian discursive and linguistic features into the target text, instead of adapting the message to the target culture. Due to this, the translator maintains the non-personalisation of the original text, i.e. lack of first and second person pronouns; he uses a heavy style, with long and complex sentences, and writes syntactic oddities (e.g. *There is only an embarrassment of choice*), and his lexical choices are influenced by the Italian version. In short, the example above exhibits clumsy language with signs of non-nativeness due to interference and non-adherence to the stylistic conventions established for tourist texts in English.

These differences between source and target cultures make translator question themselves whether to reproduce the source text conventions or opt for the target text conventions. Apart from the linguistic or stylistic differences that a translator may encounter during the translation process, there are other constraints that must be taken into account. One of the main constraints refers to publication of the same text (leaflet, brochure) in different languages (multilingual or bilingual editions) at the same time, with the same photographs, and the same space for the text. These types of edition require the different language texts to be of similar length, and to be relevant to the pictures printed. This sometimes becomes very hard to achieve, since languages do not present the same length when explaining something and, as we have seen above, some visitors need more information than other, or at least presented differently.

### **Strategies During Translation**

Different texts and different contents of the same text can be translated by different methods. What is essential concerning the matter has been said more than a century ago by the dear theologian Schleiermacher' in his work *Über die verschiedenen Methoden des Übersetzens* (1813). It is also said by Ortega, who contemplates the two possible methods of translation proposed therein: 'Either the translator leaves the writer alone as much as possible and moves the reader toward the writer, or he leaves the reader alone as much as possible and moves the writer toward the reader' (Ortega y Gasset, 1992: 108). However, Ortega's position

is categorical: only when we tear the reader away from his native linguistic conventions and force him to throw himself into the mind of the original author can we speak of 'translation proper' (Ortega y Gasset, 1992: 108). This is the procedure to be followed by the 'shy' translator. Ortega then proceeds to establish some principles that should govern the 'the new enterprise of translating' (Ortega y Gasset, 1992: 108) and define what a translation should be:

Translation is not a duplicate of the original text [...] translation doesn't even belong to the same literary genre as the text that was translated [...] translation is a literary genre apart [...] with its own norms and own ends [...] a translation is not the work, but a path toward the work [...] I imagine a form of translation that is ugly, as science has always been; that does not intend to wear literary garb; that is not easy to read, but is very clear indeed. (Ortega y Gasset, 1992: 109, 111)

Different strategies were developed during a tourist text translation. Foreignising strategy, which maintain the original text in original words, while domesticating gives the original and translated texts together, or nearly together. A new strategy, namely neutralising, may be able to be put forward as the criterion for the translation of tourist texts and can help promote cultural exchange, because the translator should try his best to transfer the cultural message from the original text to the target text, while retaining readability and acceptability of the translation. Here the neutralising strategy does not simply mean a mixture of the domesticating and foreignising strategies. It refers to the act and process of constantly modulating the translator's own awareness of what is being translated to satisfy the reader's needs and to achieve correlative equivalents between the ST and the TT. In other words, the translation of tourist texts does not rely on either strategy and the translator fully takes into account all the cultural elements existing in the text whenever necessary. Newmark (1991), who put forward the —correlative approach to translation, states that —The more important the language of the original or source language text, the more closely it should be translated.

According to this approach, seven methods are suggested to cope with different kinds of texts: component analysis, modulation, descriptive equivalent, functional equivalent, cultural equivalent, synonymy and paraphrase (Newmark 1991: 1-33). The degree of compatibility in the first method is highest and the last is the lowest.

## Conclusion

Translation of tourist texts is a kind of publicity activity. Its essence is that the translator should attempt to produce the same effect on the target language readers as is produced by the original on the source language readers. However, cultural discrepancies will hinder foreign readers from understanding such texts properly. Therefore translators should adopt an appropriate method to adjust the version to help readers comprehend the texts. Otherwise —they will find the translation requiring so much effort to understand that they are likely to stop reading, unless they are very highly motivated. (Jin Di and Nida 1984: 102)

When translating tourist texts, we are not just dealing with words written in a certain time, space and socio-political situation; most importantly, it is the cultural aspects of the text that should be taken into account. There are at least five kinds of influences that need to be considered when translating tourist texts from SL to TL, and they are: (1) the influence of associative and connotative meanings; (2) the influence of different understandings and thoughts, (3) the influence of metaphors and expressions; (4) the influence of religions and myths; and (5) the influence of values and lifestyle. Technically, we can use both of the strategies to tackle the cultural elements in translating tourist texts. This paper argues that tourist texts should be translated primarily by means of foreignising to retain the original cultural resonances. Only in a situation that we cannot deal with do we use a domesticating strategy, in other words, allowing the alien to be seen, or as Schleiermacher famously put it, by bringing the reader to the text rather than the other way round. The problem is that if a

translation is successful, in the sense of reading as if it were written in the target language, then its creator and its original culture become invisible. For this reason, it is believed that the domesticating strategy should be applied as little as possible when translating tourist texts.

This is because the purpose of tourist texts is to spread the foreign or different cultures to the reader, and the translator is responsible for disseminating the original culture to the TL reader.

To sum up, the foreignising strategy is a preferable approach to translating tourist texts. The advantages include revealing the cultural and historical factors of the ST, disseminating the culture and customs of the original, and showing the equality between languages and between cultures. Disadvantages include neglecting the reader's emotion and understanding.

In other words, the functions of disseminating the ST cultures are found, but the effects of attracting the tourists are most likely lost when employing such a strategy. It is clear that the domesticating or the foreignising strategies cannot solve all the problems in translating tourist texts. So the neutralising strategy does not simply mean a mixture of the domesticating and foreignising strategies. It refers to the act and process of constantly modulating the translator's own awareness of what is being translated to satisfy the reader's needs and to achieve correlative equivalents between the ST and the TT.

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# SOCIO-ECONOMIC AND CULTURAL IMPACTS OF TOURISM IN BANGLADESH

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## Abstract

The current research article analyzed socio-economic and cultural impact of tourism in Bangladesh. It has discussed in-bound tourists; their purpose of visit; economic contribution; growth and contribution to employment. The study ended with a discussion on negative affects of tourism on society and culture in Bangladesh.

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**Keywords:** Tourism, economic contribution, social and cultural effects

## Introduction

Tourism can be a powerful force for economic and social good, creating employment and wealth and widening our understanding of other societies (Lincoln 2011). Tourism may be viewed as an economic activity and thus as an industry. Tourism has been identified as one of the fastest growing industries in the world (UNWTO, 2008). It has grown from the pursuits of a privileged few to a mass movement of people, with an urge to discover the unknown, to explore new and strange places, to seek changes in environment and to undergo new experiences.

There are many examples of the way in which tourism has benefited a particular place, buildings or cultural activity. In Bangladesh many great buildings of the past would have been lost had it not been possible to convert them into living museums for the tourists. However, Ahasan Monjil and Paharpur areas have been restored and developed to make them attractive as tourist cities (Lincoln, 2011). Even a city like Cox's Bazar of Bangladesh has the undivided largest sea beach in the world would be a poorer place without the tourist.

Along with the world's largest sea beach in Cox's Bazar, Bangladesh has distinct tourism products like Kuakata sea beach where one can enjoy the sun-rise and sun-set from the same place; UNESCO world heritage sites like Sundarban, the largest mangrove forest in the world; other UNESCO world heritage sites, e.g. the Buddhist Vihara at Paharpur and Mahasthangarh; the Historical Mosque City of Bagerhat, the Mainamati Ruins at Comilla. Moreover, Bangladesh has the coral island at Saint Martin, Hill tracts at Chittagong and hundreds and thousands of rivers and its tributaries. By developing proper tourist facilities, Bangladesh can earn huge amount of foreign currency, generate employment, reduces poverty and the improvement of the quality of life for its people. It is potential to make a contribution to economic and social development, especially of the developing countries, and its emergence as a vital force for the promotion of international understanding, peace and prosperity (UN, 2008). According to the World Tourism Organization, tourism is the world's largest export industry which generated about US \$1.3trln during 2010 by sum of 940 million tourists worldwide and making the tourism as one of the largest industries in the world.

## Objectives of the study

The specific objectives of the study are:

- i) To analyze the economic contributions of tourism in Bangladesh
- ii) To analyze the social and cultural effects of tourism in Bangladesh.



## Research methodology

The study is qualitative in nature but descriptive in style. As such it is an exploratory research. Both primary and secondary data have been used. Two separate semi-structured questionnaires have been used one for tourists, one for stakeholders and in-depth personal interviewing technique has been used for tourism experts. The study is located in those areas where tourists frequently visit selected from the popular destinations in Bangladesh. Non-probability, mainly the area sampling technique has been used. Appropriate proportional sample from each of the three broad sample categories has been selected for the purpose of data collection. All relevant non-parametric tests have been conducted to arrive any meaningful conclusion of the study.

## Tourism scenario and its impacts

The number of international tourist arrivals in Bangladesh rose from 113242 in 1991 to 468959 in 2008; an average growth rate is 9 percent. Since 1973, the effect of fuel price increases has merely moderated the rate of expansion. The number of international tourist arrival was 343590, 397410 and 468951 in the years 2006, 2007 and 2008, respectively. Most visitors were from India, New Zealand, Australia, Germany, the United Kingdom, and the United States. In addition to being a source of income and employment, tourism is frequently a source of amenities for the resident population of Bangladesh. Because of visitor traffic, residents may enjoy a higher standard of public transport, shopping and entertainment facilities than they would be able to support otherwise. The provision of incomes, jobs and amenities for the resident population therefore is regarded as the three beneficial effects of tourism to tourist destination in Bangladesh.

**Table 1: Foreign Visitors Arrival by Months 2000-2009**

| Month     | 2000           | 2001           | 2002           | 2003           | 2004           | 2005           | 2006           | 2007           | 2008           | 2009           |
|-----------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| January   | 23,160         | 25,548         | 23,711         | 22,193         | 23,670         | 20,213         | 16,382         | 16,733         | 39,345         | 28,632         |
| February  | 18,730         | 20,724         | 16,152         | 19,041         | 25,012         | 15,848         | 13,473         | 17,308         | 30,788         | 26,286         |
| March     | 15,982         | 20,062         | 17,898         | 16,506         | 24,262         | 19,853         | 13,659         | 17,579         | 30,079         | 25,114         |
| April     | 14,976         | 19,216         | 15,372         | 15,299         | 23,173         | 16,234         | 12,261         | 23,956         | 25,128         | 24,786         |
| May       | 15,647         | 15,926         | 15,771         | 17,996         | 14,959         | 18,535         | 20,971         | 20,853         | 36,929         | 23,704         |
| June      | 14,212         | 16,606         | 15,754         | 21,867         | 23,020         | 17,496         | 17,002         | 24,483         | 39,158         | 22,244         |
| July      | 14,809         | 15,517         | 14,345         | 22,957         | 26,991         | 19,773         | 25,604         | 32,223         | 42,457         | 21,780         |
| August    | 13,399         | 16,739         | 14,315         | 19,041         | 21,938         | 15,292         | 14,244         | 20,614         | 36,017         | 18,239         |
| September | 12,874         | 11,015         | 13,022         | 17,968         | 19,860         | 13,166         | 16,823         | 18,509         | 26,723         | 14,749         |
| October   | 15,855         | 13,053         | 18,601         | 23,498         | 21,785         | 15,568         | 17,237         | 27,073         | 43,213         | 19,963         |
| November  | 19,489         | 15,265         | 17,136         | 21,028         | 27,208         | 18,399         | 14,734         | 30,308         | 39,996         | 19,336         |
| December  | 20,078         | 17,528         | 25,169         | 27,115         | 19,392         | 17,285         | 17,921         | 39,471         | 77,499         | 22,274         |
| Total     | <b>199,211</b> | <b>207,199</b> | <b>207,246</b> | <b>244,509</b> | <b>271,270</b> | <b>207,662</b> | <b>200,311</b> | <b>289,110</b> | <b>467,332</b> | <b>267,107</b> |
| % Change  | <b>15.30</b>   | <b>4.01</b>    | <b>0.02</b>    | <b>17.98</b>   | <b>10.94</b>   | <b>-23.45</b>  | <b>-3.54</b>   | <b>44.33</b>   | <b>61.65</b>   | <b>-42.84</b>  |

Source: Special Branch of Bangladesh Police

Tourism has particular significance to developing Bangladesh to underdeveloped regions. An improvement in living standards has generated through tourist traffic. No sophisticated technology is required to establish the basic facilities. As the tourism industry is labor-intensive, tourism can absorb unemployed labor resources which are particularly valuable in areas with surplus unskilled labor in Bangladesh.

In some beat ions tourism has provided an infrastructure which in turn forms the base and the stimulus for the diversification of the economy and for the development of other industries in Bangladesh. Thus tourism expenditure may be said to stimulate an economy beyond the sector concerned with tourism.

Bangladesh government authorities have identified tourism as a means of generating employment and foreign currency. The economic significance of tourism varies from country

to country. Tourism receipts as a percentage of total export earnings range from 1.1 per cent for Japan to 22 per cent for Spain. In Bangladesh, the economic significance of tourism may be measured in terms of its ability to generate an inflow of foreign exchange. On the other hand, in a developed country, its significance may be measured in terms of its ability to assist diversification and combat regional unbalances.

**Table 2: The Economic Contribution of Travel and Tourism**

| <b>Particulars</b>  | <b>2005</b> | <b>2006</b> | <b>2007</b> | <b>2008</b> | <b>2009</b> | <b>2010</b> | <b>2011E</b> | <b>2021F</b> |
|---|-------------|-------------|-------------|-------------|-------------|-------------|--------------|--------------|
| <b>(BDTbn, nominal prices)</b>  |             |             |             |             |             |             |              |              |
| 1. Visitor exports  | 5.0         | 5.5         | 5.3         | 5.1         | 5.3         | 5.7         | 6.6          | 21.8         |
| 2. Domestic expenditure   | 137.0       | 158.8       | 182.9       | 207.0       | 227.6       | 257.3       | 293.9        | 863.3        |
| 3. Internal tourism consumption<br>(=1+2+government individual spending)        | 142.6       | 164.9       | 188.8       | 212.9       | 233.7       | 264.1       | 301.6        | 888.6        |
| 4. Purchases by tourism providers,<br>including imported good<br>(supply chain) | -52.3       | -61.3       | -71.6       | -82.4       | -91.0       | -103.0      | -117.2       | -340.8       |
| <b>5. Direct contribution of Travel &amp; Tourism to GDP</b><br>(=3+4)          | 90.3        | 103.6       | 117.3       | 130.5       | 142.7       | 161.0       | 184.4        | 547.8        |
| <b>Other final impacts (indirect &amp; induced)</b>                             |             |             |             |             |             |             |              |              |
| 6. Domestic supply chain  | 46.7        | 53.6        | 60.7        | 67.5        | 73.8        | 83.3        | 95.4         | 283.4        |
| 7. Capital investment   | 10.4        | 12.1        | 13.5        | 22.6        | 24.9        | 28.8        | 33.5         | 98.6         |
| 8. Government collective spending   | 3.7         | 4.2         | 4.8         | 5.3         | 6.0         | 6.9         | 7.9          | 24.3         |
| 9. Imported goods from indirect spending  | -3.1        | -5.4        | -5.5        | -8.0        | -9.0        | -10.4       | -11.5        | -30.4        |
| 10. Induced   | 38.9        | 43.4        | 49.0        | 54.7        | 2.5         | 70.7        | 81.8         | 248.0        |
| <b>11.Total Contribution of Travel &amp; Tourism to GDP</b><br>(=5+6+7+8+9+10)  | 187.0       | 211.6       | 239.7       | 272.6       | 300.9       | 340.3       | 391.7        | 1,171.8      |
| <b>Employment impacts ('000)</b>  |             |             |             |             |             |             |              |              |
| <b>12. Direct contribution of Travel &amp; Tourism to employment</b>            | 1,404.7     | 1,471.2     | 1,500.2     | 1,479.5     | 1,462.5     | 1,470.4     | 1,509.1      | 1,950.7      |
| <b>13. Total Contribution of Travel &amp; Tourism to employment</b>             | 3,022.2     | 3,119.9     | 3,183.2     | 3,204.0     | 3,201.5     | 3,225.1     | 3,326.1      | 4,322.1      |
| <b>Other indicators</b>   |             |             |             |             |             |             |              |              |
| 14. Expenditure on outbound travel  | 24.2        | 30.6        | 36.5        | 50.4        | 44.9        | 46.5        | 44.2         | 124.4        |
| 15. International tourist (overnight visitor) arrivals ('000)                   | 208         | 200         | 289         | 467         | 417         | 429         | 443          | 630          |

Bangladesh tourism industry with its enormous potentials is striving to reach at a satisfactory level in order to play the expected role in the economy of the country. A major sector of the services economy, tourism is increasingly recognized as contributing to social and economic development as well as a beneficial activity for host countries and local communities to combat unemployment by creating direct and indirect jobs and contributing significantly to rural development, especially in depressed rural areas threatened by the decline of traditional agricultural activities and it is precisely in rural areas of developing countries where most poor people live. Also that the world tourism is booming and almost imperceptibly it has become one of the fastest growing biggest industries in the world.

Tourism's appeal to developing countries is based, in large part, on its provision of foreign currency earnings and corresponding alleviation of the balance of payments

constraint. As Bangladesh is facing the constraints in foreign currency as well as the adverse position in the balance of payment account, the proper policy and strategy for the development of tourism industry can contribute positively to overcome the situation.

The economic impact of tourism has a disproportionate effect on the host community because of the multiplier effect which spreads the benefits for beyond the resort. The economic impact can be divided into three stages. First, there is a direct expenditure by tourists on goods and services provided by hotels and restaurants. Second is, the indirect expenditure due to the resultant business transactions arising from the first stage. Finally, there is the induced expenditure due to the responding of income by local nationals employed in or benefiting from the tourism expenditure in their regions.

The above discussion can be summed up in the following way:

$$I + X + G + C = S + M + T + C$$

Where, I = Investment

X = Exports

G = Government spending

C = Consumer spending

S = Saving

M = Imports

T = Taxation

When both sides of the equation are equal the national income is said to be in equilibrium.

Economic growth occurs when,

$$I + X + G + C > S + M + T + C$$

Tourism has economic effects by

1. Creating employment and income
2. Contributing to the balance of payments

The term tourist multiplier refers to the ratio of two changes-the change in one of the key economic variables such as output (income, employment of government revenue) to the change in tourist expenditure.

The basic formulation of Tourism Multiplier is thus,

$$\text{Tourist Multiplier} = A \left( \frac{1}{1 - BC} \right)$$

Where A = proportion of tourist expenditure remaining in the area after first round leakages,

B = proportion of income that local people spend on local goods and services-propensity to spend locally,

C = proportion of expenditure of local people which reuses as local income.

Tourism multipliers measure the present economic performance of the tourism industry and the short-run economic effects of a change in the level or pattern of tourism expenditure. They are particularly suitable for studying the impact of tourist expenditure on business turnover, incomes, employment, government revenue and the balance of payments.

### **Negative affects of tourism in society and culture**

Tourism damages not only the landscape but also the indigenous way of life, culture and sets of values of Bangladesh.

In Bangladesh, premature exposure to western ideas and technologies has created a variety of social problems. It inevitably altered people's daily lives and rapid tourism development contributed to high crime rates and introduced gambling, drinking and prostitution, materialism and greed. Unpleasant experiences with nude travelers have brought about open resentment towards tourists.

Bangladesh has paid for a high price for its tourism industry in the form of congestion, pollution and a high cost of living. As the tourist infrastructure expanded, land became more and more scarce, causing real estate price to soar.

The problem is much wider than that. Tourist traffic in tunic and where it concentrates in particular locations in Bangladesh affects the rural environment, cars and buses create congestion on the roads as well as noise and other forms of pollution. Aircraft noise disturbs the residents and causes damage to wild life. Tourist damage crops and flora and leave litter behind. Without tourism the rural environment would have a better chance of being preserved.

It is alleged that tourism generates crime in Bangladesh. Many researchers have perceived a positive correlation between tourism and crime. In an attempt to attract tourists, crimes have developed. Through the generation of friction between the host population and tourists many criminal activities have generated. Tourism creates situations where gains from crime may be high and the likelihood of detection small.

Tourist region of Bangladesh must process natural advantages and as a rule, it has a lower standard of living than the region from which it draws its tourists. In such a situation the observation of a better life style may induce resident population to greater work efforts, a higher saving rate in rise above the present station of life.' Unfortunately often the resident may find no opportunity before them to changes their miserable living conditions. As a result, a disturbing sense of frustration creeps in. In areas like Cox's Bazar, Kuakata, Sent-martin, Rangamati and Sunderban the fact that high birth rate of illegitimate children was attributed to the carnival atmosphere generated by international tourism. Tourism inflicts the behavior of a wasteful society in the midst of a society in the midst of a society of wants.

Other evil effects of tourism should not be lost sight of. For example, tourism in Cox's Bazar has seriously affected the agriculturists, it has affected the rights of fisherman and in Kuakata it has replaced traditional occupations. In most modern tourist projects there has always been a conflict of land use and environmental damage through hotel construction and waste disposal. In certain cases the curio trade has encouraged the vandalism of our architectural heritage and art objects. There is also the practice of illegal trade in hard currency. Such activities turn a section of the local population into pimps, touts and black marketers. Sometimes tourists may provide the market for such activities.

There is a positive correlation between tourism and prostitution. Amongst the attractions of Bangladesh cities such as Cox's Bazar and Kuakata are the brothels. Their streets are often thronged by curious tourists who wish to see the girls. Sex-tourism has developed in these two cities.

Tourism associated with prostitution or what is called sex-tourism has assumed alarming proportions in Bangladesh. Sex tourism, drug peddling and bride buying have become interlinked particularly in our country with some tourism and tourists.

The technological complexity of twentieth century living has led to forms of pollution which are both initiated and compounded by tourism development. Large scale tourist movement requires the use of mass transportation and the fuel burn from aircraft adds to air pollution; civilian aircraft account for the emission of 3 per cent of all carbon dioxide created by man and a similar amount of nitrous oxide. The introduction of quieter, more fuel-efficient and cleaner jet engines unfortunately has the side-effect of increasing the emission of nitrous oxide. Emissions from the exhausts of cars and boats used in tourism compound the problem.

All three forms of travel can also contribute unacceptable levels of noise, which must be considered a form of pollution. Waterborne vessels, by dumping fuel or waste overboard also contribute unacceptable levels of noise, which must be considered a form of pollution. Waterborne vessels, by dumping fuel or waste overboard also contribute to water pollution which, in turn, affects the wildlife on the rivers. Beaches give particular cause for concern in that polluted waters can lead to serious illness among bathers.

Environmental pollution is as physical. An area of scenic beauty attracts greater number of tourist, so more and more of the natural landscape is lost to tourist development. The countryside retreats before the growth of hotels and other amenities which sprang up to cater for the tourist's needs, with the result that the site is no longer seen as scenic and the tourists move on to find somewhere more tranquil as well as beautiful.

### Conclusion

The importance of tourism can be considered as a major source of revenue and can play an important role in the economic development of Bangladesh. Tourism is widely seen as an important potential contributor to economic and social development in Third World countries. Tourism is also relevant to strategies for sustainable development and environmental rehabilitation in areas with great landscape and cultural values. Tourism business is essential to economies because of the direct effect on employment, the balance of payment and society in terms of educational and cultural benefits. The problems of declining terms of trade for agricultural products and high levels of protection against manufactures, many developing countries have turned to tourism as a possible alternative source of growth and devoted resources for the development of this sector and thus, the sector has become a major economic activity with in developing countries often contributing more foreign currency than traditional primary commodity exports.

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# THE PREPARATION OF SPECIALISTS FOR TOURISM SPHERE

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## Abstract

As tourism developed and became an integral part of a modern life its international value increased and the national governments have started to play more and more important role - their activity covered a wide range of problems from an infrastructure before functions of regulation. One of the major directions in the role of the government of Georgia to develop tourism in the country should be the introduction of the modern educational system in the field of tourism and promotion of its development. The preparation of tourism specialists and raising the preparation of their quality must be based on the technological progress made in this field and the specifics of labor spent. Following the above-mentioned, we can conclude that the present level of the tourism education and staff training in the tourist sector of Georgia fails to meet the international demands of tourism industry either quantitatively, or qualitatively. The present situation on the market of tourist service education needs urgent measures, particularly to improve its qualitative indicators.

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**Keywords:** Tourism, Education, Business

## Introduction:

As it is known, in XX century the education was considered to be the most important and prestigious area of human activities. Therefore, the education and knowledge have become a capital. By itself, it also means that the modern society needs a substantively conceptual knowledge and, accordingly, a new model of education. In the XXI century one great dignity of people-oriented education has already been emphasized. It is an accentuation on the possibility to receive a continuous education throughout the life.

Travel service is a major field of people's service and has specific social-health function. It includes understanding vocational, historical and cultural sightseeing, sport life, participation in the cultural-mass events; it also promotes the personal development and makes various cultures be closer to each other.

Georgia with its geographical location, the best climate and historical-cultural heritage is considered as a host country of tourists and requires the development in the relevant direction of business development. The competitive usage of potential of Georgian tourism is based on tourism personnel and the quality of their preparation.

We think, preparation of specialists for tourism sphere opens qualitatively new boundaries in the developed countries of the world; therefore, the system analysis of functioning of the given didactic system will be extremely useful to Georgia which possesses significant tourist potential and can become in the long term one of the most developed tourist countries.

One of the major problems in modern Georgia is decrease in the quality of a human resources. Sharp decline in employment resulted in reduction the motivation for learning. Success of a choice and training (study) of students in higher educational institutions of Georgia is influenced by many factors. The main thing is that it is necessary to approve as the purpose -

quality and efficiency of tourist formation to guarantee quality and efficiency in the industry of tourism. Processes of globalization in all spheres of human activity is extended on sphere of the international tourism, changing its role and influence on preparation of specialists of the given sphere: it demands depth, interactions of its various components at more complex didactic level.

As it is generally known, the World Tourism Organization together with other public organizations spends greater work on activization of tourist activity. WTO on General Assembly in Santiago (Chile) on October 1, 1999 accepted "The Global Ethical Code of Tourism" which became the basic document that defined all activity of this organization for many years. "The key role of education at a new stage of development of tourism, in the opinion of the Council of WTO by education, consists in development of new problems"<sup>233</sup>.

At the present stage of development of the mankind there is an intensive concentration on theoretical knowledge; it becomes a basis of changes in manufacture, and finally - in a society. Creation of modern information society is an instinct of self-preservation of the mankind as the biological kind, modified now in the particular socially-organizational form of life of people. In the center of attention there also is a theme "Formation and qualification - the purposes of tomorrow"<sup>234</sup>. Therefore, now in the developed countries of the world, programs of employment of population, vocational training and retraining, improvement of professional skills are developed until 2020.

In this connection, it is necessary to continue work on perfection of the list of directions of preparation of experts and specialists of professional higher education, having approached it to similar lists of the developed countries with the purpose of creating favorable conditions for integration of the Georgian education system in international; to define a legal status of Bachelor and Master programs on specializations of a tourist structure; to finish development of the complete set of methodical support of the state educational standards of professional higher education. For this purpose, it is necessary to change qualifying requirements promptly enough. "It is important to introduce new means of training and a hardware of educational institutions as a whole, to strengthen a theoretical part of training and to raise its cognitive value not only in an educational institution, but also on a workplace"<sup>235</sup>. For decision of these problems it is necessary to overcome the problem of lacking highly skilled teachers, scientists and experts for vocational training in which our country tests significant deficiency, as well as consequences of demographic changes. Development of qualifying requirements has precisely allocated necessary parts between vocational training and formation of the scheme of workplaces. From the point of view of the internal maintenance of the given actions from the governments of the developed countries the understanding grows that investments into human resources, formation and a science will grow.

It is necessary to note that the major documents on the tourism accepted by the World Tourist Organization or with its participation focus tourists on such contacts which would assist the present dialogue based on mutual understanding and mutual trust. It concerns Manila Declaration on World Tourism (1980), Acapulco Document (1982), the Charter of Tourism and the Code of the Tourist (1985), the Hague Declaration Concerning Tourism (1989), the Montreal Declaration (1996), the Global Code of Ethics for Tourism, etc. In these documents, necessity of tolerant forms of dialogue with the population of host countries and the population with the arrived tourists is emphasized. The important problem of tourism considers achievement of higher level of respect and trust between all people. In particular in Acapulco Document it is marked that tourism should assist spirit of validity, harmony and respect between people and promote knowledge of the world.

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<sup>233</sup> Council on Hotel, Restaurant and Institutional Education (CHRIE), "Hospitality: "A Look at the Future", *Hosteur*, Vol. 4 (1), 1994.

<sup>234</sup> Choy D. F., "The Quality of Tourism Employment", *Tourism Management*, 1995.

<sup>235</sup> Cynthia Mayo, PhD, *Hospitality & Tourism management redefined: a new perspective for the 21<sup>st</sup> century* *Hosteur*. Vol. 17, issue 1, 2008

The tourism development policy should rely on the study of the three parts (education, science, business innovation) of knowledge triangle and if they do not exist, promote their creation and the effective interaction among them.<sup>236</sup> Therefore, the effective decision of a problem of competence of experts of the sphere of tourism has demanded to define qualitative characteristics of the expert. As a result of the system analysis of functioning of didactic systems of preparation of experts of the sphere of tourism in the developed countries of the world, qualitative characteristics of experts which are general for all regions and spheres of tourist activity that allows to define modern model of such expert have been revealed. In each qualifying model there should be official duties; an educational level, volume of knowledge and volume of skills, also some personal qualities promoting more successful professional career. In our research, modern approaches to qualitative preparation of experts that assumes consideration of structure of work, the detailed analysis of professional functions of experts, revealing of the skills necessary for their performance are analyzed. Managers need to develop better skills in the sphere of personnel administration. In connection with constant internationalization of business, all experts of tourism are required to have more practice in the international space and a multicultural background.

In our opinion, in this multidimensional problem it is possible to investigate: theoretical and methodological ways of preparation of experts of a tourist structure on the integrated groups of trades; structure and the maintenance of curricula and programs; development of standards and qualifying characteristics for these professional groups; methodological and didactic maintenance of preparation of experts; development of techniques of training which provide interactive dialogue; development of modular rates and programs of training for each trade in view of innovative technologies and methodologies on the basis of the combination of such disciplines, as pedagogis, psychology, sociology, philosophy, history and methods of an individualization of training.

Despite the fact that most of the high educational institutions in Georgia train tourism specialists, the number of schools with tourism professions oriented on the training of the professional staff of the average and low levels is few in our country, while the demand for them is high and exceeds the number specialists with higher education.

Innovative educational technologies are the most important tools needed to compete with other social institutions. The content and delivery methods and techniques of modern social-economic situations are crucial in helping young people get a positive approach to education. Innovations are a key factor leading to integration between education and science. It is the main instrument to improve the quality of education.

Field study tours are regularly organized for tourism students of the School of Business and Management of Grigol Robakidze University which promote the efficient synthesis of theoretical and practical knowledge. Particularly, in the summer of 2012 with the funding of the university a field study tour was held in Khevsureti. The second level tourism students participated in this project. The students visited Gudani, Shatili, Mutso castle and Ardoti. A field study tour was also organized in Armazi in which the first level tourism students participated. Such tours help students gain practical experience in planning, designing and mastering a guide specialty.

For tourism students of Grigol Robakidze University "TURINET" (Tourism development network) - a training/seminar on the project "Help volunteering in public organizations" was organized. The project was conducted with the support of Eurasia Partnership Foundation (EPF) and the Swedish International Development Agency (SIDA). Within the frames of the project a three-month contract was signed with the students interested in. Rural families interested in family type guest houses or tourism and hospitality (who have the willingness to be engaged in this business as well as an appropriate potential for it) were questioned by the volunteers using

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<sup>236</sup> Cathy Hsu C.H, *Global Tourism Higher Education: Past, Present, and Future*, New York: Routledge, 2011.



the preliminary worked out questionnaire. The volunteer students received certificates. The project will be continued in the future.

Invited experts in tourism conduct the lectures on the problems of tourism development and its perspectives in Georgia for tourism students. The sustainable development of tourism as a vision for the future is considered by them which should be managed by the local population for social, economic and ecological purposes. The students engaged in this project are actively talking with the experts of this field and are discussing the perspectives of tourism development and thus, once again deepen the theoretical and practical knowledge gained within the program. In order to develop Bachelor programs in tourism and quality assurance, a practical component of the program is enhanced, in particular, the Memorandum of Cooperation between “Grigol Robakidze University” and “European Public College of Tourism, Regional Development and Informatics” was signed. This means that the parties will jointly develop and implement targeted projects and the students of both parties will be involved in this project. In particular, study tours to the various tourist destinations are planned, joint seminars with participation of local and foreign experts promoting the enhancement of both theoretical and practical parts are organized. For the enhancement of students practice and internship, the Agreement of Cooperation between “Grigol Robakidze University” and Ltd “Newkaz” (Tourism development center) was signed. This means provision of the students involved in this project with practice facilities.

The interuniversity conferences were held at the University, in which the students involved in the program participated. The participation of students in such events promotes the development of research and communication skills, the formulation of a qualified decision-making and initiatives and their effective presentation before the audience.

### **Conclusion:**

Preparation of tourism specialists and raising the preparation of their quality must be based on the technological progress made in this field and the specifics of labor spent. Following the above-mentioned, we can conclude that the present level of the tourism education and staff training in the tourist sector of Georgia fails to meet the international demands of tourism industry both quantitatively and qualitatively. The present situation on the market of tourist service education needs urgent measures, particularly to improve its qualitative indicators.

We think, preparation of specialists of tourism will be extremely useful to Georgia which possesses significant tourist potential and can become in the long term one of the most developed tourist countries.

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# ASSESSMENT OF CRIME AND SECURITY TRENDS IN GEORGIA: FINDINGS AND RESULTS OF VICTIMIZATION SURVEYS 2010-2013

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## Abstract

The author of the article analyzes the results of four waves of victimization surveys carried out in Georgia in 2010-2013 and registered crime (criminalization) data from annual reports of the Ministry of Internal Affairs of Georgia. The results of these analytical researches have acquired an additional interest in relation with the October 2012 parliamentary elections in Georgia and the reforms carried out by the new government to decriminalization of the criminal legislation and mitigation of sentences. The author analyzes the criminal effects of the general amnesty implemented by the new authorities in early 2013, which has reduced the number of inmates in Georgia's prisons by about 60%. The author also discusses indices of victimization dynamics in the past 20 years, perception of personal safety and public opinion about general criminal conditions in Georgia.

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**Keywords:** Criminalization, Victimization, Registered Crime, Personal Safety, Security, Public Opinion

## Introduction:

Georgia is a small developing economy with a population of about 4.5 million people and a gross national income (GNI) per capita of US\$ 3,136.<sup>237</sup> Over the past eight years Georgia undertook significant economic, social and governance reforms resulting, inter alia, in progress in reducing corruption, crime rates and in developing a more favorable environment for business. Sound fiscal and monetary policies supported by structural reforms supportive of supply-side dynamics also contributed to foster economic growth particularly in larger cities. Despite shocks caused by the 2008 conflict with Russia and the following global economic downturn and a sharp decrease of the foreign investments, Georgia was capable to recuperate macroeconomic stability and to recover progressively.

The October parliamentary elections marked the first democratic transfer of power in the country's history; the elections were widely recognized by election observation organizations as the most free and fair ever in Georgia. The program of the new governing Georgian Dream Coalition "for Strong, United Georgia" reaffirms stability-oriented macroeconomic policy as a dominant medium term objective. The program also emphasizes efficiency, transparency and accountability of public finances and reaffirmed commitments to further public finance reforms.

October's Georgian parliamentary elections brought about the nation's first peaceful transfer of power. Amidst political uncertainty, the country faces serious economic legal and governance problems. A particularly serious problem for the new government becomes the decriminalization of criminal laws and reduces the number of inmates in Georgia's prisons.

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<sup>237</sup> Nationals Statistics Office of Georgia (2011). The 2012 UN HDI shows a GNI per capita of USD 5,005 (purchasing power parity terms).

The number of prisoners dramatically rose as a result of the policy of "zero tolerance" pursued by President M. Saakashvili. Thus, in the period from 2004 to 2012, the number of inmates in Georgia's prisons grew from 11000 to 24079, and reached the average 570 persons per 100,000 populations.<sup>238</sup> It was the highest level of prisoners in Europe after Russian Federation.

After the parliamentary elections in October 2012, the number of prisoners has reduced by more than half for the last one year mainly because of enforcement of the broad amnesty. In January of 2013, the number was reduced to 13,170 and in February it was 11,107 according to the data of the Prison Ministry.

After the amnesty opposition party and some experts declared that the amnesty would cause a serious increase in crime and a general rise in crime of Georgia, other experts have refuted these forecasts.

For an objective analysis of the criminal situation in Georgia the author has analyzed official data on the number of recorded crimes and the results of victimization studies conducted in 2010 - 2013 years.

One of the most reliable sources of information of registered crimes can be found among the statistics maintained by law enforcement bodies, such as the police.

Three factors generally influence the number of registered crimes recorded by police officials:

- 1) The existence of a criminal code,
- 2) How effectively the population reports crime to the authorities, and
- 3) The desire and capabilities of police to react and investigate reported crimes.<sup>239</sup>

In general, as a country becomes more developed, a greater tendency exists in reporting crime to responsible authorities, and data are better maintained on the crime rate, per 100,000 citizens. However, official figures are not the sole indicator of the level of crime in any given country. Statistical data are additionally provided and supported by the findings of surveys, interviews and studies. Survey results are useful in determining the efficiency of law enforcement bodies, crime prevention and improvement of measures for fight against crime.

Until 2004, unbiased statistical data concerning the dynamics and level of crime in Georgia were not available. It has been widely reported domestically and internationally that corrupt and unprofessional law enforcement bodies used various measures in their attempts to conceal the actual number of crimes committed. They even blocked and/or impeded the official registration of committed crimes. As a result, the number of crimes registered by the MIA (for example 17,397 crimes were registered in 2003). However, in reality this number failed to reflect the existing situation at the time (see table 1).

The approaches towards official registration of reported crime substantially changed in 2004. As a result, the performance of law enforcement bodies in terms of detecting and investigating crimes substantially improved what is clearly reflected in statistical data.

The number of registered crimes in 2006 was 62283 is a three-fold increase in the crime rate since 2003 (see table 1). The overall registered crime rate peaked in 2006-2007, and then started decreasing. Consequently, the reflected drop as found herein is deemed as the direct result of an actual decrease of the crime rate in the society.

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<sup>238</sup> Geostat, Composition of GDP, 2012.

<sup>239</sup> F. Adler, G.M. Mueller, W. Laufer (2007) – Criminology and Criminal Justice System. Six Edition Part 1. 1 Understanding Criminology, Chapter 2 Counting Crime and Measuring Criminal Behavior

**Table 1. Registered crimes by MIA**

| Type of Crimes   | 2003         | 2004         | 2005         | 2006         | 2007         | 2008         | 2009         | 2010         | 2011         | 2012 |
|--|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|------|
| <b>Total</b>   | <b>17397</b> | <b>24856</b> | <b>43266</b> | <b>62283</b> | <b>54746</b> | <b>44644</b> | <b>35945</b> | <b>34739</b> | <b>32261</b> |      |
| <b>Among them:</b>   |              |              |              |              |              |              |              |              |              |      |
| <b>Aggravated crime</b>  | <b>10326</b> | <b>17833</b> | <b>24320</b> | <b>29249</b> | <b>13158</b> | <b>13028</b> | <b>11093</b> | <b>9987</b>  | <b>9016</b>  |      |
| <b>Attempted and premeditated murder</b>                           | <b>499</b>   | <b>538</b>   | <b>697</b>   | <b>666</b>   | <b>741</b>   | <b>653</b>   | <b>494</b>   | <b>418</b>   | <b>336</b>   |      |
| <b>Intentional bodily harm</b>                                     | <b>253</b>   | <b>371</b>   | <b>368</b>   | <b>271</b>   | <b>157</b>   | <b>200</b>   | <b>134</b>   | <b>126</b>   | <b>94</b>    |      |
| <b>Rape</b>  | <b>52</b>    | <b>62</b>    | <b>141</b>   | <b>167</b>   | <b>156</b>   | <b>100</b>   | <b>84</b>    | <b>82</b>    | <b>78</b>    |      |
| <b>Armed robbery</b>   | <b>556</b>   | <b>1316</b>  | <b>2087</b>  | <b>2751</b>  | <b>1208</b>  | <b>2684</b>  | <b>700</b>   | <b>398</b>   | <b>261</b>   |      |
| <b>Robbery</b>   | <b>1013</b>  | <b>1733</b>  | <b>1925</b>  | <b>2160</b>  | <b>1615</b>  | <b>2684</b>  | <b>958</b>   | <b>638</b>   | <b>485</b>   |      |
| <b>Theft</b>   | <b>5593</b>  | <b>10634</b> | <b>16256</b> | <b>27657</b> | <b>18587</b> | <b>14814</b> | <b>11473</b> | <b>11371</b> | <b>11383</b> |      |
| <b>Categories</b>  |              |              |              |              |              |              |              |              |              |      |
| <b>Burglary</b>  | <b>1785</b>  | <b>1887</b>  | <b>2998</b>  | <b>3523</b>  | <b>2684</b>  | <b>2347</b>  | <b>1860</b>  | <b>1552</b>  | <b>1381</b>  |      |
| <b>Car theft</b>   | <b>388</b>   | <b>260</b>   | <b>292</b>   | <b>611</b>   | <b>307</b>   | <b>267</b>   | <b>154</b>   | <b>117</b>   | <b>86</b>    |      |
| <b>Theft of Livestock</b>  | <b>-</b>     | <b>-</b>     | <b>-</b>     | <b>783</b>   | <b>527</b>   | <b>544</b>   | <b>417</b>   | <b>417</b>   | <b>476</b>   |      |
| <b>Fraud</b>   | <b>483</b>   | <b>543</b>   | <b>674</b>   | <b>2395</b>  | <b>2222</b>  | <b>1844</b>  | <b>1761</b>  | <b>1326</b>  | <b>1326</b>  |      |
| <b>Illegal production, acquisition, keeping and etc. of drugs.</b> | <b>1945</b>  | <b>1941</b>  | <b>2074</b>  | <b>3542</b>  | <b>8493</b>  | <b>8699</b>  | <b>6336</b>  | <b>5465</b>  | <b>3776</b>  |      |
| <b>Hooliganism</b>   | <b>487</b>   | <b>706</b>   | <b>1314</b>  | <b>1208</b>  | <b>858</b>   | <b>724</b>   | <b>524</b>   | <b>435</b>   | <b>455</b>   |      |
| <b>Juvenile delinquency</b>  | <b>617</b>   | <b>557</b>   | <b>755</b>   | <b>997</b>   | <b>674</b>   | <b>759</b>   | <b>575</b>   | <b>543</b>   | <b>533</b>   |      |

*Note: Not all registered crimes are included in the above table.*

As the analysis of registered crimes of MIA for the period January-March 2013 show, the crime rate in spite of a broad amnesty to criminals has increased slightly for certain types of crimes which include theft and drug addiction. At the same time some decrease in crime rates have been reported in other crimes like murder and fraud. This indicates that despite the claims of oppositions and a number of experts, the country managed to avoid the uncontrolled growth of crime in 2013.

**Table 2. Recorded Crime in Georgia 2012-2013 (January-March)**

| Period        | 2012           |                |             | 2013           |                |             | Increase/Decrease |
|---------------|----------------|----------------|-------------|----------------|----------------|-------------|-------------------|
|               | Recorded crime | Detected crime | Detection % | Recorded crime | Detected crime | Detection % |                   |
| January       | 3266           | 733            | 22,44%      | 3927           | 972            | 24,75%      | +661<br>+20,24%   |
| February      | 3300           | 710            | 21,52%      | 3818           | 826            | 21,63%      | +518<br>+15,7%    |
| March         | 3525           | 773            | 21,9%       | 4396           | 1124           | 25,5%       | +871<br>+24,7%    |
| January-March | 10033          | 2890           | 28,8%       | 11708          | 3837           | 32,7%       | +1675<br>+16,6%   |

**Table 3. Recorded and Detected Crime in Georgia 2012-2013 (January-March)**

| Period        | 2012           | 2013           | Increase/Decrease |
|---------------|----------------|----------------|-------------------|
|               | Recorded crime | Recorded crime |                   |
| January       | 3266           | 3927           | +661<br>+20,24%   |
| February      | 3300           | 3818           | +518<br>+15,7%    |
| March         | 3525           | 4396           | +871<br>+24,7%    |
| January-March | 10033          | 11708          | +1675<br>+16,6%   |

**Table 4. Recorded and Detected Specific Crime in Georgia 2012-2013 (January-March)**

| Crime               | 2012           |                |             | 2013           |                |             | Number/% |       |
|---------------------|----------------|----------------|-------------|----------------|----------------|-------------|----------|-------|
|                     | Recorded crime | Detected crime | Detection % | Recorded crime | Detected crime | Detection % | +/-      | +/-   |
| Homicide            | 37             | 28             | 76%         | 30             | 28             | 93%         | -7       | -18%  |
| Attempt of Homicide | 84             | 72             | 86%         | 52             | 48             | 92%         | -32      | -38%  |
| Assault             | 35             | 21             | 60%         | 40             | 30             | 75%         | +5       | +14%  |
| Rape                | 27             | 9              | 33%         | 27             | 12             | 44%         | 0        | 0%    |
| Theft               | 3875           | 928            | 24%         | 4886           | 1495           | 31%         | +1011    | +26%  |
| Car theft           | 30             | 29             |             | 29             | 26             |             |          |       |
| Robbery             | 139            | 75             | 54%         | 187            | 97             | 52%         | +48      | +34%  |
| Armed Robbery       | 95             | 49             | 51.58%      | 192            | 101            | 53%         | +97      | +102% |
| Fraud               | 780            | 168            | 22%         | 393            | 66             | 17%         | -387     | -50%  |
| Drug Crime          | 1275           | 938            | 73.57%      | 2212           | 1522           | 68.81%      | +937     | +73%  |

### The dynamics of victimization in Georgia (1992-2012):

While discussing the problem of victimization in Georgia, it is necessary to conduct comparative analysis of the level of victimisation during different periods of the country's development. A victimization survey was conducted by GORBI in 1992 and 1996, and 2010-2013. This experience gives us the opportunity to draw a clearer picture of both personal and HH crimes, and their associated dynamics.<sup>240</sup>

The following table shows that the victimization level in 2012 for almost every crime dropped in comparison with 1992 and 1996, and this marked reduction has been between 5 – 15 times in scale (figures are over a period of five years).

**Table 5 - Level of Victimization in Georgia 1992 – 2012 years.**

|                                  | Last 5 yrs. | Last year | Last 5 yrs. | Last year | Last 5 yrs. | Last year | Last 5 yrs. | Last year | Last 5 yrs. | Last year |
|----------------------------------|-------------|-----------|-------------|-----------|-------------|-----------|-------------|-----------|-------------|-----------|
|                                  | 1992        |           | 1996        |           | 2010        |           | 2011        |           | 2012        |           |
| Car theft                        | 15.4        | 6.3       | 16.8        | 3.3       | 1.1         | 0.1       | 0.4         | 0.0       | 0.4         | 0.1       |
| Theft from and out of car        | 31.1        | 10.8      | 34.7        | 10.7      | 7.27        | 2.2       | 3.6         | 0.9       | 3.0         | 0.9       |
| Car vandalism                    | 14.5        | 4.1       | 5.1         | 1.7       | 1.7         | 0.8       | 0.9         | 0.5       | 1.2         | 0.5       |
| Burglary                         | 9.9         | 2.5       | 13.8        | 3.6       | 2.7         | 0.5       | 2.2         | 0.5       | 1.6         | 0.3       |
| Attempted burglary               | 8.2         | 2.1       | 9.7         | 3         | 1.2         | 0.1       | 0.7         | 0.1       | 0.5         | 0.1       |
| Robbery/armed robbery            | 5.8         | 1.8       | 7.2         | 2.5       | 0.6         | 0.2       | 0.4         | 0.2       | 0.2         | 0.00      |
| Theft of other personal property | 13.4        | 3.5       | 19.1        | 6.5       | 2.1         | 0.8       | 1.0         | 0.2       | 0.9         | 0.2       |
| Assault/threat*                  | 5.3         | 0.6       | 7.9         | 3.2       | 1.1         | 0.18      | 1.1         | 0.5       | 1.0         | 0.4       |

<sup>240</sup> Short description of survey methodology. Public opinion surveys were conducted in 2010 -2013. The survey was completed using a multi-stage national representative sampling. The respondents represented whole Georgia with the exception of the breakaway territories (South Ossetia and Abkhazia). Only those aged 16 years and older were included as respondents. The first and second waves of the survey were conducted with PAPI (Paper Assisted Personal Interview) and the third wave with CAPI (Computer assisted Personal Interview) methodology. A total of 9,000 respondents were interviewed as part of 2010-2012 surveys and in 2013 only 1,000 respondents. This sample was weighted during the data analysis stage, based on geographic representation and demographic parameters, in order to best reflect the proportional distribution of the sampling.

\* In the survey of 2010 -2011 in Georgia the question for assaults and threats are asked separately. The figures in the table are combined.

The following table reflects the victimization level, ranging from the crime of theft from inside and outside of a car in 1992 (31.1%) compared to 2012 (3%), which is a ten-fold decrease.

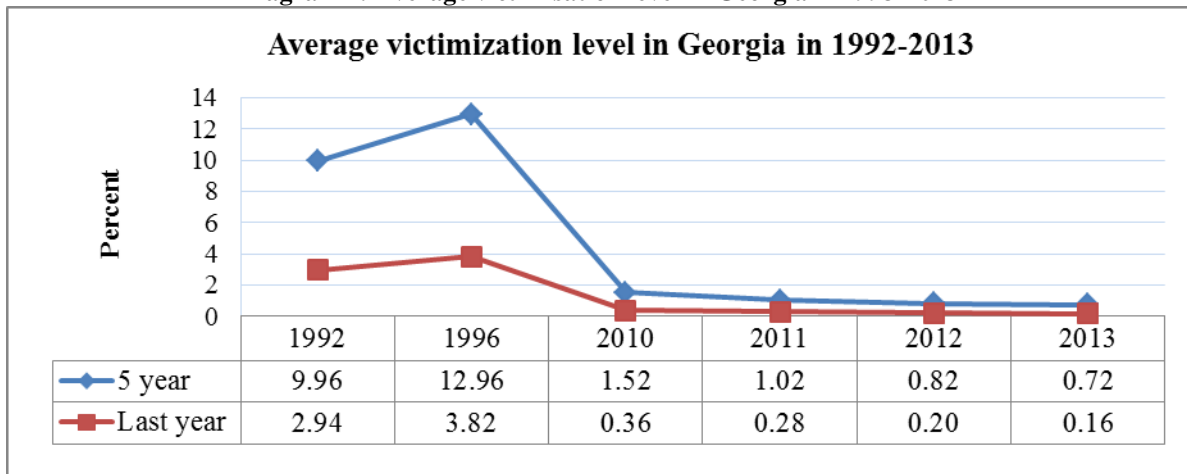
While observing the pattern of crime levels in the years noted, the percentage of several types of crimes when compared to 1992 significantly decreased. For example, in 1992, 6.3% of car owners declared in the last year that their car was either stolen or driven without their permission. Compared to 1996, this figure decreased to the level of 3.3%, and in 2010, only 0.02% of car owners indicated that they had suffered from this type of crime in the last year.

In addition, the survey of 2011 did not reveal a single instance of car theft in the preceding year. However, according to the survey of 2012, 0.1% last year among car owners were victims of car theft.

The level of victimization according to various types of theft in 1992 was 3.5% and in 1996 - 6.5%, which was almost a two-fold increase. Last year, victimization was 0.2%, which is 32.5 times less.

The same ratios are maintained for the following five year periods: 1988-1992; 1992-1996, and 2006-2010 – the level of victimization in 2007-2011 in comparison to the 1990's is 5-10 times lower comparing to crime rate in 90s.

**Diagram 1. Average victimisation level in Georgia in 1993-2013**



The large differences in data have a scientific explanation and are related to many objective and subjective factors that are not within the scope of this research.

### **Comparison of victimization level in Georgia and in Europe:**

Comparison of the victimization level in Georgia and in European countries provides us with the opportunity to evaluate the results of reforms in the spheres of law enforcement and the Georgian judiciary systems.

The comparison demonstrates that the average level of victimization in Georgia is one of the lowest found among European countries. In 2010, 6 western countries conducted the victimization survey. The comparison shows that the level of victimization, according to 10 crimes for the last 5 years, is much higher in those countries than in Georgia. The average data for these countries is 46.5%, which is 9 times higher than the Georgian results in 2012 (5%) (See table 5).

**Table 5. Victimization over 5 year's prevalence, Comparison with other countries**

|                | Survey year | Overall victimization for 10 crimes | Car theft | Theft from and out of car | Motorcycle theft | Bicycle theft | Burglary | Attempted burglary | Robbery/armed robbery | Theft of other personal property | Sexual incidents against women | Assaults and threat of violence* |
|----------------|-------------|-------------------------------------|-----------|---------------------------|------------------|---------------|----------|--------------------|-----------------------|----------------------------------|--------------------------------|----------------------------------|
| Canada **      | 2010        | 41                                  | 5.1       | 16.9                      | 5.5              | 15            | 5.6      | 5.7                | 2.7                   | 11.3                             | 6.1                            |                                  |
| Denmark        | 2010        | 52.7                                | 4.8       | 13                        | 11.4             | 26.1          | 10.6     | 5.3                | 2.8                   | 13.2                             | 2.7                            | 9.9                              |
| Germany        | 2010        | 42.2                                | 1.5       | 12.6                      | 3.3              | 16.5          | 5.4      | 5.6                | 2.8                   | 14                               | 5.1                            | 11.3                             |
| Georgia        | 2010        | 10.4                                | 1.1       | 7.3                       | 2.8              | 1.5           | 2.7      | 1.2                | 0.6                   | 2.1                              | 0.1                            | 1.1                              |
| Georgia        | 2011        | 6.0                                 | 0.4       | 3.6                       | 4.5              | 0.5           | 2.2      | 0.7                | 0.4                   | 1.0                              | 0.1                            | 1.1                              |
| Georgia        | 2012        | 5.0                                 | 0.4       | 3.0                       | 0.8              | 2.4           | 1.6      | 0.5                | 0.2                   | 0.9                              | 0.1                            | 1.0                              |
| Georgia**<br>* | 2013        |                                     |           | 0.9                       |                  |               | 1.9      |                    | 0.7                   | 0.9                              |                                | 0.2                              |
| Holland        | 2010        | 52.2                                | 1.8       | 15.6                      | 6.4              | 23.7          | 4.8      | 7.2                | 4                     | 12.6                             | 3.7                            | 13                               |
| Sweden         | 2010        | 44.9                                | 3.5       | 10.4                      | 4.7              | 20.2          | 3.7      | 3.3                | 2.4                   | 12.1                             | 4.8                            | 11.8                             |
| Great Britain  | 2010        | 41.6                                | 3.7       | 14.5                      | 12.7             | 12.6          | 5.7      | 7.1                | 3.4                   | 11.6                             | 5.6                            | 14.3                             |

### Perception of personal safety:

“The positive perception of safety leads to behaviours that reduce the risk of victimization for vulnerable groups within society, and as it is widely acknowledged, fear of crime can result in serious curtailment of everyday activities, lost opportunity, and a reduction in the quality of life”.<sup>241</sup>

“If fear becomes extreme and residents retreat from going out into public spaces, the result may be a gradual decline in the character of communities, which in turn can lead to increased disorder and a higher level of crime”.<sup>242</sup> Overall, the vast majority of Georgians are not worried about becoming a victim at their place of residence (home), in local areas or somewhere in the country as a whole. The analysis of questions concerning worry of being victimized (2013 Crime and Security Survey) demonstrated this positive trend. If we compare the latest results to 2010/2012 Crime and Security Survey we observe the following: In 2013, a majority of respondents were “not worried at all” about being physically attacked over the preceding 12 months, or about a family member/person or close associate being physically attacked or falling victim to a burglary 63,9%- 66,5% In 2012, the number of respondents who were also “not worried at all” over the proceeding 12 months about being physically attacked, about a family member/person or close associate being physically attacked or falling victim to burglary was on the same level (74.7%-76.1%). The number of respondents who were worried of becoming victim of such cases in 2013 were 2.7%-3.3% and in 2010 - 2.7%-4.8%.

\* Assaults and threats of violence are summarized.

\*\* Note: in sexual offences are calculated only the incidents against females

\*\*\* Victimization Survey in 2013 comprised only 5 mentioned crime.

<sup>241</sup> Johnson, H. (2005) Crime Victimization in Australia: key results of the 2004 International Crime Victimization Survey. Research and public policy series, no. 64: Canberra, Australian Institute of Criminology.

<sup>242</sup> Skogan, W. (1986) Methodological Issues in the Measurement of Victimization. In Tonry, M. and Morris, N. (eds) Crime and Justice: A Review of Research. Chicago, IL: University of Chicago Press.

**Table 6. Fear about victimization in Georgia 2010-2013**

| 2010 year  | Not worried at all | Not very worried | Not worried | Fairly worried | Very worried | Worried |
|--|--------------------|------------------|-------------|----------------|--------------|---------|
| Worried about being physically attacked                            | 70.9%              | 25.8%            | 96.8%       | 2.5%           | 0.2%         | 2.7%    |
| Worried about family member/person close being physically attacked | 65.8%              | 28.6%            | 94.4%       | 4.4%           | 0.3%         | 4.8%    |
| Worried about burglary   | 67.0%              | 27.5%            | 94.5%       | 4.1%           | 0.5%         | 4.6%    |
| 2011 year  | Not worried at all | Not very worried | Not worried | Fairly worried | Very worried | Worried |
| Worried about being physically attacked                            | 75.8%              | 20.6%            | 96.4%       | 2.70%          | 0.40%        | 3.10%   |
| Worried about family member/person close being physically attacked | 73.5%              | 22.4%            | 95.9%       | 2.70%          | 0.20%        | 2.90%   |
| Worried about burglary   | 75.5%              | 20.5%            | 96.0%       | 3.10%          | 0.60%        | 3.70%   |
| 2012 year  | Not worried at all | Not very worried | Not worried | Fairly worried | Very worried | Worried |
| Worried about being physically attacked                            | 76.13%             | 21.89%           | 98.02%      | 1.48%          | 0.10%        | 1.58%   |
| Worried about family member/person close being physically attacked | 74.78%             | 22.19%           | 96.97%      | 2.08%          | 0.29%        | 2.37%   |
| Worried about burglary   | 74.71%             | 22.36%           | 97.07%      | 2.38%          | 0.19%        | 2.58%   |
| 2013 year  | Not worried at all | Not very worried | Not worried | Fairly worried | Very worried | Worried |
| Worried about being physically attacked                            | 66,5%              | 29,9%            | 96,4%       | 3,3%           | 0,0%         | 3,3%    |
| Worried about family member/person close being physically attacked | 63,9%              | 31,9%            | 95,8%       | 3,5%           | 0,1%         | 3,6%    |
| Worried about burglary   | 67,1%              | 29,4%            | 96,5%       | 2,7%           | 0,4%         | 3,1%    |

*Combined “not worried at all” and “not very worried” categories are combined in the “not worried” column and “fairly worried” and “very worried” in the “worried” column.*

*Don't know answers are not included in the table; they are also not treated as system missing cases.*

Among those who declared that they try to avoid certain places because it is not safe, 76 were females and 26 were males. They were mainly from 21-30 and 16-20 age groups; mainly residing in urban areas and in Tbilisi.

These results suggest that after a long lasting anomy, there is a steady process of improvement in interaction within Georgian society. Constitutional rights of citizens are actually being protected and they are ensured of the protection of their right to life, health and private property. The decrease in trust of mutual assistance is probably linked to the difficult economic situation, especially when financial assistance is expected from the third person.

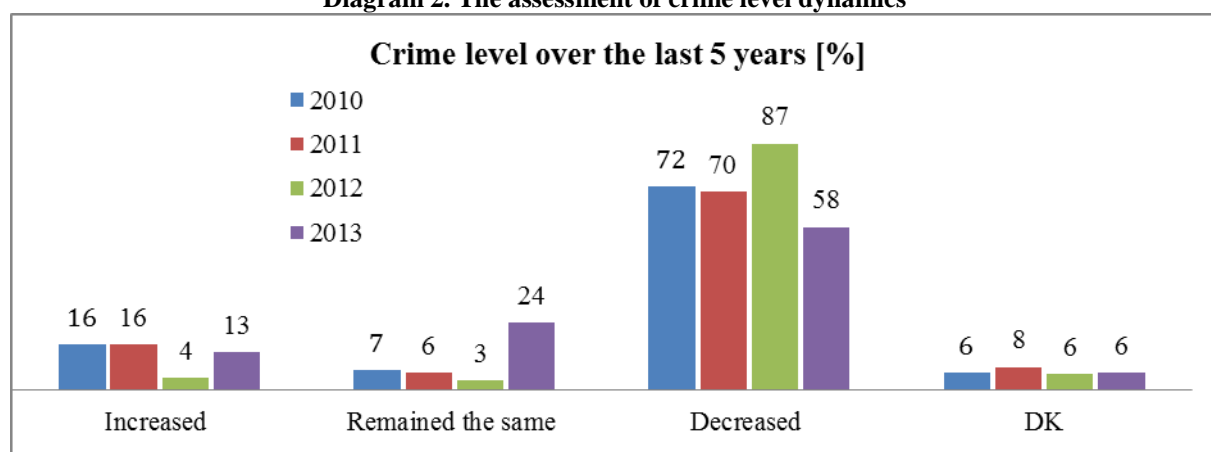
#### **Assesment of general criminal conditions in Georgia:**

The survey of 2010-2013 showed that 70% - 87% think that the level of crime has been reduced; the number of those who believe that the level of crime has increased fell from 16%



to 4%, and the number of those who think that crime remained the same fell as well, from 7% to 3%.

**Diagram 2. The assessment of crime level dynamics**



When considering the reasons why crime rates have decreased, in 2010-2012 respondents primarily mention the following:

1. The result of judiciary reforms - proper performance of law enforcement - 58%-82%;
2. Effective performance of a reformed judiciary system 7%-18%;
3. Appropriate criminal law policy 9%-12%;
4. Effective measures taken in combating against of the “thieves in law” 30%-37%;
5. Overcoming corruption in the state government 11%-12%;
6. Improvement of economical conditions 2%-5%.

**Table 7. The reasons for reduction in a level crime**

|  | 2010 | 2011 | 2012 |
|--|------|------|------|
| Proper performance of law enforcement bodies   | 58   | 74   | 82   |
| Effective measures taken in combating against the establishment of the “thieves in law” and its traditions | 34   | 30   | 37   |
| Overcoming corruption in the state government  | 11   | 12   | 12   |
| Effective preventive measures (providing information about crime and its outcomes)                         | 6    | 11   | 13   |
| Appropriate criminal law policy  | 9    | 9    | 12   |
| Effective performance of a reformed judiciary system   | 7    | 8    | 18   |
| Improvement of economical conditions   | 5    | 2    | 4    |
| Other  | 1    | 0    | 6    |
| DK   | 25   | 4    | 15   |

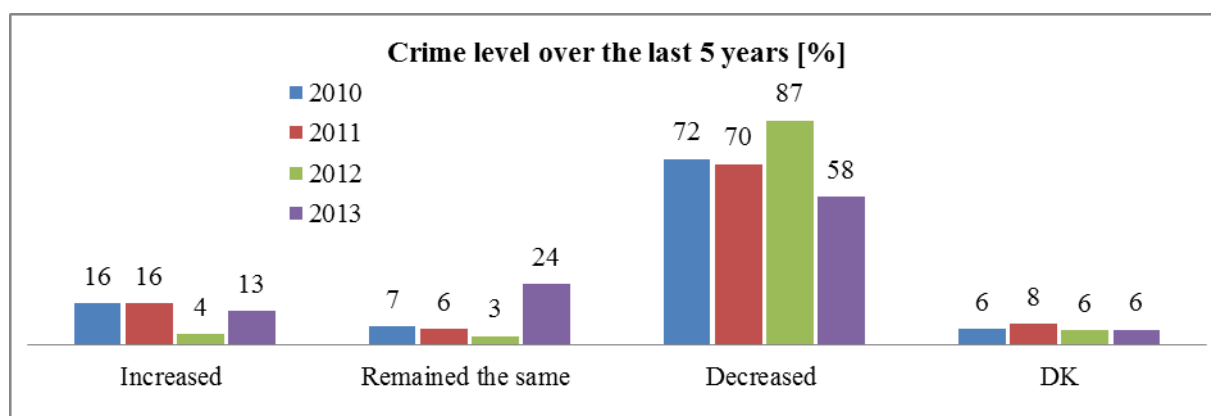
The following reasons were named by the respondents for an increase in the rate of crime in 2010-2012:

1. Economic instability and the current financial crisis – increased unemployment 73%-77% (in 2011 was 73.3%);
2. Poor social conditions 55%-64%;
3. Increase of drug and alcohol usage 16% - 10%;
4. Parenting problems – poor parenting skills 10.9% (in 2011 - 11.1%);
5. Political factors – political instability 4%-13%;
6. The outcomes of the 2008 Russian-Georgian war 2-3%;
7. The gaps in the performance of law enforcement bodies – lack of professionalism in law enforcement bodies 8%-13%;
8. Penalties not being severe enough 6%-8%.

**Table 8. The reasons for the increase of crime level**

|   | 2010 | 2011 | 2012 |
|---|------|------|------|
| Increased unemployment                            | 77   | 73   | 73   |
| Poor social conditions                            | 55   | 63   | 64   |
| Poor parenting skills                             | 12   | 11   | 11   |
| Increase of drug and alcohol usage                | 16   | 10   | 10   |
| Political instability                             | 11   | 8    | 13   |
| Penalties not being severe enough                 | 6    | 6    | 8    |
| Lack of professionalism in law enforcement bodies | 7    | 4    | 14   |
| Illegal arms trafficking                          | 8    | 2    | 6    |
| Russian-Georgian war                              | 3    | 2    | 2    |
| Other   | 2    | 1    | 4    |
| DK  | 4    | 5    | 7    |

The respondents are optimistic about future trends in fighting crime. According to survey of 2010-2012 45% - 68% respondents believe that the level of crime will decrease. The number of respondents who think that the crime level will increase has fallen from 8% to 2%; 31% - 36% of respondents said that they “don’t know”.

**Diagram 3. Anticipation of crime level over the last 5 years**

The following data were obtained from the question: what crime prevention measures have you heard about? The majority of respondents (56.7%) named broadcasting of TV commercials and analytical programs; less than half (40.2%) mentioned special rehabilitation and re-socialization programs being developed by Georgian Orthodox Church for drug users; just every fourth (25.7%) respondent mentioned meetings at schools, and other educational institutions in support of legal literacy and crime prevention; 7.5% named meetings with the district police inspector; creating billboards about specific crimes (i.e., against trafficking or drugs) was also mentioned by 10.6%; a limited number of respondents, 6.2%, named the distribution of leaflets and brochures in the struggle against specific crimes. Every fifth (21.2%) respondent has not heard about any crime prevention measures.

### Conclusion:

In the last decade, Georgia was characterized by volatility and fluctuations in the crime rate, structure, and distribution, which is reflected in all the main statistical figures (of crime rate, all registered crimes by MIA, convicted persons, prisoners and probationers).

Since 2003, the fight against crime has become a state priority, gaining a systematic character that is reflected in the decrease of crime indexes and the stabilization of crime conditions.

Neither the Russian-Georgian war of 2008, and the parliamentary elections of 2012, nor political or economic tension and amnesty have influenced the crime level and tendencies. The results of all four waves of the Crime and Security survey shows a decrease in every statistical representation of crime level, stabilization and a drastic improvement of the crime situation.

According to the survey results from 2010-2013, citizens have gained a more optimistic attitude toward the crime situation in Georgia. For the last three years, the number of respondents who believe that the crime rate has dropped increased. Meanwhile, the number of respondents who believe that the crime level has risen decreased. The number of those respondents who believe that the crime level has remained the same has decreased as well.

According to the surveys of 2010-2013, respondents less worried about being physically attached personally or worried about family member or about burglary.

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# LEGALIZATION OF ILLEGAL PROCEEDS. SUBJECTIVE COMPOSITION (THE MODEL BASED ON DIRECT INTENTION)

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## Abstract

Subjective composition of legalization of illegal proceeds is related to the fact that an individual acknowledges the character of his/her actions and, what is of utmost importance, he/she is well informed about the illegal origin of monetary resources and other property; in other words, he/she purposefully legalizes proceeds. This issue is not solved in the legislations of foreign countries. Three models of the subjective side of an action can be pointed out by generalizing different approaches: the model that is based on direct intention, the model that includes indirect intention, the model that takes into consideration imprudence. This article deals namely with the model based on direct intention.

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**Keywords:** Criminal law, Subsumption, Legal composition, Illegal proceeds, Responsibility of criminal law

## Introduction:

The specificity of subject composition is revealed by the conducted researches. It is ascertained that legalization is possible only in the framework of direct intention. In the process of money laundering, direct intention means that an individual acknowledges illegality of his/her actions; he/she understands that the results of such actions can be unlawful and admits inevitability of such results.

## The model based on direct intention:

There are two versions of the model based on direct intention. In the criminal code of certain countries (Kazakhstan, Kirgizstan, Moldova, Tajikistan, Turkmenistan, Latvia, etc.), attention is focused on “acknowledgement of criminality of obtained property”. In the criminal code of other countries (Switzerland, China, America, etc.), attention is concentrated on the purpose that reveals the above mentioned feature as the basic one in the composition of legalization of illegal proceeds. For instance, in the criminal code of China are pointed out the actions concealing features and sources of criminal actions. According to the criminal code of Switzerland, responsibility does to a person who purposefully acts to avoid exploring the origin and location of property values and their confiscation.

Thus, indubitable knowledge of illegal origin of monetary sources and property as well as the purpose of money laundering – legalization of proceeds indicates direct intention. The model based on direct intention is not debatable among the most of scientists.

We consider that legalization can be achieved only with direct intention. In the process of legalization, direct intention means that a person acknowledges illegality of his/her own actions; he/she foresees the possibility of unlawful results and is not against such results. If a criminal invests “dirty” money in real estate or buys foreign currency with this money and delays selling it for a while to avoid inflation or is waiting for

investing this money in the profitable business, the signs of legalization are found in his/her actions.

The subjective side of the action is that a person who acts according to the Article 194 of the Criminal Code of Georgia should necessarily be aware of the illegal origin of incomes. "Necessity" means that a person was informed about the fact that other persons gained the property illegally. A criminal can learn from a "buyer" that the income was illegal; he/she can also guess that illegality according to the circumstances when illegal property is purchased.

The acting legislation of criminal law proceeds from the necessity of knowing prohibitions of criminal law what is in direct relation with "necessity" of understanding legalization. Right after the issue of criminal law, it is considered that any citizen without exception is aware of it and appealing to its unawareness is groundless. The given law classifies those particular financial operations that can be considered as suspicious and be taken under control. That is why such actions are taken as true unless the opposite is proved.

According to the Criminal Code of Georgia, responsibility of criminal law occurs when a person who accomplished legalization actions was necessarily aware that monetary sources or other property was purchased by other persons illegally. So, a person should not guess but be aware of the illegal origin of monetary sources or other property and the particular facts of illegal actions performed for getting them.

We have to ascertain how absolute and necessary such knowledge should be including understanding the means of illegally purchased property, the qualification of the actions and other circumstances. Therefore, we think that it is not necessary a criminal be familiar with the particular committer of a crime.

Different issue to such issue is given in the Council of Europe Convention on Laundering, Search, Seizure and Confiscation of the Proceeds from Crime. In the Article 6 of the Convention is stated that an offender "ought to have assumed that the property was proceeds from crime". Thus, the Convention puts less emphasis on the legacy of the origin of property as it focuses on the criminal origin of property.

According to the subjective signs of actions considered by the Article 194 of the criminal law of Georgia, it is important to determine the concept of "legalization".

The definition of the subjective side of money laundering is detailed in the USA legislation. For instance, the main signs of the subjective side are given in law on "struggle against money laundering" issued in the USA in 1986. According to this nominative act, the case can be qualified as money laundering if this person is involved in financial actions or

- deliberately supports such illegal activity;
- comprehends that the financial operation covers the real nature and location of the source of proceeds for the purpose of appropriating the property;
- understands that the financial operation is necessary to avoid the requirements of the law that concerns presenting the report on the operation.

It is interesting that the USA legislation is directed to the final composition of the process. For instance, transportation, transferring, sending taxation documents are considered as money laundering. The USA law states that transportation is a crime if a person illegally takes monetary documents from one country to another or

- deliberately supports such illegal activity;
- realizes that such documents ensure getting proceeds from crime (illegal proceeds);
- acknowledges that such transportation covers the real nature and location of proceeds for the purpose of appropriating the property;

- understands that transportation is accomplished to avoid the requirements of the law that concerns presenting the report on the operation<sup>243</sup>.

Denying “illegal acknowledgement and focusing on “acknowledgement of only criminal origin of a thing” will cause serious obstacles in practical activity. According to the Article 194 of the Criminal Code of Georgia, different main types of crime can be the reason for imprisonment. According to the Article 194 of the Criminal Code of Georgia, only those persons will be imprisoned who committed the main crime related to acquiring monetary sources and other property. But those persons who acquired the property of anti-law origin are left beyond the prison. It is clear that such approach to the issue is not proper.

It should be mentioned that giving the legal status to monetary sources or other property is a special form of deception and has nothing in common with the qualification of the actions preceding the legalization process. If a person misappropriated property and then sold it, he/she is judged for the both crimes under the Article 194 of the Criminal Code of Georgia. Let us bring some examples:

- P. borrowed 1000 USD from M. P. purchased drug from an unknown person and later sold it. The same day, he used the part of his illegal income to cover his debt.
- G. sold the stolen beet to the local store. He was paid in cash. Because of this, he was arrested. The money was used for ongoing needs. The realization of the beet is qualified as legalization.
- Two people overused alcohol and stole products from the stalls of local citizens. They sold the part of the product.
- The burglar brought a tape-recorder to the trade pavilion and declared that it belonged to him.
- The criminal gang members that used to sell drugs legalized the profit. Particularly with this money they bought cars, apartments, jewelry, TVs, radios, furniture and converted the part of the money into foreign currency.

All the mentioned cases do not have any certain aim for legalization. A criminal always misappropriates property of other people for self-interest. A thief steals money to spend; a swindler lies to a victim to become rich, etc. Such actions are described in the appropriate articles on crime. They acquire additional qualification according to the Article 194 of the Criminal Code of Georgia.

The fact of using proceeds from crime for entrepreneurial and other economic activities should not be considered as legalization if the income gained from these activities is not legal. The aim of the legalization process for an offender is to cover the criminal origin of the obtained property and monetary resources and create conditions that make others consider their property as legal.

### **Conclusion:**

Thus, after the analysis of the qualification rules of the legalization of proceeds with the subjective signs of composition, we came to the following conclusion:

The characteristic sign of the subjective side of the legalization of proceeds “laundering” – obviousness means that a person who committed actions considered by the Article 194 of the Criminal Code of Georgia undoubtedly knows that monetary resources or other property was gained illegally by others. True, a person who legalizes illegally gained property is not required to know all circumstances occurring while purchasing this property illegally. For instance, there is no necessity for an offender to know a particular action doer; an offender is not required to know how exactly this property was gained; he/she should acknowledge that the property is gained illegally.

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<sup>243</sup> G. Stessens (2000) Money laundering: a new international law enforcement model. Cambridge, p. 82-108.

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# NATURE AND FUNDING OF THE INFORMAL APPRENTICESHIP SCHEME IN PORT HARCOURT, RIVERS STATE

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## Abstract

This paper focused on the nature and financing of the informal apprenticeship scheme in Port Harcourt Metropolis. A total of 1080 respondents (360 masters craftsmen/women and 720 apprentice) were randomly drawn from 18 different trades in Port Harcourt City and Obio/Akpor Local Government Areas of Rivers State. A questionnaire tagged 'Assessment of the Management of the Informal Apprenticeship Scheme (AMIAS)' was used for the collection of data it consisted of 19 items and contained five sections. The reliability of the instrument was determined using the test retest method, with Pearson Product Moment Correlation Coefficient reliability of 0.65. The data gathered were used to answer four research questions and three hypotheses using frequency, percentages, mean, standard deviation and z-test statistical tools at 0.05 level of significance. The study revealed that majority of master craftsmen/women and apprentices have secondary school certificates, also the gender distribution existing amongst participants of the scheme consisted of more males than females. The study also revealed that the majority of participants in the scheme usually obtain funds through loans, proceeds from the business and fee payments by apprentices. Some of the most intense challenges facing the scheme included funding, inadequate workshop space and absence of stable electricity supply. Based on the findings the researchers recommended the use of curriculum and syllabus that will enable students attend apprenticeship training at trade centers. The provision of stable electricity, grants, loans, credits and incentives such as provision of training equipment should be made available to motivate participants of the scheme.

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**Keywords:** Informal Apprenticeship, Master Craftsman, Apprentice, Economic Empowerment

## Introduction

Since time immemorial, people have been transferring skills from one generation to another in some form of apprenticeship training. Four thousand years ago, the Babylonian Code of Hammurabi ensured that artisans teach their crafts to youths. Egyptian, Greek, and Roman historical records reveal that skills were passed on from one generation to the next through apprenticeship means (Microsoft Encarta encyclopedia, 2009).

In Nigeria, apprenticeship training existed during the pre-colonial era, clans and families jealously guarded their lineal skills through customs, family lineage and rituals. Skills were passed on within the family by training young people on family trades, crafts and skills. Male children born into a certain family or clan learnt their ancestral crafts and young children were usually recognized as members of a particular family or clan through the crafts they engaged in. The youths were trained on the art of mask-making, fishing, farming, metal works (blacksmith), boat-making, hunting, carving, sculpting, mat-making and dyeing. Most young apprentices during this period were mostly males, because female children were usually found in the kitchen learning how to cook (Microsoft Encarta encyclopedia, 2009).



Informal apprenticeship scheme has become very popular in Nigeria. It is a major source of livelihood, means of being employed and actively engage in an economically worthwhile ventures. There are different enterprises that engage in apprenticeship schemes, which include; welding, auto-mechanics, auto-electricians, tailoring, generator repairing, mobile phone repairing, carpentry, furniture making, catering, manicure/pedicure, and plumbing. These trades of the informal apprenticeship scheme are recognised as a means of absorbing and training unemployed youths through manpower development and economic empowerment (Ariyo, 2001).

### **Objective of the Study**

The prime objective of this study was to assess the nature and management of the informal apprenticeship scheme. Specifically, the study was designed to achieve the following objectives: a) Investigate the nature of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State. b) Determine the funding arrangement of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State. d) Identify the challenges of running a functional informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State.

### **Research Questions**

Explicitly, the following research questions were addressed in the study.

1. What is the nature of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State?
2. How is the informal apprenticeship scheme funded in Port Harcourt Metropolis, Rivers State?
3. What are the challenges being faced by the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State?

### **Research Hypotheses**

The following hypothesis tested at 0.05 alpha were formulated to guide this study:

1. There is no significant difference between the funding methods adopted by master craftsmen and the funding methods adopted by apprentices in the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State.
2. There is no significant difference between the challenges of master craftsmen and the challenges of apprentices in the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State.

### **Methodology**

A combination of simple random sampling, stratified sampling and accidental sampling were employed in the sample selection. Through a process of simple random sampling, 11 (50%) communities were sampled from each Local Governments. This generated a total of 22 communities that were sampled from the stated Local Government Areas. The sampled communities had a combined total of 2456 master craftsmen and 3361 apprentices of the informal apprenticeship scheme. Then through the process of accidental sampling, the researcher sampled 360 (15%) master crafts persons from, 720 (21%) apprentices of the informal scheme from the selected communities in Rivers state. In the same way, through a process of simple random sampling, a sample comprising of 18 informal enterprises were sampled (welding, fabrication, carpentry, tailoring, auto-mechanics, auto-electrician, furniture making, catering, plumbing, painting and hairdressing). The instrument used for data collection in this study was a fixed response questionnaire, titled "Assessment of the Management of the Informal Apprenticeship Scheme (AMIAS)". The questionnaire was

designed specifically for two different groups of respondents namely; masters and apprentices.

### **Scope of the Study**

The study covered only the informal apprenticeship schemes operating in Port Harcourt Metropolis which comprises of Port Harcourt City Local Government and Obio/Akpor Local Government Areas of Rivers State. The research was limited to these local governments because of their cosmopolitan nature, also they possess the highest concentration of informal apprenticeship trades in Rivers State, in addition to time and budget constraints. It determined the distributive characteristics of masters and apprentices within the informal apprenticeship system, the financial involvement, and contributions of private and governmental agencies to the informal apprenticeship system and the challenges of the informal apprenticeship scheme.

### **Literature Review**

#### **Conceptual Framework**

##### **Nature of the Informal Apprenticeship System**

Skill training in Nigeria occurs in the private and public sectors, the most significant institution that provides such training in the private sector is the informal apprenticeship scheme. This scheme is no doubt the most important method of skills transfer in the country's informal economy. This is because they offer a more cost effective and flexible means of skills transfer that absorbs a larger number of youths in Nigeria than their formal and publicly financed counterparts. Informal apprenticeship is very popular in most urban centers in Nigeria, they account for about 85% of skills training and transfer in most parts of the country (National Directorate of Employment Annual Report, 2009).

According to Ariyo (2001), the informal economy is regarded as the powerhouse of developing economies of the world. Its importance is based on the fact that it accounts for more than 80% of agricultural employment and 95% of new jobs in these countries, including a vast number of unemployed youths and young people that enter the labour market annually. As a form of education and training, informal apprenticeship contributes significantly to youth employment and empowerment, thereby reducing youth restiveness, while ensuring productivity and better employment opportunities.

Although the informal apprenticeship provides a vital training route for skills acquisition in many countries, women in Nigeria and parts of West Africa do not have access to apprenticeship training. The International Labour Organization (ILO, 2006) in its School-to-Work Transition Survey, which is a statistical tool constructed to help countries ensure gender equality is adopted in their employment policies and programmes, provided guidelines on upgrading the informal apprenticeship system. Such guidelines included the provision of more gender friendly and welcoming strategies for both men and women. Some of these strategies by the ILO are yet to be implemented in Nigeria and other developing countries.

Women of all ages in Nigeria often face greater obstacles when choosing, starting and taking part in an informal apprenticeship skill. This is because they usually lack access to training, information, capital and are sometimes victimized or discriminated against during training. The situation is even more severe for poor and uneducated women who lack the knowledge and will power to stand up for themselves. In Nigeria, it is assumed that most of the trades where informal apprenticeship is practiced tend to be male dominated. The only trades dominated by women are hairdressing, catering, decorating, while in tailoring it is sometimes equally divided in terms of number of men and women (Asodike, 2005).

In addition, understanding the age distribution in the informal apprenticeship scheme is crucial to understanding the distribution of population in the system. The age range from apprentices to masters in the informal apprenticeship training system is from 11 to 60 years of

age in Nigeria and differs from enterprise to enterprise. It is in a bid to help young people find employment outside the formal system that informal apprenticeship admits applicants below the legally acceptable age. In some parts of the country children between the ages of 10 to 14 work, as apprentices and in some cases 49% of school age children are in the informal apprenticeship system in Nigeria (Ariyo, 2001). Majority of these children if not in the informal apprenticeship end up on the streets hawking just to make ends meet. It is in recognition of this fact that the government is making it possible for more and more young people to be apprentices in certain enterprises rather than wander the streets. Most of these children are from poor homes, they are abused physically, emotionally, and if they are young girls, sexually abused at their apprenticeship training centers.

According to Breyer (2007) apprentice on average have some level educational attainment, only about 3% of apprentices do not have any form of educational qualification whatsoever. The informal apprenticeship training is embarked upon by apprentices as an alternative to formal education this is because most of them cannot afford secondary, higher or technical education. As such they result to apprenticeship schemes as a means of acquiring some skills that will make them employable in the society. It has been noticed that there is a disparity amongst the educational qualification attained by masters compared to apprentices. Masters tend to have attained a higher level of education compared to their apprentice counterparts, a reason for this is that masters are much older and have had the chance to go through technical/secondary/higher education at some point in time, although not in all cases.

### **Funding the Informal Apprenticeship Scheme**

In developing economies such as Nigeria, the funding of the informal apprenticeship system differs from State to State. There are a variety of funding sources which can financial and non-financial involvements of informal apprenticeship in the country. The level of contribution to the economy also differs from one region to another. While some areas are strict about the financial requirement of applicants, trainers and trainees, others are more liberal and tolerating. Generally, it agreed that financial resources are essential to the organization and management of the informal apprenticeship scheme in developing countries (Velenchik, 2005).

Youths engage in apprentice training in Nigeria as a means of skills development and employment. These youths make some form of cash or in-kind payments to the master craftsperson, usually paid at the commencement of the training or during the training (instalments) or at the end of the training exercise (graduation payment). The cost of training fees depends on the cost of the training, cost of training materials used for the training exercise, and the opportunity cost of the master craftsperson's time. The contributions of the master in terms of training time, expenses incurred both living expenses or damages from the apprentice are usually higher at the beginning of the training, but in the long run both (apprentice and master) benefit from the exchange.

### **Challenges of the Informal Apprenticeship Scheme**

According to Hofmann, Nubler and Greiner (2000) there are several problems facing the organization and management of the informal apprenticeship scheme in developing countries such as Nigeria, most of these difficulties are peculiar to the various trades. There are also difficulties that are common to all trades and some of these challenges include stable electricity supply, poor training facilities, workshop space, funding, among others. These problems tend to increase the cost of production good or service. For instance, most trade centers require electricity but in the absence of stable electric power in most developing countries, these trade centers result to using generators to carry out their activities and this increases their running cost.

In developing economies, each enterprise has its own challenge, in the tailoring enterprise, availability of electrical sewing machines and modern facilities for tailoring are limited. While in the carpentry enterprise, carpenters tend to suffer from the use of outdated tools, they also have poor access to quality timber, poor use of safety materials, maintenance, poor designs and methods of construction. While in auto-mechanics, the obvious challenges are lack of expert training courses in skills improvement and use of modern technologies, and increasing complexity of modern cars, and also a lack of quality vehicle parts (Hofmann, Nubler and Greiner, 2000).

## Results

The presentation and analysis of the data contains the answers to the research questions and the results of the test of hypotheses on the management of the informal apprenticeship scheme in Port Harcourt Metropolis of Rivers State. Frequencies, percentages, mean, mean set, standard deviation, z-test and p-value were all utilized in the presentation of the results of findings from the research.

**Research Question 1:** *What is the nature of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State?*

The researcher first determined the nature of the informal apprenticeship scheme in Port Harcourt Metropolis. The various features such as the age of participants, gender, educational qualification of participants in the various trades, age distribution, duration of training, award of graduation certificate and the enterprise registration with government, were used to achieve this and the results of the data analysis are presented in Tables 1, 2 and 3.

Table 1: Frequency and percentage distribution of participants by age, sex and level of educational qualification.

| S/N | Parameters                | Category                         | Frequency | Percent (%) |
|-----|---------------------------|----------------------------------|-----------|-------------|
| 1.  | Age                       | Less than 30                     | 605       | 56.0        |
|     |                           | Between 30 & 45                  | 417       | 38.6        |
|     |                           | Above 45                         | 56        | 5.2         |
|     |                           | Total                            | 1078      | 99.8        |
| 2.  | Sex                       | Male                             | 904       | 83.7        |
|     |                           | Female                           | 174       | 16.1        |
|     |                           | Total                            | 1078      | 99.8        |
| 3.  | Educational Qualification | No formal education              | 125       | 11.6        |
|     |                           | First Leaving School Certificate | 301       | 27.9        |
|     |                           | Secondary School Certificate     | 561       | 51.9        |
|     |                           | NCE, OND or Equivalent           | 8         | 7.1         |
|     |                           | Total                            | 1064      | 98.5        |

Source: Research Fieldwork 2012.

As clearly shown in frequency and percentages, the number of respondents in the informal apprenticeship scheme in the age range less than thirty is 605 (56%), while those between thirty and forty is 417 (38.6%) and those above forty five is 56 (5.2%). Also the sex distribution of respondents indicates that 904 (83.7%) of respondents are male while 174 (16.1%) are female. This means that more males constitute the number of respondents than females. Similarly, 561 (51.9%) of the respondents attested that they have completed secondary education, while 27.9 percent of participants indicated that they have obtained their First Leaving School Certificate and 1.5% of respondents indicated that they completed some form of tertiary education. This means that majority of master craftsmen and apprentices have acquired some form of formal education, although majority have secondary school certificate, followed by those with primary school certificate.

Table 2: Frequency and percentage of training duration of apprentices.

| S/N            | Duration of training in years | Frequency | Percent (%) |
|----------------|-------------------------------|-----------|-------------|
| 1.             | 1                             | 5         | 0.5         |
| 2.             | 2                             | 286       | 26.5        |
| 3.             | 3                             | 646       | 59.8        |
| 4.             | 4                             | 131       | 12.2        |
| 5              | 5                             | 10        | 0.9         |
| Total          |                               | 1078      | 99.8        |
| Missing system |                               | 2         | 0.2         |
| Total          |                               | 1080      | 100.0       |

Source: Research Fieldwork 2012.

Table 2 in frequency and percentages categorized the duration of training of apprentices in the informal apprenticeship scheme between 1 to 5 years. The results as shown has revealed that 646 respondents representing 59.8% are undergoing training lasting durations of 3 years, while 5 (0.5%) of respondents indicated that training takes place within 1 year. Most training last between 2 and 3 years and only few (.5%) takes place within one year and above 3 years (13.1%).

Table 3: Frequency and percentage distribution of graduate certificates award and registration of enterprise with the government.

| S/N | Parameters                                 | Response | Frequency | Percent (%) |
|-----|--|----------|-----------|-------------|
| 1.  | Graduates Receive Certificates             | Yes      | 176       | 16.3        |
|     |  | No       | 902       | 83.5        |
|     |  | Total    | 1078      | 99.8        |
| 2.  | Registration of enterprise with government | Yes      | 169       | 15.6        |
|     |  | No       | 911       | 84.4        |
|     |  | Total    | 1080      | 100         |

Source: Research Fieldwork 2012.

Indicated in frequency and percentages, is the awarding of certificates to graduates of the informal apprenticeship scheme. 902 (83.5%) of respondents indicated that the awarding of certificates to graduates is not an integral aspect of their training, while 176 (16.3%) of respondents indicated that the receiving of certificates is an essential aspect at the end of their training. While the registration of the informal apprenticeship enterprises is not an essential aspect of most enterprises, as shown by 911 (84.4%) of respondents who stated that their business are not registered.

**Research Question 2:** *How is the informal apprenticeship scheme funded in Port Harcourt Metropolis, Rivers State?*

The second issue scrutinized in this study is the subject of funding of the informal apprenticeship scheme in Port Harcourt Metropolis, master craftsmen and apprentices were compared and the result of the analysis addressing this is stated in Table 4.

Table 4: Mean of the assessment of the funding among masters and apprentices.

| S/N            | Funding Method                           | Mean    |             | Mean set |
|----------------|--|---------|-------------|----------|
|                |  | Masters | Apprentices |          |
| 1.             | Personal funding                         | 1.06    | 1.11        | 1.10     |
| 2.             | Government assistance                    | 1.77    | 1.77        | 1.77     |
| 3.             | Fees from trainees                       | 1.84    | 1.89        | 1.87     |
| 4.             | Loans                                    | 1.82    | 1.90        | 1.88     |
| 5.             | Proceeds (profit) from trainees          | 1.81    | 1.85        | 1.84     |
| 6.             | Apprentices pay fees to masters          | 1.17    | 1.18        | 1.84     |
| 7.             | Apprentices make an in-kind contribution | 1.23    | 1.22        | 1.22     |
| 8.             | Apprentices buy toolboxes for training   | 1.73    | 1.61        | 1.64     |
| 9.             | Masters provide toolboxes to apprentices | 1.28    | 1.33        | 1.31     |
| 10.            | Apprentices are paid allowance           | 1.71    | 1.77        | 1.75     |
| Aggregate Mean |  | 1.54    | 1.56        | 1.56     |

Source: Research Fieldwork 2012.

As reflected in the Table, a total of ten possible funding features were considered. Based on the mean weighting for these factors, 1.06 and 1.84 for masters and 1.11 and 1.90 for apprentices, it is obvious that the range of response weighting falls below the 3.00 approximately, which is agreed by the questionnaire response mode. Similarly, the highest aggregate mean set is 1.88 on the issue of loans, which has a mean of 1.82 and 1.90 for masters and apprentices respectively. While the lowest aggregate mean set is 1.10 on the issue of personal funding, it has a mean of 1.06 and 1.11 for masters and apprentices respectively.

**Research Question 3:** *What are the challenges being faced by the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State?*

The final issue to be examined in this study is the challenges or difficulties being faced by participants (masters and apprentices) in the informal apprenticeship scheme in Port Harcourt Metropolis. In view of this, the masters and apprentices were compared and the results of the data analysis addressing this issue are presented in Table 5.

Table 5: Mean of the assessment of the challenges facing the Informal apprenticeship scheme, among masters and apprentices.

| S/N            | Challenges                          | Mean    |             | Mean Set |
|----------------|-------------------------------------|---------|-------------|----------|
|                |                                     | Masters | Apprentices |          |
| 1.             | Funding challenges                  | 3.42    | 3.40        | 3.41     |
| 2.             | Availability of training facilities | 1.66    | 1.66        | 1.66     |
| 3.             | Stable electricity supply           | 3.14    | 3.06        | 3.08     |
| 4.             | Poor Access to Materials            | 1.48    | 1.49        | 1.48     |
| 5.             | Irregular Attendance                | 1.28    | 1.42        | 1.38     |
| 6.             | Poor Participation                  | 1.29    | 1.46        | 1.41     |
| 7.             | Inadequate Workshop space           | 2.83    | 3.22        | 3.12     |
| Aggregate Mean |                                     | 2.27    | 2.13        | 2.34     |

Source: Research Fieldwork 2012.

As shown on Table 5, a total of 7 possible challenges were studied. Judging by their mean response weighting, it is clear that three of these problems relate to both masters and apprentices of the informal apprenticeship scheme in Port Harcourt Metropolis. This is as result of the fact that the mean weighting for challenges facing the scheme range from 1.29 to 3.42 for masters and 1.42 and 3.40 for apprentices. In addition, the mean set ranges between 1.38 and 3.41, funding challenge (3.41), inadequate workshop space (3.12) as revealed in the picture extract in figure 1. Stable electricity supply (3.08) was amongst the highest ranked challenges faced by both masters and apprentices in the informal apprenticeship scheme. The least challenge being faced in the scheme was irregular attendance and this can be attested to by a combined mean set of 1.38.

### Test of Hypotheses

**Hypothesis 1:** *There is no significant difference between the perception of master craftsmen and apprentices on the funding of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State.*

This first hypothesis compared the mean opinion scores of master craftsmen and apprentices on funding. The results of the data analysis are presented in Table 6.

Table 6: z-test of the difference between the funding methods and apprentices on nature of funding of the apprenticeship scheme.

| S/<br>N | Funding Variables                      | Master        |      | Apprentice    |      | z-value | p-value | Remark   |
|---------|--|---------------|------|---------------|------|---------|---------|----------|
|         |  | Weighted Mean | S.D  | Weighted Mean | S.D  |         |         |          |
| 1.      | Personal funding                       | 1.059         | .237 | 1.112         | .344 | -1.529  | .127    | Not Sig. |
| 2.      | Government Aid                         | 1.771         | .442 | 1.773         | .427 | -.045   | .964    | Not Sig. |
| 3.      | Apprentices buy tool kits for Training | 1.729         | .517 | 1.609         | .489 | -2.248  | .025    | Sig.     |
| 4.      | Loans                                  | 1.822         | .384 | 1.900         | .300 | -2.251  | .025    | Sig.     |
| 5.      | Profit from business                   | 1.805         | .398 | 1.848         | .368 | -1.055  | .292    | Not Sig. |
| 6.      | Apprentices pay fees to master         | 1.170         | .377 | 1.177         | .382 | -.184   | .854    | Not Sig. |
| 7.      | Apprentices are paid allowances        | 1.712         | .455 | 1.771         | .429 | -1.250  | .212    | Not Sig. |

Source: Research Fieldwork 2012.

As shown on table 6, the two categories of respondents were compared on the nature of funding of the apprenticeship scheme using 7 funding variables. The result shows that master craftsmen and apprentices differ significantly on use the purchase of toolkits by the apprentices and loans as funding requirements. The null hypothesis is therefore rejected for those two funding variables, for the remaining five funding variables there is no significant difference.

**Hypothesis 2:** *There is no significant difference between the challenges of master craftspersons and apprentices of the informal apprenticeship scheme in Port Harcourt Metropolis, Rivers State.*

The second hypothesis was tested to compare the challenges participants encounter in the informal apprenticeship scheme, the results are presented on table 7.

Table 7: Z-test of the difference between the challenges of master craftsmen and apprentices of the informal apprenticeship scheme.

| S/<br>N | Challenges Variables           | Master        |       | Apprentice    |      | z-value | p-value | Remark   |
|---------|--------------------------------|---------------|-------|---------------|------|---------|---------|----------|
|         |                                | Weighted Mean | S.D   | Weighted Mean | S.D  |         |         |          |
| 1.      | Funding challenge              | 3.424         | .659  | 3.398         | .650 | .364    | .716    | Not Sig. |
| 2.      | Availability of training tools | 1.655         | .781  | 1.656         | .807 | -.011   | .991    | Not Sig. |
| 3.      | Stable electricity supply      | 3.136         | .978  | 3.060         | .890 | .772    | .441    | Not Sig. |
| 4.      | Poor Access to Raw Materials   | 1.475         | .701  | 1.486         | .683 | -.151   | .880    | Not Sig. |
| 5.      | Irregular Attendance           | 1.280         | .508  | 1.456         | .667 | -2.047  | .041    | Sig.     |
| 6.      | Poor Participation             | 1.288         | .634  | 1.456         | .667 | -2.480  | .014    | Sig.     |
| 7.      | Inadequate Workshop space      | 2.839         | 1.086 | 3.222         | .849 | -3.862  | .000    | Sig.     |

Source: Research Fieldwork 2012.

As revealed on Table 7, the p-value for challenge variables 1 to 4 are all higher than 0.05 at which the test was conducted, the differences are therefore not significant, thus the null hypothesis is not rejected. This means that there is no significant difference between the master craftsmen and apprentices on the challenges they face in the informal apprenticeship scheme. However, the p-value for irregular attendance (0.041), poor participation (0.014) and inadequate workshop space (0.000) are all less than 0.005 at which the test was conducted. Thus, there is a significant difference in the opinion of master craftsmen and apprentices on these variables this means that the null hypothesis is rejected. Since the mean for inadequate workshop space is high than the other variables, it is the most significant challenge affecting master craftsmen and apprentices of the informal apprenticeship scheme.

## **Discussion of Findings**

As a result of the study, some findings were reached and revealed in terms of the informal apprenticeship scheme. It was discovered that the age distribution of masters and apprentices in the informal apprentice scheme depicts that a vast majority of participants in the scheme are below the age of 45 years. Velenchik (2005) agreed with this finding by stating that small apprenticeship enterprises are made up of mostly youths (apprentices) with a few experienced masters (adults). The overwhelming number of youths in the scheme can also be explained by the increase in the rate of school dropouts, particularly at the secondary level. Most of these youths are either forced by their illiterate parents to leave school and begin apprenticeship training to earn income and acquire skills.

The study revealed that the funding of the informal apprenticeship scheme is in a manner such that majority of the funds for the scheme are obtained through loans, proceeds from the business and training fees charged. The amount of fees charged seems to be based on the turnover, duration of training, the cost of training and cost of training equipment. This confirms the findings of Breyer (2006), who stated that entrepreneurs who do not have access to bank loans tend to charge significantly higher fees than their counterparts who do. Therefore, difficulty in obtaining bank loans can be considered a major factor that determines the cost of training.

It was also found out through the study that the major challenges plaguing the scheme was funding, stable electricity, duration of training, irregular attendance, inadequate workshop space amongst others. Funding is a foremost problem facing the scheme, because it directly determines the quantity and quality of the enterprises. Access to financial facilities according to Manu (2003), is of great importance to both masters and apprentices, this is because the cost of training, cost of materials, running cost of the business are all major financial factors that small scale enterprises require.

As a final point, the study discovered that other serious challenges facing the scheme besides funding include inadequate workshop space and stable electricity supply. Most enterprises lack enough space for their operations and this can be attributed to several reasons such as congestion of buildings in the cities, cost of renting or buying a larger space among others. This inability of entrepreneurs to afford a large enough workshop space is another factor that creates the problem of inadequate workshop space. It is vital to point out that limited workshop space makes it difficult for trainees to be properly educated as a result of cramped conditions and lack of adequate training facilities for the limited space, thus reducing efficiency and effectiveness of the training exercise.

## **Conclusion/Implications**

Considering the present status of operation of the informal apprenticeship scheme and the challenges confronting it, the scheme does not have the prospects of adequately realizing its overall objective of functionally employing youths into different sectors of the Nigerian economy. Also it lacks properly structured training programmes and lessons that will guarantee that the fundamentals of a particular trade or skill are taught to apprentices. This is because the scheme is not receiving adequate attention and support from the government, the general public and the organized private sector.

The implication of this conclusion is frightening, at this present level of operation these training centres will at best produce half-baked graduates who can neither employ themselves nor train others functionally. This is true considering the fact that most training centres are ill equipped and manned by master craftsmen without much education or skill to offer apprentices. Furthermore, it was discovered that the funding arrangement of the scheme is inadequate; particularly funds for developmental purposes, provision of necessary materials, tools and technology are generally deficient. This has resulted in shockingly awful training centers and enterprises with little or no equipment for training purposes. It also was



discovered that most masters require some form of financial payment from apprentices in the form of training fee.

This implies that the prospects of developing functional low and middle level manpower through the apprenticeship scheme may not be realized if no attention is given to the scheme urgently. Similarly, the transmission of knowledge and skills to apprentices through non-formal education means will be seriously jeopardized, thus preventing youths from being able to acquire skills that will make them more employable, self-employed or employers of labour. These poorly trained graduates from these schemes with sufficient material empowerment will only go back to the labour market for white collar jobs.

With such implications as the above all the resources such as money and time spent on the informal apprenticeship scheme would have been a colossal loss to the economy. This is a type of loss that the economy can hardly afford, in this era of growing educated unemployment and global economic crisis. As such there is a need to remedy and transform the scheme so as to attain its desired objectives in the country and for it to meet up with its counterpart in developed parts of the world.

### **Recommendations**

Based on the study, the following suggestions are made to solve the challenges of the informal apprenticeship scheme and to ensure that the potentials of the programme are harnessed. There is a need to create a link between the formal apprenticeship scheme and the informal apprenticeship scheme, through a process of coordinating both formal and informal apprenticeship institutions to work as a team. This will guide and improve the scheme in terms of funding, administration and management. That is, formal educational institutions where apprenticeship training takes place should be structured in a manner that allows information, personnel and materials to be exchanged between the formal and informal institutions. This will ensure that the informal scheme isn't left behind and it is given equal attention as the formal scheme.

New apprenticeship techniques with flexible programmes, which will provide students of formal educational institutions the opportunity for on-the-job training at trade centers while they are still in school. For instance, students may spend three days in their respective schools and released for the remaining two days for on-the-job training at small scale enterprises within their communities. This will reduce the rate of school dropout in the various institutions in the country, while providing an opportunity for children to acquire necessary vocational knowledge.

A vital characteristic of the apprenticeship system is that apprentices take part in the production process of enterprises and learn the trade through observation, learning by doing, demonstration and instructions. Masters usually train their apprentices on all aspects of the trade, without focusing on a specific production process. This technique has its benefits, but it is also filled with disadvantages especially if not properly carried out. As such it is vital that masters are constantly trained and retrained using mobile workshops, so as to enable them obtain current methods of educating trainees in their trade.

Electricity is an essential requirement needed by most informal apprenticeship centers, because these businesses tend to operate with electricity and in the absence of stable electricity supply, these enterprises use generators, thus increasing their operating cost and the cost of training. As such it is vital that the government solves the problem of electricity supply in the country, since it will reduce cost and create an enabling environment for businesses to thrive.

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# NON-ADVERSARIAL CASES – THE FEATURES OF THE CHILD ADOPTION PROCEEDINGS

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## Abstract

The presented work is about one of the important issues of the Civil Procedure Law – the non-adversarial cases and the problems regarding the legal proceedings of child adoption in the court. Theoretical investigation of the mentioned article outlines quite clearly the legal proceedings of child adoption, the nature of the statement, also statistical analyses of the court and the legal gaps in Georgian law that need to be overcome.

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**Keywords:** Adoption, Child, Non- adversarial proceedings

## Introduction:

After gaining the independence, Georgia achieved considerable success, including the judicial field. Numerous contemporary legal acts including the Civil Procedure Code of Georgia occupying the leading position among other legislative acts have already been adopted. Specifically this Code, in particular its XXXV Chapter regulates some peculiarities of the non-adversarial cases with precisely determined category of cases distinguished for certain specificities, characterized by absence of a dispute about the right. The blunders made while deciding the issue of adoption with administrative rules stipulated the urgency of settlement of this very significant issue under the court.

Adoption in a judicial manner aims at extending legal guarantees for protection of a child as well as other persons participating in the proceedings. The urgency of this issue is mainly caused by the simplification of the rules on adoption in Georgia, which – in its turn - is caused by the amendments to the Civil Procedure Code, the subject of proper assessment and analysis.

Indisputable or the so called voluntary legal proceedings rules (jurisdiction volunteer) have its roots in Roman law where the defendant's request was not the subject of a dispute. It should be noted that the characteristics contested proceedings have long been attracting attention of the specialists of procedural sphere. Such interest was conditioned by the fact that these issues raised not only theoretical interest, but had always had great practical significance.

According to Professor T. Liluashvili, the non-adversarial proceedings, referred to as special proceedings as well, are one of the types of court proceedings differing from the action (adversary) proceedings and from simplified proceedings. Practitioner lawyers fix almost the same position while interpreting the non-adversarial proceedings; in their opinion the non-adversarial proceedings, frequently referred to as special proceedings are one of the types of a court proceedings where the court confirms and approves the presence or absence of the facts with legal significance or the circumstances on which the origination, change or elimination of civilians' personal or proprietary rights and interests depend.

In everyday life, there are the occasions when a person has certain rights, but he/she does not ensure implementation of these rights, because the facts playing the role of the basis for their origination are not frequently presented clearly and relevantly require some identification and approval. As the name suggests, there is no dispute concerning the right of

one person against another regarding material-legal request. The non- adversarial proceedings establish the facts and not the legal consequences of these facts.

The name itself – “non-adversarial proceedings” - does not say anything about their characterizing procedural feature by which they differ from the action proceedings. For a long time the civil law specialists paid less attention to the non-adversarial proceedings rules; the concepts to explain the non-adversarial proceedings and separate it from the action one were developed only in XIX century.

In Anton Menger`s opinion “The goal of the non-adversarial proceedings is to avoid the offence while the action proceedings aims at its elimination”.

According to Adolf Vakh, “The goal of the non- adversarial proceedings is to establish the human right while the action proceedings aim at restoration of the violated rights”. This opinion is agreed by E. A. Nefedyev.

The concepts mentioned above could not manage to make clear distinction between the non- adversarial proceedings and action proceedings.

The opinion that there are no objective criteria for separation of civil proceedings but assignment of civil cases to an action or non-adversarial proceedings is conditioned by the legislative approaches and reasonability was disseminated only in the beginning of XX century.

A. A. Melnikov in his interpretation of the non-adversarial proceedings indicates specifically to its goal as specific characteristics of the uncontested proceedings. The interpretation says that the civil cases are processed by the persons interested in the non-adversarial proceedings in the case of creation of the preconditions for implementation of their personal or property rights.

Modern scientists have different approach to the mentioned proceedings.

Professor Z. Dzlierishvili mentions that the non-adversarial proceedings are the objective mandatory procedural form of the court activity with procedural features differentiating them from the action proceedings; these features express their essence. Davit Imnadze, the Doctor of Law explains in his monograph the difference between the non-adversarial proceedings and the action proceedings by the fact that in the first case the dispute over the right does not exist and in the second - there are no disputing parties having opposite interests.

We think the non-adversarial proceedings are different from the action proceeding because its main basis is the dispute over material-legal right; this major difference is the fundament for the number of procedural features characterizing the non-adversarial proceedings.

Taking into consideration that the moment of non-adversarial proceedings does not include the dispute concerning the right, cases of this category are not participated by the parties (plaintiff and defendant). This fact indicates the specific feature of the non-adversarial proceedings, i.e. the non-adversarial proceedings are the unilateral proceedings; this kind of proceedings does not have any third party.

The non-adversarial proceedings envisage the special mechanism for protection of the rights awarded by the law. Such mechanism may be the application. A person lodging the complaint in the legal proceedings order will be referred to as an “Applicant”; relevantly, initiating cases of such category will be performed in the manner of applying by the applicant for confirmation of the undisputed right or for identification and establishing this or that circumstance.

According to the Article 310, within the scopes of non-adversarial proceedings the adoption is the independent case. While reviewing the issue, it is necessary to protect an applicant`s interests not because that it is urgent to defend his/her interests, but because the subjective rights should be obtained and implemented.

Adoption is distinguished for its complicated nature where the adopting and adoptive are interrelated with each other as well as with the third persons. The adoption means the legal fact which is arisen between the adopting and adoptive subjects; this is the means to establish the same legal relationship (personal or proprietary) between the adoptive and adopting subjects that might be established in the families of blood relationship.

According to the above mentioned, it should be concluded that the adoption means the following legal outcomes:

- a) Establishment of a legal relationship between the adoptive (foster parents) and the adopted, also between the relatives of the foster parents` relatives and the adopted child;
- b) Termination of any legal relationship between the adopted child and his/her parents, also with his/her biological relatives.

Thus, the issue of adoption is the legal fact for origination of right as well as for termination of legal rights.

According to the article 349 of the Civil Procedural Code of Georgia, the application for adoption should be applied by the adopting to the court according to his/her residence place or the child to be adopted. The mentioned article emphasizes the issue of alternative discussion.

As per the article 350 of the Civil Procedure Code, the application for adoption should indicate the data about the subject of adoption and his/her adopting parents, also the circumstances confirming that such adoption takes place for wellbeing and interests of the child.

The application above should be attached with:

- a) Consent of a spouse when a child is adopted by one of the spouses;
- b) Consent of a child's parent if any.

Besides the above mentioned, in our opinion, consents should be individual and independent without any condition or stipulation even in case when the both parents want to adopt a child.

According to the Georgian legislation "On Adoption and Foster Care", it is forbidden to adopt a child without participation of the adopting/foster parent at a court trial. In such a case, the court proceedings should be necessarily participated by the body of guardianship and custody; in case of any excusable reason the court session may be held with participation of one of the adopting parent.

The legislation admits some exclusion as well when the consent of the parent(s) is not necessary; this is the case when the parents of the child to be adopted are recognized by the court as missing or incapable; besides, the mentioned adoption of a child without the consent of the parent who is deprived of the parent's right will be allowed after one year from the day of such deprivation. Certainly, in such a case, no consent of the parent will be taken into consideration.

Taking into consideration that in reviewing the cases under the non-adversarial proceedings the principle of competitiveness is too restricted, filling up this gap becomes the burden of the court in some cases as only the court can inquire the case by its initiative or under an applicant's request if it is considered to be reasonable in order to decide the significant evidences correctly and make the decision on review the case at a closed court session.

Review of the issue of adoption at a closed court session is stipulated by the fact that the law intends to keep the confidentiality of adoption and envisages taking the additional measures to keep the confidentiality because the information regarding adoption is secret and its disclosure is deemed as a crime, relevantly is punishable under the criminal legislation. In our opinion, in case the adoptive parent decides to tell the child about the mentioned, it will be only his/her good will and nothing more.

Making essential and substantial review of the case, the court will make a decision on full or partial satisfaction of the application, or it may partially refuse the adoptive parents to satisfy their request for adoption of a child, for registering them in the act records/files as the parents of the child, on change of the date and place of birth of the child. In case the adoptive parent, the person adopting the child or the child under 10 refuses to make such deal before the decision of the court, the court will not make the decision on adoption.

The court will make the decision on adoption in the case if the case materials give the basis to the court to consider that such adoption complies with the interest of the subject of adoption (child) and serves his/her wellbeing.

The court decision will not be publicized in case of the request by the applicant; the indication of a lawmaker is also interesting; in particular, if the adoptive parent or the child to be adopted is 10 years old or more, the court session may be open under their request and the information will be public.

The lawmakers in connection with simplification of the adoption procedures accelerated the court decision registration periods in some manner; if there was one month period earlier, currently the term for registration is only 5 days. The mentioned period will be commenced from the day of effectiveness of the court decision; this decision will be transferred to the civil acts registration organ according to the place of such decision. Registration of the decision is mandatory as the act of adoption originates the obligation of the rights and obligations in case of registration, though such rights and obligations will be arisen not from the moment of registration but after the day of effectiveness. In our opinion, the obligation of registration is stipulated with the necessity of registration of demographic data throughout Georgia.

The statistics of the cases reviewed by Kutaisi City Court in 2010-2012 showed that the number of applications for adoption in 2010 amounted to 22, from which 21 applications were satisfied and 1 civil case was left without review.

It should be also emphasized that from the number of the applications for adoption received by the Kutaisi Court of Appeal – 5 in total – only 2 appellations were satisfied, 3 appellations were not satisfied and 2 cases were appealed under the cassation order. In I quarter of 2012, the Civil Cases Chamber of the Kutaisi Court of Appeal reviewed no case regarding the adoption.

In our opinion, the above mentioned statistics is represented in too few numbers; if taking into consideration the joint registry of the adoptive/foster parents throughout Georgia until 2000 till now, there are currently registered 2729 adoptive parents while the number of the children to be adopted is approximately 178.

The Georgian legislation "On Adoption and Foster Care" says nothing about the further control over the child adopted in Georgia.

We think it is necessary to make some amendments to the law with this respect in order to ensure that the adopted child is being grown up really in a healthy environment and the adoption meets its initial purpose.

In our opinion any governmental agency or a court should have the special mechanism to conduct control over the situation of the child after some period from the day of his/her adoption. Such practice has already been well introduced, for example, in Latvia. The Civil Code of this state contains the norm according to which the court is not limited with the decision making only but it established 6 months period during which the attention will be paid to the issue of adaptation of the child to the family; after expiration of this period the orphans' court finally approves the fact of adoption, though it reserves the right to inspect the new family at any time during 2 years from the day of adoption of a child and make sure whether the child adapts to the family well or not.

In our opinion, taking into consideration the mentioned practice will be effective approach from the government to control the environment and conditions the adopted child is

in his/her new family, as we think the adoption is the only chance for orphan children to share the happiness of growing up in a warm, safe and healthy environment.

The basis for termination of legal relations regarding the adoption is also very significant. The basis is as follows: death of the adoptive/foster parent(s) or the adopted child, recognition of death of the adoptive/foster parent(s) or the adopted child and cancelation/abolition of the adoption. Special attention will be paid to the issues of revoke and making the adoption as null and void.

Annulations of adoption will be admitted under I sub clause of the Article 27 of the Georgian legislation "On Adoption and Foster Care" if:

- a) Adoption is performed in violation of the requirements of Georgian legislation;
- b) It is demanded by the organ of tutorship and guardianship relying upon the interest of the adopted child;
- c) Court decision on the adoption is based on the false documents;
- d) Adoption is fictional.

In such cases engagement of the body of guardianship and custody in the review of the case will be mandatory.

In our opinion this requirement of the law is not focusing on the responsibility of the body of guardianship and custody but it is the recognition of its quite large and significant rights in this sphere. When the issue of cancellation of the adoption occurs due to its fictitious character, we think the court decision in such a case should not be revoked but be recognized as null and void.

There are frequent cases when the aged grandparents (grandmother and grandfather) adopt their minor grandchildren in order these grandchildren to have social allowance (pension) after the death of them (breadwinners); in our opinion, if taking into consideration the fictitious character of the issue the case of adoption should be not only revoked but it should be recognized null and void. Invalidating means that the fact had never been deemed real and no powers and rights between the adoptive/foster parents and adopted children had been arisen.

The sixth clause of the Article 27 of the same law indicates that the court decision on adoption may be deemed as invalid in compliance with the rules envisaged by the legislation of Georgia for such invalidation.

The Georgian legislation "On Adoption and Foster Care" does not separate the basis for revocation and invalidation of the adoption; the latter is regulated by the general norms of the Georgian legislation.

In our opinion, as the issue of adoption is very specific, it is necessary to specify and make clear the basis of revocation and invalidation and we should not apply the general norms mentioned above.

Besides the above mentioned, it should be emphasized that in case the adopted child is 10 years old or more, the court decision on the adoption will be revoked only upon the consent of the adopted child. Here the lawmaker gives the priority to the child's interests and his/her legal interests; it considers that the trust and love of the adopted child to his/her adoptive family is one of the dominant factors at making the decision on revocation of the adoption by the court.

It is forbidden to revoke the court decision on the adoption after achievement of the adopted child to his/her full age except the cases when such revocation is agreed by the adoptive/foster family, the adopted person and his/her biological parents.

The adoption will be null and void from the moment of the court decision; specifically, from the mentioned moment all rights and obligations will be restored to the adopted person and his/her native parents, also to his/her blood relatives.

Thus, the logic consequence from the above mentioned is delivery of the child to his/her native persons, also to restore the real name and last name of this child, though in the

last case, if the child is 10 years old or more, the issue will be decided by the court – taking into consideration the will of the child.

In our opinion, in such a case delivery of the child to his/her native parents may not be always reasonable, for example: if the parents discharge their obligations and powers improperly or if they are deprived of their parenting rights not only because the adoption of the child was officially executed; certainly, return of the child to such parents may be incompliant with the interest of the child; in such a case the law envisages delivery of the child to the body of tutorship and guardianship on the basis of the court decision; specifically the body of tutorship and guardianship will decide the issue of tutorship and guardianship of the child; though in such a case, if the adoption of the child is revoked due to improper fulfillment of the obligations by the adoptive/foster parent, the child reserves the right to receive the alimony form his/her adoptive/foster parent.

The court making the decision on revocation or invalidation of the adoption will be obliged to transfer this decision to the Civil Registry Agency within 5 days from the day of its (decision) effectiveness according to the registration of the adoption.

### **Conclusion:**

As a conclusion it may be said that the legal analysis provided in the present article proves that the amendments to the Civil Procedural Code and the Georgian legislation "On Adoption and Foster Care" simplified the process of adoption, but the problem stays the same; only simplification and the prescription of the adoption regulating norms does not mean that everything is fulfilled ideally in the life and the issue of adoption has become easy for the individuals going to adopt the child.

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# CULTURAL DIFFERENCES BETWEEN INDIA AND EUROPE, THE CHANCE FOR AN INTERNATIONALLY OPERATING MANAGEMENT

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## Abstract

The Indian market is growing very fast and therefore most important for many companies who are willing to export to low-cost countries. But the idea to sell goods in India requires more than just installing a distribution and production organization. Personal experience from the Author of this Article has shown that adapting the products tested in Europe to local conditions has not led to the desired success so far. The new approach is to develop new products with lower performance at very low costs by understanding the local customers' requirements. The following article gives an idea about the circumstances of doing business in India and wants to give an overview about criteria which needs to be taken into consideration to gain success in the Indian markets and how to transfer know-how from home markets to foreign sites.

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**Keywords:** Global Engineering, India, cost reduction

## India offers ideal conditions

More and more attempts are made to expand in low-cost countries like India. The emerging country with over one billion inhabitants is hungry for attractive products. However, there are many differences in the rules of conduct which Europeans should be aware of.

Customers differ in their rules of conduct and product applications. A business with appropriate preparation may be a reason and basis for a successful business. Which characteristics are specific for this culture and which small things can make a huge difference? Difficulties in projects often arise due to the way of communication. Time signals are perceived and can predict the chance of success.

## The customer relationship

The customer's needs and wants must be clarified before one can start with the product development and the idea of a successful market entry.

The global vision to develop products in Europe and sell them in India is feasible only with modifications according to local requirements. The following criteria are taken into consideration for the success of a global vision, taking into account local requirements:

- Important country-specific characteristics
- The local market is subject to the respective culture
- Similarities will also be analyzed and transferred.

The idea to sell goods in India requires more than just installing a distribution and production organization. Nowhere is the growth of the middle class layer greater than in India. The population in India is huge as the IMF (International Monetary Fund) shows in its ranking.<sup>1</sup> This is a mega market with many small consumers.

People in Western societies, who can spend ten times more than ten people disposing of one tenth of the budget, have different buying habits. In 2010, the annual per capita income

in the U.S. was at 47,000 U.S. dollars, in India it was only 3,000 U.S. dollars. Even with continued economic growth, it will take more than two generations to reach the income level of the United States.

Nevertheless, the income in India is steadily increasing and the demand for industrial goods is high. In addition to modern machinery, household appliances and cooling systems, the demand for mobility is rising as well. Many problems in India could be solved by using latest technology from western countries.

The will and openness to technology leadership can be found all across Germany. However, the market entry does not begin with the export office. First, it is important to leave past experience and knowledge behind. In order to be successful it is crucial to distance oneself from the dominant logic that works safely in Western societies.

Personal experience has shown that adapting the products tested in Europe to local conditions has not lead to the desired success so far. The new approach is now to develop new products with lower performance at very low costs. A 50% solution of performance with only 15% costs is desirable. It is now necessary to “start from scratch” (Vijay Govindarajan and Chris Trimble, 2012).<sup>2</sup>



Example of standard passenger transportation on highways in India

Rich countries have an excellent infrastructure. In India roads, telecommunication, power plants for energy supply, airports, schools, universities, hospitals, banks and stock of raw materials are still in the developmental phase. The following picture shows an example of the daily water supply in a suburb in India, where most of the employees and their families live. Standard safety equipment, such as handrails and guardrails, are not known. Since it rains only in the months of June and July it is most important to secure reliable water supplies all year long. Hardly anyone is looking for technical solutions as there is usually not enough money to implement them.



#### Example of a daily water supply in Aurangabad, India

The introduction of new products and ideas at the low price market is often considered critical in Western societies. This is due to the fact that in the Western civilization culture and legal traditions are different and knowledge of the consumer and safe working conditions are provided, so it is not in India, especially different education level influences this fact.

However, all these are barriers to implementing new technologies. India has better chances with less resistance and faster implementation processes. On the other hand, India has problems for which not even the wealthy countries are able to offer solutions. Nevertheless, it is possible to introduce environmentally friendly technologies that are difficult to establish in Europe as existing systems must be depreciated only once.

Derived from three principles the following emerges:

- The market opportunities in India are huge
- India is highly differentiated
- Innovation is the profit, loss of export

This actually marks significant change in the corporate culture for the parent company.

Vijay Govindarajan and Chris Trimble mention five levels of thinking. In the first level only the markets of rich countries are interesting. Developing countries do not belong to these markets. The expected profit from export transactions is considered too low. In the second level companies try to sell existing products and to slowly enter the market with the strategy of initially lower numbers and the hope that after a certain time the business increases since it is assumed that the purchasing power is increasing in developing countries. Here mainly those products are marketed which the few rich consumers can afford in developing countries. The third level is the area of customization - existing products are customized according to the requirements. The product is basically the same; there are local manufacturers that can manufacture these components more or less. Achieving a cost advantage by favorably purchasing this, there is always the risk of poorer product quality. In the fourth level a new product is developed from scratch and in the fifth level stakeholders are global and not local.



Example of the "scratch" developed vehicle concept, a vehicle developed in India with a target retail price of about 2000 Euros.

The most interesting approach is the reason for new development. One has to start with the essential requirements of the customers and a solution that contains only the necessary work. It is important to consider not only the technical solutions but also the

business model, new processes, new involvements and platform developments that can lead to success. The generation of knowledge and understanding of both global and local markets, cultures and business models is the basis for a good international team. With a timely and appropriate support from these teams, it is possible to increase the company's business to the effect that the global power center will be located in their area, the local team in India.

Expansion into new markets requires an understanding of customer requirements in these markets and it has to be taken into account for the existing product portfolio. If this new product is successful, there is a chance to not only earn money in India but also in third countries or in Europe.

### **The influence of the factual and social competence**

The following points serve as a guide for the personality development of the team members:

- The development of a profound understanding of the Indian customers
- Transfer of knowledge and abilities to India
- Social network can transfer local inventions and applications from India to Europe

These characteristics are the basis for executives who want to control their development and provide stability, creativity, versatility, flexibility and ingenuity in India. An awareness of collaboration processes must be ensured in the global organization, for this the following points should be observed:

- Management and leadership circle meetings will be organized in India
- Programs for the formation of the executives in India should be developed
- Innovation conferences in India
- Transfer of staff, responsibility and money to India
- Development of a positive opinion prevails throughout the entire organization
- India is in the spotlight because of expatriates from all over the world
- growing experience
- Corporate events in India
- Creative Board appointments
- Creation of separate business scorecards for India with full earnings expectations and a focus on India

Personal experiences in India have shown that a strong localization strategy and the idea of a new product development are very important. The biggest barrier is not science, technology or budget. The management and organization play an important role for business success here.

The new company site should be officially established inspite of buying existing indian companies. Talented team members should come from within and outside the company. It should be noted that the new team should have both knowledge of the Indian market as well as experience in working techniques of the West. Unfortunately, there are only few such professionals on the free labor market. Here, the industry has to compensate the deficits through special training. Employees need to understand what the Indian market needs and they need to be able to develop solutions for these requirements. A technical feasibility from the available options must be developed and the existing market suppliers need to be taken into account. Furthermore, one should work closely with sales and marketing and keep active exchange with the R & D team as existing processes from Europe must be revised and sometimes even re-defined.

The local team is strengthened by the ability to access all the resources of the parent organization when specific development opportunities are not available in India. Designated employees of the parent organization or a "Lead Factory" have two tasks, the support of their own projects and of the new organization in India. By licensing payments from India to the "Lead Factory" a signal is being sent that expertise and support is being delivered and will be

paid for. Apart from the need to carry this out for tax reasons, the employees of the parent organization are more motivated to transfer knowledge if monetary compensation exists.

The leaders of the global organization should receive reports on a regular basis for early detection. This is an ideal "customer scorecard" with the following contents:

- How large is the Indian market?
- Which target prices are accepted by the Indian market?
- Will the customer endorse the risk for a new revolutionary product?
- Which other competitors are in the market, how fast and how aggressive are they?
- Can the right product be developed and is this product also manufactured under the existing budget?

In order to incorporate experience faster, monthly, or even weekly leaders must adjust the plans in even smaller intervals. This also speeds up the team building and knowledge transfer in both directions. A rapid and disciplined learning process should include the following:<sup>3</sup>

- Development of a team as quickly and cheaply as possible
- Awareness of decision-making on the basis of clearly identified "Lessons Learnt" Effects
- How good is the team at finding creative solutions and in the implementation of the defined strategy?

Successful business leaders need to possess great knowledge and should have a strong accomplishment. Very important are also the social skills of the corporate headquarters and its subsidiaries. In international network entities must be represented, who know each other.

Multinational organizations must ensure the economic support through networks. The best ideas do not always come from the corporate headquarters and that is why the development of networks across boundaries should be promoted. The way of thinking, the actions and leadership of an Indian team do not differ significantly from global companies.

When setting up the network between the parent organization and India the personal bond between the Western world and the new client is very valuable. The mentality of different cultures must be understood to integrate into a new world with a different language, social habits, working hours and climatic conditions. Regarding the product definition, a comparison between existing solutions and the real needs is helpful. It is always to examine whether production processes and material selection of the parent company in the West are also suitable for India. A process analysis and the courage to change are beneficial.

### **The Indian Culture**

The friendly conversational style based on face-saving co-operation can have drawbacks, if one follows habits and experiences of the European culture. Vejn Sredić describes to his long experience in India:<sup>4</sup>

"India is a multi-faceted, for Europeans often confusing country."

However, if one is willing to understand the mindset of Indian culture, India offers huge opportunities.

Scheduling and conflict management usually need more time, compromise is much easier to achieve, provided one considers that neither party loses their face. By the willingness to adapt and redefine processes goals can be easily achieved but also the rule "create trust" applies here. Europeans often do not trust the Indians and have the feeling that Indians lie. Hard suspicion is not necessary but caution and examination are essential for success. In India, one loves long and extensive negotiations. Room for negotiation should be budgeted and it should be covered in the goal setting strategy. For Europeans it is not easy to build networks and it is possible that there are unlimited possibilities. In the public sector, it is very advisable to rely on local organizations, especially when it comes to approvals and compliance issues. Strikes are not uncommon and can lead to massive cost and schedule

problems. Contracts are suddenly worthless as there always are the unwritten information and requests between the lines.

The endurance of the Europeans in the negotiations is required and it is quickly learnt that "yes" does not necessarily mean "yes" and that a polite "yes-but" equals the European "no", which to say is considered rude in India. The Indian culture is characterized by enormous willingness to learn from a young age. They start to learn multiple languages because in almost every Indian state one speaks their own language. Even long periods of implementing training purposes are no obstacle but an opportunity for European companies for a rapid expansion. Job training is more important than experience in universities and schools in India.

Through tight management and daily retrieval of results it is easy to manage and implement change. Independent work can not be expected but it is even more important to have the knowledge and ability to be able to teach it to the workers. The quality is as demanded when previously explained exactly. Impossible things are possible for European thought patterns, such as the prototypes manufactured in record time by closely linked communication and transnational relations. Also adaptability in business is very distinctive when it is tried to implement the European parent company's properties and thought patterns. The English language has spread everywhere and in addition attempts are made to learn the European languages to deepen the relationship.

## Conclusion

Design to cost reduction and international collaboration help to achieve the idea of a successful market entry in low cost markets like India in the primer stage. But to be successful in long term strategy it is required to start thinking in different levels. With the right methods and a clear concept – the quintessential skill of the running gear specialists – even the apparently unattainable can be accomplished. The key is seamlessly integrating key processes such as design, development and manufacturing and at the same time, leaving room for new ideas and starting from scratch. This sets many things in motion, including with the cost structures. The earlier that one begins optimizing costs in the product lifecycle, the greater the potential. After all, the product and process costs down the line are determined mainly in the development and production planning phases. When material experts and suppliers, developers, product engineers and production planners all pull together, predetermined cost targets can be a real challenge. To have a clear understanding and acceptance for different culture in working, living, communication and come together the relationship between different countries is very important and will help to achieve the quality results.

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<sup>3</sup> CABRERA, BALANCE, 2012

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# CONSIDERATIONS ON THE MANAGEMENT OF INTANGIBLE CULTURAL HERITAGE OF GEORGIA

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## Abstract

During the past decades the concept of Intangible Cultural Heritage has been established in Georgia. The state takes care of safeguarding of the intangible cultural heritage of Georgia and other peoples on the territory of Georgia, as well as the intangible cultural heritage bearing the Georgian sign beyond Georgia. Georgia acceded to the UNESCO Convention in the early 2008. In 2007-2012 Georgia submitted the nomination “Ancient Georgian traditional Qvevri wine-making method”; the mechanism of registration of elements of intangible cultural heritage was developed and approved; pilot inventories were carried out, etc. For the purpose of identification, inventory, protection, preservation and in some cases restoration of intangible cultural heritage of Georgia it is highly important to establish a decentralized management system and to bring it into compliance with administrative, legislative, managerial, financial, informational, human resources, material-technical resources. In addition to that, it is critical to ensure involvement of state, private and non-governmental structures and local communities; diversification of funding sources; information support at the local, national and international level. Moreover, it is necessary to ensure the protective system of the sector with respective human resources, involvement of the museum network, cultural-educational institutions in the process of searching, recording and restoration of elements of intangible cultural heritage.

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**Keywords:** Georgian, intangible, cultural, heritage

On the basis of analysis of the conducted theoretical and practical work, as well as considering international recommendations, we consider that for full-fledged protection of intangible cultural heritage of Georgia it is required to carry out a number of actions such as: Law “On Protection of Intangible Cultural Heritage of Georgia” and a package of recommendations for making amendments to adjacent laws; State strategy for development of the sector; Long-term program of the sector development; Unified Electronic Registration System of ICH of Georgia; Cooperation with the local communities; Facilitation of scientific-research activity and etc.

The term “Intangible cultural heritage” was established among the international, as well as Georgian political and scientific community only in the early 21<sup>st</sup> century. Despite this fact, the term quickly gained recognition and the reason for that is undoubtedly the context implied by this term. Intangible cultural heritage (ICH) covers “the practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artifacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage”. The Convention for the Safeguarding Intangible Cultural Heritage adopted by UNESCO in 2003 covers five main areas: oral traditions and expressions; performing arts; social practices; knowledge and practices concerning nature and the universe; traditional craftsmanship. According to the Convention, the state should take care of safeguarding of the intangible cultural heritage of Georgia and other peoples on the

territory of Georgia, as well as the intangible cultural heritage bearing the Georgian sign beyond Georgia.

Each member state of the Convention, governs the issues related to safeguarding of intangible cultural heritage on its own, considering its political, economic, cultural-political peculiarities, as well as in accordance with the requirements of the Convention. At the same time, approach to the issue of safeguarding is special in each separate case.

Many countries of the world peculiarly cared about maintaining of traditions and knowledge of people at different stages of development over centuries. Apart from state institutions, public figures, scientists or separate activists were often involved in this activity. From the mid-19<sup>th</sup> century, this process became more or less normalized. Public figures, social organizations (“Committee for Revival of the Georgian Chant”, “Society for Spreading Literacy among Georgians”, “Philharmonic Society”, “Ethnographic Society” etc.) persistently studied, recorded, taught separate examples and entire directions of intangible cultural heritage and protected them from disappearance and metamorphosis. The information maintained by scarce technical means existing by that time (including wax rims), primarily by description or sketches, later moved to private museum or scientific-research institute archives and depositories and reached us by goal-oriented activities of state institutions from 1940s. However, due to the fragile, sensitive nature of intangible cultural heritage and considering the fact that the law had not protected intangible cultural heritage in the state for many years, many examples have simply disappeared, or scattered or simply undergone transformation.

Despite this fact, intangible cultural heritage, transmitted from generation to generation, is constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity (UNESCO, Convention for the Safeguarding Intangible Cultural Heritage, 2003).

Currently, 154 countries have acceded to the Convention. Considering the recommendations of the Convention, each of them creates a respective managerial structure, protection mechanism, action plan, information resources and other significant components which facilitate carrying out a goal-oriented policy in the sector; moreover, the Convention allows the member states to define which segment of safeguarding of intangible cultural heritage they should give an advantage to on their own, what and how they should safeguard, as appropriate. For example, in Belgium, the Decree on Protection of National Values is in force; in Bolivia – the Law on protection of centers of traditional medicine; in Peru – the Law on National Languages, Dialects and Intangible Cultural Heritage; in Latvia, Armenia, Ukraine, Moldova and several other countries – the Law “On Protection of Intangible Cultural Heritage”. It is noteworthy that the honorary title “Bearer of the Living Thesaurus of Humanity” introduced in the Moldovan law is conferred to a person, family, creative team or social group recognized as a bearer of special heritage, skills by the society or scientific community. Experience of Japan (the first decree was created in 1871 – “Decree on Safeguarding of the Ancient Artifacts and Antiquity”, adoption of legislative acts of 1919, 1929, 1950 and following years was significant), China (Law “On Protection of Cultural Values, 1950, Law on “Intangible Cultural Heritage”, 2003), Vietnam (the Law regulates the full-fledged participation of intangible heritage of a large ethnic group of the state in the economic development of the country), Algeria (Law “On Tangible and Intangible Cultural Heritage”) and several other countries is different. Administration of the sphere of activity is also different: In Hungary, the Ministry of Intangible Cultural Heritage manages the legislative, managerial, HR activities of the sector (issues decrees, elaborates national programs etc.); 10-year state program of the sector development is carried out in Uzbekistan, Belorussia, Ukraine, some republics of the Russian Federation, and various administrative



units (including scientific institutions, council, agency etc.) are responsible for its implementation.

Georgia acceded to the UNESCO Convention in the early 2008 and it was preconditioned by recognition of the “Georgian Polyphony” in the first list of world masterpieces elaborated by UNESCO in 2001. An amendment was made to the Law “On Cultural Heritage” and explanation of the essence and areas of ICH was included in it in 2007. Later, in 2011-2012, when management of the sector fell within the competence of the National Agency of Cultural Heritage Preservation, the state took more effective steps: the nomination “Ancient Georgian traditional Qvevri wine-making method” was submitted for inclusion in the UNESCO List of Intangible Cultural Heritage, the mechanism of registration of elements of intangible cultural heritage (state register, registration card form) was developed and approved, pilot inventories (sectoral “Georgian Textile and regional “Ateni Valley”) were carried out, as well as activities which facilitated awareness and involvement of various groups, including scientific, youth, local communities, non-governmental and governmental organizations in recording of the heritage, raising their awareness regarding the problems of the sector. However, considering the peculiarities of intangible cultural heritage, the above activities are not sufficient as social-economic threats, including: inadequacy of state protection mechanisms; globalization process; cultural standardization tendencies; armed conflicts; population migration; lack of human and financial resources; excessive commercialization (including for tourism or other purposes); any kind of artificial interference (including, prohibition, accommodation, placement etc.) and physical threats: termination of continuity of transfer of ICH from generation to generation; lack of protection mechanisms of bearer of ICH; destruction of generic memory of social groups and social environment of ICH, is incomplete list of threats which permanently affect the cultural heritage. Under such circumstances, it is rather important to apply state protection mechanisms in the sector.

The Convention provides recommendations for formation of state protection mechanisms in legislative, administrative, informational, economic and other directions. A long-term state policy for protection of ICH, conducted considering the above recommendations, is the guarantee of its viability.

We consider that for the purpose of identification, inventory, protection, preservation and in some cases restoration of intangible cultural heritage of Georgia, particular significance is attached to formation of decentralized management system and bringing it into compliance with administrative, legislative, managerial, financial, informational, HR, material-technical resources. In this respect, elaboration of national legislation harmonized with legislative acts on the basis of international experience is of primary importance which will comprehensively regulate the protection issues in cooperation with adjacent sectors, including: agriculture, education, local self-governance, copyright, etc.

In the course of formation of flexible management system it is critical to ensure involvement of state, private and non-governmental structures and more importantly, local communities; diversification of funding sources; information support at the local, national and international level. Significant attention should be paid to provision of the protective system of the sector with respective human resources which implies educational, material support of the workers of culture, their teaching, professional development, trainings, master classes, workshops, facilitation of attraction of the youth to the sector.

Apart from cultural-political mechanisms, institutional involvement of the museum network, cultural-educational institutions (library, club, center of culture, center of folklore, etc.) in the process of searching, recording, restoration of elements of ICH is a pressing issue.

By this time, on the basis of analysis of the theoretical and practical work conducted by us, as well as considering international recommendations, we consider that combination of the following successive actions is required for full-fledged protection of intangible cultural heritage of Georgia:

- Law “On Protection of Intangible Cultural Heritage of Georgia” and a package of recommendations for making amendments to adjacent laws; state strategy for development of the sector;
- Long-term program of the sector development;
- Permanent inventory of elements of ICH;
- Unified Electronic Registration System of ICH of Georgia;
- Institutional support of restoration and preservation of outstanding elements by close cooperation with local communities;
- Facilitation of teaching practice to a special bearer of an element of ICH;
- Informational support;
- Facilitation of scientific-research activity;
- Ensuring education and training of personnel in the sector;
- Active cooperation with international organizations.

### **Conclusion:**

Implementation of the above actions is a scheduled process. Decisive significance for timely implementation of reforms is attached to the will of the state, as well as financial resources of the state. Implementation of the Convention will be accelerated and further facilitated by enhancement of cooperation with UNESCO; moreover, new nominations are being developed for nomination for the Representative List of UNESCO: “Georgian Wrestling”, “Georgian Feast”, “Georgian Cuisine”. The process will also become irreversible by implementation of UNESCO “Convention on Cultural Diversity” (2005) if Georgia makes a decision to become a full-fledged member-state of the above Convention.

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# THE ARMENIAN IMMIGRATION TO EGYPT IN THE 19TH CENTURY

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## Abstract

Egypt has witnessed several waves of Armenian immigration through history particularly during the Ottoman era in Egypt and Arab world from the sixteenth century until the nineteenth century. After years of settlement and immigration, the Armenian minority became part and parcel of the multi-ethnic/multi-cultural Egyptian society. Due to their commitment and dedication, the Armenians gained a reputation as experts in the fields of business and commerce<sup>244</sup>.

This paper investigates the effect of this immigration on Egypt in the 19<sup>th</sup> century and the participation of the Armenian people in *Mohamed Aly's* civilizational project which put Egypt on the map of the modern world. The paper will explore the significant role, played by *Boghos Yosefyan*, the central political and economic advisor of *Mohamed Ali*, in the development of the Egypt Renaissance. Based on the mutual correspondences (and letters) between the two parties (*Mohamed Ali and Boghos*) in addition to other historical documents, pursued in the Egyptian historical Archive, this study traces the nature of the role played by *Boghoss Yosefyan* in the construction of the Egyptian Renaissance during the first half of the nineteenth- century.

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**Keywords:** Armenian in Egypt, Egypt in 19<sup>th</sup> century

## ***Boghos Bey Yosefyan:***

As one of the most famous Armenian officials, Mr. *Yosefyan* devoted his efforts to build a modern Egypt providing assistance and support to the governor of Egypt, *Mohamed Ali Pasha*, the founder of the Egyptian renaissance (*Nahda*). According to historical resources, *Mohamed Ali* was a genius in planning whereas *Boghos* had a talent for the implementation of *Ali's* plans. Unfortunately, historians did not pay attention to the significance of the role played by *Boghos* and the consultations offered by him to the governor of Egypt. For example, *al-Jabarti* referred to *Boghos* only once in the fourth part of his bulky book “*Ajaeb al- Ather Fi al- Tarajem wa al- Akkbar*” Historical wonders in Biographies and stories”<sup>245</sup>. A spectrum of controversy emerged about the reasons for which *al-Jabarti* had ignored the contribution of *Boghos Yosefyan* to *Mohamed Ali's* Renaissance project. Some historians justified *al-Jabarti's* reluctance to geographical reasons because *Boghos* preferred to stay in Alexandria where as *al-Jabarti* lived in Cairo.

In other words, *Boghos* was not available in the middle of central events which took place in Cairo and isolated himself in the city of Alexandria. His invisibility in the capital was sufficient to remove him out of the center and thus to be ignored by historians like *al-Jabarti* who settled in Cairo the capital on that time. other historians argued that *Boghos* was interested in working hard in silence. However, his major role was supposed be part of historical amnesia unless his correspondences with *Mohamed Ali*, preserved in the Archives of the Ministry of commerce and purchases, were discovered. In this connection it is relevant

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<sup>244</sup> Archag Motsean, *The Armenian In Egypt*, Cairo, 1911, p34.

<sup>245</sup> *Memoires du Nubar pacha*, librairie du liban Beyrouth 1983, p. 6.

to argue that *Boghos* and his crew intentionally determined to work behind the scenes in order to allow all the lights to be spotted on *Mohamed Ali Pasha* who wanted to be in the forefront all the time. Within the historical context, it is noteworthy to explore the documents integral to the era of *Mohamed Ali* Renaissance and underline the contributions of *Boghos* and his Armenian Minority.

### ***Boghos Bey: Biographical Background:***

The available information about the birth date of *Boghos Bey Yosefyan* is *controversial*. According to historical sources, he was born in Izmir in 1769. However confidential Armenian sources identified 1768 as the year of his birth in Izmir. Obviously, the information provided by the Armenian source could be taken for granted for a variety of reasons. First the Armenian archives include ancient historical documents unavailable for and unattainable by modern researches and nonexistent in contemporary sources. Second, the Arabic sources are limited due to the difficulty of translation from Armenian into Arabic. Third, it may be argued that historians who mentioned 1769<sup>246</sup> as the year of his birth were confused because it was the same year witnessed the birth of *Mohamed Ali pasha*. Apparently, this incident was not intentional or harmful to *Boghos's* biography. It was a mere coincidence that *Boghos* and his master were born in two successive years.

When *Boghos's* father died in 1790, he became under the custody of his uncle, "Arkhel" who was a translator in the British embassy in Izmir<sup>247</sup>. *Boghos* received his elementary education in the house of his uncle. He was educated at the hands of private tutors because he was not allowed to get formal education in governmental Turkish schools. Probably because of his religion (as Christianity)<sup>248</sup> or ethnic identity (as Armenian) or for both reasons. Moreover, *Boghos* got non-traditional education, according to unidentified sources, because it was the intention of his family to acquaint the young *Boghos* with the principles of the Armenian language as well as other foreign languages. Therefore, and due to such private education and tutoring, *Boghos* was able to learn several languages such as Arabic, Turkish, English, French, Italian and Greek. Due to his multi-lingual background and education, *Boghos* adopted translation as a profession and career. In the light of Armenian sources, *Boghos* was engaged in business and foreign trade as result of his awareness of foreign languages which facilitated his commercial activity.

When *Boghos* came to Egypt for the first time in 1791, he was engaged in commercial pursuits and he worked as a merchant. His business enterprises enabled him to be aware of the economic conditions in Egypt. To magnify his commercial activities, *Boghos* hired *Rashed* customs premises<sup>249</sup>, nevertheless, he was forced to abandon his business return to Izmir in 1798 due to the French invasion of Egypt. In that year the French military, under the leadership of Napoleon Bonaparte invaded Egypt. After his return to Izmir, *Boghos* worked as a translator in the British consulate in the city. Historically, the British consulate in Izmir played a significant role in the campaigns launched against the French occupation of Egypt. In 1800, *Boghos* came back to Egypt where he worked as the private interpreter of Sidney Smith the British commander who led military operations which ended the rule of the French empire in Egypt<sup>250</sup>.

Explicitly, Sidney Smith selected *Boghos* as a private interpreter simply because of his multi-lingual skills. Besides, *Boghos*, as a trader and an inverter who hired *Rachid* customs

<sup>246</sup> Ahmed Abed Al Rahem Mostafa, Hakikian era, Cairo, 2005, p.292.

<sup>247</sup> Abdul Rahman Al-Rafii, The wonders of effects in biographies and news c 4, p 292, Cairo 0.2004.

<sup>248</sup> Al Emam Mohamed refat, The Armenian in Egypt, Nobarian printing house, Cairo, 2006, p.155

<sup>249</sup> Document no 2345, Collection of *Mohamed Ali pasha* corresponding and letters, box3, The Egyptian national Archive, Cairo..

<sup>250</sup> Document no 1234, Collection of *Mohamed Ali pasha* corresponding and letters, box3, The Egyptian national Archive, Cairo

terminal for a period of time, possessed knowledge about Egypt which was useful for Sidney Smith. The cooperation between Smith and *Boghos* underlined the role played by the Egyptian merchants during the French occupation of Egypt. They provided the British military leadership with strategic information which enabled the British forces to confront the French military and dismiss it out of Egypt. After the defeat of the French troops and the departure of Sidney Smith from Egypt, *Boghos* became the private interpreter of *Khorshed Pasha* the new Ottoman governor of Egypt. Further, *Boghos* was nominated as the private interpreter of *Khorshed Pasha*. Obscure historical evidence is available about the role of *Boghoss* during the uprising, led by prominent popular leaders against *Khorshed pasha*. However, one can argue that *Boghos* was fully aware of the events which paved the way for reign of Mohamed Ali who became the governor of Egypt during the rule of *Mohamed Aly*, *Boghos* became the interpreter of the political leadership in Egypt.

Afterwards, *Boghoss* settled in the city of Alexandria. His relationship with *Mohamed Ali* helped him to be engaged in business transactions with the government. Consequently he hired Alexandria customs terminal from *Mohamed Ali* in return for 2500 money purse, for five years<sup>251</sup>. According to the terms of the contract between the two parties (the Egyptian government and *Boghos*), the latter was supposed to pay the full amount of money in case of shortage in revenues while both parties were supposed to share the profit if the revenues exceeded the due amount<sup>252</sup>. The contract between *Boghos* and the Egyptian government revealed his commercial genius and his monetary power which enabled him to fulfill all the fiscal conditions imposed by Alexandria customs administration. As a result of his experience in *Rashid* customs and due to his administrative skills, *Boghoss* was able to operate Alexandria customs successfully, gained profits and avoid financial ruin. From 1814 to 1819, *Boghoss* and *Mohamed Ali* were successful commercial partners. This connection is an evidence of *Ali's* financial policies which aimed at gaining profits and increase national income and revenues. The *Ali-Boghos* connection is also a manifestation of the confidence of *Ali* in the potentiality of *Boghos* as an expert in the customs affairs, and administration. Moreover, *Mohamed Ali* was interested in encouraging *Boghos* to be engaged in financial pursuits in order to gain more profits. In this context *Boghos* was authorized to collect a tax from the foreign merchants who had an access to the Egyptian grains merchants.

### **The impact of *Boghos* on *Mohamed Ali***

The prestige of *Boghos* and his paramount position in society is reflected in the respect and estimation he received from *Mohamed Ali*. A scrutinized review of *Ali's* correspondence with *Boghos* reveals the privileges given to him. In one of his letters, written on April 4, 1835, *Mohamed Ali* said:” This message is addressed to the glorious prince of the followers of Christianity, the wisest man among his peers, his highness, the manager of the Egyptian trade and foreign affairs, *Boghos Bey*”. This certifies that, *Boghos Bey* will be responsible for running the Egyptian foreign purchases and transactions according to *Mohamed Ali's* decree. *Mohamed Ali pashas* also endow him with the title of (Meer *Lowa*) as an award for his integrity, honesty and hard work. Due to our confidence in him, he is authorized to issue decrees and give permissions concerning emergency matters. He is also authorized to take the decisions he found necessary regarding financial and budget matters. He is requested to submit a list of prices and record of purchases and costs on a weekly basis<sup>253</sup>.

<sup>251</sup> Document no 7631, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo

<sup>252</sup> Document no 3456, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo

<sup>253</sup> Document no 2311, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo

From the above-cited document, written by *Mohamed Ali* in the form of a letter to *Boghos*, it is explicit that *Boghos* was a highly confidential person in the eyes of *Mohamed Ali*. According to the text of a letter, *Boghos* is the honor and the glory of the Christian community in Egypt. Apparently, *Mohamed Ali* considers *Boghos* as a national and popular hero. *Mohamed Ali* never speaks about the Coptic Orthodox church in such prestigious manner. Further. He never speaks about the Pop the way he refers to *Boghos* who is introduced in a mythic and fabulous fashion. *Mohamed Ali* sees *Boghos* as the soul leader of the Christian minority. Nevertheless, *Mohamed Ali* identifies the Christians, not as Egyptian citizens but as a religious sect or separate ethnicity. But this discourse was fashionable at that time and *Mohamed Ali's* narrative did not aim to underestimate the Christian minority or degrade them. Christians, under his reign, reached the highest positions in the state. Many of them were treated as princes and many of them were granted titles of honor. *Boghos*, himself was awarded the title “*Bey*” in 1818 by according to decree, issued by *Mohamed Ali*. Due to *Boghos's* prestige, *Mohamed Ali* authorized him to have an access to the budget, without attaining prior permission. This facility was not available even to *Mohamed Ali's* sons from getting extra amounts of money if they exceed their limits and attempt to take more than their salaries. *Mohamed Ali* forced his son *Said pasha* to return extra amounts of money, which he took as a loan from a banker in *Asatana*, Istanbul.

### **Economic mission:**

*Boghos yosefyan*, during the reign of *Mohamed Ali*, was at the top of the Egyptian administration. He was personally responsible for performing several missions as follows: He was continuously estimating the prices of the Egyptian products in foreign markets. Through his connections with foreign merchants, he provided assessment of the cotton prices because the Egyptian cotton production was one of his own concerns. Cotton was Egypt's strategic product and the major source of foreign currency. *Boghos* was also responsible for regulating Egyptian exports of different crops. Through his constant survey and supervision of foreign markets, Egyptian products were able to be exported at suitable prices. When the prices of imported coffee fell down in 1827, *Boghos* was able to find an immediate solution by reducing the prices of coffee in Government stores and warehouses. He also informed the merchants of the expected amounts of crops they are supported to send to the warehouses in order to keep a balance in the market. *Boghos* also used auctions as a way of raising prices when it was possible. He was in contact with the merchants and he was constantly updating them on the current conditions in the markets<sup>254</sup>.

*Boghos* was also responsible for delivering the crops, bought by foreign traders and negotiated the prices with them. He was in contact with foreign trading ships which came to Alexandria sea ports seeking Egyptian products and agricultural goods. He was keen that all trading ships that came to Alexandria take their full loads of Egyptian products. *Boghos* was also authorized to use governmental revenues to purchase the needed foreign goods and commodities. Moreover, *Boghos* kept a record of the crops that were sent to Alexandria warehouse every two weeks. He also kept a record of the government's public debt. These records were prepared by *Boghos's* clerks and assistants but he revised them himself, and put his stamp on them in order to be sent to whom it may concern. *Boghos* also kept a record of the trading agents in Europe.

After the expansion of *Mohamed Ali's* state in Syria, *Boghos* became responsible for the management of the administrative there. *Boghos* was an intermediate agent between *Mohamed Ali* and *Ibrahim Pasha*, the governor of Syria. *Mohamed Ali* also used *Boghos* to convince the British merchants to pay customs fees. When the British consul and the merchants in his custody refused to pay customs fees, *Boghos* interfered and convinced them

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<sup>254</sup> Document no 2348, Collection of *Mohamed Ali* pacha corresponding and letters, box3, The Egyptian national Archive, Cairo.

to deposit the amounts in the government's banks. *Boghos* also interfered to narrow the gap between the merchants in Europe and the inhabitants of sedon, in southern Lebanon. When a dispute erupted between European merchants and the people of arcs, *Boghos* was summoned by *Mohamed Ali* and he was ordered to settle the problem. From the preceding argument, it becomes obvious that the relationship between *Mohamed Ali* and *Boghos* was friendly and confidential. Nevertheless, *Boghos* consulted *Mohamed Ali* before he took final decision on any issues. At the same time *Mohamed Ali* was interested in *Boghos's* expertise and common sense, but *Mohamed Ali* sometimes rejected the suggestions of *Boghos*. For example *Mohamed Ali* rejected *Boghos's* proposal that the government would pay the insurance costs for a cargo of cotton exported to Europe. According to the law the British merchants who bought the cotton cargo with a cost of two million Riyals should cover the insurance fees. Further, *Mohamed Ali* did not accept all the purchases that *Boghos* recommended for a variety of reasons<sup>255</sup>.

### **Boghos, the counselor.**

*Boghos* played the role of *Mohamed Ali's* counselor in all fields. *Mohamed Ali* always resorted to *Boghos* for advice and consultation on governmental affairs *Mohamed Ali* sought *Boghos's* advice in an attempt to develop several fields and provide better performance in different governmental circles. In terms of Egyptian exports to the foreign markets, *Ali* consulted *Boghos* before he took any decisions in 1827, *Boghos* participated in opening new markets for Egyptian exports. Egyptian pearly was exported to Granada, Spain for the first time. Spain was not a familiar market for the Egyptian products. *Boghos* also suggested that the rice crop was to be sold via auction or through installments. *Boghos* was also asked to unify weight and measurements units because different types, Ottoman and European, were used in Egypt. In 1835, he interfered to prevent the foreign merchant from importing coffee from abroad. He also played a role in encouraging Egyptian merchants to be involved in foreign trade, which was monopolized by non Egyptians. *Mohamed Ali* was interested in getting Egyptian merchants engaged in foreign overseas the establishment of a quarantine station in Alexandria missions and delegations in Egypt. *Boghos* exchanged views with foreign consuls and ambassadors in Egypt. *Mohamed Ali* was briefed by *Boghos* on all the issues he discussed with foreign delegates *Boghos* advised *Mohamed Ali* to develop new laws and legislations according to Islamic *Sharia*. *Boghos* also suggested that workers detained in the Quarantine center should work in the manufacturing of sails for ships. *Mohamed Ali* wanted to increase the productivity of productivity in all fields.

*Boghos* was not only consulted on administrative and economic affairs but also he was asked to provide advice on educational affairs as well as foreign policy. Concerning the educational missions abroad, *Boghos* was aware of the problems confronting Egyptian students in foreign countries. He was also aware of times of vacations and beginning of study in schools etc.... Throughout his correspondences with *Mohamed Ali*. It is obvious that *Boghos* devoted a lot of efforts for educational matters.

In addition to his role in the development of commerce, *Boghos* was asked by *Mohamed Ali* to solve the problems of the Egyptian farmers who deserted their lands. In 1834, Egyptian farmers were forced to abandon their lands due to excessive taxes and their inability to pay their debts. *Boghos* was able to convince the farmers to return to their lands and take care of their agricultural products<sup>256</sup>.

Prior to the Nile flooding season in 1822, *Boghos* helped *Mohamed Ali* to move the crops out of Rashid particularly grains, corn, cereals and other revenues. In 1834, *Boghos* was

<sup>255</sup> Document no 2325, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo.

<sup>256</sup> Document no 2355, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo.



asked to set things in order in the naval arsenal. In 1841, and according to *Mohamed Ali's* instructions *Boghos* gave permission to foreign businessmen, in Egypt, To build Nile cruises which would raise Egyptian flags and pay taxes to the government. In 1827, and in the light of *Mohamed Ali's* instructions, *Boghos* was authorized to construct new stores in collaboration with the minister of the warehouses. Finally, *Boghos* was authorized to provide guidance for experts involved in the construction of new commercial ship in the city of Rashid in 1840<sup>257</sup>.

## Conclusion

The immigrated Armenian helped to developed Egypt in the 19<sup>th</sup> century. They were important factor in building the modern new state in the 19<sup>th</sup> century. *Boghos Bey Yosefyan* was considered as s unique personality in modern Egyptian history due to the enormous role he played in the service of Mohamed Ali and the Egyptian Renaissance project. *Boghos* had a talent for notion building. As a genius, his unprecedented continuations to the Egyptian history were witness of his national feelings and integrity. *Boghos*, who was at the top of the government's administrative system for more than forty years died as an ordinary citizen. *Boghos* was fighting administrative corruption. Therefore he did not use the government's budget for personal adventures. He did not either make a huge wealth which was available for him. The personality of *Boghos* is evidence that *Mohamed Ali* was cautious when he selected his assistants.

This study provided a variety of arguments to reveal the significance of the national unity between Muslims and Christians in *Mohamed Ali* era. The two parties cooperated in order to build the nation and archive the dream of *Mohamed Ali*.

As a governor of Egypt *Mohamed Ali* did not distinguish between Muslims and Christians because both of them were considered his citizens. Further, senior officials including *Boghos* who were much closed to *Mohamed Ali*.

Religious freedom was reserved and Christians were involved in regulating Muslims affairs where as Muslims were engaged in building Churches. Regardless of his religious doctrine *Boghos* was involved in sensitive and strategic missions in the fields of agriculture, industry, financial, fiscal affairs, foreign policy, public administration and even the army.

As an Armenian living in the Egyptian Diaspora, *Boghos* and his family were able to hold senior and paramount positions in the ministries of education, trade and foreign affairs. The Armenian history in Egypt is eventful and dense with significant participations and contributions to the Egyptian state. An Armenian dynasty remained in Egypt including *Botros Ghali*, The ex UN secretary General and ex- Egyptian foreign minister. Science the era of *Boghos*, Armenians occupied senior positions in the ministry of foreign affairs. Despite recurrent problems which the Armenians encountered particularly during the Soviet / Marxist, many minority of their mother land. Others had a double nationality and carried the Egyptian culture with them in exile. However, many Armenians melt in the mainstream Egyptian culture and because part of the social mosaic of Egypt.

The Experience of *Mohamed Ali* made him aware of the importance of the financial factors in authority. He, himself worked in a shop owned by an Armenian merchant. M. Ali constructed a network of financial relationships which enabled him to establish his project of the Arab Renaissance. In the same context, BOGO came from Samaria – in Turkey- to Alexandria and he was supported by his brother who remained in his hometown in Turkey. Bogos made use of his relations with Armenian merchants in the East Mediterranean region to promote his project. These merchants were in the service of Mohamed Ali . They fulfilled all of his financial/ commercial requirements. They were working behind the scenes , however, they made unprecedented contributions to the civilizational project of M. Ali during the 19<sup>th</sup> century.

<sup>257257</sup> Document no 2645, Collection of Mohamed Ali pacha corresponding and letters, box3, The Egyptian national Archive, Cairo.

## FOR THE GENESIS OF INTERVIEW AS A GENRE

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### Abstract

The word ‘interview’ was first introduced in 1867 and appeared in the OED in 1869. The first examples of interview as a means of spreading information via press date to no earlier than 1830s. So, the discovery of dialogues, included in old Georgian text, which fully comply with criteria of journalistic interview’s matrix, is worthy of serious study. “Mimoslva” is a travel essay written in 1750s by Archbishop Timothy Gabashvili (1704-1764), prominent Georgian religious figure, diplomat, writer and traveler. In some parts of the essay it is apparent that Gabashvili is playing the role of interviewer. And the main interviewee is Eugenios Boulgaris (1716-1806), renowned Greek theologian, Rector of famous Orthodox School of Mount Athos. Nowadays, for journalism as a creative act, adequate up-to-date technology is of vital importance, but it becomes insignificant when it comes to the first samples of journalism. The same can be stated regarding Gabashvili’s interview. At the time when the interview was conducted (1756), Gabashvili was able to produce his text only as a manuscript which is the form in which it eventually appeared. So, the text was realized. It should be mentioned that the first edition of Gabashvili’s work (1852) chronologically precedes the first samples of complete interviews and the word ‘interview’ itself. In conclusion, in the light of the archeology of journalism, I suggest that until the discovery of an older example that would fit the matrix of interview-as-genre, Gabashvili’s interview should be deemed as the oldest interview in the history of journalism.

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**Keywords:** Journalism, Historicism, Interview, Genres, Georgia

### Introduction:

Interview is one of the most popular genres in contemporary journalism. Even today, when the lines between the various genres of media have become blurred, interview manages to maintain its unique position as well as its traditional characteristics.

There is interview as a method and interview as a genre.

From the ancient times, the method of interview has been employed in different parts of social life: in pedagogy, medicine, jurisprudence, business and, of course, in journalism. But, in journalism the use of interview does not necessarily imply producing an article pertaining to the genre of interview. Journalist can use information acquired in an interview, to write news, commentary, correspondence, reportages or essays. However, we will focus on the genre of interview, an article which presents questions from the journalist and answers from the respondent, taken down verbatim.

So, what are the characteristics of the journalistic interview as a genre?

— As a rule, an interview reflects reality and is presented in the form of questions and answers.

— While holding an interview, one party – the respondent or the interviewee, is the possessor and source of some definite information; the other – the journalist or the interviewer – is the receiver and disseminator of this information.

— An interview-as-genre must pertain to something topical and interesting for general audience, not just for the journalist who conducts it. It implies readership, listenership or viewership.

— An interview, unlike all other journalistic genres, serves to show the opinion of the respondents but not of the journalists themselves.

— An interview excludes discussion.

— The time interval between the interview taking place and being published or broadcast should be as short as possible.

This is a kind of matrix for journalistic interviews, criteria for deciding whether a Q and A text can be discussed as interview-as-method or interview-as-genre.

There is a no agreement when it comes to the origin of the Q and A style interview as a journalistic genre, though it is widely believed to be originated in the United States during the nineteenth century. Some consider the interviews conducted by Joseph Burbridge McCullagh (1842–1896), the first reporter of the White House, to be the first examples of the genre. Other candidates include the interrogation of the participants of the Raid on Harpers Ferry, conducted by the reporter of the “New-York Herald”; the questions and answers exchanged between Horace Greeley (1811-1872), the editor of the “New-York Tribune” and the Head of the Mormon Church Brigham Young (1801-1877); and the testimony of brothel-owner Rosina Townsend concerning the murder of the 22 year-old prostitute Helen Jewett, also published in the “New-York Herald”.

Accordingly, some researchers consider that the first examples of interview-as-genre appeared in the press in the second half of the 1860s, others name 1859, and some point to examples from as early as 1835.

Swedish born scientist Nils Gunnar Nilsson, Professor at Minnesota University, has argued that the interview emerged as a subgenre of crime reporting and was used to expose the so-called “human stories” in the American press of the nineteenth century.

However, many of the examples considered today as the first journalistic interviews are more akin to interview-as-method rather than interview-as-genre. Indeed, it has been argued that the interview-as-genre only truly emerged alongside the spread of radio and television in the twentieth century. As for the word “interview” itself, was first introduced by Joseph Burbridge McCullagh in 1867; and first appeared in the OED in 1869.

Nevertheless, in the study of journalism around the world, the first examples of the interview as a means of delivering and spreading information via the press date to no earlier than the 1830s.

Bearing this in mind, the discovery of dialogues included in old Georgian text, which fully comply with the criteria of the journalistic interview, is worthy of serious study.

The text “Mimoslva” is a long travel essay written in the 1750s by Timothy Gabashvili (1704-1764), a prominent Georgian religious figure, first the Archbishop of Kutaisi and later the Archbishop of Kartli, a diplomat, a writer and a traveler.

In a number of parts of the essay it is readily apparent that Timothy Gabashvili is playing the role of the interviewer employing the term as used today.

The main interviewee is Eugenios Boulgaris (1716-1806), renowned Greek Orthodox educator, theologian, and Rector of the famous Orthodox School of Mount Athos, a person, with an extremely impressive biography, and dubbed by Gabashvili as “the new Plato”.

In 1956, Professor Helen Metreveli (1917-2003) published the text of “Mimoslva” with the scientific apparatus. Despite a thorough and painstaking study of the text, further analysis at the inter-disciplinary level has revealed some passages which are of great significance for the archaeology of Georgian, and indeed global, journalism and to which no attention was paid before.

The “Archeology of Journalism” is a term composed and introduced in my studies as an analogue to “An Archaeology of Human Sciences” by Michel Foucault (1966).

According to my definition, the Archeology of Journalism studies pre-press journalism, i.e., the elements of journalistic comprehension of reality, journalistic thinking,

journalistic styles and journalistic form that can be found within texts that appeared before the emergence of mass market newspapers.

There is no necessity in this thesis to present a full analysis of Timothy Gabashvili's theological and historical-philological questions and Eugenios Boulgaris's answers. However, in spite of the fact that the questions and answers exchanged between Timothy Gabashvili and Eugenios Boulgaris show traces of periphrasis and have neither been printed in the press, nor recorded by a journalist, according to today's understanding of a journalistic interview, the text is in fact more of an interview than the various American texts, which are considered to be the first examples of interview and are related to the genesis of interview as a journalistic genre.

What is journalism in general? When, in what manner and where did it derive from? This matter is meticulously discussed in our survey "For the Genesis of Georgian Journalism" (2008); so, we will not go further in this and only give our definition of journalism:

Journalism is a unity of the technological and creative forms of obtaining, recording, accumulating, processing and spreading information of high public interest or concern.

In the historical discourse, in its essence, journalism consists of two branches:

From the point of view of technology, being related to the means of dissemination of the information, journalism completely depends on scientific and technological progress and develops in parallel with it. However, from the point of view of creativity, journalism is a form of attitude towards reality, as well as the form of depicting it.

In spite of the fact that technology substantially determines the characteristics of this or that form of journalism, as well as of its development, it still plays a lesser role because of the fact that journalism, as something pertaining to creativity, can exist without it. The print media is naturally a journalistic technology, but everything printed in newspapers and magazines is not necessarily an example of journalistic work. On the other hand, a text which is not disseminated to the public via journalistic technology, in its essence, can easily be linked to journalism.

In the modern world, for journalism as a creative act, adequate and up-to-date technology is of vital importance, but it becomes insignificant when it comes to the first samples of journalism and its genesis.

Journalism, as a creative process and journalism as a technological environment were born and developed independently and in some cases they did not overlap for long periods of time.

The same can be stated regarding Timothy Gabashvili's interview. At the time when the interview was conducted, it was simply impossible for its author to disseminate it widely to the public via an appropriate technological means, as at that time such technology was simply not available for Gabashvili specifically, and for the Georgian language in general.

Timothy Gabashvili was able to produce his text only as a manuscript which is the form in which it eventually appeared. So, the text was realized. But even if this interview appeared in book form rather than via the press, radio, television or the Internet, the book is nevertheless an appropriate medium for the dissemination of the interview. In any case, before printing the first newspaper, the book was the most convenient means used to disseminate information to the general public. Before the first newspaper saw the light of day, Pietro Aretino's (1492-1556) letters, often considered to be the first journalist in world history, were published in books; and, researchers consider, this laid the foundation of modern journalism. Also, it should be mentioned that the first edition of Timothy Gabashvili's work (published by Platon Ioseliani in 1852) chronologically precedes the first samples of complete interviews and the word "interview" itself.

In addition to the extracts discussed above, Timothy Gabashvili's book abounds with passages marking the beginning of the journalistic interview. In these passages Gabashvili refers to the form of interview, as it was later termed, in order to learn the names of the

builders of this or that monastery or church; and to his questions he receives explicit and clearly formulated answers. His interest in the builders' identity is natural, but the method he uses to obtain the information was strange at that time and, I would argue, unprecedented. The work obviously implies the method of interview which Timothy Gabashvili himself termed 'sitq'visgeba' thorough or questions and answers, which is a method more characteristic of a journalistic text rather than for a work of history or literature.

We should also emphasize that in "Mimoslva", the passage where Timothy Gabashvili interviews Eugenios Boulgaris, a person whose name was known to the public is of special interest. The text shows that the "interviewer" visited Karyes, the capital of Mount Athos where he met a famous theologian and, as we today would say, asked a few questions. In addition, the Georgian Archbishop and "journalist" did not ask "simple" questions to his respondent, such as the questions concerning the identity of the builders of the monasteries.

Eugenios Boulgaris was a well known and scandalous figure in the Christian world of the mid-eighteenth century; he was precisely the sort of man who is so frantically and desperately haunted by journalists nowadays.

As we learn from "Mimoslva", Timothy Gabashvili met Eugenios Boulgaris for the first time in Vatopedi Monastery on March 25, 1756, on the Day of the Annunciation. The following day he paid a visit to Boulgaris in the theological school, and once again after St Thomas's day. According to the book, the interview took place in the Theological School on the occasion of Gabashvili's second visit.

### **Conclusion:**

In conclusion, in the light of the Archeology of journalism, I suggest that, until the discovery of an older example that would fit the matrix of the interview-as-genre, Timothy Gabashvili's questions and answers with Eugenios Boulgaris, presented in his travel book, should be deemed as the oldest example of the interview in the history of journalism.

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## WANDERING LETTERS

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### Abstract

The history of printing tightly connects Georgia and Romania: Anthim the Iberian (Metropolitan of Bucharest in 1708-1715), born in Caucasian Iberia, was asked to settle in Wallachia by Prince Constantine Brâncoveanu, who entrusted him the newly-founded printing press in Bucharest. His apprentice, Mihail Stefanovici, printed the first Georgian book, accompanied by a dedication to Prince Vahtang VI, written in Romanian language, but with Georgian typeface. This typographic glide, although odd, is consistent with the extensive history of using and adjusting foreign alphabets.

Discrepancies that emerged whenever a foreign writing system was borrowed are somehow obliterated by graphic conventions inside each language. Adjustments were made throughout the history of individual languages and only some of the attempts actually survived. Among huge failures in adopting a writing system is to be considered the so called “Linear B”, a rudimentary syllabic script that is highly improper for the Greek language. Some other borrowed sets of graphemes were more successful, without ever being completely suitable. Both the Greek and Latin alphabets display adjustments that sometimes have unexpected results when comparing their analogous lists of letters.

Phonetic development of Romanian language altered some of the Latin vowels into new phonemes: “posterior-*i*” replaced some previous *i*, *a*, *e*, *u* or *o*. A new grapheme was required. Four distinct orthographic reforms (in 1904, 1932, 1953, and 1965) eventually accomplished this task. The beginning of the ‘90s became a wide-ranging field for change. Orthography turned out to be a target: the regular grapheme *î* was largely replaced by *â*, in a manner that combined different principles (phonetic and etymological), including the position inside the word. In spite of the linguistic requirements, this reform became official in 1993.

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**Keywords:** Anthim the Iberian, printing, writing systems, letters, orthography

### Introduction:

Writing was one of the greatest human inventions, being, nevertheless, the genuine creation of a limited number of peoples, living in different areas and different epochs. Just as any other major invention, the writing systems were borrowed by peoples speaking dissimilar languages, characterised by phonetic features that not entirely matched the original set of graphemes. Discrepancies that emerged whenever a foreign writing system was borrowed are somehow obliterated by graphic conventions inside each language, without being essentially annihilated. Adjustments were made throughout the history of individual languages and only some of the attempts actually survived.

The printing episode that connects the cultural history of Georgia and Romania is a peculiar example of using graphemes that do not genuinely belong to the language of the text. Though isolated and easily circumscribed, this text is meaningful: the dedication written in Romanian with Georgian typeface, by Mihail Stefanovici, the apprentice of Anthim the Iberian (who was given, in 1691, the charge of the princely printing press in Bucharest, that he subsequently moved to Snagov monastery, where he was appointed egumen, before being appointed bishop of Râmnic, in 1705, and Metropolitan of Wallachia, in 1708) displays the characteristics of the approximate graphic/ phonetic equivalence. A simple intellectual

amusement or, more likely, a convenient modality of using the existing typeface, this little text is consistent with the extensive history of using and adjusting foreign alphabets.

### Main Text:

Among huge failures in adopting a writing system is to be considered the so called “Linear B”, used for writing the oldest form of Greek language, the Mycenaean. It was a rudimentary syllabic script, allowing specific signs for each of the five vowels and all the possible combinations of one consonant followed by one vowel. This syllabic pattern is highly improper for the Greek language, characterised by frequent consonant clusters and regular final consonant. Adopting this syllabic script meant predominantly some bogus vowels, *id est* using graphemes of consonant-vowel type as simply consonant signs. Consequently this script was abandoned, leaving no traces in the standard Greek writing, so that deciphering the Linear B became a key event of classical and comparative philology of the mid twentieth century, involving the outstanding skills in philology, palaeography and – predominantly – cryptography of Michael Ventris and John Chadwick.

Some other borrowed sets of graphemes were more successful, without ever being completely suitable. Both the Greek and Latin alphabets display adjustments that sometimes have unexpected results when comparing their analogous lists of letters. Striking discrepancies are connected to letters *H* and *X*, present in both alphabets, with totally different phonetic values. The relationship between the two scripts is obvious, either as being direct descendant of Latin alphabet from the Greek one or as common inheritance of a previous (Phoenician) writing system. The *X* letter belongs to the two major Greek writing systems, the Eastern and the Western alphabet: as signifying a cluster of consonants, a digraph (*C* and *S*), in the Western alphabet and an aspirated consonant (*CH*) in the Eastern one. They are obviously different results of recycling a grapheme that did not belong to the original set of letters borrowed from the Semitic alphabet; a visible indication of this chronology is placing the letter by the end of the alphabet, where the adjoined graphemes are inserted. The Latin graphical inheritance maintained the digraph value of letter *X*.

The other ambivalent letter mentioned above, *H*, has a more remarkable development. Once abandoned by the Greek writing system, this letter was eventually used as a conventional sign for the new phoneme that emerged in the Ionic-Attic dialect, after the long vowel *A* gradually changed, resembling more and more to a long *E*. It primarily had the value of a consonant, *H*, just as it remained in the Latin alphabet and the subsequent writing systems. Nevertheless, its manifold use that implied a weak connection between the original value and the assumed values in different languages, in different epochs allowed its presence as a simple graphic sign for denoting a specific phonetic value, as *TH* (Lat. *theatrum*), an aspirated consonant that virtually existed in Latin language only as a borrowed phoneme, of explicit Greek origin. This development was possible due to the diminished phonetic value in Latin, where the *H* letter was used for denoting a weak consonant, that, for instance, did not count as a full consonant in verse (allowing the elision of the adjoined vowels), eventually becoming a mute sound in Italian (*vide* the saying *non vale un'acca*: even the name of the letter was deprived by the original sound, *H*). This usage is consistent with the Ancient Greek rough breathing, *spiritus asper*, a diacritical mark, less than half a consonant, signified by half (or less than half) a letter.

Recycling vacant graphemes for signifying specific phonemes (frequently those phonemes that emerged in the history of individual phonetic history) is one possible solution of dealing with a borrowed alphabet. Remodelling an old grapheme is another solution and the history of Latin *G* letter is eloquent. Most likely due to the Etruscan writing system, that intermediated the adoption of Latin alphabet, the latter lacked the graphic distinction between voiced and voiceless stops, employing one single letter for both *C* and *G*; this situation is still visible in the traditional abbreviation of the Roman *praenomen Gaius* as *C* or *Gnaeus* as *Cn*.

(*prae-nomen* of Etruscan origin). The archaic epigraphic testimonies attest this unique grapheme for either *G* or *C*, e.g. *VIRCO* in the *Duenos* inscription (seventh to fifth century BC). Improper for the Latin phonetic inventory, this ambivalence was annulled by a formal distinction between the two letters. The person credited with this invention is Spurius Carvilius Ruga, a freedman that lived in the third century BC (*fl.* 230): in his elementary school (the first fee-paying school in Rome) the two letters were for the first time consistently used for the voiced and voiceless velar plosives. The original *C* letter is obviously the Greek *gamma*, as the epigraphic form reveals, as much as the position in the Latin alphabet, coming after *A* and *B*, similar to *gamma* that comes after *alpha* and *beta*. The formal distinction is a stroke, similar to a diacritical mark. Positioning the new letter in the alphabet had to observe the rigid succession of letters due to their Greek values as numerals: it occupied the available place created by dropping of the old letter *Z*, which seemed to have been removed by the Roman censor Appius Claudius Caecus (third century BC), who found it similar to the teeth of a corpse, as Martianus Capella notes in the third *liber* of his *De nuptiis Philologiae et Mercurii* (par. 261), the chapter granted to the first of the liberal arts, the Grammar (*Grammatike* in Greek, term coined on *grammata*, “letters”, *litterae* in Latin, the starting point of the term *Litteratura*).

Phonetic development of Romanian language altered some of the Latin vowels into new phonemes: “posterior-*i*” replaced some previous *i*, *a*, *e*, *u* or *o*. A new grapheme was required. There was an intermediate stage of writing, with composite alphabet, both Latin and Cyrillic. Subsequently some diacritics (the circumflex glyph) improved the basic letters *i*, *a*, *e*, *u*: *î*, *â*, *ê* and *û* were graphemes used etymologically for a single phoneme (“posterior-*i*”). Four distinct orthographic reforms (in 1904, 1932, 1953, and 1965) finally reduced the four graphemes to a single one (*î*). This approach, concerning the phonetic principle, was calibrated in 1965, admitting an etymological (and significant) exception: *român* (“Romanian”) and the connected words.

The beginning of the ‘90s became a wide-ranging field for change. Orthography turned out to be a target: the regular grapheme *î* was largely replaced by *â*, in a manner that combined different principles (phonetic and etymological), including the position inside the word. The Romanist linguist Alf Lombard was asked to offer a specialised opinion: he wrote a dense text regarding the history of modern Romanian orthography and concluded with a plea against the proposed reform. Nevertheless, this reform became official in 1993.

Alf Lombard’s arguments spring both from a phonetic approach and the history of Romanian orthography. The historical approach is a succinct account of the rather numerous orthographic reforms (no less than 41 only between 1780 and 1880, as listed by Gheorghe Adamescu, with several other major restructurings). All of them mirrored a quest for balance between the etymological (or historical and etymological) principle and the phonetic one, which, step by step, became predominant, in a pervasive tendency toward a natural orthography. Regarding the letter or letters assigned for the *close* (or *high*) *central unrounded vowel* (as in *înot*, *gând*, *hotărî*), the reforms that occurred during the twentieth century implied different solutions. This particular phoneme does not belong to the regular Indo-European inventory, but occurs as an allophone in several Indo-European individual languages – some Slavic languages (as Russian and Czech), some German languages (including Swedish), some Celtic languages (Irish and Welsh), some Romance language (Romanian and Portuguese) – as well as in other non-Indo-European languages. The symbol in the International Phonetic Alphabet is a letter *i* with a horizontal bar (“barred-*i*”). The phonetic features are commonly depicted in terms of height (the tongue is positioned close to the roof of the mouth, nevertheless without creating a constriction: so it is equally described as *high* or *close*); the backness (the tongue is positioned halfway between a front vowel and a back vowel: so it is *central*); roundedness or vocalic labialization (the lips are not rounded: so it is an *unrounded* vowel). Alf Lombard describes the phoneme as *posterior-i*, which is not



fundamentally different, maintaining the *genus proximum* [i] (*Limba română* 1992, p. 532 *vide also: La prononciation du roumain* 1933, p. 105 and p. 122-124 (medium vowel), *La langue roumain* 1974, par. 5 and 32); letter *û* was assigned to a limited number of forms, mostly four forms of the verb “to be”, *a fi*, in present tense: first person singular and plural *eu sînt*, (*noi*) *sîntem*, second person plural *voi sînteți* and third person plural (*ei*) *sînt*; also the nouns *adînc*, *adîncime* etc.

In the history of Romanian orthography, the *posterior-i* was assigned to several letters, in time or simultaneously, e.g. “lână” *lana*, “camp” *campus*, “anger” *angelus*, “vent” *ventus*, “avînd” *habendo*, “tîner” *tener*, “ride” *ridet*, “rîu” *rivus*, “în” *in*, “hotârî” (composite form including the Latin verb *ire*).

The status of the forms of the verb “to be”, *a fi*, is peculiar. As Alf Lombard briefly mentions (*Limba română* 1992, p. 534-535), from the corresponding Latin forms (1) *sum*, (2) *sumus*, (3) *estis*, (4) *sunt*, the XVIth century Romanian employed: (1) *sânt/sămt/sint*, (2) *sem/săm*, or (by the end of the XVIth century) *sântem/ sîntem/sintem*, (3) *seți/set/siți*, or (by the end of the XVIth century) *sînteți/ sînteți/sinteți*, (4) *sânt/sămt/sint*. The transfer from Latin to Romanian implied several stages; it is obvious that the tradition was broken for the second and third forms mentioned here. On the other hand, the orthography is significant: the letter *u* in these forms is lowly attested in their history, outclassed by the *ă* and (mostly before the cluster *nt*) *î* forms, so that they seem to point to a *posterior-i* pronunciation. The recurrent form *sunt* is part of a cultural (not linguistic) process of re-enacting the Latin origins, highly envisaged by the Latinist trend of the XIX<sup>th</sup> century; nevertheless, the *u*-forms are attested in some subdialects of modern Romanian language. The standard Romanian attested *posterior-i*-forms, basically descending from the Latin subjunctive mood: *sim*, *sis*, *sitis*, *sint*.

The plethora of letters assigned to *posterior-i* was diminished in time. The four letters (*â*, *ê*, *î*, *û*) were reduced: the first to be discarded were *ê* and *û* (with the exception of *u*-forms of the verb “to be”, recurrent in cultivated speech). The 1932 rules generalised the *â*-writing, maintaining the letter *î* for the initial vowel (e.g. *împărat*, *îngust*) and the final vowel in verbs and the connected forms (*hotârî*, *hotârît*, *hotârîtor*). Aiming to observe the historical and etymological principle, as in “lână” for Latin *lana*, “împărat” for Latin *imperator*, it was still confusing, as “înger” for *angelus*, “îngust” for *angustus*, “sân” for *sinus*, “râu” for *riuus* were obvious deviations.

The norm adopted in 1953 meant that the phonetic rule triumphed over the (mixed) etymological rule. In 1965 an exception was admitted: *român-România* and the connected words, a necessary reverence for the national identity.

The debate over the topic of *î* vs *â* occasioned a concise and steady answer of Alf Lombard: there are no solid reasons to assign two distinct letters for one and only phoneme and, more over, the etymological principle could not be observed by this simple couple of letters. The solution (*Limba română* 1992, p. 538) ought to be simple, easily put in rules, obey the principle one sound-one letter, obey the tradition of the language. All these requirements could not be observed simultaneously, so that one sacrifice ought to be made. The most reasonable is to sacrifice the etymology, mostly as it simply can not be always displayed, for several reasons (graphical complexity, objective uncertainty, non-Latin origin). Although *lana*, *uentus* and *ridet* include three distinct Latin vowels, their Romanian outcome displays one and only sound: *-î-*.

The topic is to be found in various studies, e.g. the series of relatively short studies hosted by *România literară* in 2002 (nr. 38-42), written by linguists and cultural personalities: Dumitru Irimia, Matilda Caragiù-Marioțeanu, Nicolae Manolescu, Sorin Mărculescu, George Pruteanu, Victor Iancu. The topic is also implicitly approached by the writings that consistently display the previous orthographic system, which is not allowed by the rules of the Romanian Academy (and the publications placed under its aegis), but is accepted by some of the best Romanian publishing houses and some major periodicals.

**Conclusion:**

The long history of choosing letters to match phonemes in various languages is never a straight, one-way journey. Attempts are to be made in order to find the best possible solutions and failures are to be accepted in order to observe the natural – and implicitly simple – development of language and writing.

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# THE LAST QUEEN OF GEORGIA MARIA

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## Abstract

In the paper the fact of an assassination of General Lazarev (1766-1803) is discussed, which up to the present day according to the existing Georgian, Russian and European sources and according to the existing special literature in the Foreign languages, is prescribed to the last Queen of Georgia Maria (1768-1850) which is an inaccurate version and is based on an unfounded supposition. An assassination as if done by the last Queen of Georgia Maria, who was the wife of King Giorgi XII (1746-1800), does not coincide with an assumption of many Georgian, Russian and European scientists.

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**Keywords:** Assassination, Queen, Accusation, General

## Introduction:

It is known that an assassination of Major-General Ivan Petrovich Lazarev (1766-1803), which up to the present day is shrouded in mystery, is connected with the name of the last Queen of Georgia Maria.

Basing on rich historical facts and on the grounds of scientific analysis, I shall try to mention that the Georgian Queen is guiltless of a crime and that the blame was just put on her for an assassination as of the Russian general.

This assassination as if done by the last queen of Georgia called many foreign writers' attention at one time.

In the Georgian, Russian and European sources predominates an idea that General Lazarev was assassinated by the last Queen of Georgia Maria which is false and does not correspond with the truth.

It is not my aim to reveal the guiltlessness of Maria which itself is well-known for the modern Georgian historians.

On the basis of the scientific analysis carried out by me, I have come to that conclusion that for the European sources the report published by colonel Rottiers was the footing point for creating the various kinds of literary sketches about an assassination of General Lazarev by Queen Maria.

This report written by Rottiers was published in the French language in the journal "The Inhabitants Of Asia", in the issue of June 1827, which was translated into Georgian by Alexander Chkonia and was published in the magazine "The Herald", N 7, 1894.

The story about an assassination of General Lazarev by Queen Maria was told to Rottiers by a parish priest Onisime Ioseliani who used to celebrate mass at St. George church which belonged to that palace where the Queen was arrested. Rottiers himself published his own account in the French language in the above-mentioned journal under the title Queen of Georgia Maria.

## The Last Queen of Georgia Maria

In spite of an unfounded assertion of an assassination of general Lazarev by Queen Maria, colonel Rottiera writes: "I considered it my duty to tell you thoroughly this historical fact, which I regard much more interesting. Though in some circumstances I am against the

other writers who touch on the same fact and relate it to us differently, but I am completely convinced of the truthfulness of the story told by me and I am even responsible for it”.

This report written by colonel Rottiers who served in the Russian Army was used by many others from the very outset, especially by the European writers who in spite of having little desire, all the same, wanted to present the readers with this or that heroic and half romantic episodes. And if the European writers really wanted to show the stories elucidated with the splendid and noble patriotism of a Georgian woman, the act committed by Maria must have been the harshest and the most attractive episode for them.

Here I want to note that the writer Iohannes Wille, basing on the report by Rottiers, published the story in Stuttgart in 1888 under the title *The Last Queen of Georgia*.

According to Oliver Wardrop (1864-1948): “In 1803 Prince Tsitsishvili, a Georgian succeeded Knoring. By his advice all the royal family were summoned to Russia, “in order to prevent civil discussions”, and this removal was organized by a very unfortunate incident. Queen Maria, widow of Giorgi, refused to go; General Lazarev proceeded early one morning to the queen’s sleeping apartments with some soldiers and attempted to force her to accompany him; she killed him with a dagger which she had concealed under her dress and her young son and daughter stabbed some of the soldiers. They were, of course, overpowered and carried off; at Dariel, in the narrowest part of the pass, a few Tagaur Ossets made a vain attempt at a rescue. Queen Maria was kept imprisoned in a convent at Voronezh for seven years, and never saw her native land again”. /Wardrop, Oliver – *The Kingdom of Georgia*, London, 1977, p.130/.

According to David Marshall Lang (1924), “Arriving at Tbilisi on 1 February 1803, Tsitsianov’s first care was to pack off the remaining members of the old royal family. The former Prince-Regent David and his uncle, Prince Vakhtang, left Tbilisi under escort later in February. There remained the Dowager Queen Darejan, widow of Erekle II and the widow of the late King Giorgi XII, Queen Mariam with her seven children. In April, Tsitsianov heard that Queen Mariam was planning to flee to the mountain strongholds of Khevsureti with the aid of loyal clansman from the hills. He therefore gave orders that the Queen and her children should be sent off into exile in Russia under guard the very next morning. To impart an air of ceremony to the proceedings, it was decided that Major-General Lazarev, commander of Russian troops in Tbilisi, should proceed in full uniform to the Queen’s residence, with a military band and two companies of infantry, and prevail upon her to take her departure forthwith.

Death of a general of the ensuing tragedy there are several contemporary accounts on, based on the reports of eye-witnesses. Arriving at Queen Mariam’s mansion, Lazarev found her in her private apartment, seated on a couch, and surrounded by her seven sleeping children. The general strode brusquely up to the queen and said, through his interpreter: “Get up; it is time to be off”. The Queen calmly replied: “Why this hurry to get up? Can you not see my children peacefully asleep round about me? If I wake them up abruptly, it might be harmful to them. Who has given you so peremptory an order?”

The general replied that his orders were from Prince Tsitsianov himself.

“Tsitsianov, that mad dog!”- Queen Maria cried out.

At this, Lazarev bent down to drag her forcibly to her feet. The Queen was holding on her knees a pillow, beneath which she held concealed the dagger which had belonged to her late husband, King Giorgi. As quick as lightning, she drew the dagger and stabbed Lazarev through the body with such force that the tip of the weapon emerged through his left side. Mariam pulled the dagger from the gaping wound and threw it in the face of her prostrate tormentor, saying: “So dies anyone who dares add dishonour to my misfortune!”

At Lazarev’s exspressing cry, his interpreter drew his sword and hacked at the Queen’s left arm. Soldiers rushed in and beat at the Queen with their rifle butts. They dragged her from the house all covered in blood, and hurled her with her children into a carriage.

Escorted by a heavy guard of armed horsemen, the party left Tbilisi along the military road leading to Russia over the Daryal Pass. Everywhere the Queen's carriage was surrounded by devoted Georgians, who wept as they struggled to bid farewell to the family of their late sovereign. These loyal manifestations were repulsed by the Russian soldiery. When one of the children cried out that he was thirsty, a bystander brought up a jug of water which the Russian escort hurled to the ground. On arrival in Russia, Queen Mariam was imprisoned for seven years in a convent at Voronezh. She lived to a great age, and eventually died in Moscow in 1850. She was interred in Tbilisi with regal honours. The Queen Dowager Darejan – “that Hydra”, as Tsitsianov delicately termed her – held out until the October of 1803, when she too was bundled off to Russia” /Lang, David Marshall- A Modern History of Georgia, London, 1962, pp 46-47/.

It is true that the story of an assassination of General Lazarev is described differently by the various scientists and authors but that fact that Lazarev was assassinated by Queen Maria is false.

I shall try to prove that Lazarev was not assassinated by Queen Maria and that he became the victim of quite another person.

And really, is it interesting who assassinated general?

Lazarev, according to an academician Nicholas Dubrovin (1837-1904), was a straightforward, frank and honest person who was assassinated out of envy by General Prince Paul Tsitsianov (1754-1806), the relative of the royal family of Georgia who had been in the service of Russia for a long time.

Paul Tsitsianov wanted to get rid of this pesky general, especially as this latter enjoyed a considerable authority at the Emperor's court.

Soon an opportunity itself turned up and Lazarev was assassinated on the 19<sup>th</sup> of April, 1803, while telling the Queen about an order of banishment, on which Maria refused, flew into a rage and slew General Lazarev.

According to an official statement, Queen Maria was an assassin. But the eyewitnesses and other reliable persons, among them the representatives of the Georgian Royal family spoke in favour of Queen Maria.

In 1818, the archbishop Papnuti Khoziashvili being in Petersburg, managed to report about the blamelessness of Queen Maria in the case of an assassination of General Lazarev to the Sovereign-Emperor.

The archbishop was asserting that he himself was present on the spot where the tragedy took place on the 19<sup>th</sup> of April, 1803, when general Lazarev was assassinated and was underlying categorically the guiltlessness of the Queen.

According to the archbishop, Maria did not even take part in an assassination.

It is hard to state who stabbed General Lazarev during the quarrel with the Queen and her children. But it is of no vital importance because the performers can always be found if they are promised a reward.

The person who did not pity general for death and hired an assassin to crown this business was Governor-General P. Tsitsianov in Georgia who was appointed to this post on the 8<sup>th</sup> of September, 1802, and who was conducting unswervingly the Russian policy in Georgia.

To my mind, Commander-In-Chief P. Tsitsianov regarded General Lazarev as his rival because he had a very great prestige at the sovereign's court and as a result of this was filled with envy towards him and planned to assassinate him.

Soon a lucky chance itself cropped up and Lazarev was assassinated in such circumstances that laying an accusation of slaying against Maria was not of a great difficulty for Tsitsianov who artfully found the means of disposing of General Lazarev by ordering him to take away the Queen by force from the palace and then to deport her to Russia.

So General Lazarev was forced to banish the Queen from Georgia and during the fulfillment of an order given to him by Governor-General Paul Tsitsianov, he was assassinated by a hired assassin and not by the Queen.

The documentary proof about that Lazarev was assassinated by Paul Tsitsianov is given in the book under the title *The History of the 13-th Erivani Life Grenadiers Regiment of His Majesty*, compiled by the staff-captain Shabanov of the same regiment, Tbilisi, 1871, part III which is in the Russian language.

In the list added at the end of the book, after the page 177, in appendix of the 3<sup>rd</sup> part, it is clearly seen who assassinated General Lazarev which I have included in my book *The Last Queen of Georgia Maria* published by Grigol Robakidze University in 2007, edited by the Rector of the University, Professor Mamuka Tavkheldidze.

There is an outline in appendix of the 3<sup>rd</sup> part of the book in which we read that P. I. Lazarev /1791-1803/ was assassinated by chief. It must be I. P. Lazarev in the list and not P. I. Lazarev and this mistake done in the book is simply a printer's error.

It is exactly indicated in the list that General Lazarev was eliminated by chief and I think it is clear for everybody who was the direct chief of Lazarev.

It is difficult to say to whom chief secretly ordered an elimination of his faithful and open-hearted right hand. Maybe, he ordered to commit this foul crime to a certain officer or even to a soldier who are of no vital importance.

And Tsitsianov himself was assassinated perfidiously in Baku in 1806.

### **Conclusion:**

It is true that the story of an assassination of General Lazarev is described differently by the various Georgian, Russian and European scientists and authors but that fact that Lazarev was eliminated by Queen Maria is incorrect and false which is already shown in my book printed in the Georgian language that was mentioned above.

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# NATURAL OCCURRING CONVERSATION AS AN ENGLISH TEACHING MODEL IN THAILAND

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## Abstract

In recent years the use of English is not limited to native speakers; it is also used for communication among non-native speakers. The global spread of English can be seen in education, transportation, tourism industry, hospitality, and business. Many teachers of English in the ASEAN countries have attempted to use communicative language teaching in their EFL/ESL classes.

However, it is not as easy as it should be. As the researcher have faced the problems and tried to conquer the barrier occurring during the class of English, however, it was still difficult to apply strategies in Communicative Language Teaching with the large class size in Thai university context. As English has been taught as a second language or foreign language in Thailand, therefore, it is not easy for a teacher to manage an English class with a large number of non-native speakers of English.

The author therefore conducted a qualitative research to investigate the students' improvement in speaking competence shown when they are in different contexts i.e. classroom, outside classroom. The study also examined the significant differences in terms of a performance of speaking ability in different context. The participants consisted of 72 students. Eighteen students were selected by simple random sampling and drawing lots. The sampling size is totally 25 percentage of the population. The researcher carried out the experiment using Natural Occurring Conversation as a Teaching Model to improve the speaking competence of students. The duration of the implementation was 12 weeks excluding the Mid-term and Final Examination.

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**Keywords:** Spoken English, L2 Learners, Effective approach, Natural occurring conversation

## Introduction

In recent years the use of English is not limited to native speakers; it is also used for communication among non-native speakers. The global spread of English can be seen in education, transportation, tourism industry, hospitality, and business. Many teachers of English in the ASEAN countries have attempted to use communicative language teaching in their EFL/ESL classes.

However, it is not as easy as it should be. As the researcher have faced the problems and tried to conquer the barrier occurring during the class of English, however, it was still difficult to apply strategies in Communicative Language Teaching with the large class size in Thai university context. As English has been taught as a second language or foreign language in Thailand, therefore, it is not easy for a teacher to manage an English class with a large number of non-native speakers of English.

In the context of globalization, English plays an important role in the world. English has been a language of wider communication and the language of multinational corporations (MNCs) and industrialists who are investing in Asia as well.

## **Background of English Language Teaching in Thailand**

English language teaching has played the important role in Thailand. Since the announcement of Thai government that the importance of English in Thailand will be significant in 2015 as it is a time for the full effect of the ASEAN Economic Community. The use of English is not limited to only the group of native speakers, but it also spreads into the group of non-native speakers as well. Our country, Thailand, is one of the ASEAN countries which need to improve the learners' ability of English in order to compete with the other nations. Moreover, English education has brought the country to be equal with the others in this region.

According to Crystal (1987), the number of countries which use English as an official language is more than 50 countries in the world such as, Australia, The United States of America, New Zealand, Singapore and India. However, Thailand is not on the list. English in Thailand was influenced by Indochina Wars up to 1975. However, Thai language is a national language and a language of medium instruction in Thailand. While some neighboring countries in Asia like Singapore and Malaysia were the colonies of the United Kingdom as part of the straits settlement. After gaining internal independence in 1959, Singapore became part of the Federation of Malaysia and has been a sovereign nation since 1965. As a result, today both Malaysia and Singapore have a uniquely defined bilingualism arising from the school system and measured by proficiency in English and one of other official language of the country (Pakir, 1992). Furthermore, English has become a language of wider communication and the language of multinational corporations (MNCs) and industrialists who are investing in Asia as well.

In Thailand, before 1996 English language teaching was different from the present time. Thai students were taught English when they were in Grade 5 or Grade 6 but in general they had low proficiency in English when they studied in high school and university. Then, in 1996, the declaration of Thai National was announced that studying English was compulsory and had to be taught to students at the primary level (Prathom 1 to 6) in public schools and since then it spread widely into the pre-school level of some private schools in Thailand. The students had more opportunity to learn English in the language classroom with Thai teachers who had some background knowledge of English. Some private schools hired the native speakers of English who were holding a degree and also teachers without a degree or certificate in teaching English. As a result, some students acquired more English and improved their English skills while many of them were not capable to show the progress in their learning.

According to the background of the research context, Chandrakasem Rajabhat University is a tertiary educational institution in the north of Bangkok in Thailand which offers a post diploma certificate and degree level education from the Bachelor's degree to Master's degree with a Ph.D. offered in several majors. Chandrakasem was founded in 1940 as Thailand's first training college for secondary school teachers. In 1991, Chandrakasem Teachers College was named an outstanding tertiary educational institute by the Ministry of Education. The following year, His Majesty King Bhumibol Adulyadej bestowed the name Chandrakasem Rajabhat Institute on the former college.

Chandrakasem Rajabhat University has a strong background philosophy which refers to "Solid knowledge and strong virtue and lead community development. Moreover, the vision of the university is to be a centre of learning, upgrading intelligence to internal level. Besides, one of the missions of university is to produce graduates with potential wisdom to meet the international standard (TQF:HEd :2009). In order to finish the study, the students are required to take and pass at a minimum of 6 credits/ 2 courses in the English language courses for non English major students. For the students majored in Business English and English Program, they are compulsory to take 45 credits (15 courses) for Compulsory English courses and 39



credits (13 courses) of Elective English courses plus two Free Elective courses which is 6 credits to complete the Bachelor's Degree Program.

### **Barrier of Thai Learners in English Acquisition**

“Path is not strewn with rose petals”. Following the previous statement, it can imply that the university has a good concept but in some ways it is impractical. According to the mission of Chandrakasem Rajabhat University, the university is intended to meet the international standard which is not easy to do as a wishing concept. As English is a key language for communication among the nations, therefore, to communicate successfully and to meet the aim of international standard the students need to master the complex English literacy and communications skills. As a teacher of Business English Program, the researcher found a lot of problems occurring along the way to develop English learning and teaching for Thai students. Here are some major problems of learning and teaching English in Thai context.

First, the problem may lie in the emphasis of teaching reading and grammatical structure as well as vocabulary rather than emphasizing speaking skill (Wongsothorn et al., 2003). The teacher does not have much time practicing the students' speaking skill during a lesson. Especially, the higher school students studying in Grade 10-12 just learn English for a test or pass the entrance examination to get into university. The teacher has to give the lessons without any emphasis on speaking and listening skills. As a result, when the students enter university, they face a communication problem within the English classroom both in the compulsory and in the major courses.

Although the Ministry of Education has worked out a strategic plan on education to be implemented from 2012 to 2015 in preparation for the realization of the ASEAN Community (<http://www.dlfeschool.in.th/TETA/20121002.html>), it is not easy for the teacher to build up the students' motivation in learning English at the university level. In terms of investment in education, Thailand has encouraged and supported Thai youths to develop their potential and knowledge, particularly in the English language and other languages spoken in the neighboring countries.

Second, the quantity of students in the given classroom, the teachers have to put considerable effort in order to have all students practice the language activities within the limit of time. It is not easy to manage the language class if the number of students is not in the right proportion which means 1 teacher with 60 of students. In some foundation courses, the number of students is doubled while the teacher rate remains the same which is 120:1. Consequently, it is unlikely that many Thai university students in a big class will be able to practise and improve their English proficiency and become fluent in English after completing their university study.

Third, it is related to the basic background of English. This is still an ongoing problem until the present time. The university always follows the policy of the government in expanding educational opportunities. Everyone has the right to learn everywhere. As a result, people in those countries can speak and use English fluently as their official language and in everyday life until the present time.

The last but not least, the problem is that learners have less opportunity to use English in their daily life. Most of them study English only in the language classroom. However, when they are outside the classroom context they do not have the opportunity to meet and talk or even use English with foreigners and friends. Some teachers may not create an English environment for the students to speak and communicate in English. In fact, teachers should not allow the students to communicate in their mother tongue; instead find way of encouraging more students to apply English in the social communicative interaction with their environment.

According to the aforementioned reasons, it is worthwhile to examine the improvement of speaking competence of students shown in different contexts both inside and outside classroom context. This study also investigates the significant differences in terms of performance of speaking ability of students in different context.

### **Objectives of the study**

The study aimed to:

1. Develop a Communicative Language Learning and Teaching Model: Natural Occurring Conversation for students in Thai Higher Educational context
2. Investigate the significant differences in terms of a performance of students' skills in difference factor.

### **Research Questions**

1. How is the students' improvement in speaking competence shown when they are in different contexts (i.e. classroom, outside classroom)?
2. Are there significant differences in terms of a performance of speaking ability in different context?

### **Variables**

The independent variable was the teaching approach "Communicative Language Teaching focusing on the use of "Natural Occurring Conversation as a teaching and learning Model" for students to develop and improve students' speaking competence. The dependent variable was the development and changes of students' speaking ability both inside and outside classroom context.

### **Population and Sample**

#### **Population**

The population of the study was the first year Business English students of Chandrakasem Rajabhat University, Bangkok, Thailand, who were required to study a Course of English for Tourism Industry I (BENG 1721) as a compulsory course in their curriculum.

#### **Sample**

The sampling size was 18 students from English for Tourism Industry I class. This course is a compulsory course for the first year students in Semester 1 of academic year 2012. The sample was randomized by using Simple Random Sampling and drawing lots which was counted as 25 percentage of the whole population. The participants got at least Grade "C" in English subject when they studied at high school level.

### **Research Instruments**

The research instruments applied in this study consisted of Preliminary Observation Table of Analysis adapted from Thornbury & Slade (2006) for evaluating the improvement in speaking competence in both inside and outside classroom context. The examples transcriptions of conversation, in forms of small talk, interview and group talk are shown and discussed as in the following:

#### **Preliminary Observation**

During the first month of the study, the learners were observed the action during the in class activities. All activities were the communicative activities organized by the teacher and many of them taken from the teacher's teaching guidebook. Some students were interested to participate in the activities as many of them did not understand the instructions on the activities. The rest of the class were shy and lacked of confidence with their English

proficiency when they were asked to converse with their friends in an individual and a pair work activities. This may due to the large number of students given in one class, therefore, teacher had to spend more time in each activity when the students participated in the activity. Moreover, a few students attempted to participate in the provided activities. Every activity was video-recorded in order to see their learning development.

### **Teacher Preparation**

After the first month of the observation, the researcher tried to create the more natural learning environment for the learners by allowing them to meet out-of class once a week and providing them some communicative activities including individual, pair work and group work activities. The researcher found some improvement from the group with inattention on the first month of the study. The successful activities were pair-work and group work activities which the learners were allowed to talk with their close friends freely. Some were shy and had no confidence while some were able to speak slightly which was the sign of progress. However, due to the big class-size learners had to rotate to come and talk in front of the teacher within a limit of time. Some learners were still keeping quiet as usual because they always thought in a native Thai language. As a consequence, it was too slow to make comprehension the other's answers and to respond back as soon as they were asked.

### **Teacher Participating in a Natural Occurring Conversation**

The Natural occurring conversation activities occurred both in-side and out-of-class. The researcher started to talk by using the informal talk strategy at the beginning of the class. This was possibly from the reason that their response and answer were somewhat about themselves such as family life, favorite movie star, actress, actors. Furthermore, their personal interest, the attitude towards the current news could help them to promote their speaking skills faster than the activities provided in the textbook. The video-recording of free-talk or natural talk had been organized almost twice a week as to increase the students' interest. The appointment were arranged into the schedule and many times the researcher was the one who began the natural conversation and let the learners or participants in the talk express whatever they would like to express independently. In case of grammatical mistakes, they were not corrected during the conversation because it would not be appropriate if they were stopped talking as they may lack of confidence from being correcting their speaking mistakes. Their mistakes were informed at the end of conversation and it might be taken as the examples in a formal class without telling who made mistakes. All video-recorded conversations were taken to transcribe according to Thornbury and Slade (2006).

### **The Learners' Participation**

According to learners' participation topic, the researcher therefore demonstrated the transcriptions of natural conversation of learners including the analysis relevant to Thornbury and Slade (2006)'s theory which led into the key answer of possibility and necessity in developing the communication skills at Chandrakasem Rajabhat University, Bangkok, Thailand. The problems occurring during the uses of Communicative Language Teaching (CLT) specifically with the Natural Occurring Conversation activities both in-class and out-of classroom context are also included.

### **The concept of Communicative Language Teaching**

#### **What is a communicative language teaching?**

In accordance with Larsen-Freeman (2007:121) communicative language teaching aims broadly to apply the theoretical perspective of the Communicative Approach by making communicative competence the goal of language teaching. To do this, the acknowledgment of language and communication must be interdependent. The uses of authentic materials are

considered desirable in terms of giving students an opportunity to develop strategies for understanding language as it is used.

**Littlewood (2007)** claimed that communicative ability is the goal of foreign language learning. It is a widely used approach in the situational language teaching. Therefore, the communicative approach does not emphasize on grammar and vocabulary but it also looks at what people perform when they want to communicate in the different purposes such as asking a question, making a suggestion or issuing an order.

**Savignon (1991)** characterizes communicative competence as the ability of language learners to interact with other speakers, to make meaning as a distinct from their ability to perform on discrete-point tests of grammatical knowledge.

**Hymes (1972)** claims to be communicatively competent, a person acquires knowledge and ability in using language concerning formality, feasibility, appropriateness and performance. On the contrary, Chomsky (1965) only focuses the theory on creating a grammatically correctness in a language concerning mainly on the speaker and listener in a completely homogeneous community. That means a person who can use language perfectly and apply his/her knowledge in the actual performance.

### **The Advantages and Disadvantages of Communicative approach**

**Finocchiaro and Brumfit (1983:67)** concluded some of the advantages and disadvantages of Communicative Language Teaching:

#### **Advantages**

- The meaning used in the approach is paramount
- It is not necessary to memorize the dialogue if it is used for communicative function
- Language items are needed to be contextualized.
- Language learning is learning to communicate not learning structures, sounds or words.
- Drilling is not a central technique. It may occur but peripherally.
- The learner does not need to speak like the native speaker just having the comprehensible pronunciation is acceptable.
- At the beginning, the learners are encouraged to having the attempt to communicate. Due to the classroom atmosphere, the cooperative relationship in groups and risk-taking activities are encouraged to take place.
- The primary goal is fluency and acceptable language: accuracy is judged not in the abstract but in the context.
- The students are expected to interact with other people, either in the flesh, through pair and group work or in their writing.

#### **Disadvantage**

- The teacher does not know exactly what language the students will use because they are not specified to use the language.

### **Communicative Language Teaching Activities**

Since language teachers began to use and realize the communicative language teaching approach, there is a large number of oral interaction activities designed for teaching and learning in the language classroom. The teacher can use a vast repertoire of activities in order to serve the learners' profile and meet the language objectives. As in Widdowson (1987), the types of communicative activities were illustrated that to develop learners' communicative competence and communicate effectively, the learners were required to practice various skills to understand their peers and made themselves understood by others. The activities established in Communicative language Teaching were Problem Solving

Activities, Information sharing activities, Brainstorming, Debate, Group Discussion, Interview.

### **The Role of the Teacher and Learners within a Communicative Approach**

#### **1. The role of CLT to the teacher**

- To facilitate the communicative process between all participants in the classroom and between the participants and various activities and text.
- To act as an interdependent participant within the learning-teaching groups.

#### **2. The role of CLT to the learners**

- To adopt the role of negotiation between the students themselves, their learning process, and the gradually revealed of learning.
- To be a provider of feedback to others concerning his own interpretation of the specific purposes of the curriculum and the appropriateness of methodology to his own teaching experiences and achievements.

### **Natural Occurring Conversation**

#### **The nature of conversation**

Thornbury and Slade (2006) proposed the definition of conversation as the informal interactive talk between two or among more people which happened in real time. In addition, it is spontaneous with a largely interpersonal function in which participants can share symmetrical rights. In general, the characteristic of conversation is accounted for the major proportion of most people's daily language use. The conversation has typically the frequent found characteristics in the real situation settings. It takes place spontaneously in real time and in a shared context with the interactive and jointly constructed style in which its function is primarily interpersonal and informal. It is the critical site for the negotiation of social identities therefore it is expression of wishes, feelings, attitudes and judgment.

Moreover, natural occurring conversation can occur to people in a real life situation naturally for example when people meet each other whether it is in short or long situations they will talk to each other in a form of small talk. Their conversations are natural talks in terms of topics discussion It reflects the real thought of people and sometimes it shows people's concerns. Additionally, it is a way for communication with other member in the society. They communicate to each other in order to express their ideas, exchange information. Some may communicate to ask for help and survive in each situation and basically it was used to keep the relationship of people in the society.

#### **The Analysis of Conversation in the Natural Occurring Conversation**

In terms of language studies, conversations were analysed in order to gain the utterances of language produced during a conversation. Thornbury & Slade (2006) summarize that in real time talk there was the time spontaneity. The followings were the features that distinguished conversation from writing such as Hesitation, Word repetitions, False starts, Repairs, Unfinished utterance, Ungrammatical, Filter, Borrowing chunks from the previous speakers' utterance, Lexical density specifically in content words per clause and Utterance launchers.

#### **Findings**

The following section presents the findings from the analysis according to Thornbury & Slade (2006) for Research Question 1: How is the students' improvement in speaking competence shown when they are in different contexts? (i.e. classroom, outside classroom)

To investigate the significant differences in terms of a performance of speaking ability in different context, 5 experienced Thai and 2 foreign teachers were observed and students were evaluated the performance of speaking ability in class and via the video recordings of students' conversation

## Transcription

### Example 1: Inside classroom Context

- (1) **T:** So, And why do you choose Chandrakasem to study? Why do you want to study here?
- (2) **S:** ชี้ว ชี้ว from Hor Karn Ka.
- (3) **T:** Oh Really. You have the problem with your study?
- (4) **S:** problem with your study.
- (5) **T:** Why do you choose to study here?
- (6) **S:** Ur....I like finance.
- (7) **T:** You like finance? You mean a Financial course or ...
- (8) **S:** Yes. Major.
- (9) **T:** You must be very good at money.
- (10) **S:** Yes I think it's difficult I don't ... but.

As shown in Example 1, the transcriptions reflected the nature of language used in the conversation between the teacher and student. As can be seen in Line (2), the students used his native language (Thai) to help the teacher understand the reason for why he chose to study at Chandrakasem Rajabhat University. The native language can be used in the real conversation in order to help both receiver and sender understand the meaning of some difficult word clearly. The use of word repetition was produced in Line (4) however; it seemed that the student was not sure what to answer until the teacher asked a new question in Line (5). Then he could give the reason in Line (6) by using pause filler (Ur...) or a sign of hesitator before continue giving the answer. In Line (8), the students managed the interaction by using the word "Yes" when he agreed with what the teacher asked him in Line (7) and he added more information that Finance was his major subject

### Example 2 (Outside classroom)

- (1) **T:** Ok So, Hello How are you, Neay?
- (2) **N:** [smiling] Not fine.
- (3) **T:** Not fine. What happened? What's the matter?
- (4) **N:** I have flu
- (5) **T:** You have flu.
- (6) **N:** Yes.

Regarding Example 2, the results showed a phatic communion or the use of language to maintain social relationship because actually it did not require the genuine answer for the questions. However, the student's answer was about health which was genuine as in Line 2 Moreover, there were a number of other linguistic ways that the teacher encoded the attitude towards the students when having conversation with the student (e.g.) the use of nickname "Neay" which showed the familiarity of them (as in Line 1).

As shown in Line 2 and 3, the use of word repetition to emphasize the answer e.g. "Not fine" and the use of word repetition e.g. flu, were found in Line (4,5).

### Example 3 (In class Talk)

- (1) **T:** No. What happened to you? Your body is weak.
- (2) **N:** I have a หอบ (Asthma) ค่ะ
- (3) **T:** Asthma Asthma. You have got asthma.
- (4) **N:** Yes.

(5) **T:** Oh! so what about when you do exercise. Do you feel tired?

(6) **N:** Uh.... Um.... Yes, easy.

(7) **T:** Yeah, very easy.

(8) **N:** yes Ur... sometimes walk

As shown in Example 3, the use of a native language (Thai) and word repetition were in Line (2 and 3). In Line (6), there were hesitators such as Uh..., Um... and in Line (8) such as Ur..... The conversation between the teacher and student demonstrated the consistently used of natural language in a form of a small talk before the start of a lesson in the classroom context

#### **Example 4 Informal Talk (Outside classroom)**

(1) **T:** Hi ! Neuy. How are you? Did you feel better?

(2) **N:** Rest

(3) **T:** Raise? What do you mean “raise”?

(4) **N:** rest rest พัก

(5) **T:** You will take a rest? Ok you will rest.

(6) **N:** Yes

(7) **T:** So how many days have you been- how long have you been in this symptom?

(8) **N:** [Pause for a while] I have in the child.

(9) **T:** When you were young.

(10) **N:** Yes

(11) **T:** Since how old?

(12) **N:** Six or seven years old. Ur... in when I was young my mother gets me to see the doctor. Anyway, he said to I should to swimming um...to to have a a ขยายปอด

According to Example 4, the answer of the student in Line (2) showed the miscommunication of word. The Miscommunication in terms of pronunciation was a problem which demonstrated in Line (3 and 4). Moreover, in Line (12) a preference for informal lexis was shown rather than specialized lexis. An improvement of student in choosing a word “Anyway” to use as a discourse marker or the word which used to flow his talk and manage interactivity. The repetition of articles (a) and a native language (Thai) were used to clarify the meaning of talk.

#### **Example 5 Conversation from students interviewed foreigners at Chatuchak market, in Bangkok**

The following example was taken and transcribed from a CD record which the students took a Course of English for Tourism Industry II Course interviewed tourists at Chatuchak Market as a travel project which was the most important work to complete the requirement of the course. The students were prepared for a language used during the interview in class and after practicing the conversation with their partner in a classroom context they interview foreigner outside university. Some parts of their conversation were taken into account in this example.

**S:** Student (Thanapat)

**T:** Tourist ( Soija)

(1) **S:** What is your name?

(2) **T:** Soija

(3) **S:** From?

(4) **T:** Australia

(5) **S:** Do you have a favorite trip?

(6) **T:** Chiang Mai

(7) **S:** When you go there?

(8) **T:** Uh....On Sunday

(9) **S:** What the purpose of your travel?

- (10) **T:** A holiday
- (11) **S:** Oh I see. How long you stay?
- (12) **T:** 2 weeks
- (13) **S:** How much budget do you have?
- (14) **T:** 45,000 including plane.

According to Example 5, the conversation was produced within a real context, Chatuchak Market, a flea market where students had to ask for permission to interview foreigners coming to visit a market. The given example showed the use of language for asking information about travelling in Thailand. The students were provided the guideline of questions; therefore, what they had to do at the market was to review the questions and interviewed tourists with those questions or extra questions apart from what they learnt naturally. It can be seen that the use of questions was not complicated as in Line (3) "From?". Moreover, the use of questions was not grammatically correct but it was successful in terms of communication between questioner and answerer. In Line (7,9 and 13), they were seemingly opened questions which answerer might not give the reply to the questioner as in Line (13) "How much budget do you have?" because it was too personal about the budget the answerer was planning to spend for this trip. However, the questioner got the reply about the full amount they would use for a trip. It provided that the answerer's utterances were to be understood not in the right grammatical form but in a way of real occurrence communication. Here then, in Line (11), the use of "Oh" conveyed that the questioner showed the perception in what the answerer's purpose to stay. In this context, it demonstrated the use of interjection to mean that questioner was interesting in the answerer's information as in excerpt 11 "Oh I see. How long you stay?". The conversation was natural in terms of language used however, in terms of performance as can be seen in the video some students did not behave naturally as they might worry about memorizing questions.

### Example 6

- (1) **S:** are you ...where are you from?
- (2) **T:** Denmark Do you have a favorite trip?
- (3) **S:** Kho Lanta
- (4) **T:** When you go there?
- (5) **S:** Last week
- (6) **T:** ah..... you, what is the purpose of your travel?
- (7) **S:** Holiday just holiday
- (8) **T:** How long you you stay?
- (9) **S:** 3 weeks
- (10)**S:** What transportation is appropriate in your travel?
- (10)**T:** I think mm....Airline and train
- (11) **S:** How much how much about the train?
- (12) **T:** 40 baht but to go to Denmark by the airplane it's really expensive. It's like 100,000 baht
- (13) **S:** What meal that you have on breakfast?
- (14) **T:** Fried rice, chicken fruit.

According to Example 6, it showed a real conversation between the student as an interviewer and a tourist as an interviewee. The tourist sometimes hesitated in their talk because they were thinking or might not be sure about the answer. As in Line (10) I think mm.... and Line (6) ah..... you were the prominent evident of hesitation. The use of word repetition was found in Line (8) and (11). The false starts were found in Line (1) however, the student repaired the utterances immediately. The grammatical mistakes happened when the students asked the questions as in Line (4) When you go there?. The lack of auxiliary verb or helping verbs (did) occurred in the question. In Line (8) How long you you stay?, the



interviewer did not repaired or corrected the mistakes immediately. However, the interviewer still got the appropriate answer from the interviewee.

## **DISSCUSSION**

### **The Improvement in Speaking Competence after semester two of the experiment**

The first semester was the time for students to adjust themselves to the use of English both inside and outside classroom context. In the second semester, the students continued their study in the course of English for Tourism Industry II which was a continuation course of English for Tourism Industry I. The main objective at the end of the course was to let students to communicate in the real context by sending them to interview and talk to foreigners in many different places for example in a park, market, nears a subway. For activities, the students were prepared to learn how to talk to people in different situations particularly how to make and respond to the questions. Based on the interview records of students in different places, the researcher found that many students read the interview questions at the beginning of conversation. They were not confident to speak and were shy especially their pronunciation was wrong or unclear which could be noticed from what they behaved during their interview. However, some groups of students were very successful in activity as they were very welcomed from the foreigners to talk and interview them. Their self confidence went up after the one semester practice in a Course of English for Tourism Industry I.

### **The significant differences in terms of a performance of speaking ability in different context**

After the students came back from the interview outside university the researcher found the significant changes which showed in the students themselves. There was an increase of their self-confidence when they were interviewed individually. They smiled, laughed and were lively to speak and answer questions from the researcher freely. This was a consistent phenomenon with students 9:1. It means 9 out of 10 students were very motivated and enjoyed to speak English. Many of them expressed their feeling in a positive way to the interview activity. They also requested to have such a kind of activity like this in the future. The students were willing to use English in the variety of communicative activities. They requested the teacher to provide more activities outside the university context because they felt to go outside and talked to foreigners in the real context would help them to increase and improve effective speaking ability.

Additionally, the some students were encouraged to speak English naturally. While having a conversation with foreigners, the some students focused on the interview questions and were afraid to forget the questions. As a consequence, the language they produced seemed to be unnatural even they could communicate with foreigners. However, they demonstrated the ability to understand their interviewee in terms of meaning. They also made some mistakes in the sentences they communicated. However, it was not a problem for listeners to understand them because the mistake of grammar points did not change the meaning of what they would like to speak as it was the real and natural conversation which required a meaningful language rather than a correct form of language.

Moreover, the students could apply the language they learnt in Semester 1 and 2 and integrated them into a real situation. They could transfer the language from L1 to L2 within a short time. However, they also needed help in clarifying the unclear or difficult vocabulary during the interview.

Furthermore, following the CANCODE corpus (McCarthy, 1998: 122-3), the most frequent words found in students' speaking were Pronoun "I". It was the most frequent used which were 59 times, Pronoun "You" was the second in the rank of the frequent word or

discourse marker (43 times) followed by an article “the” (34 times). The words “Yeah” and “of” and past tense form of Verb to be “was” were not found during the conversation.

In conclusion, Natural Occurring Conversation as a teaching model for teachers of English as a Foreign language or second language of instruction at the present, it could be said that it should be used as a teaching and learning model for teaching English or foreign languages courses as the use of Natural Occurring Conversation Teaching and Learning Model could demonstrate Teacher’s role as a facilitator. As the teacher started or raised the questions to students and let them continue the answer. However, it was not easy to motivate the students to answer as they had grammatical problems. Lacking of confidence was a

The researcher found that to develop the communication skills or speaking and listening ability of learners at Chandrakasem Rajabhat University was possible and necessary for teachers of English. As in the research data shown, the weakness point of students in speaking did not derive from their ignorance. Moreover, it seemed to me that many parts of their conversation showed enthusiasm and attention to converse and giving details. The necessity of developing the students was still in urgent if we judged from the knowledge of English they have.

While we are going to take a full effect as a member of ASEAN Community in 2015, letting learner to be able to communicate in the ASEAN standard would pave the way to grow up in both professional and international aspects would reduce the problems occurring during the uses of Communicative Language Teaching (CLT) specifically with the Natural Occurring Conversation activities both in-class and out-of classroom context. Moreover, teachers should be encouraged to reach their own solutions and conclusion for helping the new productive learner to learn English in the country.

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# THE JOY OF ART IN THE EFL CLASSROOM

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## Abstract

The need to motivate students in the EFL classroom has become an established area of research and discussion. Our work focuses on a more positive outlook on teaching and learning English, based on the assumption that we learn from information taken in through our basic natural senses. Based on Gardner's (1993) Multiple Intelligence Theory, we present the idea that the use of our senses may help create a livelier atmosphere and cater for different learning styles (Oxford 1990). Therefore, we propose different tasks by introducing a range of artistic expressions, such as music, paintings, literature and films.

In traditional learning environments (Nunan 1999), art and language learning seem to be at opposite ends of the spectrum in the quest to motivate students. However, we believe that these two fields do not necessarily stand apart and that their reciprocal virtues can invoke and provoke high levels of motivation that result in increased participation, especially one that will lead to meaningful text production.

We will describe and carry out a selection of thoughtfully designed activities aiming at written and oral productions triggered by sensory stimuli. The input provided by a palette of artistic expressions will give students the pleasure of discovering how effectively they can express themselves both in written and oral language. As for teachers, they will be able to encourage their students to approach the language learning process in a mood of discovery and to exercise their imaginative powers freely.

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**Keywords:** Art, senses, motivation

## The Joy of Art in the EFL Classroom

The need to motivate students in the EFL classroom has become an established area of research and discussion (Gardner, 1985; Oxford and Shearin, 1994; Gardner and Tremblay, 1994; Tsui, 1996, Dornyei, 2001).

Many theorists of Second Language Acquisition have dealt with the importance of motivation. Krashen (1981) considers motivation as most influential in unconscious language acquisition; for Carroll (1981), language learning takes place when the learner feels motivated to communicate; in Bialystok's (1978) terms, learners will seek language exposure only if they feel motivated; Lambert (1974) puts forward the idea that learners achievement depends on motivational states; Schumann (1978) as well as Gardner (1985) view motivation as a factor which will determine the learner's outcome. From this review and following Dornyei, we can conclude that motivation is one of the main determinants of Second/Foreign language (L2) learning achievement (Dornyei, 2001).

Engaging students to successfully perform oral and written tasks is not always easy, regardless of teachers' efforts to make these activities more appealing. The purpose of our work, then is to focus on a more positive outlook on teaching and learning English, based on the assumption that we learn from information taken in through our basic natural senses: sight, hearing, taste, smell, and touch. While learning, people tend to favour one of their

senses more than the others to facilitate information processing. Based on Gardner's (1993) Multiple Intelligences Theory, we put forward the idea that the use of our senses may both create a livelier atmosphere and cater for different learning styles (Oxford, 1990). Therefore, we propose different tasks by introducing a range of artistic expressions, such as music, paintings, literature and films.

Following J. Keddie (2010), there are seven reasons for using art in the classroom:

1. Art uplifts: students learn better when they are uplifted and one way of doing so is by aesthetically enhancing the learning environment by means of decoration.
2. Art is an accessible resource: it is all around us and it affects us all.
3. Art offers variety which is necessary in teaching to give a brisk pace to the class.
4. Art is a springboard to learning: it arouses curiosity, facilitates access to any subject or issue, leads to an unlimited new world and helps develop critical thinking skills.
5. Art seeds creativity: it sparks imagination and emotion and it may unlock creative thought.
6. Art is authentic: we can create a learning environment that comes to resemble the real world.
7. Art is communication: it considers personal responses that art evokes in us. Art may be loaded with symbolism which requires interpretation. Sometimes the best way to do this is to take a look at it and then share thoughts, which contributes greatly to developing communication in the classroom.

In traditional learning environments (Nunan, 1999) art and language would seem to be at opposite ends of the spectrum in the quest to motivate students. However, we believe that these two fields do not necessarily stand apart and that their reciprocal virtues can invoke and provoke high levels of motivation that result in increased participation, especially one that will lead to meaningful text production. Artistic expressions not only stimulate our senses and emotions, they also engage our listening, speaking, writing and reading skills.

We will describe a selection of thoughtfully designed activities aiming at written and oral productions triggered by sensory stimuli. These tasks will be based on excerpts from films, different pieces of music, samples taken from literature and paintings, which will supposedly arouse in our students different feelings and emotions such as happiness, joy, peace, love, anger, fear.

### **Why music?**

Research carried out provides enough evidence to support the idea that bringing music into the classroom may be very effective. These findings are based on the fact that songs may enhance imagination while providing inspiration and motivation for students at different ages and stages of learning (Spicher and Sweeney, 2007; Ting, 2002; Medina, 1993; Lozanov and Gateva, 1989; Rees, 1977 as in Ludke: 2009). Songs can quickly establish a positive learning attitude and at the same time contribute to achieving language teaching aims since they can be used as theme-oriented units. In other words, music facilitates a multi sensory learning experience, thus catering for different styles.

In Grühert's words (2009) music has been used for ESL / EFL classes for decades. This is mainly due to the fact that songs from English speaking countries are worldwide predominant cultural facts. He also considers that songs are most suitable, practical and applicable for the integration of literacy skills in the classroom.

### **Why literature?**

Literature and the ensuing discussion permit students to read, think and become actively engaged with texts.

Coinciding with Ojeda Pinar and Torralbo Jover, through literature students are exposed to complete themes and fresh, unexpected uses of language.

A good novel or short story can take the students to foreign countries and fantastic worlds. A play or a poem can bring up certain dilemmas and powerful emotional responses.

Following the above mentioned authors literary texts offer vast levels of meaning; therefore, they demand a reader/learner actively involved in drawing the hidden meaning of the text. So, we can help our students to develop the capacity to infer meaning by “encouraging students to grapple with the multiple ambiguities of the literary text”, (Ojeda Pinar & Torralbo Jover). Literature helps students to stimulate imagination, to develop their critical abilities and to increase their emotional awareness. If we ask students to respond personally to the texts we give them, they will become increasingly confident about expressing their own ideas and emotions. Literature generates creativity in language and should feature in any education system that regards discovery and enjoyment as essential components of the learning process.

In our proposal we decided to work with poetry due to the fact that it is a manageable text and can be easily adapted to different levels. As regards vocabulary, reading poetry allows for word study in creative discourse, including exploration of synonyms, metaphors, similes and other figurative language. Students can be encouraged to make use of certain interpretative strategies while reading, such as speculating about the symbolic meaning of certain words. Exploring sensory imagery adds a concrete dimension of olfactory, auditory, visual, gustatory and kinetic involvement that enhances learning enjoyment.

In the particular case of poetry written by students, language is more flexible, it may not be rigidly governed by rules and the topic even more appealing. Summarising Puchta and Schrats (1993) poetry exploits the ability of young people to merge thought and emotion, to produce language of special clarity, frankness and expressive power. It increases students’ willingness to be spontaneous and creative, and eagerness to express personal identity.

### **Why paintings?**

Interpreting visual art, whether it is modern and minimalist or renaissance and elaborate, can be an excellent way to teach productive skills and build a lexicon.

The arts can be brought into our classrooms as a valuable teaching resource, enabling teachers and learners to engage in more meaningful and memorable learning experiences. Neither teachers nor students need to be art experts to be capable of discovering the cultural and historical context behind a work of art, of appreciating shapes, colours and moods, or of indulging in creating stories out of what they see.

Responding to a painting can be stimulating and can lead to a wide number of activities which are expected to fulfil a variety of teaching roles in the areas of lexical competence, learner autonomy, blended learning and communicative integration of skills.

### **Why Films?**

Incorporating films into the EFL classroom means bringing language to life. In Jane King’s view watching movies “is a refreshing learning experience” for students willing to move away from long lists of lexical items and the burden of drill practices.

Watching a film in the English class offers the opportunity of learning and listening to the authentic language used by speakers of English in English speaking countries worldwide. The realism of movies provides a wealth of contextualized linguistic, paralinguistic and authentic cross-cultural information, classroom listening comprehension and fluency practice (Braddock, 1996; Mejia, 1994; Stempleski, 2000, Wood, 1995 as in King 2002). Films become a valuable source of colloquial English because they present real life contexts, an opportunity to be exposed to different voices, degrees of formality, reduced speeches, stress, accents, and dialects.

**Suggested Activities****Artistic Expression: Music****Level:** Intermediate / Adaptable to other levels**Material:** Recording of the song “Beneath a moonless sky” from *Love Never Dies* by Andrew Lloyd Webber**Procedure****Step 1**

Ask students to listen to the first part of the song (aperture). Then ask the students what this music stirs in them.

**Step 2**

Ask students to listen to the complete song paying attention to the lyrics. Brainstorm the ideas provoked by the lyrics.

Group work: Based on what students have heard and understood ask them what they think the story may be about. Students report to the class.

**Step 3**

Distribute copies of the lyrics and ask the students to read them while listening to the song.

**Step 4**

Ask students to group images using their senses.

Vocabulary related to:

Visual images:

Feelings and emotions:

Ways related to the eyes:

Movement:

Sounds:

Light & darkness:

**Step 5:****Speaking activity**

Ask students to think about the reasons or the situations in which they may feel: “*ashamed of what I was*” and “*afraid to see your eyes*”.

**Step 6****Role-play**

Ask students to perform a dialogue representing any part of the story they have chosen.

**Step 7****Writing (Adaptable)**

Suggested activities:

Create a story / the first part of a story / change the ending based on the song / write a letter based on the song.

**Artistic Expression: Literature****Level:** Adaptable**Material:** Poem “*Myself*” from Puchta & Schratz, 1984. *Teaching Teenagers*. Longman**Procedure:****Step 1**

Ask the class to read the poem written by a student.

**Step 2**

Ask questions to elicit responses about the feelings provoked by the poem.

**Step 3**

Video “*Déjeuner du Matin*”: [www.youtube.com/watch?v=fnZCm3cOJ\\_s](http://www.youtube.com/watch?v=fnZCm3cOJ_s) (Silent watching)

Work only with the images. Ask students to concentrate on feelings and emotions expressed by the actors and the setting.

**Step 4**

## Vocabulary

Tell the students to think about possible collocations with the words *lonely* and *loneliness*.  
Make students work with words and expressions related to the feeling of loneliness.

### Step 5

#### Contrasting

Ask students to provide as many opposites as they can from the vocabulary list drawn from the poem and the video.

### Step 6

#### Free speaking activity

Ask students to express themselves on the causes of loneliness, how to overcome it, their own personal experience if they have ever felt lonely and why.

### Step 7

#### Letter writing

Make the students write a letter to the poem's author telling him/her all what they think about the text, what they felt when they read it and what criticism they would include.

## Artistic Expression: Painting

**Level:** Adaptable

**Material:** Picture of a street scene. We suggest Paris Flower Market - Sam Park (by Schmidt) in: <http://www.babylonpuzzles.com/en/8656-1000-pcs---paris-flower-market---sam-park-by-schmidt.html>

### Procedure

**Step 1:** Ask students to look at the picture to give a general impression of it. Ask questions to elicit a description of the scene and the setting depicted in it.

#### Step 2: See the painting

Ask more specific questions to go into details as regards likes and dislikes about the picture.

#### Step 3: Smell the painting

Guide students to use their imagination as regards smells that can be perceived in the scene.

#### Step 4: Hear the picture

Guide students to describe the auditory perceptions of sounds or silences.

#### Step 5: Touch the picture

Lead the students to express the tactile feelings they can experience by touching the objects displayed in the picture.

#### Step 6: Speaking

Ask students to form small groups to exchange their personal feelings provoked by the scene.

#### Step 7: Optional activities

- Build on vocabulary related to names of different flowers and trees.
- Create a title for the painting.
- Write the description of the painting.

## Artistic Expression: Films

**Level:** Intermediate + adaptable to other levels

**Material:** A DVD with different wedding ceremonies taken from films or video clips. Suggested films: *My Big Fat Greek Wedding*, *Four Weddings and a Funeral*, *The Father of the Bride*, *Fiddler on the Roof*.

A recording of Mendelssohn's *Wedding March* and Elton John's *I never knew her name* (optional).

### Procedure:

#### Step 1: Anticipation of the topic

Play the CD with Mendelssohn's *Wedding March*. Ask questions that lead your students to the topic of *Weddings*.

**Step 2. Speaking about Weddings.**

Tell the students to share with their classmates what they know about different customs and traditions as regards weddings around the world.

**Step 3**

Show the students the compilation of different wedding scenes from films and video clips. While watching the different weddings, students make comments on the differences and / or similarities between the traditional weddings they are familiar with and the ones presented in the class.

**Step 4 (Optional)**

Teachers can enlarge this activity by making the students listen to the song *I never knew her name*, by Elton John, by working with vocabulary related to weddings, by expressing the feelings provoked by the scene described, by painting the picture of the song.

**Step 5:****Writing**

Work with your students on a brainstorming activity to come up with an interesting topic sentence / thesis statement and to make a draft for a paragraph / essay.

**Conclusion**

The input provided by this palette of artistic expressions will give students the pleasure of discovering how effectively they can express themselves both in written and oral language. As for teachers, they will be able to encourage their students to approach the language learning process in a mood of discovery and to exercise their imaginative powers freely.

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# NEW INTENSIVE METHODS OF LONG DISTANCE TRAINING AS ONE OF FORM OF FOREIGN LANGUAGE TEACHING

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## Abstract

In article are considered the possibilities of using of intensive methods of training at learning of foreign languages by means of technologies of distance learning; tendencies of application of technologies of distance learning, the perspective directions and ways with use of modern information technologies at learning of foreign languages are defined.

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**Keywords:** Innovative approaches, interactive learning materials, long-distance training techniques, large-scale approach, tutoring

## Introduction:

English is rapidly becoming the world's lingua franca, a truly international language. Language program leadership and curriculum is a central aspect of the teaching of English as a vibrant and rapidly growing area of education worldwide. Management and curriculum in English language teaching operates within a rapidly changing, global environment with multiple and diverse expectations and clientele that require innovative approaches as well as strong and diverse leadership skills.

Learning a foreign language can be interesting, stimulating and fun. It can also be difficult, frustrating and boring. In order to maximize your chances of long-term success, it is important to consider which approach to language learning will provide you with the most benefits.

Consider each of the three main ways of learning a language: self-study at home using books, CDs, DVDs and other learning materials; attending classes with a teacher and other students; and online courses using interactive learning materials.

Each of these methods has its own advantages and disadvantages. If you are unable to attend regular daytime or evening classes because of work or family commitments, self-study may suit you. However, this approach to language learning requires a high level of self-motivation and self-discipline. If you decide to learn in this way, it is a good idea to set yourself a weekly goal, so that your learning will move forward.

Recently information technologies have been penetrating gradually into foreign language learning. Learners use various intensive kinds of software products, the Internet, long-distance training techniques for studying a huge spectrum of theoretical and practical disciplines - from Language Practice to Lexicology, Stylistics, Theoretical Grammar and Theoretical Linguistics.

There can be no doubt that modern technology has led to great improvements. Search for information in databases and the emerging possibilities to apply hypertext approaches are no doubt promising elements in the presentation of subject matter, i.e. the one-way traffic. Telefax and electronic mail can obviously eliminate the harmful procrastination characteristic of student-tutor interaction in writing. This implies an improvement of distance education that is of an evolutionary rather than revolutionary character. There is no change in the basic

conditions: students still mainly study individually at a distance from, i.e., not on the same premises as, their tutors, the communication are still brought about none contiguously by media, now, however, at least in part of new kinds. Distance education has simply availed itself of the technical developments of modern society. (1)

## I.

Distance education occurred without any radical changes but with gradually more sophisticated use of methods and media, for example, audio recordings in language teaching and in courses for blind people and the use of laboratory kits in subjects like electronic, radio engineering etc. The founding of the British Open University in 1969 marks the beginning of a period in which degree-giving distance-teaching universities with full degree programme, sophisticated courses, new media and systematic systems evaluation crop up in various parts of the world and confer prestige on distance education. Whereas up to the 1960s the large-scale distance-teaching organizations had - with very few exceptions - been private correspondence schools (one of which - Hermods in Sweden - had since 1959 been an official examining body for its own students), the new period saw publicly supported and established universities and schools becoming more and more important. An outstanding pioneer in this respect is the University of South Africa, which emerged as a development of the University of Good Hope, founded in 1873 as an examining body based on the model of the University of London. It started teaching at a distance in 1946. The University of South Africa was established as a distance-teaching university through a governmental decree of 1962.

What above all gives us reasons to regard the early 1970s as a period of change in distance education is the new public recognition since then usually given to this kind of education. With few exceptions, as in Scandinavia, authorities had until then been sceptical. The creation of the Open University in the United Kingdom can be seen as the beginning of a more prestigious era. The image of distance education in several countries changed from one of possibly estimable but often little respected endeavour to one of a publicly acknowledged type of education acclaimed as an innovative promise for the future. In the 1990s some 30 distance-teaching universities are active in various parts of the world.

In the twentieth century distance education has occurred in mainly two forms. One represents a large-scale approach with courses produced for hundreds and thousands of students and with tutoring at a distance provided by a number of tutors who need have had no part in the development of the course. The second represents a small-scale approach with the course writer in charge also of the tutoring, in which case courses are developed for small target groups. Typical examples of the first type are the large correspondence schools and the distance-teaching universities, whereas the second type is typically represented by the Australian dual-mode universities (2).

In both these types the use of information technology and modern media has led to changes in the presentation of learning matter and, above all, in the student-tutor interaction. It has been claimed on the one hand that the introduction of computers and sophisticated media has meant a revolutionary metamorphosis of distance education, on the other hand that present-day stress on technology represents no more than a fad to be compared with the enthusiasm for programmed learning common in the 1960s. I reject both these views.

There can be no doubt that modern technology has led to great improvements. Search for information in databases and the emerging possibilities to apply hypertext approaches are no doubt promising elements in the presentation of subject matter, i.e. the one-way traffic. Telefax and electronic mail can obviously eliminate the harmful procrastination characteristic of student-tutor interaction in writing. This implies an improvement of distance education that is of an evolutionary rather than revolutionary character. There is no change in the basic conditions: students still mainly study individually at a distance from, i.e., not on the same premises as, their tutors, the communication are still brought about none contiguously by

media, now, however, at least in part of new kinds. Distance education has simply availed itself of the technical developments of modern society.

*The objective of the article:* to consider opportunities of use of long-distance training techniques for foreign language learning.

*Tasks of the article:* to define tendencies of use of long-distance training techniques, perspectives and ways of modern information technologies using for foreign language learning.

One of modern directions of development and improvement of educational system is the use of innovative pedagogical technologies on the basis of computer telecommunications. This process is realized within the system of long-distance training at all the levels (3).

Under conditions of the world integration and new technologies implied the expert possessing appropriate information in his field, i.e. the high level information cultured expert; is acquired. The information culture, in its turn, assumes not only possession of computer and other communication technologies, but also knowledge of foreign language as required information is accessible in a foreign language frequently. It is obvious that a modern educated person know a foreign language sufficiently. Thus a foreign language defines a way how to achieve success in various fields.

The basic purpose of foreign language teaching is formation of communicative skills.

By the beginning of XXI century there has been a qualitative leap in a foreign language learning methods in light of the communicative approach connected with an opportunity of modeling of the real language communicative environment by means of computer programs and multimedia systems (4).

Computer technologies, the world net Internet in particular, allows to provide learners with the natural language environment. Using the network the foreign language learners can communicate with instructors and native speakers, familiarize themselves with authentic texts in a foreign language and various electronic manuals online, in writing or orally, and also by E-mail. Multimedia technologies allow using various attachments, such as electronic textbooks, dictionaries, tests and etc. Many multimedia programs include specialized courses, language games and videos. Such programs are easy to use and motivate foreign language learning raising interest to the process of training.

Now we pass to long-distance training, when having a computer and the Internet at our disposal and the given method chosen, we can quickly execute any inquiry to the system, and also in the shortest time receive the answer, the new task or detailed analysis of the mistakes.

Long-distance training method application, including multimedia technologies, allows carry out the control of the learners' activity and also to improve foreign language skills by means of specially organized helps test and exercise system.

Long-distance training is a new form of education which is based on personal computer and electronic textbook and means of telecommunication use, the Internet install qualitatively new teaching technology (5).

Also this method of foreign language learning relate to computer aided language teaching. The main prerequisite is the System due to which the learners are taught. That is foreign language long-distance training as an independent system should be focused on the systems approach.

Home long-distance training is also rather an effective method therefore not everyone can force himself to study a foreign language systematically and independently. In the very case, despite he is virtual, there is an instructor, the rigid control occurs. The instructor makes learning active, has an opportunity to organize qualitative process of learning. Classes can be both real time and inactive mode ones.

In the program of foreign language long-distance training there are some functions which provide its interactivity:

- chat-classes with the instructor and other learners;

- a forum for possible various vital topics discussion;
- E-mail correspondence the instructor and other learners;
- check of written tasks by the instructor online;
- assessment list installed in the program of long-distance training allows the learners to correct their individual speed of studies.

All these functions create sense of real class learning where a certain information portion is not simply transmitted but help to understand, structure, and remember the new material involving the leant one. Thus a skilful instructor organizes directs and supervises a learning process, stimulating interest to cognitive activity.

A close information interaction allows to learn a foreign language effectively as grammar improves and lexis enlarges every next class in such a case. This intensive method allows to use widely vivid examples like pictures, associates and video-rollers, that in its turn also influences on quality of perception and foreign word memorizing.

Foreign language long-distance training technologies use requires special attention to the form of information presentation and methods of knowledge control. It is necessary to think how to compensate the insufficient personal factor when the instructor and the learner cooperate on distance. New means acquire not only changes of the content, but also methodology and teaching methods. And, certainly, for an effective long-distance training use, good material and technical support is required.

Distance education is a separate mode of education in its own right. Its typical characteristics were from the beginning and are still mediated student interaction and mediated subject-matter presentation, media being necessary as students either do not meet tutors face to face at all or do so only to a limited extent. This has constantly favored individual learning. Students chose and choose distance education either because they genuinely prefer this mode or because they cannot - for reasons of job, family, geographical distance, finance etc make use of conventional education. While at the beginning of this century the only media applied were printed, written communication and, occasionally, phonograph recordings, today's distance education has a wealth of sophisticated media at its disposal. A new dimension was added when tele- and computer conferencing were introduced as they open possibilities for non- contiguous group interaction. What is above all typical of distance education, however, is its almost unique one-to-one relationship between one student and one tutor.

Distance education at the end of the twentieth century is a product of an evolutionary development rooted in early attempts to teach and learn by correspondence. Students' work on their own at a distance from tutors demands a degree of independence, which can be, and often also has been, consciously promoted by the organizations that support students, i.e. correspondence schools, distance-teaching universities and similar bodies (6).

### **Conclusion:**

So, it is possible to draw a conclusion: educational prospects, first of all, are connected with the development of long-distance training forms. In future the creation of computer - based teaching programs that allow to train both a subject and a language simultaneously can be rather perspective. Modern techniques use in long-distance training allows making the language learning process more interesting, rich and promotes more effective material mastering considering your needs and opportunities.

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# HERITAGE OF THE PRAGUE SCHOOL TO CONTEMPORARY LANGUAGE TEACHING (WITH FOCUS ON ENGLISH LANGUAGE TEACHING)

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## Abstract

The aim of the paper is to assess the heritage of the Prague School to contemporary linguistics and language teaching. In Chapter 1 the focus is on works and ideas two founding members of the Prague Linguistic Circle, Anglicists V. Mathesius and J. Vachek and their contribution to the development of Slovak and Czech linguistics as reflected in textbooks and course materials for undergraduates at Slovak and Czech universities. The continuation and extension of the Prague School functional and structural concept is documented with references to works of their followers up to the present days. Chapter 2 contains the analysis of selected parts of the PLC Theses (1929), namely sections related to application of PLC principles in secondary school language teaching. The ideas expressed in the late twenties and thirties of the 20<sup>th</sup> century are confronted with present-day practice of foreign-language learning and teaching.

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**Keywords:** Functional and structuralist theory, linguistic characterology, contrastive analysis, Prague School, language teaching

## Introduction:

“Seen from the functionalist point of view, language is a system of purposeful means of expression. Structure and function should be the most essential concepts in both synchronic and diachronic linguistics.” (Horálek 1983, Introduction by the General Editor of the Series P. Luelsdorff).

The present paper is a modest contribution to assessing the importance of the functionalist and structuralist approach of the Prague School of Linguistics and its heritage to present-day linguistics and language teaching in the Slovak and Czech Republics. The quotation above from the Introduction written by the General Editor of the Praguiana series P. Luelsdorff are crucial for the understanding of the Prague School theories and some statements in this paper about their qualitative features as distinct from other structuralist linguistic schools. When designing curricula in linguistics and language teaching courses at higher education institutions, as language teachers we should be aware of the origin of ideas and sources of present-day knowledge in linguistics theories and try to consider the benefits of local traditions in our presentations of new ideas and theories.

## 1 Principles of PLC Applied and Developed in Linguistics and Language Teaching:

“A Dictionary of Linguistics and Phonetics” by David Crystal (2009) contains numerous references to the Prague School (Crystal 2009, p. 380). The contribution of the Prague School ideas to linguistics and their contemporary relevance is described there as follows:

“The ‘Praguean’ influence has been widespread and longlasting, as the frequent reference throughout this dictionary testifies. Its main emphasis lay on the analysis of language as a system of functionally related units, which showed Saussurean influence.

...Since the 1950s Prague School ideas have been received and developed particularly with reference to SYNTAX, SEMANTICS and STYLISTICS of English and Slavonic languages and illustrated in the work of Josef Vachek (1980 – 1996) and Jan Firbas (1921– 2000) and others...” These ideas were later developed into linguistic characterology of modern English by two founding members of the Prague Linguistic Circle (PLC) Mathesius and Vachek to be further applied in language teaching and in some cases also further developed mainly by Anglicists scholars in the Czech Republic as well as in Slovakia (e.g. Trnka 1972; Daneš 1974; Hladký and Růžička 1996; Firbas 1992; Dušková 2006; Kubišová, Bázlik and Votruba 2000).

In his visionary paper “New currents and tendencies in linguistic research” V. Mathesius writes about “a first-rate role” of linguistic characterology in future development of linguistics and explains the difference between scientific grammar and linguistic characterology: while the former gives “a detailed and accurate inventory of everything that occurs in a given language at a given time”, the latter “is an attempt at a hierarchy of the listed language phenomena according to their importance.” (Praguiana 1983, xx)

Let us mention some examples from functional syntax discussed by the Anglicist members of the Prague Linguistic School Anglicists in linguistic characterology of the English language: the comparison of the function of the Czech grammatical subject, which is mainly to express the agent, i.e. the doer of an action) with the thematic function of the grammatical subject in the English or French language<sup>1</sup>. (Vachek 1974a, Firbas 1992; Dušková 2006); the theory of functional sentence perspective as well as the description of leading contrasting factors of the Czech word-order and the English word-order, applicable also to the Slovak language.

Slovak linguists as well as English language teachers can be proud that also Slovak linguists (e.g. Ľ. Novák and E. Paulíny) contributed to these ideas as members of the Prague School and later also established their circle named *The Bratislava Circle of Linguistics* (BLC) in Slovakia’s capital (1945 – 1950). (Breveníková 2009).

Today’s study programmes of faculties of humanities in the Czech Republic and the Slovak Republic list courses in Linguistic Characterology (or Characteristics) of Modern English as well as those in the History of the English Language; obligatory or recommended reading lists contain Mathesius’s and Vachek’s works. These universities that continue in spreading and developing the Prague School tradition include: Comenius University in Bratislava, Matej Bel University in Banská Bystrica, University of Constantine and Methodius, Prešov University, Prešov (to mention only the main ones) in the Slovak Republic; in the Czech Republic it is especially Masaryk University, Brno (Czech Republic), Caroline University, Prague, Silesian University, Opava, Ostrava University, Ostrava, South Bohemian University in České Budějovice, whose curricula of courses include publications by Prague School scholars, in particular Vachek, e.g. (Vachek 1991a, 1991b).

From the 1960s through 1990 Vachek’s works published also in the form of coursebooks were used at Czech and Slovak higher education institutions, which means that generations of Czech and Slovak Anglicists have been been “brought up” on the functionalist and structuralist Prague School linguistic tradition, and it also bears witness of the vitality of the Praguian ideas (cf. Firbas, Hladký, Růžička, Hajičová) (Horálek 1983) and their practical application. It is mainly J. Vachek’s, V. Mathesius’s, F. Daneš’s, and Firbas’s papers that are listed in papers on contrastive linguistics written by authors from various countries, which means that ideas of the Prague School have become part of any serious linguistic thought and research (e.g. Sgall 1967; Bloor and Bloor 2004; Downing 2001; Hruška Jiří 1979; Mohsen, Khedri and Seyed, Foad Ebrahimi 2012; Nylund 2013; Sgall 1967).

The coursebook “Functional Onomatology” (Hladký – Růžička 1996) is one of those publications if not the chief one that proves that even in the late 1990s and in fact till the present time the heritage of the Prague School is alive at our universities. The book in

Hladký's words "follows in the spirit of Vilém Mathesius "Functional Analysis of Present-day English on a General Linguistic Basis" and on J. Vachek's "A Linguistic Characterology of Modern English" and is a further development of the concepts introduced by them into Czech linguistics." The concept of onomatology is to be understood as the theory of naming units; naming units in the English language are described on the basis of contrastive method with the Czech language, in terms of form and content, e.g. phenomena (e.g. conversion as zero derivation, semantic vagueness of English verbs are described in contrast with the Czech ones, the category of countability, the English aspect versus the Slavonic "vid") which are either absent (as e.g. zero derivation, conversion) or different in terms of their place in the system of the Czech (as well as in Slovak) language are at the forefront of the analysis. In the chapter on "Small Contrastive Analysis of English and Czech Pronouns" the authors (Hladký and Růžička 1996, p. 87) define their aim of the contrastive study: "The contrastive study should not just aim at discovering the infinite variation but it should envisage also the goal of delimiting the range of possible variation. Thus every contrastive research ultimately faces to the question of universal grammar."

Grammars of contemporary English language designed for Anglicists and published in Slovakia or in the Czech Republic have been written on a contrastive basis (Dušková et al. 2006; Votruba – Bázlik 2000) with grammar of the Czech or Slovak language, as their titles clearly indicate (e.g. *Grammar of Contemporary English against the Background of Czech; Comparative Grammar of the English Language*). All language levels of the English language are described in these publications via comparison with corresponding linguistic phenomena in mother tongue (Czech or Slovak). The bibliography in L. Dušková's grammar contains numerous sources with names of PLC members and their followers: for instance, V. Mathesius (17) J. Vachek (10), F. Daneš (14), J. Firbas (16), B. Havránek (1), V. Skalička (2), B. Trnka (15), etc., which is of course, only a quantitative indicator of the importance of the Prague School's contribution to present-day English linguistics in both of our countries (Czech Republic and the Slovak Republic). *Grammar of Contemporary English against the Background of Czech* by L. Dušková is used in teaching English linguistics both in Slovakia and in the Czech Republic courses in modern or historical linguistics. It is this "consistent application of confronting aspect" (DUŠKOVÁ 2006) that makes this publication suitable also for native English-language speakers who specialize in the Czech studies. Also a more recent *Grammar of the Czech Language – Speech and Language* (2011) designed mainly for Bohemists is based on the principles of linguistic characterology and includes descriptions of several topics dealt with by Prague School linguists, e.g. functional sentence perspective (p.278–281).

We would like to remind especially young generation of language teachers in Slovakia, in particular our doctoral students and English language teachers specialising in teaching languages for specific purposes that the principles of effective language teaching did not originate in the 60-ies, and it is not enough to name one or two English-speaking countries when discussing the communicative approach in language teaching or links between linguistic theory and effective methods and techniques of teaching languages.

J. Vachek, who deserves to be called a historiographer of the Prague School, evaluated its contribution to modern linguistic research in his paper on "The Heritage of the Prague School to Modern Linguistic Research" He answered the question "Is what used to be called the Prague linguistic school still a linguistic reality?" in the affirmative and gave persuasive arguments showing that the principles of the Prague School remained upheld and even further extended by numerous linguists not only in the Czech and Slovak Republics but also abroad. J. Vachek in particular appreciated the publication of six volumes of the series *Prague Studies in Mathematical Linguistics* (1965–78) and explained the source of inspiration for authors of quantitative studies: "... the Prague group could simply build on the foundations that had been provided, decades ago, by V. Mathesius 1929" and two other Prague school scholars after him



(Horálek 1983, p. 269). On the other hand, J. Vachek admitted some modifications from the Prague School principal stances, especially as regards the relations between linguistics and other sciences and explained the change in attitudes by saying that once “the status of linguistics as a separate branch of research can be regarded as having been fought out, and also linguistic methods independent of those of other disciplines have been duly established”, ...“linguistics can now confront its own methods with those of other sciences without forfeiting its independence.” (In: Horálek 1983, p. 267).

## **2 Insights into Selected Aspects of PLC *THESES* (1929) and Comments on their Application in Teaching English:**

The contrastive approach is referred to in the Theses of the Prague Linguistic Circle (1929) as the most suitable starting point of studying the English grammar by those who pursue studies in translatology (which is the case of the undergraduates at our interdisciplinary Faculty of Applied Languages). Even now, after almost a forty-year teaching experience, I frequently find that for learners the knowledge of grammar is no more than mastering a set of isolated rules and forms. Ideas of universal categories in human languages on the one hand, and the need for the contrastive approach, on the other hand, need to be repeatedly explained also to tertiary level students.

The PLC programmatic Theses were presented for discussion at the first Congress of Slavic Philologists in Prague, 1929. This part of the paper deals with selected parts of the Theses, namely those dealing with the application of trends in linguistics in secondary school language teaching. Although the contrastive functionalist approach is discussed in the Theses in the context of teaching Slavonic languages, it is fully applicable to comparing Slavonic and non-Slavonic languages, i.e. for example, Slovak and English).

The following quotation shows the perspective of the Prague School scholars on relations between theory (linguistics) and practice (language teaching) and the role of the teacher in this process, as well as aims and content of language teaching: “Within the functional perspective the task of the language teacher is to foster in the learner the ability to comply, in the best possible manner with the function of language indicated for the given case, e.g. in a dialogue, in various kinds of written manifestations, in composing essays...” (Praguiana 1983, p. XX; On Praguian functionalism and some extensions by Philip A. Luelsdorf; Introduction by the General Editor of the Series).

Approaches of the Prague School to teaching languages presented in Section III (of the Congress) and entitled “Exploitation of new linguistic trends in secondary schools” are divided into two parts; the first one deals with the instruction of the mother tongue; the second one with teaching other Slavonic languages at secondary schools. In the first part the authors identify common, overlapping points of linguistic theory and the practice of teaching (compare the entry “contrastive analysis (CA)” Crystal, 2008, p.112). The benefits of theory for the practice of teaching are described as follows: “the understanding of language as a functional system and the effort to determine precise characteristics of individual contemporary languages can provide also the school classification of language phenomena and their explanation with a safer background.” (Čermák, Poeta and Čermák 2012, p.739)

As is clear from the quotation, these benefits do not imply a mere straightforward application of theory in practice: the difference between scientific exploration in linguistics and the role in teaching the grammar of mother tongue to learners of secondary school is explicitly recognised in the Theses; the latter is referred as “cultivation”. It is important to note at this point that differentiating between studying one’s mother tongue and a foreign language has a long tradition in language teaching in our country.

We consider it relevant to refer at this point to some statements from the Theses to show how the concept of functional linguistics in the Prague School conception relates to practical teaching. According to the Theses “practical language teaching” can and should be scientifically justified”. It involves the knowledge of language in its particular function, the

language specific of social environment and a particular situation. According to authors of the Theses, “exploring language regardless specific functions of language is a complete abstraction” (translated by Breveníková from Czech). (Čermák, Poeta and Čermák 2012, p. 742).

In order to develop learners’ awareness of the system of language (p.741), teachers are recommended to summarize the knowledge taught and acquired by their learners.

As for the learners’ ability to use a foreign language in several or all its functions, the authors point to some situations when communicating in the mother tongue, stating that there are few native speakers who are able to use their mother tongue in all its functions: even educated people find it difficult to write genre-specific texts, e.g. reports or newspaper articles unless they studied the field concerned. In this connection; it was proposed in the Theses to set forth guidelines for practical language teaching and recommend that, e.g. that business colleges learners should be able to communicate in the language of business, be proficient in business correspondence, as well as using the style of research papers on economics or business. On the other hand, secondary school learners should master the general language of educated strata of society in its written and spoken forms, according to the Theses. Apart from mastering specific functions of the target language the authors of the Theses expect learners to know “facts of language with the function of elementary social contacts, e.g. greetings, introduction phrases, questions about weather...”; this is how the instruction of a foreign (Slavonic) language can start. (Čermák, Poeta and Čermák 2012, p. 742).

The statements and principles we accept and apply in foreign language teaching even nowadays were recommended by the Prague School scholars as a suitable way of language instruction, e.g. focus on contrasts between the system of learner’s mother tongue and the target language, the principle of grading requirements according to the learner’s age and type of school, as well as e.g. the danger of overrating similarities in learning or teaching genetically related languages (which Slovak learners may have experienced in learning the Russian language in the past). From our present-day perspective, it is interesting to realize that even our discussions about creativity in teaching languages was considered in the Theses: “Learners are expected to reflect on how means of language are used to express an intended content and the communicative intent and speak about learners own experiments” (the word “experiments” is italicised in the text of the Theses) (Čermák, Poeta and Čermák 2012, p.740).

The authors of the Theses also extended their requirement of contrastive approach to workbooks for language instruction, which should deal with the contrasting phenomena in the two language systems.” (Čermák, Poeta and Čermák 2012, p. 743–744).

They required that language teaching focused on current statements rather than on isolated words; they suggested that the knowledge of lexis should be enhanced in context, and from individual statements, so that the overall procedure was similar to that of “solving a riddle” by the learner and requested that the methods of practical language instruction differed from those used in teaching Latin or Greek.

The most important methodology issue according to the Theses (1929) is to elaborate textbooks on these principles; as these teaching materials “would gradually enable to master the language in its specific functions.” Those who framed the Theses were persuaded that a set of teaching materials designed on these principles would provide learners with a safe basis of language cognition (Čermák, Poeta and Čermák 2012, p.744) and the learners would be able to use the knowledge and skills in practice and further develop them in accordance with their social environment.

### **Conclusion:**

When paying the tribute to the linguistic heritage of the Prague School of Linguistics, the aim of the paper is also to remind language teachers and authors of course materials and

scholarly papers not to neglect the merits of those who built a strong linguistic tradition in this part of Europe and laid solid fundamentals for teaching foreign languages. Opinions of PLC members of content and methods of language teaching indicate that the roots of communicative approach go farther in history than is usually claimed. The contrastive method advocated by the Prague school is applied in most grammar books of modern Slovak, Czech and English languages published in the Slovak and Czech Republic.

The message is that the history of modern linguistics did not start in the sixties of the 20<sup>th</sup> century, and we had better studying primary sources when discussing, e.g. communicative approach in language teaching.

On realising how significant the Theses (1929) for contemporary language teachers are, including those who teach languages for specific purposes, we should be ready to critically assess our own performance and decide whether we have managed to apply what is recommended in the Thesis (1929) and put that “practical orientation” into our language classes and course materials. The merits of the Prague Linguistic School in this area deserve to be recognised across the global linguistic and language teaching community.

It is significant to observe that what our students expect to learn in their English language classes and how they want to be taught coincides to a great extent with what was recommended in the Theses so many years ago as a principal requirement in teaching foreign languages. As an English language teacher I especially appreciate a creative and pro-active approach in Theses: the metaphor of the learning riddle (the Czech word “luštění” used in the Thesis means “doing/solving a crossword puzzle”) Those language teachers who enjoy using prediction and involve their learners in various creative activities in teaching English grammar, may be surprised and delighted to find that their favourite techniques were recommended by well-known linguists and distinguished scholars.

A selection of sources below indicates that the “safe background” mentioned in the PLC Theses (Čermák, Poeta and Čermák 2012, p. 739) exists, and there are good prospects for its application and development both in linguistics and language teaching.

This paper is also an expression of my personal gratitude for the knowledge and inspiration I gained from the seminars for doctoral students conducted by J. Vachek in 1970s at the Institute of Translation and Interpretation in Bratislava and lectures in Linguistic Characterology in Modern English at the Faculty of Philosophy, Bratislava.

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#### Notes:

<sup>1)</sup> The terms *theme* – *rheme* correspond to *topic* – *comment* are used in the description of information structure of utterance; the term *theme* means the starting point (what is known); *rheme* (comment) is the *raison d'être* of communication, i.e. new information. Cf. CRYSTAL 2009, p.483). The functional sentence perspective theory was later “very ably developed” mainly by J. Firbas, F. Daneš, and others as J. Vachek comments with appreciation (Praguiana 1983, p. 269)

<sup>2)</sup> The name of the Bratislava Linguistic Circle (BLC) reflects its methodological connection with the Prague Linguistic Circle. As early as two years after its foundation, the BLC had 10 regular and 8 corresponding members (L. Novák, E. Paulíny, A.V. Isačenko (founding members), J. Horecký, J. Ružička, V. Blanár, V. Kochol, J. Štolc, Š. Peciar (Slovakia); J. Mukařovský, V. Skalička, K. Horálek (Czech Lands) and L. Hjelmslev (Copenhagen, Denmark). In the year 1947 the Bratislava Linguistic Circle started publishing a journal *Slovo a tvar, revue pre jazykovedu, štylistiku a slovesnosť* (Word and Form, Review for Linguistics, Stylistics and Literature) and was published quarter-yearly. Its orientation was distinctly functionalist and structuralist. Its connection with the PLC journal *Slovo a slovesnosť*, is evident. (Its present-day subtitle in English is: *A Journal for the theory of language and language cultivation founded in 1935 by the Prague Linguistic Circle*). In 1950 the BLC published the first issue of the international *Recueil linguistique de Bratislava* edited by A. V. Isachenko. The Revue was to become a parallel to the pre-war revue *Travaux du Cercle linguistique de Prague*. Members of the BLC (e.g. V. Skalička and J. Mukařovský, L. Hjelmslev) met for lectures and discussions with PLC scholars as invited guests. Discussions were held on various linguistic topics, e.g. functions of language. The conative function (Bühler's *appellative function*), i.e. the problems of the relationship between the speaker and the language were explored by A. V. Isachenko; the structure of language functions and the topic of standard language were explored by K. Horálek; properties of parole were presented V. Skalička's and E. Paulíny's lectures.

# ASPECTS OF LINGUISTS' PROFESSIONAL ETHICS IN PROCESSES OF EMANCIPATION AND POLITICAL MANAGEMENT OF LANGUAGE (WESTERN EUROPE > ITALY > SARDINIA): GUIDELINES FOR FURTHER STUDY

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## Abstract

The signs indicating growing worldwide interest in ethics in research are now emerging strongly. In the field of social studies, the communities, associations and institutes of psychology, anthropology and ethnography are those that have taken the lead in proposing and formulating ethical codes, together with the community of linguists, mainly non European. Europe is behind the others not only in the drawing up of a detailed ethical code for linguistic research, but above all in the embodiment and assimilation, of some fundamental ethical principles by operators in the field of European minority and/or endangered languages. The researcher (as the representative of an institution, an agency and so on, that is to say, of cultural elites) is in any case objectively in a position of superiority, prestige and power. Metasociolinguistic practice (including discursive custom) possesses indexicality, as does any other social practice: it is to be desired that all connotations of cultural intraeuropean 'colonialism' imposed from above to local counterparts should be avoided. And this can be prevented only by adhering to a formal ethical code accepted by the communities and persons involved. Sardinia (Italy) represents the case study.

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**Keywords:** Sociolinguistics, language policy, Sardinia, ethics

## Introduction:

There are several signs indicating that the world of research is concentrating more and more on the ethical fundamentals of scientific research; increasing emphasis is being placed on the need for full awareness of researchers' social responsibilities (Dupuy 2004 and references). What are involved are the relations between research and society, research and politics, to arrive at the more concrete problems of the short- and long-term planning of research activities and allocation of funds, both public and private. When the effects of the global financial crisis spread throughout Italian society, with an important negative difference compared to other states and areas of the world, the issue of research and funding assumed vital importance for the proper functioning both of research and university education. The need to use to best effect the ever-decreasing resources available calls not only for the adoption of a common ethical code, but also a more articulated sector-by-sector ethical vision capable of avoiding any improper access to funds that may occur.

## Main Text:

For those who do not work primarily in this field, the signs indicating growing worldwide interest in ethics in research are now emerging unsystematically, but in any case strongly. In 2003, the multinational Springer Publishing began publishing the Journal of Academic Ethics. In March of 2013, a recent meeting of the research group of the Nordic Summer University was held in Iceland under the title "Towards a New Ethical Imagination. Political and Social Values in a Cosmopolitan World Society". In 2011, the scholars

belonging to this group stated in a document that: “We can observe that ethical problems increasingly have been a central problem in public debates in Nordic societies and in the international community.” Browsing through the web, we can see that the most distressing issues of an ethical nature centre on the ethics of biomedicine, pharmacology, high-tech applications and, more recently, economy and finance (ethical banking) exploitation of resources, sustainable development and so on ([http:// ec.europa.eu/bepa/european-group-ethics/welcome/index\\_en.htm](http://ec.europa.eu/bepa/european-group-ethics/welcome/index_en.htm)).

In the field of social studies, the communities, associations and institutes of psychology, anthropology and ethnography are those that have taken the lead in proposing and formulating ethical codes, together with the community of linguists (mainly in America - Canada, United States, Mexico ? -, in Australia and New Zealand ?) who devote their efforts to the study of surviving indigenous/aboriginal populations in the so-called New World, reduced over the centuries of European colonization to the status of ethnic and linguistic minorities at risk of extinction or even of dying out at a rapid pace (Nettle, Romaine 2000; Rymer 2012).

The general principle on which both research activities and the formulation of ethical codes are based is the safeguarding and preservation of the world's linguistic and cultural diversity, as stated in the UNESCO documents in which just as important are equal treatment and reciprocal trust among those involved. Since we are often dealing with the world's most powerful countries, we must call attention to the impression that a certain aura of forward-looking political correctness and historical compensation surrounds the principles of undoubtedly just and proper ethical behaviour. Beyond the fundamental and undeniable correctness of the ethical structure, there would appear to be a connotation of ‘image’, so to speak, and rhetoric, on how to approach others, the civil society as a whole and in particular the scientific community.

As concerns Africa, and in a certain sense Europe, in the last decades we have seen strong ethical implications in studies on (post-)colonialism and linguistic neo-colonialism, rather controversial concepts (Phillipson 1997 and references; Vigouroux, Mufwene 2008) closely connected with the role of English and French, the languages of colonizers (of European origin), as the languages of higher education imposed in the colonies and continued in the decolonized states, as the languages of literature, as *linguae francae*, as the languages of the elite, and not lastly as international languages (with English in the forefront), in sum, as an acrolect compared to other often majority languages (fundamental references and key arguments: <http://en.wikipedia.org/wiki/Postcolonialism>, [http://en.wikipedia.org/wiki/Linguistic\\_imperialism](http://en.wikipedia.org/wiki/Linguistic_imperialism), [http://fr.wikipedia.org/wiki/Impérialisme\\_linguistique](http://fr.wikipedia.org/wiki/Impérialisme_linguistique), University of Cape Town 2006). In any case, the application of the concept of 'minority' in Africa is problematic and/or inappropriate (Kubik 1989/2003).

We could argue that in the European linguistic conformation we find a crossroads of all the issues to be found on the other continents, although with different statutes. Europe is first and foremost densely disseminated with historic ethnic and linguistic minorities and new minorities resulting from recent migratory flows. Leaving outside the scope of this work the new minorities, each historic European minority has its own history and a quite variable period of permanence both on the (sub)continent itself and within a political and administrative formation. As concerns the chronology of its documented existence in an area, the extreme limits are perhaps represented by the Basques and Romani populations. Between the two extremes we find the minorities resulting from historic migrations (microcolonizations) of fragments of European and non-European (Turkish) peoples or those resulting from the redefinition of political boundaries that have created minorities connected to majorities on the other side of the line of demarcation (cross-border continuity). We must not forget that there are territorial / permanent minorities (in the large majority of cases) and

minorities removed from their lands or migrant or dispersed. Thus in its strictest sense the concept of “autochthony”, with its synonyms “indigenoussness” or “aboriginality” (“characteristic of THE EARLIEST KNOWN DWELLERS IN ANY COUNTRY” [my emphasis] (*The Shorter OED*; “Caratteristica delle popolazioni STANZIATE DA EPOCA ASSAI REMOTA nel territorio in cui risiedono.” *Dizionario Treccani*) is inapplicable to many historical European populations, but it is above all insidious, as the history of recent centuries demonstrates. To be equitable, we should speak of autochthony not as an absolute magnitude but as a scalar one. In multiethnic areas aggressive nationalism can also be generated by the widespread sentiment (politically and 'historiographically' upheld) of major autochthony conferring greater *jus soli* (e.g. the case of Transylvania), that is to say, by the answer to the question "who was here first, we or you?" (the answer is obviously "we"). And the theoretically equal rights deriving from common citizenship are not always respected in political and civil practices. If we agree that all peoples prior to the recent extra-European (im)migrations are autochthonous in Europe, is it correct to speak of diglossia in the multilingual minority areas (which are today almost certainly the majority, if not the totality), as the result of intra-European colonization, at least linguistically speaking?

What is a colony? Briefly stated, historians define it as: "Territoire occupé par une nation en dehors de ses propres frontières. Elle l'administre et le maintient dans un état de dépendance.[...] Mais la réalité d'une colonie n'est pas réductible à son éloignement géographique d'une métropole. C'est un ensemble de traits qui la définissent : histoire d'une conquête plus ou moins violente, diversité des implantations de populations européennes (quasi nulle pour l'Afrique), infériorité de statut politique et civil de ses habitants «indigènes» excluant la citoyenneté de plein droit qui rçgne en métropole, exploitation unilatérale des ressources de ces pays, stigmatisation culturelle ..." (Renard 2013).

In the case of Sardinia, an island at the centre of the western Mediterranean and not far from Africa, at the crossroads of extremely old migratory, commercial and thus political and cultural routes, historic moments definable as true colonisations are not lacking. However, starting from the 18th century, the incorporation of the island in the Kingdom of Sardinia (and Piedmont), followed in the second half of the 19th century by Italian unification, not as result of occupations or colonial wars but of common European vicissitudes (wars of succession, redefinition of frontiers of states through wars or diplomacy, annexations on the one hand and consequent loss of territories on the other, expansion or the formation of new and larger "national" states). In this historical context, leaving aside linguistic peculiarities, the history of Sardinia is that of one of the regions of Italy (and of Europe) involved, albeit in its specificity, in the "southern question". Subservience, underdevelopment and marginality, only partly remedied through special and relatively recent measures such as recognition as an autonomous region with a special statute following the Second World War ([http://it.wikipedia.org/wiki/Regione\\_a\\_statuto\\_speciale](http://it.wikipedia.org/wiki/Regione_a_statuto_speciale)), inclusion in the area of responsibility of the Cassa per il Mezzogiorno [Fund for the South] (1951 - 1992), and so on. Having as antagonists Italy and Italian, an anticolonial and self-pitying political and linguistic approach would thus be incoherent with the last three centuries of history, as well as extremist (Italy's official language is Italian, see e.g. Law no. 482/1999 “Regulations concerning the safeguarding of historic linguistic minorities”, Article 1: “The official language of the Republic is Italian”; <http://www.camera.it/parlam/leggi/99482l.htm>).

If in Sardinia certain impulses towards emancipation advanced by vociferous minorities are tinged with anticolonial hues, this may be due to the fact that common beliefs of mainland Italians, even among highly cultivated people, are confused, contradictory and at times even sarcastic (Eco 2010: <http://espresso.repubblica.it/dettaglio/el-me-aristotil/2134379>) as concerns linguistic minorities, language and dialects. This is certainly a part of the centrifugal-centripetal dynamics of regional vindications against



national claims of necessity and the need for cohesion, which are not new, but which in the last decades have once again become quite manifest (Bruni 2007).

In any case, certain political positions are irritating, ingenuous and arrogant at one and the same time. With Decision 215/2013, the Italian Constitutional Court had to intervene (to re-establish the provisions of the constitution and that of Law 482/1999) on an article of a decree law (July-August 2012, no. 95) of the Monti government; in this law, which dealt with the revision of public expenditures, the so-called "spending review", the "geographic areas characterized by linguistic specificities" were limited to the areas "in which linguistic minorities of foreign mother tongues are present" (evidently languages spoken by a majority in other European states from which for historical and political reasons they were separated, but not Calabrian Greek or Griko); Friulan, Occitan and Sardinian, which are not (official) languages of other states, were considered in the technical notes of the law as "special dialects" (?).

Despite this, today's highly bureaucratic and top-down strategies for the protection, emancipation and standardization of Sardinian, and only secondly for the other local varieties (Catalan in Alghero, Tabarkan Genoese, Gallurese and Sassarian, which are linguistic minorities within or alongside an insular linguistic minority) propose nothing original or innovative compared to the rest of Europe. But Jacques Leclerc, a French-Canadian expert on the subject of "aménagement linguistique" and linguistic policies, suggests a different procedure: "[...] il faut être conscient des limites qu'il y a à importer des idées et des expériences, voire des «recettes» des autres, car toute politique linguistique est le produit d'une histoire et d'une culture, et ne se transpose pas facilement. Les échecs et les succès dépendent également de facteurs extérieurs à la politique elle-même, alors que les priorités ne sont pas les mêmes d'un pays à l'autre. Néanmoins, on aurait tort d'ignorer ce qui se fait à l'extérieur de son propre pays." ([http://www.axl.cefan.ulaval.ca/monde/historique\\_du\\_site.htm](http://www.axl.cefan.ulaval.ca/monde/historique_du_site.htm)).

Instead, what the regional administrations want to impose in Sardinia with a certain bureaucratic pressure and political impatience, often resorting to the weapon of the allocation of funds, is a vision, which is to say an ideology, a policy and a regulatory and prescriptive (and thus evaluative) practice corresponding perfectly to the historical European model of national languages in use starting from the 18th century. Despite the situation of social and structural precariousness of the Sardinian language, which in the first place should have been raised to a more vital social and structural level, the objective chosen immediately was the creation of a single standard of writing inclined more steeply on the central dialects (and for this reason strongly criticized by speakers of the southern dialects as well as by a small number of specialists) to be diffused or imposed radially through the regional administration and the schools. With this top-down, centralizing vision of linguistic policies and plans to be implemented, priority is in all cases given to the issue of the allotment of funds, while nothing is done to encourage actions by forward-looking linguistic volunteers.

What has been ignored is the analysis produced by more than one linguist in the international field on the predominance in the last centuries of European history of the "discours métalinguistique de type normatif, porté, dans les sociétés dotées de langues standardisées et scolarisées, par toute une activité normative ambiante" that would also include a part of academic linguistics; which instead on the scientific and ethical planes should not assume regulatory positions (Eloy 2000 and references). On the propagandistic level, the difference between self-certified, which is to say declared, linguistic competence (as results from the sociolinguistic survey commissioned by the Sardinian regional administration and performed by Anna Oppo) and effective competence has not been clarified; this difference should have been investigated and measured by the specialists and on this basis the emancipatory actions should have been based. The critical positions existing in society and among researchers were not taken into account: the polyphony of

opinions was seen as harmful to the cause in that it delayed implementation. Above all, no credit was given to an objection derived from the teachings of Antonio Gramsci, a thinker of Sardinian origins. Although he is quoted enthusiastically in other circumstances, in this case his idea that "...the organized action [if conceived democratically] must respond consensually to the real cultural and linguistic conditions and needs of the entire mass of speakers" was ignored (Rosiello 1986; Gramsci 1975, 2345: "since the process of formation, diffusion and development of a single national language takes place through a whole complex of molecular processes, it is useful to have an understanding of the complete process in its entirety so as to be in a position to intervene actively in it with the best result. This action should not be considered as decisive in the belief that the objectives set will all be reached in detail, which is to say that a given unitary language will be arrived at: a unitary language will result if this is a necessity and the planned action accelerates the times of the already-existing process; what this language is to be cannot be foreseen and pre-established [...]").

Such conditions and needs were not studied with the proper precision and respect before each institutional action was taken, since the choice made was authoritarian, political and bureaucratic exercised by a small and inevitably transitory elite. If we could agree theoretically with the position assumed in 2005 by the then European Commissioner for Science and Research Janez Potoènik, according to whom "Policy is therefore expected to set norms and standards and interfere with science, and to channel scientific results into socially-relevant objectives", such political plans for action and their justness must in turn undergo social scrutiny. I dealt with a relatively recent episode in the island's linguistic policy in Lörinczi (2010 - 2013).

The support of specialists for the regional linguistic policy was sometimes searched for outside of Sardinia since, as stated above, among the island's specialists opinions were divergent. For the most part foreign to the island's historical and cultural context or psychologically and epistemologically indifferent to it, the outside specialists benefitted from official invitations by the regional authorities and lasted a few days. Thus they did not have the time to perform a survey of the opinions and attitudes of speakers or hold meetings on the same level with local university colleagues despite the fact that a sincere and open dialogue involving all interested parties is not only scientifically necessary, but is required by all ethical standards of scientific research. Specialists make up a network of competences and opinions that are diffused and interact not only face to face, but also at a distance, and for this reason they can justly be defined as a metapopulation with its own rules of epistemic and ethical equilibrium. But in this sense, Europe presents important regulatory gaps.

Coming back to the subject announced in the title, the Old Continent is behind the others not only in the drawing up of a detailed ethical code for linguistic research, but above all, I believe, in the embodiment and assimilation, of some fundamental ethical principles by operators in the field. At the international symposium on threatened languages held in July 2013 at the Academy of Sciences in Munich, the issue of linguistic ethics was hardly touched upon (see the programme); the most pertinent mention was Thierberger and Musgrave (2007), who however are Australian scholars and who dealt with the new technologies in the collection of linguistic data and their unexpected ethical consequences. At the just-as-recent Congressu (Réseau Francophone de Sociolinguistique, July 2013, held in Corsica some weeks after the unilateral declaration of the co-official status of Corsican with French) the issue of linguistic ethics was not expressly indicated, but the way of dealing with the relationship between linguistic variability and power dynamics brought to the fore sincerity and professional transparency (for both these recent congresses I was able to read only the summaries).

As concerns the European institutions, it is not easy to draw up a list of the ethical codes adopted up to now. It is certain that some institutions of higher learning in the United

Kingdom, Germany, Norway and the Netherlands have adopted their own, although sometimes touching on the main point only (e.g. Germany) on which to base sociolinguistic investigations, in particular those concerning linguistic minorities, in some cases outside the EU or geographic Europe. This clearly took place within a general conceptual framework like the one adopted by the EU, which states: “Ethics is an integral part of research: it is only by getting the ethics right that research excellence can be achieved.” (EU 2010, 5). Single researchers deal with the subject, both in Europe and elsewhere (for example, I have consulted Launey 2000, Tsunoda 2005, Rice 2006, Blanchet 2012, etc., besides Thierberger and Musgrave 2007 *cit.*, but the literature is abundant, not lastly because ethical issues are often implicated or subordinated to other, more technical ones).

### **Conclusion:**

As is now evident if observed at the global level, it is not only the status as a minority in the strictest sense, that is, numerical inferiority or weakness, that generates - in agreement with international and sometimes national and regional regulations (a similar list of regulations, charters, laws etc. in Sardinia at [http://www.provincia.cagliari.it/ProvinciaCa/it/leis\\_e\\_paperis1](http://www.provincia.cagliari.it/ProvinciaCa/it/leis_e_paperis1)) - the obligation, necessity and opportuneness of focusing special attention on the communities investigated as such, that is, as minorities. The behaviour of researchers, if ethical, must especially take into account the possible conditions of inferiority, marginality, weakness or vulnerability of a social and cultural or economic and political nature, that is, the position of subservience - to use the known term derived from Gramsci (Green 2002) - of certain communities, groups or individuals. As concerns this possibly subservient position, which must be focused on preliminarily, the researcher (as the representative of an institution, an agency and so on, that is to say, of cultural elites) is in any case objectively in a position of superiority, prestige and power (even more so if he/she comes from one of the so-called prestigious universities) which he/she must not take advantage of. In sociolinguistic practice, and in social practice in general, the issues of disadvantage or vulnerability may, for example in the case of children (see recently Lauchlan et al. 2012 for Sardinia), add to those of age, gender, schooling and alphabetization, not to mention the sometimes difficult relations with a possibly complex-ridden family and, in some cases, complacent educational institutions. If, as often occurs, the scholar not only does not belong to the community, but resides and works in another region or even abroad, the differences in status and/or culture and/or language may jeopardize the development of relations on an equal basis and thus make cooperation difficult. With these issues are associated those of a metasociolinguistic nature: metasociolinguistic practice (including discursive custom) possesses indexicality, as does any other social practice. In my opinion, it is strongly to be desired that all connotations of cultural intraeuropean ‘colonialism’ imposed from above should be avoided. And this can be prevented only by adhering to a formal ethical code accepted by the communities and persons involved.

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# LANGUAGE USE AND LANGUAGE ATTITUDES OF BILINGUAL TURKS IN BULGARIA

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## Abstract

In this paper is summarized a study of language practices and language attitudes of bilingual ethnic Turks in Bulgaria. As assumed, speaking Bulgarian in small Turkish village settings is not common, and speaking Turkish in urban, and otherwise predominantly Bulgarian settings is frowned upon. Since the fall of the Ottoman Empire, Bulgaria's language policies aimed to restrict Turkish language and this study confirms that these long-term policies are successful.

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**Keywords:** Language policy, language attitudes, language use

## Introduction:

This study is about a population on which there is no documented sociolinguistic study: the ethnic Turkish minority in Bulgaria. There are about 800,000 Turkish people in Bulgaria, the progeny of Ottomans who ruled Bulgaria for over five centuries. Since Bulgaria's independence from Ottoman rule in 1878, the Bulgarian government has had various nation-building policies, the most effectual of which was an attempt of total assimilation of the Turkish minority in the 1980s, by "proving" their Bulgarian origins and denying all ethnic minority rights, including forcing all Turkish people to take Bulgarian names and prohibiting the use of Turkish. Since the fall of communism in 1989 and establishment of Bulgaria as a democratic state thereafter, most ethnic minority rights have been restored and this is precisely why it is interesting to see how bilingual Turkish people use their two languages now that they are free to speak both in public.

## I.

This study concerns the language use and language attitudes of bilingual Turkish people in Bulgaria, structured as a comparison between a major predominantly Bulgarian city, and a small Turkish village. Quantitative and qualitative research methods were used to determine how Turkish bilinguals manage language, the complex factors which affect their language use, their attitudes towards Bulgarian and Turkish, and whether language use in a rural environment differs from that of an urban environment.

Data were gathered in two places Northeastern Bulgaria: Varna, Bulgaria's third largest city; and Lopushna, a small Turkish village.

Data collection included observation of 4 participants and their language environment, audio recording, video recording, and informal interviews. A questionnaire for quantitative data from a broader group of people in Lopushna and Varna was also conducted.

It was found that most bilingual ethnic Turks in Bulgaria intuitively know which language is appropriate for which situation, which person, at what location, and at which time. They also know when it is appropriate to switch and for what reason. Language use in a rural environment differs from that of an urban environment in the case of Lopushna and Varna. For example, when they are in a village like Lopushna where the population is predominantly Turkish and Turkish is the language most spoken, Turkish becomes their main

language of use, while Bulgarian is used occasionally with Bulgarian work associates or during trips to the city.

If, on the other hand, they live in a city where the population is predominantly Bulgarian and have lived there for a prolonged period of time, Bulgarian becomes an important language to speak at work, in restaurants, in shops, or in public places, and many even speak it at home with family. The Bulgarian culture inevitably becomes a part of their identity, while Turkish is reserved for use whenever they go to their native village or during specific occasions such as religious holidays. Most Turkish people who have lived in the city for a prolonged time and rarely go to their native villages or see their relatives, and are surrounded by Bulgarian neighbors, friends, colleagues, acquaintances, shop clerks, and city services employees, rarely use Turkish; Bulgarian has become such a natural language to them that it is carried over to their home as well. Additionally, most Turkish people do not go to mosque, so speaking Turkish for many Turks in the city is rare.

Among people who are in the city temporarily, or have lived there for a short period of time, there is more juggling of languages, while they learn language etiquette and societal rules for given domains and situations. People who have moved to the city recently or live in the city during the week and go to their village during the weekends are more likely to speak Turkish in public places than people who have lived there for a long time. The longer they live in the city, the more Bulgarian they speak. Also, people who have moved to the city later in life are more likely to continue to use Turkish at home than younger people, who usually make a quick shift to Bulgarian.

Yet, whether in a city or village, the language of school is Bulgarian, and Turkish people study all subjects in Bulgarian, except if it is studied as an optional mother tongue class.

The language of work in cities is Bulgarian, and in many places speaking Turkish at the workplace is forbidden.

Basically, Turkish people know that they are expected to speak Bulgarian when around Bulgarians, at school, and in public places, government buildings and hospitals in cities. They also know that they should speak Turkish when they are in the village (Lopushna or their native Turkish village), mosque, home, and around only Turks. Arabic is another language of use, used exclusively for Muslim prayers.

When they speak Turkish, code-switching to Bulgarian is common to fill a lexical need or a set phrase, to quote, or to raise their status. Code-switching to Turkish while speaking Bulgarian may occur for solidarity, to fill a lexical item or set phrase, and for quotations.

There are many complex factors which affect language use, including participants, place, topics, situation, attitudes towards the languages, and motivation (solidarity, respect, etc.).

Language attitudes are another important factor. Because Bulgarian is perceived as a powerful, successful, necessary language, there is more motivation for its use, than Turkish, which is seen as a nostalgic reminder of one's roots or as the language to speak with relatives. Also, because Bulgarian is the official/dominant/national language, it carries prestige, while the motivating factor for Turkish is mostly solidarity.

Most bilingual ethnic Turks in Lopushna and Varna consider Turkish to be their mother tongue, a symbol of their identity, and Bulgarian their native tongue. To gain the solidarity and trust of people in Lopushna, it is important to speak Turkish. In Varna, Bulgarian is the prestigious language, and as such, it is the language in which one can gain the most respect.

Fluency in Bulgarian is essential to succeed in Bulgaria, as perceived by almost all Turks. Bulgarian is the powerful language, the written language, the language of newspapers and magazines, of books, of school subjects, of politics and work. Written Turkish is learned

by some but not all people, and Bulgarian gains more prestige because of this difference in the pattern of literacy.

Turkish is perceived as much less useful by some Turkish people. In Lopushna, teaching Turkish is seen as detrimental to the learning of Bulgarian.

Bulgarian is seen as the most natural language to speak when there are Bulgarians, in schools, and in Varna, because “We are in Bulgaria,” as many people reminded me. Almost all ethnic Turks in Lopushna and Varna believe that it is important to continue to use Turkish because it is their mother tongue and Bulgarian because they live in Bulgaria.

Bulgarian is seen as the most natural and necessary language to speak. Bulgarian is the language of success and progress, while Turkish is the language of their ethnicity and roots.

This study suggests that the process of urbanization has important consequences for language use. Life in Varna for Turks means that they have to integrate into Bulgarian life, even though they are free from having to integrate if they live in isolated villages. Thus, in addition to the cultural adjustments, they also have to make linguistic adjustments: Turkish residents of Varna must become accustomed to speaking Bulgarian actively in their daily lives, whereas it is only needed for limited purposes in the village. People who have lived in Varna for a prolonged period of time, regardless of age, are generally fluent in Bulgarian, and tend to speak it on a regular basis.

This study also shows the importance of age as a factor in bilingualism. While many people from the older generation do not speak any Bulgarian, it seems that everyone from the younger generation speaks Bulgarian to some degree, and it is preferred over Turkish in cities even more so by the younger generation.

The impact of nationalist language and assimilationist policies on the language attitudes of people is also a significant aspect of this study. Decades of harsh policies aiming to eliminate the Turkish language and conscience have inevitably influenced the way Turkish people think about their language and Turkish identity. For many years they were told that their religion, traditions and language are anti-modern and backwards. That, with the systematic discrimination by the government against them, eventually made the people realize that if they want to live a full life in Bulgaria they must embrace the Bulgarian ways of life and language. Success, then, is measured not only by individual achievements, but also by degree of fluency of the Bulgarian language and integration into Bulgarian society.

The language attitudes of the Turkish people in Bulgaria would have differed significantly if such policies were not enacted, and perhaps Turkish would be spoken much more freely and with greater pride even on the streets of Varna.

### **Conclusion:**

Based on this preliminary study, I think that urbanization, Bulgaria’s acceptance into the European Union, and the inevitable shift towards Bulgarian will put the Turkish language and ethnic identity at risk in the long term. Even now, there are no active programs to maintain Turkish, but energy is instead focused on learning Bulgarian. In Varna, many children of Turkish families speak very little, if any, Turkish. Turkish is increasingly seen as a useless language and many people tend to prefer Bulgarian for instrumental purposes. Additionally, when Bulgaria is formally accepted into the European Union, more Turkish people will be proud to be from Bulgaria, and will perhaps increasingly embrace their Bulgarian identity. Television and readily available music from Turkey in compact Turkish communities, as well as trade and commerce with Turkey may perpetuate the use of Turkish, but in the long term, Turkish will probably continue to be seen as less and less important. In the last century, in the road from Lopushna to Varna, Turkish people have learned that the limits of their Bulgarian language skills are the limits of their life in Bulgaria.



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# LINGUISTICS OF SAYING

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## Abstract

Linguistics of saying studies language in its birth. Language is the mental activity executed by speaking subjects. Linguistics of saying consists in analyzing speech acts as the result of an act of knowing. Speaking subjects, speak because they have something to say; they say something because they define themselves before the circumstance they are in; and this is possible because they are able to know. Speaking, then, is speaking, saying and knowing. In this sense there is a progressive determination. Knowing makes possible saying, and saying determines speaking. The problem thus is to determine the linguistic intention of the individual speaker to say something in every speech act.

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**Keywords:** Speaking, saying and knowing, intellective operations, intentional purpose of speaking

## Linguistics of saying.

1.1. Linguistics of saying is a proposal made by the Spanish philosopher José Ortega y Gasset and formulated by me in 2004<sup>258</sup>. It starts from language considered in its birth. Language is born whenever it is spoken. From this point of view language does not have concrete existence: it is *mental activity*, the creation of meanings; a particular language is something *virtual*, that is, *linguistic knowledge*, the knowledge of speakers to speak thus consisting in a *technical knowledge*. The only thing with concrete existence is *speaking subjects*, that is, human beings as they execute the *activity of speaking*, which is not merely the use of words to create utterances but the activity consisting in *speaking, saying something and knowing* about things and the world constituted of things thus *understanding* things and the world.

1.2. Human subjects speak because they have something to say. They say something because they define themselves before the circumstance they are involved in, thus creating things and a world constituted of things. Speakers define themselves because they are able to know, that is, they can apprehend things and create something about them thus adding something new to their apprehension. Language, thus, consists of this treble reality: speaking, saying and knowing. In its deepest genesis knowing is first, then, saying, and finally, speaking. In other words: knowing is the possibility of saying; saying is the determination of speaking and speaking is the manifestation of both knowing and saying.

1.3. In linguistics of saying the production of speech is to be examined when it is created. Language manifests in *speech acts* produced by human subjects. Language cannot be verified in itself. The only thing you can verify is speech acts, innumerable speech acts. Language is born daily in every speech act. Speech acts are entirely new, since they are made of both utterances and the topics utterances deal with, that is, they consist in creation of both words and expressions and the content or *logos* or *thought* expressed in those words and expressions. Linguistics of saying analyses language starting from the content of expression. In this sense linguistics of saying is *interpretation*, that is, *hermeneutics*, defined as “the

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<sup>258</sup> Cf. Martínez del Castillo 2004.

crossroads and mutual connection of different disciplines, linked together purposefully by a man's self-reflection"<sup>259</sup>.

1.4. This perspective involves interpreting the speech act as the result of an act of knowing thus stressing the intellectual operations in accordance with the speech act has been constituted. This means determining and interpreting the speech act as the result of *the intentional meaningful purpose of the speaker*. In linguistics of saying the problem is to determine the meaningful expressive intention of the individual speaker in the creation of speech acts.

### **Functions in linguistics of saying.**

In linguistics of saying you can see two functions given in all linguistic expressions but given differently in every speech act and every language. These functions are *the object of saying* and *the object of knowledge*. In a speech act the creation of these two functions is executed by means of the different intellectual operations we are going to see below (cf. § 3).

#### **2.1. The object of saying.**

2.1.1. The object of saying is the aspect, underlined or not grammatically, because of which the expression is formulated. It constitutes the final purpose of the utterance. For example, when you say an expression such as,

*My father has a Roll Royce*

you can ask: what is the intentional meaningful purpose of this expression? Who or what is the author of this expression speaking of? Is he speaking of his father? Why is this expression said?

The author of this utterance, given for granted it is real, is speaking of himself. The significance of this expression is remarking how proud or happy the speaker feels since his father has a Roll Royce and probably his mates' fathers do not have a Roll Royce. The information in the sentence is given by the phrases "my father" and "a Roll Royce" put together by the verbal content of "have". But the most unimportant grammatical element, the possessive determiner "my", is used by the speaker in question to orientate the whole sentence towards himself. "My" represents the message of the expression, the intentional meaningful purpose, that is, the "saying" of the expression, the object constituting the reason why the expression is said. The object of saying thus is the best representative of the original intention to say something by the individual speaker. It is the determining element in terms of which the whole expression is organized.

#### **2.2. The object of knowledge.**

2.2.1. The object of knowledge, on the contrary, is the means of expression used to create the saying of the expression, that is, the information given to execute the intentional meaningful purpose of the speaker. The means of expression for a free human subject can be very varied, some of which may be linguistic and some non-linguistic accompanying or substituting the linguistic expression. In the example above, the object of knowledge is "a Roll Royce". The speaker tries to draw his listeners' attention on a particular high quality car belonging to him since it is his father's.

2.2.2. As a consequence the intentional meaningful purpose of the speaker in a particular expression (the object of saying) is something to be confronted to the information given (the object of knowing). The intentional meaningful purpose of the speaker will always determine the information given. Because of this language, from the point of view of the individual speaker, is nothing but *the intention to say something*.

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<sup>259</sup> Cf. Di Cesare 1999: 3-5.

2.2.3. Analysed in the act of knowing, the object of saying constitutes the base the speech act is founded on. It involves re-structuring the things constituting the particular circumstance the speaking subject is in. Thanks to this re-structuring (or this creation of meanings) the speaking subject has something to say. The thing determined in the linguistic expression (the object of knowledge) can be said in many ways thus depending on the perspective imposed by the individual speaker (his intentional meaningful purpose, the object of saying).

2.2.4. These two functions are to be found in all speech acts. Since speaking is speaking and understanding, the speech act is formed by a set of intellectual operations manifest in it. A language as a background where acts of knowing are executed manifests these intellectual operations as well.

### **Intellective operations in the speech act.**

Intellective operations are aimed at expressing the intentional meaningful purpose of speakers. For a speaking subject the problem is to say something. The intentional meaningful purpose of the individual speaker constitutes the determination of the speech act. Linguistic expressions manifest the procedure used in the conception and expression of things. In order to say something you must create the following things:

- a) an object to say something of;
- b) what you want to say of the object created;
- c) a class of objects to define the object created;
- d) find out a name to the object and class created;
- e) apply the object and class created to things in the world;
- f) relate the object and class created to something previously known;
- g) and finally offer your creation to others.

All this is executed in the speech act, the act of creating language by a free subject aiming at a particular meaningful purpose, based on the act of knowing and using the means of expression of a language.

### **3.1. An initial intuition or *aísthesis*.**

3.1.1. Human subjects, in order to survive in the circumstance they are in, must do something. The circumstance the subject is in may be hostile or friendly. The first thing they must do is to know about the things surrounding them. The speech act as the performance of the act of knowing is an entirely free act. It consists in transforming what comes to you through your senses, something concrete, into something abstract, something liable to be manipulated. What comes to you through your senses cannot be but lived, not manipulated. However, human subjects imagine something representing what comes to them through the senses in order to transform and manipulate it, if only mentally. The thing transformed into, or created, or fabricated, can be used as a model to modify the world surrounding the cognizant<sup>260</sup> subject. It will be used not only in the particular situation the subject is in but in many other possible situations.

3.1.2. The act of knowing starts with an *initial intuition* on the part of the subject. This initial intuition is of concrete character: it is *sensation*, called by Aristotle *aísthesis*<sup>261</sup>, something you cannot describe but merely feel or live. Intuition is something you can or cannot have, at the most something you can prompt. It constitutes the condition *sine qua non* of the act of knowing. This kind of intuition or sensation is something had even by animals. If for a sensitive being sensation cannot be manipulated, for the free, creative, cognizant, saying and speaking subject it can be transformed and made into something representing it. Because

<sup>260</sup> I'd rather use the words *cognizance*, *cognizant*, and *intellective* other than *cognition*, and *cognitive*. From my point of view the latter must be redefined; cf. Martínez del Castillo 2008.

<sup>261</sup> Cf. Ortega y Gasset 1992a: 128-130.

of this, you can see the following intellectual operations manifesting in the speech act and in some way or another in languages.

### 3.2. Selection

3.2.1. The first intellectual operation in a speech act is selecting something from the initial intuition (sensation or *aisthesis*) had by the cognizant subject. Out of the many potential relationships of signification or perspectives liable to be imposed on the initial intuition—cognizant subjects are creative just because they are free when conceiving—, one is selected or the whole intuition is considered under a particular perspective or point of view. Since the original intuition is sensation, the cognizant subject is in the need of explaining it, first, to himself thus creating *thought* and his *conscience*, and then to others thus creating *language*. This explanation, either internal (to himself) or external (to others), starts with selecting something out of the original sensation, or imposing a perspective on the thing felt. In this sense selection means transforming what originally was sensitive into something not sensitive but *abstract*.

3.2.2. But in order to do this the cognizant, saying and speaking subject has to explain what he feels with words not created by him but the community. As a consequence the speaking subject contemplates four different realities:

- a) what he feels (his intuition),
  - b) the image he has created to represent what he feels,
  - c) him himself as different from his sensation and the thing he has selected or fabricated.
- This fact is the base for the creation of human *thought* and *conscience*, and
- d) the words and expressions of a particular language.

3.2.3. Selection is made through *abstraction*. The cognizant subject “extracts” something from his original sensation thus creating something new.

3.2.4. Selection manifests differently in particular languages. For example, paraphrasing may be a manifestation of selection. The contents in, say, *he is married to a young wife*, *he married a young wife* and *he has a young wife* refer to the same fact of experience. “He” and “wife”, in the examples keep particular relationships of signification thus representing different extracts from the same intuition. The same can be said of *I cannot drive a car* as against *I am no driver*: it is different perspective imposed on the same fact of experience thus interpreting it in different ways.

3.2.5. The same can be said when you count with cardinal or ordinal numbers. Counting with cardinal numbers means reducing the things counted to the concept of unit. You do not count, say, women or men, but units of the class specified: *ten women and ten men*. Counting with ordinal numbers means establishing an order on the things counted: *the first thing I did was to greet my friends, the second, to announce my intention*.

### 3.3. Delimiting semantic objects or establishing a designation.

3.3.1. The second intellectual operation in a speech act is prompted by the need of constituting an object in order to say something of it.

3.3.2. The object to be created can be something with designation<sup>262</sup> in the world, for example *a mountain*; or something in an imaginary world, *a flying pig*; or something with no designation whatsoever in the physical world, *happiness, goodness, justice, truth*. The mental operation of delimiting an object to say something is always present in human knowledge.

3.3.3. Delimiting semantic objects may not be a problem when both the semantic object created and the reality designate exist in the tradition, or there is a basis in the physical world. It is the case of *tree, flower, river*: they appear as having concrete existence since there are objects in the world denoted with the name of particular semantic classes. The semantic

<sup>262</sup> I'd use *designation* and *designate* rather than *reference* and *refer* to mean the connection between the meaning of an expression or word and the thing in the world represented.

objects, on the one hand, and the semantic classes appear to the speaking subject as if they constituted the same reality.

3.3.4. But it may appear problematic when the semantic object and thus the semantic classes created appear only as contents of conscience without any possibility of designating anything in the world. It is the case of, for example, *beauty*, *faithfulness*, *profit*. In these cases both the semantic objects and the semantic classes created appear to be the same. If you say, for example, *an area of outstanding natural beauty*, you have two different realities, the semantic class denoted (outstanding natural beauty) and the semantic object created (an area) to be applied the semantic class created. The semantic class created is something completely different from the semantic object created. They both answer to the need of delimiting a semantic object to say something of and the need of creating what to say of it (the class, concept or category).

3.3.5. Both the thing denoted, that is, the semantic object, and the semantic class created belong to the world of imagination. They have been created by the cognizant subject in the very act of conceiving and expressing a new state of affairs. They both are based on the intuition on the things perceived or apprehended.

3.3.6. Delimiting semantic objects can be illustrated with the following example. If you say *this is true* you refer something delimited by the word *this* and the context thus creating a semantic object. However *this* as an element of the English language (a determiner) can refer anything. *This* can represent very different things of very different nature. *This* can be constituted by a unit, a part of a unit, or a set of units. The important thing is that you consider *this* as representing the thing you want to say something of. This fact has the following implications:

- a) if the things denoted by the determiner are many you will reduce them to only one;
- b) if the things denoted have reality but only diffusely, that is, if you refer, not things properly, but relationships or abstract concepts, you will consider them as something capable of being said something of, that is, as if they were units;
- c) if the things referred, either if they are many or only one, or if they have designation in real things or in something abstract, will be considered objective, that is, they will be considered as if they formed a unit or «a thing».

3.3.7. Delimiting semantic objects involves two functions:

- a) the attribution of *reality* to the mental object created thus considering it to exist, for example, *a problem*, and
- b) the delimitation of the semantic object created in some way, either specifically, the *problem raised at the meeting*, or by context, the *problem with this is...*

3.3.8. The intellective operation of delimiting semantic objects is, thus, mental, abstract, fantastic, free and based only on the interests of the speaking subjects. It is a mental operation necessary for the speaking subject to create an object to say something of.

### **3.4. Creation of a semantic class or essence (or a category).**

Once you have an object to say something of, it is necessary to specify what you want to say of it. This intellective operation is double: it can be constituted by the *creation of a class or essence* or by the operation of *relation*. Both are closely connected: they create semantic classes and both are constituted by series of intellective operations basically consisting in the creation of relationships of signification that can either describe or put the thing created together with another one previously known. In both cases, however, the result is a new state of affairs, something able to be described.

3.4.1. The *creation of a class or essence* consists in the creation of a concept defining and including a particular number of objects, that is, it consists in the creation of a category of things. In order to understand this mental operation you have to bear in mind the elements constituting it:

- a) the *essence* to be created, that is, the concept defining a particular number of semantic objects,
- b) the *class* (or *category*), that is, the set of semantic objects defined and grouped by the essence created.

For example, when you may say, *mountain* you may mean

- a) the relationship of signification because of which you say *this is a mountain*, that is, you apply the condition of being a mountain to anything you consider appropriate. You can say, for example, *I am so tired that this walk is just like climbing a mountain*;
- b) the condition of being a mountain, something putting together different semantic objects. For example, *the mountains of Scotland are very low*—probably the items designate in the example might be said hills somewhere else. But the fact is that either if you designate the items in the example as mountains or hills you put together those semantic objects with the other semantic objects called mountains (*the Pyrenees, the Appalachians, the Carpathians*).
- c) A particular semantic object classified as a mountain. For example, *the Andes*.

3.4.2. The *creation of a class or essence* involves two operations:

- a) the creation of an essence, that is, the *concept*, the *class* or *category*, and
- b) the attribution of the class created to the construct already selected, delimited and attributed reality thus constituting the new *semantic object* (cf. 3.3.)

The result of this intellectual operation is a new creation, a new state of affairs, something capable of being described. Considering the function performed in a speech act, *description* is to be conceived as a state of affairs capable of being considered in itself, or as the result of a relationship established between different states of affairs or different semantic objects, or as the combination of both a state of affairs plus a relation.

3.4.2.1. In accordance with this the state of affairs denoted by adjectives, for example, a relationship of attribution of the meaning given by the adjective to a semantic object with designation in the world (*old* in *an old house*), can in itself be considered a description. In the same sense, when you say *relation*, from an intellectual point of view, you merely say that two concepts or meanings are put together.

3.4.3. The intellectual operation of *creation of a class or essence* is very complex. The nature of the construct created depends entirely on the type of intellectual construct created. The class created, then, can be:

- a) something entirely new. For example, a *textile beach*, a *nudist beach*;
- b) something created on the base of meanings already existing in the language. For example, *sandy beaches*;
- c) something new made on the base of old meanings. For example, *real mother* in *my real mother is my grand-mother*;
- d) or something created merely by combining two existing traditional meanings.

Compare *cardinal* in the combinations *cardinal point*, *cardinal number* or *cardinal error*.

In all these cases you have to speak of a new construct, since in itself, as an individual speech act, the creation of a class or essence means the creation of meanings to be applied to particular semantic objects, thus involving the three types of creation said above (the *essence* or the *class*, the *application* of it and the *semantic object*) with a new meaning.

3.4.4. In the *creation of a class or essence* abstraction plays an important role. The concept of abstraction, however, is not a simple one. The thing abstracted (that is, extracted) from the initial intuition, something arbitrary, capricious and unpredictable, represents something existing in itself apart from the thing it was given in.

3.4.5. The characteristics abstracted in a speech act might be considered common to a group of things. But they are not. The speech act as an act of knowing is a singular and unique one. Because of this comparison with other acts of knowing is not possible. When you know



something, the thing being known is new to you: it is something being created just because it is new. As a consequence there cannot be comparison with other objects in other speech acts; at the most there may be relation, that is, conceiving a concept relating it to an old one, that is, putting it together with another one previously known.

3.4.6. The *creation of a class or essence* is created by the mental operation of attributing indefinite or universal capability of designation to the construct being created. So if you know something new, something you did not know earlier, say, an animal or a plant, you attribute universal capability of designation to it, that is, you assume that all possible members of the same kind are like the one you have in front of you. That is, you define the category and all possible items of it by analogy. Later on, when you find a new item of the same kind you will verify whether your idea of it is right or not; if it is right you will confirm your first intuition; on the contrary if your idea does not coincide with it, you will soon reject your first idea and create a new one. With this you can see that in human knowledge, the class or essence or category of something is first; then, the particular members or items of the class specified.

### 3.5. Relation

3.5.1. The next intellectual operation, *relation*, consists in putting together the object created so far to something previously known by the cognizant subject. For example, you cannot understand what *a textile beach* means unless you relate it to its contrary, *a nudist beach*. In the same way, you cannot understand the concept of *father* unless you know the concept of *son*; nor can you know what *abstract* is unless you relate it to *concrete*.

3.5.2. *Relation* is to be executed in a double sense,

- a) internally in terms of traditional meanings, that is, in terms of the linguistic contents used; and
- b) externally in terms of the things being referred.

3.5.3. Because of the first aspect speakers will usually look at similar meanings or meanings with a basic content in common. It is the case of contraries: *good: bad; young: old; new: old*, etc. As to the second aspect, speakers will relate both the semantic class of objects and the semantic object created to the things they know. For example, a *bookkeeper* is not someone keeping books but an *accountant*: you cannot understand the meaning of this word unless you relate it to the things described: it is someone “keeping an accurate record of sums of money spent and received by a business or other organization”<sup>263</sup>.

3.5.4. In the creation of meanings the knowledge of things plays an important role. Speakers when they know something new, they will conceive that piece of knowledge in terms of the cultural background they are in. In this sense, the cultural background of a language is different from the cultural background of another one, thus determining the meanings of the language in question. On the other hand, the intellection of a linguistic expression depends on the knowledge every speaker has of the contexts and universes of discourse the new piece of knowledge may belong to<sup>264</sup>.

### 3.6. Nomination

3.6.1. When the cognizant subject has created a new semantic class and applied it to a new semantic object, he will look for a label, that is, a name to keep the construct he has just created. The label the speaker looks for may be a traditional word or a new expression.

3.6.2. *Nomination* has two functions: it is used

- a) to keep the new construct created in the conscience of the cognizant subject; and
- b) to offer the new construct to others.

<sup>263</sup> *Collis Cobuild English Language Dictionary* .

<sup>264</sup> Cf. Coseriu 2006: 72 and ff.

3.6.3. Because of the first function cognizant subjects will relate the construct created to the world, that is, to the things surrounding them, thus creating a mental image of them and verifying it in the world.

3.6.4. Because of the second function the semantic construct created is made social and since it is offered to others, who will accept or reject it, may become *traditional*, that is, *common* in the linguistic community the speaker belongs to.

Then what started as *an act of knowing* becomes a *speech act*, that is, an act of speaking, saying something and knowing. Cognizant subjects, with nomination, make their mental intervention in the world into an act of saying something thus manifesting themselves as subjects who create the world in their interiors and making themselves responsible for the things said.

3.6.5. Nomination constitutes the central problem in linguistics, namely: establishing a functional nexus between a symbol and a meaning<sup>265</sup>. Linguistic expressions reveal the creativity, freedom, intelligence and historicity of speakers. Nomination is free election, thus making the historical language a set of possibilities offered to speakers. The language already performed and constituted in a tradition in the technique of speaking constitutes the background in accordance with speakers will perform their freedom to know, say something and speak.

3.6.6. Nomination has two important effects in the speech act. It involves

1. the transformation of the nature of the construct being nominated, and
2. the objectification of this construct.

3.6.7. Thanks to nomination words are *objective* and even *have concrete existence* in two aspects: a) they convey content, that is, they *mean*; and b) they have concrete form, that is, they are made in sounds with contents. Because of nomination words and meanings are *interchangeable*, that is, *social* and, when in use, they become *real*. Meanings exist since they belong to the tradition of speaking in a speech community or language. In this sense, meaning is *common*: its degree of commonness constitutes its *degree of reality*.

3.6.7.1. A mental construct, by the mere fact of being conceived, that is, by the mere fact of having been *selected*, *delimited* in some way, *given reality*, made a *virtual semantic class*, specified as an *objective semantic class* and a *semantic object* and then *nominated*, acquires with it what you may say its conceptual contraries. Why?

3.6.7.2. Because in the act of knowing the only means to delimit constructs created out of concrete sensation is by imagining the non-existence of the sensation they are made out of. For example, if you feel cold and try to explain—if only to yourself—that state affecting you alone and not others, the only thing you can do is opposing it to its absence. That is, you are cold and wish you were not cold. In this situation you mentally oppose cold to non-cold. The only means to delimit a sensation mentally is by imagining its non-existence thus putting the concept of it together with its contrary.

3.6.8. With this the initial sensation, which was *sensitive*, is made both *sensitive* and *non-sensitive*; it is sensitive since it affects you; and it is non-sensitive since you relate it to something created mentally and arbitrarily. That is, you conceive something both sensitively and conceptually, or in other words: you extract something not existing (non-sensitive) out of something existing (sensitive). And this creation is clearly conceptual since both cold and non-cold cannot coexist in the real world, the world of senses.

3.6.9. The existence of contraries in meaning is a fact to be verified in languages. Most meanings are organized in contraries, for example, *young-new*, *young-old*, *happy-unhappy*, *happy-miserable*, *something-naught*, *something-nothing*, *male-female*, *natural-artificial*, *beautiful-ugly*, etc.

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<sup>265</sup> Cf. Coseriu 1986: 58-59.

3.6.10. Because of their abstract character, semantic constructs once nominated become *linguistic signs*, that is, they are conceived as something separated from their creators. If at the beginning, the initial intuition belonged only to the cognizant subject, the new construct once nominated is a *word*, something independent and separated from its creators.

3.6.11. Meanings, once created and nominated, that is, *words*, do not belong to their creators but the *community* (the particular language in question) since they are offered to others. In this sense, *nomination is necessarily historical*, that is, it is made with words belonging to a language or with new words made out of traditional elements thus belonging to a language as well.

3.6.12. In this sense since language is speaking, saying something and knowing, language is *the creation of meanings*; a language (a historical or particular language) constitutes *a tradition in the technique of speaking offered to speakers*. A technique of speaking involves a set of words, contents, rules, procedures, attitudes and beliefs, *common* in a particular speech community. Speakers, at the same time as they create words and utterances of their own, will accept the forms, contents, rules, procedures, attitudes and beliefs functioning in their communities. In this sense *language is thought, logos, the creation of meanings and the acceptance of models* to be executed just to know, say something and speak.

3.6.13. As an illustration of the aspects discussed so far in the intellectual operation of nomination let's comment the formation of the word *Eurosceptic*. Here the inventor of this expression—whoever he may have been—used traditional forms, the root *euro-* used to represent the concept of Europe and the noun *sceptic*. The technique of combining two nouns is traditional in English but the application of it in the example is new: it is a traditional technique applied to traditional terms thus making a new coinage with a new meaning. The issue was to nominate the fact “to be against closer connection with Europe”<sup>266</sup> as contrary “to be for closer connection with Europe”. The expression is new since it is perhaps the first word coined with this negative sense: you do not say, for example, *\*he is a reform-sceptic* (for *he is against reforms* or *against this reform*) or *\*he is an abort-sceptic* (for *he is against abortion*). Anyway, it was an individual creation offered to others and accepted. Today it is a traditional word and may constitute a model for the creation of new ones (cf. *Europhobia*).

### 3.7. Determination

3.7.1. The last intellectual operation in a speech act consists in orientating the construct created towards things in the real world. The construct created so far (something *concrete* made into *abstract, delimited* in some way, given a particular *degree of reality*, made *virtual, objective, traditional* (or *common* in a linguistic community) and thus *social*, is now a semantic construct designating, not things but categories or classes. Thanks to this, speakers can understand one another with a peculiarity: every speaker in every speech act can interpret those categories differently since they are virtual and potential. The construct created, as a consequence, needs the application of it to real things. This application is made through the intellectual operation of *determination*.

3.7.2. The intellectual operation of determination is made by means of some historical elements usually referred in grammars as “determiners” (articles, demonstratives, possessives, some adverbs, certain syntactic combinations) or by context. The expression then says something about things in the world. For example, I may say *occupation* and may refer a class or things, that is, a general state of affairs having to do with employment. In contrast, I may say *my occupation* and then I mean a particular job. And if I say *teaching occupation* then I refer the state of affairs ‘occupation’ applied to a particular activity constituting a job. That is, in every case the category «occupation» is orientated to particular contexts or things existing

<sup>266</sup> Cambridge Dictionary Online.

in the real world, thus constituting different semantic objects and giving different clues or shades of meaning (senses). Because of determination the semantic construct becomes *real*.

3.7.3.1. Determination is something in language going beyond particular languages. Some languages do not have determiners, for example, Latin, and some use determiners in cases not used in other languages. For example, in English you do not use determiners in universal or abstract statements: *men have reason; animals have instincts*, etc., but this is not the case in Spanish.

3.7.3.2. Determination is a language universal since it belongs to the speech act. Determination has to do with the creation of meanings, something inseparable from knowing, saying and speaking. It manifests in languages, sometimes with determiners, sometimes with certain syntactic combinations, sometimes through context or by means of gestures of any type. This fact manifests that speaking and the speech act are wider than particular languages. Determination is closely connected with saying since saying means the definition of cognizant subjects before the circumstance they are involved in. Without determination there is no saying.

3.7.3.3. Determination plays an important role in human thought. Human thought, before determination, is constituted as a process of abstract creation; after determination the thing created is linked to reality. In a speech act, as we have seen, knowledge started with the apprehension of something *concrete*; then, concrete was changed into *abstract*; abstract into *a content of conscience*; a content of conscience into something *virtual*; virtual into *objective*; objective into *traditional* or *common*, and now, with determination, we can see how the construct fabricated is changed to refer *real* things. Human knowledge by means of language (speech acts) starts with *sensation* and ends in *reality*. Real things are created since they are designated through determination, that is, real things are created when the abstract constructs created are applied to things surrounding the speaking subject by means of determination.

3.7.3.4. A real thing, then, is both abstract and concrete. It is abstract since it necessarily means the systematization of facts of experience made by the cognizant subject in his conscience and it is concrete since the systematization created is applied to reality and verified in reality. The line separating both phases in the human act of conceiving or apprehending things, necessarily through language, is determination. Before determination the human subject creates something to know the world, after determination the human subject knows the world. Before determination the cognizant subject creates classes or categories, or even theories; after determination, the cognizant subject starts a new act of knowing, thus "letting things speak to him"<sup>267</sup>. With this the act of knowing is perfectly described in the double direction it takes: it starts from sensitive and concrete into abstract, and ends with the orientation of abstract into real. The speech act or, more precisely, the act of knowing, then, is the union of opposites.

## Conclusion:

3.8. Summing up, if you base speech acts on an act of knowing you can see the following steps in the birth of language and the changing character of semantic constructs as they are being made.

a) The speech act, an act of knowing, saying and speaking, starts with an initial intuition or *aísthesis*, something *sensitive*;

<sup>267</sup> These words are an interpretation of the following ones by Heidegger: "si el hombre ha de encontrarse en la cercanía del ser, entonces debe, ante todo, aprender a existir en lo inómine. [...] El hombre debe, antes de hablar, dejar que el ser le hable de nuevo, corriendo el peligro de que bajo esta alocución tensa poco o raramente algo tiene que decir. Sólo así le será devuelta a la palabra la preciosidad de su esencia, mas al hombre la vivienda para el morar en la verdad del ser" (Heidegger 1970: 14) [if Man is to be near Being, then He must, before anything else, learn to coexist in the Unnamed. [...] Man must, before speaking, let Being speak to him again, with the risk that under that tense speech He can say little or nothing. Only in this way will the Word be given back the truth of its essence and the Man the dwelling to live in the truth of Being (my translation)].

- b) then it is selected and made *abstract* and thus *something existing only in the conscience of its creators*;
- c) then it is delimited and given reality thus constituting a *new semantic object, something apart from the conscience of its creators*;
- d) then it is made a *class* of objects or a *category* and then *related*, thus making it *virtual*,
- e) then with nomination the new construct is made *objective*;
- f) and finally with determination it is changed into *real*.

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## PROBLEM OF THE TYPICALNESS OF LITERARY CHARACTERS IN GIORGI TSERETELI'S THOUGHTS

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### Abstract

The article concerns explaining the essence of the typical nature of literary characters in Georgian literature of II half of XIX century and its problem in literary studies. It is shown that very often Georgian writers of this period criticized their own works as well as works of other writers. Writers of the sixties started discussing the problems of a type and typical genesis from the very beginning of their literary arena. Ilia Chavchavadze and his followers completely shared Hegel's, Chernishevski's, Belinski's considerations about the mentioned issue and considering the Georgian reality even enriched it. The article focuses of Ilia Chavchavadze's, Akaki Tsereteli's, Niko Nikoladze's, Giorgi Tsereteli's and Vazha-Pshavela's considerations and discussions on the genesis of type and typicalness. It is noteworthy that Vazha-Pshavela evaluates type and typicalness in an absolutely different way. According to the writer, it is an author's duty to create types and ideal characters as if literature expresses the country's needs, types created by it will be tendentious. It is vividly seen in the article that Giorgi Tsereteli understood the problem of type and typicalness in a different way than Ilia Chavchavadze, Akaki Tsereteli and Vazha-Pshavela; though, he was not able to neglect the principles of the writers of the sixties on the mentined literary problems in his literary work. Giorgi Tsereteli's theoretical viewpoints stayed separately not only from the current literary processes, but also from the writer's literary practice.

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**Keywords:** Litterrary characters, Giorgi Tsereteli's Thoughts

### Introduction:

Explaining the essence of the typical nature of literary characters always was one of the difficult problems of literary studies. Georgian literature of II half of XIX century also was facing this problem. Very often, Georgian writers of this period criticized their own works as well as works of other writers. Some of our writers rather skillfully used even literary works to characterize literary type in theoretical aspect. The essence of type, the issue of its origin and general theoretical values was properly defined in Hegel's Aesthetics. Considerations of almost all well-known European and Russian literary theorists originate namely from the thought of this German Philosopher. Georgian writers are interested in this phenomenon.

According to the requirements of the principles of literary realism, creation of a type is based on right phenomena of life, people's particular adventures and their multifaceted nature. A writer's talent, his/her creative fantasy, finding new relation bonds and generalizing their sense – everything this has the greatest significance for final formation of a type. Writers of the sixties started discussing the problems of a type and typical genesis from the very beginning of their literary arena. Ilia Chavchavadze and his followers completely shared Hegel's, Chernishevski's, Belinski's considerations about the mentioned issue and considering the Georgian reality even enriched it. For Ilia Chavchavadze, like for Belinski, type was "familiar stranger". He fully expressed truth of life and a human's natural wealth. It

concerned positive as well as negative types. All kinds of type had to express something useful for the country and society.

According to Ilia Chavchavadze's point of view, with types literature introduces complicated and deep signs of life to us. In spite of the fact that a writer should truly show the social type existing in literature, a type of a literary work cannot be identical to a type existing in life. A type created by a writer often displays the events hidden in the depth of reality and makes them reveal them to everybody. For instance, the literary type of Luarsab Tatkaridze brings to light not only vital issues of life, but also secret sides of a human's character. Ilia Chavchavadze wishes to show how universal human features exist in separate individuals. If a writer guesses a person's multifaceted nature, he/she will be able to create a general type according to his/her world outlook. According to Ilia Chavchavadze, type is a sample; it shows the unity of a lot of socially valuable phenomena. In the preface to his story "Is That a Man?!", the writer addresses his future character: "- Perhaps you feel ashamed and start scrubbing clean yourself. That is the reason I want the world you see you ducking in filthy mud that you sarcastically named as life.

- Damn you for choosing me; can't you see thousands like me?
- You are like thousands and thousands are like you. That's why I have chosen you".<sup>268</sup>

These words vividly show the necessity of finding the general essence of a type in order to seek for and create a literary type. A negative or positive type has content; he/she should convey general idea. The writer also notes in the preface: "Everyone knows that we do not touch individuals. We write about our common pain". Thus, according to the writer's standpoint, type is a generalizing phenomenon of social life; the meaning of a type of the realistic literature is not determined by finding a living type and exactly reflecting it. An author's talent and mind "are measured by gathering social signs". He instructs a type not to lose truth, but he/she should generalize this truth artistically and make the aesthetic influence on a reader.

Georgian writers of II half of XIX century thoroughly knew European and Russian literature. They were very interested in those theoretical social-philosophical and literary opinions that were expressed about European and Russian writers. Among these Georgian writers Giorgi Tsereteli occupied the prominent place. He expressed his social-literary viewpoint in the article "Daybreak's Cacophony" which was published in Ilia Chavchavadze's journal "Bulletin of Georgia". Even being the first year student G. Tsereteli argued with the old generation and the journal "Tsiskari" (dawn) to defend Ilia Chavchavadze's position. He showed his loyalty to Ilia's opinion not only with his standpoint but also with the form of polemics. The publicist shared Ilia's opinion about the purpose of press, obligation of a writer and literature, literary imitation and other issues. But time passes and Giorgi Tsereteli, Niko Nikoladze and Sergei Meskhi established the group "New Youth" and called it the Second Troupe. The followers of the Second Troupe gathered around the journals "Droeba" and "Krebuli" (collected articles). Namely here appeared publications depicting their social-political and theoretical-literary opinions. The considerations of the leaders of the Second Troupe about the specificity of literature and art are very important to us at present. The main thing that was stated on behalf of the leaders of the Second Troupe was to mark off and distinguish their position from the position of Tergdaleulebi's First Troupe by understanding literary methods in a new way. In 1973, one of the leaders of the Second Troupe, Niko Nikoladze discussed Ilia Chavchavadze's story "The Beggar's Tale" in the journal "Krebuli" (collected articles) and rejected it as defective from the viewpoint of using the literary method and the characters' typical nature. He considered it to be written by the influence of foreign literature.

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<sup>268</sup> Illia Chavchavadze. Literary works. Vol. II, Tbilisi, 1988, p. 575.

According to N. Nikoladze, in the story *Ilia* was drawing "...purposefully coloured, skillfully disguised and sophisticated peasant who spoke and behaved like a German brought up under the influence of sentimental literature. No peasant could express him/herself like this in that period".<sup>269</sup> In the critic's opinion types of such literary work are invented and are far from truth; they are unimportant. While discussing Giorgi Tsereteli's work "*Kikoliki, Chikoliki and Swaggerer*", Niko Nikoladze gives remarks to the writer and shows how a Georgian fiction writer should not write from the standpoint of artistic skills. Though, he considers that creation of the *Swaggerer*'s type and other natural pictures should be exemplary for future writers. N. Nikoladze notes: "Variety of valuable things, pictures, characters, types is scattered throughout our country... He who can manage to transfer these new and unknown characters from nature into literature, he can create literary types out of these characters will easily gain good reputation in literature".<sup>270</sup> By displaying colourless realism in such a way, N. Nikoladze acknowledges the necessity of depicting truth precisely but considers that unlike a social type, a literary type still is a phenomenon "to be created".

G. Tsereteli extremely exaggerates significance of colourless unrepaired realism and rejected as defective *Ilia Chavchavadze*'s stories "*Is That a Man?!*" and "*Letters of the Traveler*". According to the writer, colour and "forced tendency" are the greatest fault of these literary works. He writes: "His (*Ilia Chavchavadze*'s) *Luarsab* and *Darejan* are caricatures of Georgian types of noblemen rather than artistically created typical creatures".<sup>271</sup> G. Tsereteli requires from *Ilia Chavchavadze* copying of social types for creating types. From his viewpoint, the *First Troupe*'s social-political and literary-fiction quest as well as fight for novelty is over. He considers that depicting new types according to the principles of "colourless realism" is the main aim of literature. Under "depicting types" is implied not colouring them but finding them in live and describing them in fiction precisely. From G. Tsereteli's standpoint "life itself and its phenomenon is sense and idea". That is why type should be free from a creator's subjective, emotional and imaginary additions. Moreover, the writer states that: "Harmful is literature and art if it explores and depicts unrealistic but desirable by the author pictures instead of those existing in reality. Such trend in literature and art is called tendentious trend".<sup>272</sup> G. Tsereteli considers filling of real life facts and stories and their transformation in literature as tendentious and harmful to literature. From the writer's point of view a literary work should be completely free from an author's subjective, emotional attitude as the reality that should be depicted obtains feeling and sense itself. According to G. Tsereteli, colouring social life type, changing it in literary fiction means such tendentiousness that harms art. He believes that coloured types do not express the truth of life. Generally, the writer protecting colourless realism appreciates the literature expressing unbiased opinion.

Giorgi Tsereteli is against drawing artistic or coloured type; thus, tendentious opinion should not be given in the literary work. Like *Emil Zola*'s thought, G. Tsereteli considers that knowledge of natural studies is the base for "colourless realism" and tendentiousness revealed by a type is absolutely unacceptable. On the contrary, under *Emil Zola*'s influence he supposes that it is the positive phenomenon that "a novel follows the modern development of real sciences – physiology, anatomy"<sup>273</sup>. Thus, the writer identifies such correlation to truth as of natural sciences and art. He presents rather narrow naturalistic understanding of type and tendentiousness. He neglected *Belinski*'s standpoint about type – type is "familiar stranger". G. Tsereteli based his views on N. *Chernishevski*'s considerations. According to N. *Chernishevski*, "generalizing a real character artificially is not necessary as such a character is

<sup>269</sup> G. Tsereteli. *Kita Abashidze* and "Our Youth". Newspaper "Kvali", N 46. 1897, p. 814.

<sup>270</sup> N. Nikoladze. *G. Tsereteli's First Works*. Bulletin, N 3. 1894. 158.

<sup>271</sup> G. Tsereteli. *Kita Abashidze* and "Our Youth". Newspaper "Kvali", N 46. 1897, p. 816.

<sup>272</sup> Tsereteli G. *Collection of Works "Giorgi Tsereteli about Theatre"*. Tbilisi, 1955, p. 131.

<sup>273</sup> G. Tsereteli. *Lectures in the Study Group*. Tbilisi Digest, N 38.



already generalized in its original form”.<sup>274</sup> G. Tsereteli filled this idea with French naturalists’ considerations in his own way; unlike modern writers, even N. Nikoladze, he considered that creating literature type, expressing tendentious strivings with the help of this type is harmful to literature. Condemnation of literature type and tendentiousness was the extreme point of G. Tsereteli’s theoretical-literary thought. This extremely wrong idea was caused by G. Tsereteli’s desire to dissociate himself from the literary-theoretical considerations of Ilia Chavchavadze’s Troupe.

Though G. Tsereteli expresses his viewpoints about type and tendentiousness, we suppose that his theoretical considerations were isolated not only from literary processes but also from the author’s literary practice.

As opposed to his own literary-publicistic considerations, Giorgi Tsereteli created remarkable types, such as: Swaggerer, Bakhva Pulava, Ieremia Tsarba who, certainly, also expressed the author’s tendentious thought.

Giorgi Tsereteli’s contemporary writer Vazha-Pshavela gives absolutely different evaluation of type and tendentiousness. He writes: “A poet converses with readers through images, creates types, often ideal types that the poet desires to see in real life trying to raise them to perfection. One of the duties of a poet is to create types: negative types on the one hand and on the other hand – positive types that are necessary to change life for better”.<sup>275</sup> As it is seen from these words, it is a writer’s duty to create types and ideal characters. The types drawn by an author should change life for better and identify his/her tendentious idea. According to Vazha-Pshavela, impartial literary work cannot exist. If literature has to express the country’s needs, the types created by an author will be tendentious. The poet notes: “Who can say that it refers to tendentious poetry and not real poetry? This will be senseless as all poetical creations are more or less tendentious; an inexperienced reader can take one as tendentious and the other – unbiased... Yes, poetry should serve motherland’s needs and for this purpose create both – real and ideal types”.<sup>276</sup> As Vazha-Pshavela considers literature cannot exist without real and ideal literature type that should reveal deep social tendencies.

### Conclusion:

Giorgi Tsereteli understood the problem of type and typicalness in a different way than Ilia Chavchavadze, Akaki Tsereteli and Vazha-Pshavela. He equalized a type to making a copy of a real person; an author should not reveal a subjective, emotional, intellectual or ideal reason in fiction. The writer considered that such literary approach would distinguish his Troupe from others. He writes: “If we find out the principle trend of the Second Troupe, we will clearly see that it has established different ideals in life and literature. It has founded realism in literature”.<sup>277</sup>

In his last years G. Tsereteli defended his own and the Second Troupe’s literary positions in the letter published in the newspaper “Kvali”. He confirmed that he did not agree with the First Troupe’s positions in the issue of typicalness and tendentiousness of literature; though, he was not able to neglect the principles of the writers of the sixties on the mentioned literary problems even in his literary work.

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<sup>274</sup> N. Chernishevski. Selected Philosophical Works. P. 389.

<sup>275</sup> Vazha-Pshavela. Complete Works in 10 Volumes. Vol. IX., p. 400.

<sup>276</sup> Vazha-Pshavela. Complete Works in 10 Volumes. Vol. IX., p. 403.

<sup>277</sup> G. Tsereteli. Kita Abashidze and “Our Youth”. Newspaper “Kvali”, N 46. 1897, p. 816.

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# TELEVISED UNDEAD: AN INTERDISCIPLINARY APPROACH TO THE CONCEPTUALIZATION OF VAMPIRES IN CONTEMPORARY TV SHOWS.

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## Abstract

Drawing on a rich literary tradition, Gothic novels display strange and unreal places such as castles and secret passages where dramatic and amazing events occur and whose effects feeds on an appealing sort of terror. This literary genre expresses an appreciation of extreme passions and emotions and a “longing for” supernatural atmospheres and desolated settings often peopled by monsters, ghosts and vampires. The Gothic fiction has received much fortune throughout the years and, in the contemporary context, it has also been adapted to visual and audiovisual products as a consequence of the people’s need to combine the real with the fantastic and transgressions with rules. The word transgression contains in itself a clear reference to the concept of “breaking the boundaries” (trans), going beyond the ordinary life. Seen through this perspective, vampires possess an evocative strength that aptly expresses men’s contemporary quest for “life after death”; indeed, as Bruhm (2002) points out, “the Gothic provides us a guarantee of life even in the face of so much death” (274). As a matter of fact, in twentieth century films and TV shows vampires and blood-sucking creatures undergo a process of humanization that makes them more “accessible”. This article aims at analyzing the relationship between the Gothic genre and audiovisual products through an interdisciplinary approach that, on the one hand, tracks back the features of this literary genre and accommodates them to present-day necessities and, on the other hand, analyzes the main changes it has encompassed.

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**Keywords:** New gothic genre, vampires, television

*“With Coppola’s “Dracula”, then, Gothic died, divested of its excesses, of its transgressions, horrors and diabolical laughter, of its brilliant gloom and rich darkness, of its artificial and suggestive forms. Dying, of course, might just be the prelude to other spectral returns.”*  
(Botting 1996:134.)

## Introduction:

As Hogle (2002) points out, the Gothic genre has generally shown relatively constant features since its very beginning, and some of them can contribute to portray a common threat within the entire artistic production. Sinister and solitary places, such as abandoned castles, ruined abbeys or dark graveyards have always been the chosen places by the protagonists of the stories: ghosts, spectres, vampires and monsters, whose physical peculiarities and contingent psychological characteristics have undoubtedly changed and moulded throughout

the centuries. From its “official” origins in 1899<sup>278</sup>, indeed, the term “Gothic” aims at including every literary, visual and even audiovisual product, whose main goal is to “fit the needs of the period in which it is exploited” (Hurley 2002: 193). However, although the use of the term in literature has roots at the beginning of the previous century, the genesis and the development of this literary genre must be traced back to 1764, when Horace Walpole’s *The Castle of Otranto* became extremely popular, fascinating readers with its macabre, mysterious and supernatural intertwined elements. As the author himself explained in the preface to the second edition of his novel, indeed, he intended to combine the fantastic and the real, the imaginative quality of the old medieval romances and the realistic imprint of the rational Augustan works. With his novel, indeed, he epitomised the typical features of the gothic fiction with his creative imagination and through the exploitation of conventional medieval portrayals, whose main representations were linked to “catastrophic pestilences, martyrdom, religious terror, sadistic criminality, public torture, and execution” (Morgan 2002: 41). Since the end of the eighteenth century every novel included in the so-called *gothic* dimension presented the interest in non-rational experiences, elements of horror and in the devastating power of nature that took inspiration from the theory of the sublime suggested by Edmund Burke in 1756<sup>279</sup>. According to him, the individual had virtually limitless potential, and terror was one of the ways of realizing some of that potential: as a matter of fact, the new concept could be seen as the answer to the increasing disillusionment with the Enlightenment and provoked the rejection of the constraints and limits imposed by the Augustan socio-cultural panorama. In the light of these observations, breaking the rules between what is commonly accepted as rational and what is generally considered as irrational, and therefore incomprehensible, is one of the main goals of gothic artists.

In fact, what made and still makes the gothic genre unique and striking is the endless “oscillation between earthly laws and possibilities of the supernatural” (Hogle 2002: 2): gothic products, both early famous literary masterpieces and more recent feature films and TV shows, always deal with transgression, that “signifies a writing of excess” (Botting 1996: 6). Yet Mary Shelley, as the other writers of the Romantic period, aimed at challenging the society in which they lived, promoting a new kind of world, where the awareness of the *unknown* was seen as a transgressing response to the fixed and pre-set principles of the English middle-upper class of the first part of the nineteenth century. Novels defined as gothic, tended to represent what Kavka (2002), taking into consideration more recent films and TV series, defines as the “permeable and uncertain boundary between the human and nonhuman” (210): the role that this fictional genre has always played within European society is to question the presence of mankind and its conventional rules, making readers and viewers think of the possible diversities included in the world as men are used to know and experience it. In regard to this aspect, Hogle (2002) posits that “the longevity and power of Gothic fiction unquestionably stem from the way it helps us address and disguise some of the most important desires, quandaries, and sources of anxiety, from the most internal and mental to the widely social and cultural” (4), explaining that the fortune of gothic current is due to the artists’ ability to shape their works according to the needs of people around them.

Moreover, the philosophical enquiries of the twentieth century have contributed to see gothic fiction as a way to face and challenge both social and individual obsessions, making them sink in a deformed reality in which things can be perceived in a misshaped form. Demolishing or negotiating the socio-cultural anxieties of the modernist and post-modernist period seems, in fact, to be the essential task of the gothic genre, whose most illustrious artists

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<sup>278</sup> E.J. Clery, “The genesis of “Gothic” fiction” in *Gothic Fiction*, (p. 21). Given the fact that the first critics using the term *Gothic* were Henry A. Beers and Wilbur Cross in 1899, the author suggests that the word essentially belongs to the twentieth century.

<sup>279</sup> Edmund Burke, *A Philosophical Enquiry into the Origin of our Ideas of the Sublime and Beautiful* (Oxford/New York: Oxford University Press, 1990 [1756]).

take inspiration from the Freudian theory of the “return” of the repressed. Irrational feelings, unconventional passions, fanciful inclinations and any kind of vices condemned by the society find room in the avatar offered by the gothic dimension: its quintessence is to undermine the traditional stereotypes associated with the conventional oppositions between good and evil, reason and passion, real and fantastic and virtues and vices. Therefore, defined by Hurley (2002: 194) “a cyclical genre”, gothic generally reflects what the society in the period in which it is exploited is and the manifold fears persecuting individuals.

▪ In regard to this aspect, yet from the modernist age such analysis also aims at shedding light on the human need to find a place to the category called “the others” (ibid.: 197), in which any individual not respecting the conventional social rules can be grouped. Gothic always leaves room to any kind of human subjectivity, giving birth to a constellation of multifaceted identities, whose common threat seems to be the need to face reality.

### **Gothic in the twentieth-one century**

As an inevitable consequence to this elasticity, the mutual dependence is clear: gothic fiction is the mirror of the society in which it is produced, but it is also the spontaneous product of people to whom it is intended. Just in light of these considerations, the contemporary gothic, perhaps unlike the role it played in the previous centuries, has gained a redeeming function, in fact, as Bruhm (2002) points out, “the Gothic provides us a guarantee of life even in the face of so much death” (274). In the contemporary world, indeed, people are bombarded with information about violent crimes every day. This climate of constant fear obviously negatively affects any individual’s life, perceiving the uncertainty and the subsequent perpetual insecurity of the human presence. In fact, as explained by Bruhm, “contemporary life always reminds us that we are moving towards death, or at least obsolescence, and that life we must continually strive to hold together” (ibid.). Therefore, what seems more likely is the fact that people see in the gothic characters a way to escape reality and, above all, to escape death. The traditional figures taking part in the gothic dimension, such as werewolves, monsters, ghosts and vampires, tend to be considered by the contemporary society a possible way to keep going on existing. At this point, once human longing for “something” different has been satisfied, the mechanism of identification with the “other” begins: the loss of human identity and the alienation of the self, Botting (1996) clarifies, implies a complex process through which the person tries to find his/her avatar in that cosmos in which conventional boundaries have disappeared (108). The codification of a new world, whose main parameters are the supernatural, the unknown and the darkness, can help common people to detach themselves from their daily fears to enter a confused dimension, whose spatial and temporal coordinates are completely subjective. Good and evil are not clear concepts anymore, and rational and irrational melt to create an intermingled architecture where any limit of transgression is neutralized.

Since the therapeutic function of the gothic fiction has been revealed, the incessant search for another individuality within the self becomes one of the first needs readers and viewers viscerally meet. They tend to identify themselves in the living-dead characters offered by the literary or audiovisual gothic products, aiming at forgetting their human condition and capturing the idea of eternity. Gothic figures, indeed, although they can be killed, present many characteristics which make them to be essentially immortal. They are strong, cunning, insensitive to human sufferings and impermeable to social pre-set values.

To this regard, as Botting highlights, “otherness takes center stage: sexual transgression, dark desires, and fantastic deviance wonderfully subvert the restrictive orders of reason, utility, and paternal morality” (ibid.: 287). At the present time, indeed, individuals seem unable to imagine a future panorama that is not linked to degradation, darkness and danger; therefore, one of the possible ways, if not the most probable, they consider useful to

find peace is to re-create for themselves a new setting, in which unconventional and supernatural creatures can co-habit without feeling strange and realizing the fear of death.

### **The contemporary vampire: a new representation**

Until a few decades ago, if a common person was asked to think of and describe a vampire, the representation he would have offered would have been far from positive: the archetypal portrayal of bloodsuckers was permanently tied to the concept of evil. They were generally depicted as ugly, repugnant and dreadful figures, whose main occupation was to feed, sucking and drinking human blood. The features of these anti-Christ characters made them automatically be the most feared antagonists within the stories together with ghosts, werewolves and spectres. In regard to this aspect, the prototype of the traditional vampire has been never better conveyed than in one of the most famous of gothic novels, Bram Stoker's "Dracula", in which the solitary Count from Transylvania lived in a sinister and mysterious castle, was unanimously considered an anti-Christ and his evil nature did not permit him to be merciful.

Yet in the second part of the nineteenth century, however, the readers' perception of bloodsuckers was partially modified, in fact, they started to be associated to the idea of sexual satisfaction and transgression absorbing and giving voice the socio-cultural issues of the period: as Botting maintains, the presence of the vampire in a story "signals the barbarities that result from human vanity and scientific illusions" (Ibid.: 93). Parallel to novels dealing with the enquiry on the nature of creation, scientific responsibility and social justice, whose Mary Shelley's "Frankenstein" is the first undisputed progenitor, the idea according to which blood-sucking figures mirrored sexual libertinism began taking the precedence over the traditional representation of them: in fact, even if including most of the archetypal characteristics of vampires, the Transylvanian nobleman Dracula can be considered as the first erotic icon represented in the Anglophone literature. Basically, his female preys are not just victims forced into unwillingly submitting to his decision, but they become seduced women who aim at pleasantly fulfilling their seducer's desires. With Stoker's creation, indeed, these alien nocturnal characters "become symbols of forbidden values of sexuality and intimacy" (Auerbach: loc. 1983).

Moreover, as Gordon and Hollinger (1997) explain, throughout the twentieth century "the figure of vampire has undergone a variety of fascinating transformations in response, at least in part, to ongoing transformations in broader cultural and political *mise-en-scène*" (1), so that any boundary between what is considered human and what is categorized as monstrous becomes even more jeopardized and problematised.

As a matter of fact, taken into account novels and audiovisual products of the contemporary times, decomposing, deliquescing, and disgusting entities are absent: vampires have the task to enter the modern society, not as frightening monsters but as metaphorical representations of human darker and more intimate ideals, of human possible and carved life after death. For this reason, artists of the previous century have disarmed and re-contextualised both Gothic fictions and blood-sucking figures, offering new representations lacking horrible traits. Vampires, indeed, clearly represent men's possibility to challenge human sufferings and death.

They detach from the traditional prototype and "they invade the restrictions Stoker's constructs. They are not foreigners; they can go anywhere; their coffin, if it is one, is as large as Western culture" (Auerbach: loc. 1816). The second part of the twentieth century capitulates to the vampire's charisma, fostering an unfamiliar portrayal of vampires in which elegance, intelligence, beauty and charm are the leit-motifs. In regard to this aspect, Gordon and Hollinger (1997) suggest that the process of transformation finds in Anne Rice's *Interview with the Vampire* its highest peak: in the film adaptation, produced nearly two decades later, the vampire as commonly known by people ceases to exist, leaving room to a

tempting and irresistible man, who is undoubtedly more intriguing than every-day individuals.

The integration into human society and into human habits involves an inevitable process of humanization that deals with both the external and the internal dimension: the nocturnal species loses its traditional paleness, evil eyes and diabolic smile to present human traits. Moreover, feelings, passions and sufferings directly enter their world: therefore, as for many examples of vampire in films and TV series of the last part of the twentieth century and the early years of the twentieth-first century, they cannot choose but give vent to their problems, thoughts, and anxieties<sup>280</sup>.

As a result, people can mirror themselves in these hypnotising figures, whose main function is to bear the burden of humanity wearing the contemporary man's most intimate and darkest projections. Thus, as pointed out by Sage (1990), citing Mary Shelley, "the imagination is properly a vehicle for escaping the self, not a medium of personal power or even of self-expression" (173).

### **"The Vampire Diaries": when any limit between "human" and "monstrous" disappear**

Based on the book series *The Vampire Diaries* written by the American author L. J. Smith, the TV show of the same name premiered on the American television on September 10, 2009 and it now includes four seasons, the last of which is still on the screens. Taking place in an invented small town called Mystic Falls, the series tells the story of the young vampire brothers Damon and Stefan Salvatore, that, after having spent more than one hundred years far from the place in which they grew up, decide to come back home to try to lead normal lives adapting to Mystic Falls inhabitants' habits. Once they move into the big house they own, they both start living as their peers generally do: they go to school, spend time with friends and meet new classmates. Both brothers are really handsome and charming, so more than one girl is attracted by them; however, Stefan first, then Damon, fall in love with the same female character: Elena Gilbert. She is a very nice girl, who does not resist Stefan's charm and eventually they become a couple. Elena, therefore, discovers the real nature of brothers Salvatore, learning to live with them. Before the ending of the first season, Damon falls in love with Elena too, causing many problems between his brother and the girl. Throughout the following two seasons, Elena, in fact, cannot choose between Stefan and Damon, since the brothers are completely opposite but complementary: basically, Stefan seems to be the good vampire, while his elder brother plays the role of the evil figure. Elena's boyfriend, indeed, fights to resist the temptation to drink human blood by killing innocent people, aspiring to live a common life as the other adolescents generally do. While he often tends to refuse his supernatural existence, his brother Damon is perfectly conscious of what being a blood-sucker means; so, he kills people to feed and he does not feel any kind of human mercy. Although viewers categorize him as the anti-hero of the story, Damon soon presents his *human* side, even more often showing moments of compassion for the individuals he encounters. Contrary to expectations, Damon reveals himself as the most well-balanced brother since Stefan alternates between moments in which he only drinks animal blood in

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<sup>280</sup> Among the others, the most suitable examples taken from audiovisual products to demonstrate the humanization of vampires are those included in the TV series *Buffy the Vampire Slayer* and *Moonlight*. Aired from 1997 to 2003, the former tells the story of a young woman who chooses to fight against supernatural forces, such as vampires, demons and spectres but she falls in love with two bloodsuckers: Angel and Spike. Although both of them are charming and clever, the first one represents good, while the other one is the anti-hero of the series. *Moonlight*, instead, includes only one season that ran on the American television between 2007 and 2008. The protagonist, a private investigator, is an elegant and handsome vampire who falls in love with an internet reporter, who helps him to investigate crime. Throughout the episodes the male characters reveals his humanity, fighting his evil *brothers* and saving many human lives.

The films that occupy an important position in regard to the ideological transformation of vampires is *The Twilight* saga, in which Edward Cullen and his family are perfectly integrated in the town in which they live: they spend time with the other inhabitants of the place, go to school and mix with their classmates.

darker periods when he loses control becoming “The Ripper” and killing many and many people.

Considered one of the most acclaimed TV series of the last few years<sup>281</sup>, *The Vampire Diaries* fulfil the traditional traits of the gothic fiction: the story, in fact, is set in a solitary place charged with supernatural history, where the town’s politics are decided by some among the most respectable families living in Mystic Falls. Members of the so-called “Founders’ Council”, however, generally hide many scandalous secrets, being, in most cases, werewolves, witches, hybrids and vampires themselves.

The presence of the vulnerable maid is guaranteed too: although Elena Gilbert is a girl of the twentieth-first century, she has a tragic past, being her adoptive parents died in a car crash and having discovered she is the daughter of an evil vampire. Stefan and Damon, therefore, feel responsible for Elena’s life and, once she is in danger they join forces to protect her.

Despite all these “traditional” characteristics tracing back to the Gothic dimension, the TV series clearly aims at representing a modern kind of vampire, who is very similar to those figures presented in the previous paragraphs: Stefan, Damon and all the other bloodsucking characters, in fact, have undoubtedly taken on “the mantle of civilization”, as Gordon and Hollinger (1997:1) would maintain. In fact, although bloodsuckers included in *The Vampire Diaries* share many features with the archetypal representation of vampires, the inclusion of a new kind of nocturnal figures is guaranteed: the American TV series evidently obeys to many of the characteristics identified in both literary and the audiovisual gothic products of the last few decades. The process of domestication of blood-drinkers is *de facto* successful, since they can co-habit with common people without being recognized as supernatural frightening individuals. Vampire brothers Salvatore, as well as the others, do not appear as ugly and horrible living-dead figures, but, on the contrary, they are good-looking and attractive men.

Both Damon and Stefan Salvatore, indeed, embody the vampire every person would aim at becoming: clever, handsome, attractive and elegant. For this reason, they capture the audiences’ sympathy more than ordinary characters can do. Their darkest side, although often revealed throughout the seasons, is not totally seen as something dealing with the lack of humanity; but, on the contrary, it is considered as the right burden they have to bear in order to be immortal. Their sufferings are considered human, and, therefore, they meet viewers’ compassion and acceptance. People do not care about the fact they can feed on human blood and kill innocent individuals, what vampires symbolize, is the break with the traditional boundaries between good and evil, sacred and profane, civilized and barbaric. Vampires of the twenty-first century, therefore, are projections of what human beings would want to become. Life after death seems to be much more appealing than human existence. Metaphorically, in fact, Damon gives vent to his appreciation to Elena’s new identity as a vampire by stating “You know what I think? I have never seen you more alive”<sup>282</sup>.

### “True Blood”: televising queer vampires

As stated in the above paragraphs, at the end of the first decade of the twenty-first century an increasing interest in blood-sucking creatures and vampires has affected popular culture worldwide. The radical changes which have taken place in the study of literature

<sup>281</sup> As of Autumn 2012, *The Vampire Diaries* has been nominated for sixty-two awards, winning twenty-two: among the others, *The Vampire Diaries* won eighteen at the Teen Choice Awards and two at the People’s Choice Awards proving itself to be one of the most popular TV series of the American television. The female actress, Nina Dobrev, won four Teen Choice Awards, a People’s Choice Award, and the Young Hollywood Award, while Paul Wesley won a Teen Choice Award in 2010 for his role as Stefan Salvatore. Ian Somerhalder, best known as Damon Salvatore, won six awards, including five Teen Choice Awards between 2010 and 2012.

<sup>282</sup> S4xE7.



during the last decades of this century represent the most illuminating outcome of new interdisciplinary approaches that involve the definition of literary and non-literary domains.

Being literature and media studies dynamic and heterogeneous fields, their interrelation “foreshadows” an adventurous perspective of analysis and breadth of application. This moving from the traditional contextualization of vampires in literature to a broader investigation includes a re-definition of its cultural representation through film production and modern media. In this context, HBO’s *True Blood* (Alan Ball, 2008) has met with a massive cult success and is currently airing in America the final episodes of the second season. The TV series, based on the novels by Charlaine Harris, provides a contemporary revision of vampires offering the audience a mishmash of pop blood hunger and overt references to contemporary issues, such as discrimination, homosexuality, drug addiction, religion, quest for identity and influence of the media. *True Blood* TV show is set in the fictional town of Bon Temps, Louisiana, where vampires live amongst people subsisting on a new synthetic blood, called V, sold in bars and stores. The main characters of the show are a 200 year old vampire, Bill Compton, and Sookie Stackhouse (Anna Paquin), a mind-reading waitress who falls in love with him. In the show, vampires are representative of “otherness” which here relates to sexuality, often to homosexuality; indeed, many episodes present explicit sex scenes leaving little to imagination. As a matter of fact, the TV show brings the sexuality of the vampire back on a more visual level, making it harder to resist. Throughout history, living-dead creatures have always been outsiders in that they looked like men or women but, actually, they were not human. Vampirism becomes in the show a metaphor for outcasts: they do not belong anywhere, yet they try to be part of a world that is often hostile. Thus, the connection between blood-sucking creatures and outcast leads to the presence of a third “ghettoization” relating to homosexuality. Many references in the TV show evoke the presence of homoeroticism as in the case of the sentence uttered by Japanese scientists who created the synthetic blood to let vampires “come out of the coffin”. This statement is a clear pun on the phrase “coming out of the closet”, meaning to reveal one’s own homosexuality. Considering the fact from a different point of view, homosexuals who were previously forced to live their “secret life” underground are now eligible to live as heterosexuals do and, consequently, also blood-sucking creatures can enter the contemporary society and live as “normal human beings”. David Glover and Cora Kaplan<sup>283</sup> state that “homosexuals were forced to go underground, to cut themselves off from the mainstream of the city life, and to exercise much more care and discretion about the ways in which they presented themselves – in other words, to enter the closet” (2009: 123); to a larger extent, this description seems to fit the kind of life that classical vampires were condemned to live, until the present times. Superficially, the comparison seems weak but deconstructing it through a contemporary perspective it does work. Indeed, as Rictor Norton (2008) maintains, “homoerotic desire is seen to be the essence of what is repressed for the sake of establishing bourgeois culture, which is ‘always, already’ heteronormative. Homosexuals who suffer from this repression gain a kind of revenge by demonizing heteronormative relations”(96) as queer vampires in *True Blood* do. Moreover, if we consider the fact that in the Western frame of mind, over the time, the association between race, gender and evil has had a long tradition, the “resurrection” of vampire stories in popular culture is the direct consequence of the adaptation that these supernatural creatures have recently undergone. To this extent, TV shows as *True Blood* and *The Vampire Diaries* aired on-screen convey and, in many cases, promote specific ideologies about race and gender that are the product of a cultural moment that is bound to face the changes within contemporary societies. Indeed, race and gender relations have always had coded depictions but nowadays such TV shows underline more and more the thread that ties them up: the interdisciplinary involvement. This consideration leads to another point to

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<sup>283</sup> D. Glover, C. Kaplan. *Genders*. New York: Routledge, 2009.

ponder over that is the definition of “gender” and “race”. The former, as Glover and Kaplan<sup>284</sup> point out, “is now one of the busiest, most restless terms in the English language, a word that crops up everywhere, yet whose uses seem to be forever changing, always on the move, producing new and often surprising inflections (2009:1). The impossibility to define, once and for all, the semantic discontinuity of the term “gender” can be due, in part, to the fact that from the beginning of the nineteenth century on sexuality has increasingly assumed a new role becoming an object of scientific but also of popular knowledge; indeed, as Glover and Kaplan highlight, “what really revolutionized sex was the way in which ideas about sexuality began to spread out and touch every aspect of modern social life”(2009:4). The “evanescence” of the word gender mingles with the concept of “race”. The *Oxford Advanced Learner’s Dictionary* defines this word as “one of the main group that humans can be divided into according to their physical differences, for example the colour of the skin; [...] a group of people who share the same language, history, culture, etc.”<sup>285</sup>. Not surprisingly, the term contains in its definition negative connotations to be found in the explanations “physical differences” and “share the same culture”. On these premises, *True Blood* can be seen as a “audiovisual manifesto” of the contemporary social and racial idiosyncrasies. Indeed, to express the multifaceted interrelation among race and gender, contemporary media go beyond the mere on-screen representation of the issues; far from being an exhaustive definition, *True Blood* portrays a multicultural society, in which reality “seems” to be undercut of racist currents and, at the same time, the same society does fear this “overt” disposition. The outcome that derives from this oscillation between “condemning discrimination and fearing the presence of a multiracial society” reflects, nonetheless, the same behaviour that real (true) societies express. This characteristic can be easily tracked down from the very beginning of the TV show in that the title itself, *True Blood*, contains traces of discrimination whilst apparently evoking equality of races. Amongst its various meanings, the adjective “true” is defined in the *Oxford English Dictionary* as “constant, reliable, sure; honest, upright, virtuous” but also “in agreement with the ancestral type; without variation: in phr: to breed true”. In this sense, to breed true matches the idiosyncrasy generated by the intersection between the fight against discrimination and the fear of equality. Indeed, in this latter definition, there should be a pure lineage of vampires whilst others belonging to a “not true bred” category. Therefore, the taxonomy of race brings again the gender issue to the foreground: the terms “true blood” shade and, at the same time, unveil the contemporary paradox according to which homosexuality is both feared as a threat to heterosexual relationships and championed in order to get a social recognition.

As a result, in *True Blood*, the boundary between humans and vampires can be read as a metaphor of the gap still dividing heterosexuals and homosexuals. The parallel that lies beyond this association refers to the fact that vampires suck blood mixing it with the one of their body but, in so doing, they act “against nature”, in the same way homosexual intercourses have been labelled over the time. The concept of “impurity” is suggested on different occasions in *True Blood* as in the case of Bill, the main vampire, when one of the Afro-American character, Tara, argues: “You don’t know how many people he’s sucked the blood out” (“Strange Love”). Thus, Bill embodies and represents the amalgamation of blood, in other words, impurity. As Abby L. Ferber<sup>286</sup> posits, “interracial sexuality threatens the borders of white identity, mixed-race people become the living embodiment of that threat [...]; the regulation of interracial sexuality is required in order to secure the borders” (2004: 54).

<sup>284</sup> Ibidem.

<sup>285</sup> *Oxford Advanced Learner’s Dictionary*, accessed online (13 August 2013) <<http://oald8.oxfordlearnersdictionaries.com/dictionary/race>>.

<sup>286</sup> A.L. Ferber, “Defending the Creation of Whiteness: White Supremacy and the Threat of Interracial Sexuality”, in *The Politics of Multiracialism: Challenging Racial Rethinking*. Heather M. Dalmage. Albany: State University of New York Press, 2004.

The metaphor of multiraciality in *True Blood* hides another issue that is the inferiority of mixed-race people indeed, notwithstanding the apparent fight against discrimination, yet in the first episode “Strange Love” vampires are in a subordinate position if compared to humans that is the reason why they claim their rights, “We are citizens. We pay taxes. We deserve basic human rights just like everyone else”. Here the reference to gay rights fits the context, juxtaposing two levels of interpretation: on the one hand, in the foreground the vampires’ need to be integrated into the society in which they live. On the other hand, the fight that homosexuals have embarked on to gain equality seems to emerge from the background. This query deserves a closer analysis, in that vampires have officially “upgraded”; as stated in the episode “Strange Love”, vampires do not feed on human blood anymore, so “Now that the Japanese have perfected synthetic blood [...] there is no reason for anyone to fear us [...] we just want to be part of mainstream society. Thus, the main reason for humans to fear blood-sucking creatures has disappeared; thus, the primordial and congenital difference between humans and vampires is no longer a boundary. Is that possible?

Broadly speaking, interracial sexuality represents, to a larger extent, a signal of instability that could threaten the role of supremacy that humans have performed over the time. Therefore, mixed-race sexuality symbolizes a point of rupture in the apparent social balance and equality that the TV show seems to convey. Bill and the other vampires are feared by the local community, as the Afro-American waitress, Tara, argues “Do you know how many people are having sex with vampires these days? And some of them disappear”. Tara’s utterance brings about the fear of juxtaposition of sexuality and race, as if having sexual intercourses with vampires could lead to “disappearance”. As a consequence, the metaphor of disappearing marks the association between sexuality and impurity. An example of how this issue influences the plot of the story can be found in Sookie’s character. Right from the start, Sookie is presented in white clothes to evoke purity. Her role underlines the interaction between her being “white” and “pure” (virgin), so that her whiteness is directly associated to purity and virginity. What makes Sookie dangerous in the structure of the TV show is not the fact that she is a mind-reading fairy; her “difference” lies in the fact that she is a virgin. This point is also noticed by the head chef of the bar, Lafayette, as he tells Sookie “They [men] ain’t scared of you hunny-child. They scared of what’s between your legs”. This statement clearly underlines the power and influence that Sookie “casts” on the people around her as a sort of enchantment. Her purity operates on a double level: on the one hand, it makes her vulnerable because men are eager to seduce her; on the other hand, her preserved virginal appearance influences and forestalls the moves of living beings and blood-sucking creatures. Therefore, both the vampires that people Bon Temps and supernatural characters as fairies become *de facto* the metaphor of the relationship between power and sex that, in its turn, evokes the ambiguity of men’s existence. As Auerbach has argued, “as unnatural actors, vampires represent freedom from activity – even, it seems, from sexuality” (1995:181).

## Conclusion

As remembered above, the unprecedented success that *Dracula* has experienced throughout the years has affected new TV shows on vampires, offering its audience thought-provoking reinterpretations of blood-sucking creatures together with references to contemporary issues such as (homo)sexuality, family relationships, media influence, and racism. Moreover, the past twenty years have seen an increasing surge in undead as a consequence of men’s need to overcome the limits of human life. In this perspective, vampirism has always been categorized and used as a means to articulate encoded categorizations of sexuality, desire and identity ; as D. Jones posits, “we have the vampirism as a metaphor for gender-relations or sexuality, for sexual repression, perversion, or dissidence” (71). To this extent, on-screen TV shows have accomplished the final part of the vampires’ deconstruction to make room to a new supernatural creature. In this process of

reconstruction, the figure of the vampire comes out of the screen and becomes the personification of our innermost desires and aspirations, avoiding any kind of physical or spiritual boundary.

Therefore, the concept of supernatural continues to be a central issue in literary, cultural and media studies, with implications that intersect different disciplinary boundaries, providing challenging debates. With its impressive interdisciplinary coverage, the figure of the vampire offers an ongoing stimulus in cultural media and gender theorization processes paving the path for future, illuminating analysis on contemporary societies. Now, as Michel Foucault (1980: vii) argued, the further question would be “[d]o we *truly* need a *true* sex?<sup>287</sup>”.

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## ABSURD AS LOVE OF TERRESTRIAL LOVE IN “OUTSIDER BY ALBERT CAMUS

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### Abstract

In the twentieth century there were a number of works dedicated to the absurd theme. This trend is kind of a key idea in the French literature among French authors. The authors created the whole gallery of the absurd characters, whereas Camus' *Outsider* is one of the major one. On the other hand, one should also note that this subject derives from the ancient times and is part of world literature works.

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**Keywords:** Absurd, absurdity, eternal life, sisyphus, mortal

*“What are you staring at? What are you seeking for in the eyes of this creature? Can you see the time, you motionless idle mortal being?” I would say without hesitation:*

*“Yes, I see the time, it is eternity!”*

Eternity... Who knows how many times each of us has heard this word, tried to understand its meaning and define its limits, but all in vain. No human being has the quality to realize this abstract idea. It is really hard to imagine the strange world that is unexplored; whose breath did not touch our garments and the dust did not subside on the bottom of our consciousness.

Since the birth, and for some time later on, the life for a human being is represented as the eternity circle. Sometimes there comes a moment when they think they are omnipotent and immortal, but the logics put the limits to the reality around. But one is unavoidable. For a very short time, the very human being collides with the laws of life and this in the most cases happening on its own.

After a long, tiring day, laden with impressions, the person goes into the nature to find some relaxation. To say it in other words, they both enter into harmony and “pathetic silence of the world” („silence dérisoire de monde”). They find it pleasurable when a cool whiff of the wind caresses their naked bodies; they love watching the glitter of the stars because now they are really omnipotent, but suddenly they start looking into horizon, turn and start looking into different directions. Slowly they are lifting the head up for their strong desire at least in heaven to find the answer to their questions, but the sky is silent and endless.

Endlessness interpreted into the special meaning equals to eternity. So, the person is stunned to find that here, in this endlessness and eternity he (she) is the one who has limits because one day he (she) is going to die! The human being is mortal!

„Et jamais je n'ai senti, si avant, à la fois mon détachement de moi-même et ma présence du monde... Et ce qui me frappe à ce moment, c'est que je ne peux pas aller plus loin.” (Albert Camus. *Le Vent à Djemila*).

Shakespeare told us once about eternity versus the terrestrial life by placing a human skull into Hamlet's hands. “To be or not to be, that is the questions!” Just facing the eternity a human being starts to learn the idea of absurdity. They feel that he lives in vanity and that one day everything is going to be into oblivion.

A person does not wish to accept such an outcome.

„Ces deux certitudes „mon appétit d’absolu et d’unité et l’irréductibilité de ce monde à un principe rationnel et raisonnable, je sais encore que je ne puis les concilier” (Albert Camus. *Le Mythe de Sisyphe*).

They are about to riot! And that is the very idea Albert Camus calls the absurd.

„L’homme souhaitait demain, quand tout lui-même aurait dû s’y refuser. Cette révolte de la chair, c’est l’absurdité”.

For centuries have the human race been trying to find out the way out of this entangled labyrinth. The antic wisdom created the image representing a mortal face fighting with eternity. Eol’s son, Sisyphus will fall in love with life that much, that he is not even afraid to go against gods. He prefers a short-lived bliss to the eternity in the world of shades and puts the handcuffs to death itself. A person always experiences the fear to what is awaiting for them in afterlife as that world is unfamiliar to them, dark and unacceptable. He is petrified by its space and estrangement.

“ To sleep, perchance to dream—ay, there’s the rub,  
For in that sleep of death what dreams may come  
When we have shuffled off this mortal coil,  
Must give us pause. There’s the respect  
That makes calamity of so long life.”

Shakespeare, *Hamlet*

The key idea of existentialists is to follow this uninterrupted line. Camus’ riot is the cause of the conflict of a human being and nature, the contradiction. To say it in other way, a person feels their own meaningless and weakness with regard of the mighty world.

„L’absurde naît de cette confrontation entre l’appel humain et le silence déraisonnable du monde” (Albert Camus. *Le Mythe de Sisyphe*).

The writer secludes himself into the limits of an ancient Greek settlement in Algeria and feels happy witnessing the overpowering silence all around it. He plunges himself with all his might into the world of the sun and the ocean, where even the grass blades can bear some meaning for him.

„Tipasa est habitée par le dieux et les dieux parlent dans le soleil et dans la mer... cuirassée d’argent” (Albert Camus. *Noces à Tipasa*).

The spring sky is unusually cold but inviting. Now for the author the world is yellowish and slightly blue where he is always young and happy. The only discomfort for the author regarding the mentioned background is the ruins of the ancient settlement with its dead remnants. All the joys and sorrows, the vanity of its citizens are now drowned into the ocean of the times by that his happiness is also doomed for limits.

„Ce doit être cela la jeunesse, ce dur tête-à-tête avec la mort, cette peur physique de l’animal qui aime le soleil” (Albert Camus. *Le Vent à Djemila*).

That is why the idea of absurd slowly gets rooted into the authors mind too. The fear of death makes him get more and more addicted to earthly problems, pictures the surroundings with incredible colors and lures beyond the stunning emptiness and eventually makes him say the following: “Time is my field” (Goethe).

„ Mon royaume est de ce monde”. (Albert Camus)

Absurd is devouring.

„L’absurde ne délivre pas, il lie” (Albert Camus. *Le Mythe de Sisyphe*).

No living being can avoid the cruel sentence or escape the space of the narrow walls around. What is left to him; to subdue and live in a constant fear? But the outcry of the human nature is clearly heard to him. Rational and sensitive people try to find the way out of this prison, but of course on their own way. For the absurd personality it means creating their own world where he will find his happiness and the way to bar the thoughts of death. Here everything is orderly and arranged and all his wishes or aspirations are satisfied.

Each person according to their individual patterns choose the name of their world, be it poetry, art, indifference or limitless, reckless love. Who knows, may be poetry and wine was created for the reason, so that the person could find it possible to divert his (her) eye from reality, forget about the fact that their days are being depleted and try to find happiness somewhere else.

„Pour n’être pas les esclaves martyrés du Temps, enivrez-vous, sans cesse! De vin, de poésie ou de vertu, à votre guise” (Charles Bodelaire).

Other people try to find this shelter in art: “Art and only art is given to us so that we don’t die from reality” (Nietzsche).

Don Juan... Once one hears this name, in their consciousness something mythical and curios pop up. This mystical character appears sometimes in the works of different writers but when going to the end of those books, we still come to understand that the most idea stays unresolved...

„Ce nom mystérieux qui tout l’univers prend,  
Dont chacun vient de parler, et que nul ne comprend” (Alfred de Musset).

But let us wait and not to hurry to use the epithets.

„ Le plus grand scélérat que la terre ait jamais porté, un enragé, un chien, un diable, un Turc, un hérétique, qui ne croit ni ciel, ni enfer, ni loup-garou”. (Maulière)

So, Don Juan preferred to split himself from the “Monde Hypocrite”, („Pour que le Don Juan soit possible, il faut qu’il y ait de l’hypocrisie dans le monde” (Stendhal) whose end is the death and decided to find his happiness somewhere else, in different circumstances. He idolized the endless feminine love and challenged the earthy just as supreme, heavenly laws. Only in the circle of beautiful women does he try to satisfy the aspirations of his soul. He is cute and only life contains sense to him.

„S’il quitte une femme, ce n’est pas absolument parce qu’il ne la désire plus. Une femme belle est toujours désirable. Mais c’est qu’il en désire une autre et non, ce n’est pas la même chose” (Albert Camus).

He is the one and the only one who would judge himself here on the earth. It would be a big mistake to qualify his actions as immoral or adultery... We should not also forget regardless the irresponsible life that Don Juan remains as a real knight risking his life, who helps those in an unequal fight:

„Il fait penser à ces artistes qui connaissent leurs limites, ne les excèdent jamais, et dans cet intervalle précaire où leur esprit s’installe, ont toute la merveilleuse aisance des maîtres. Et c’est bien là le génie: l’intelligence qui connaît ses frontières” (Albert Camus).

An absurd person never tries to understand deeper. His main worry is time, without which life is unimaginable to him. He is not amused by the idea of death. Even the hell does not exist here, nothing that is not visible to him. In other words, there is only today and never tomorrow.

„ Je crois que deux et deux sont quatre et que quatre et quatre sont huit”.

And it is really hard to call such a person “a sinner”. He will never repent but considers himself sinless. His whole life is committed to the pursuit for happiness.

„C’est de vivre qui assurait son innocence. C’est de la mort seule qu’il a tiré une culpabilité maintenant légendaire” (Albert Camus).

„Pour toujours je serai étranger à moi-même et à ce monde” – says Albert Camus and accordingly the characters of his novels involuntarily follow the ways of life from the authors own imagination. Regarding the blue and golden landscape in the background, the life line of the Outsider is unfolded. At the beginning of the novel we have an impression that the main protagonist is a heartless person, void of all kinds of emotions.

„Aujourd’hui maman est morte. Ou peut-être hier, je ne sais pas”.

The tragedy of his life may be represented in the following way: Marceau, who is indifferent even at the time of his mother’s death and during the funerals, is worried only by



the heat and road, drinks his coffee sitting by the coffin and amuses himself by the observation of the old people. Next day he leaves for bathing into the sea, does not abstain from the possibility to tie up summer relationship with a woman and then without delay goes into the movies to watch the comedy. And then, just to satisfy his corporal desires, kills an innocent Arab and surely, regarding all these details he is justly sentenced to the capital punishment. But judging like that there will be no difference between us and those in court, who as if performing some theatrical shows, would demonstrate, signify their personal virtues towards people.

The outline given above is just a sideway part of the story. Once we go deeper, a question arises, what was the reason Marceau developed this kind of attitude towards life. Was the murder he committed pointless? To answer this question, logically we should follow his lifeline.

Once in the novel it was mentioned that in his youth Marceau lived in Paris. No doubt, he was the same child youngster and a student as other ones. He also tasted something of feminine life and pinned much hope to education. He was following the everyday urban life with hope in his eyes. But what if one day the guy failed his examinations, lots of disillusionments possibly followed: a girlfriend or friends turned away and the whole tower of hope crumbled down, so carefully built.

„Le simple souci est l'origine de tout” (Albert Camus).

He concluded that everything was false, that all the buildings get demolished one day and human life yields to oblivion. So he becomes an absurd personality.

He goes to live in some remote city and from this perspective Paris looks like a remote, shiny, decorated place.

„C'est sale... Il y a des pigeons et des cours noirs. Les gens ont la peau blanche.”

He feels absolutely detached from emotional world and settled down to the very place where the only thing to worry about is a carnal satisfaction. Therefore, mother's death is another annoyance for the employee. For him it is less understandable why oldies should pour their tears for the one life then, also the last meeting with the mom, Salamano's love to his dog or the idea of life for another “mechanical” woman. To him everything in life looks like another play of absurdity. The most important to him is no one interferes into his world and stirs his peace. At the same time we should lose from sight the following fact: Camus' protagonist is a human being, after all and not a mechanical machine. The feelings still find their remote place somewhere in his life and though simplified, let him know about themselves. They follow like a warm streak into the Outsider's veins every time when he witnesses the eternal beauty of the world. Nor accidental is the fact, that in his confession Marceau pays much attention to Algerian picturesque landscape.

„ A travers les lignes de cyprès qui menaient aux collines près du ciel, cette terre rousse et verte, ces maisons rares et bien dessinées, je comprends maman. Le soir, dans ce pays, devait être comme un rêve mélancolique”.

The outsider is an absurd personality and as all the absurd people, there is only one thing he loves more than himself – life. He cannot and would not picture himself in any other world; he is not able to see the world beyond the grave where possibly not that much bluish sea is waiting for him, stirring underneath his feet, or a cool gale, protecting him from the sizzling sun. Being himself at the threshold of death, he is tormented by the fear of the unexplored, unknown reality.

All the people display sort of selfishness at times. Marceau feels extremely envious to those people who are left beyond the prison walls, to those “sentenced to the capital punishment” for whom life is to be continued. To the all questions of the weeping priest he has the only one answer – he does not wish paradise, or hell, but...

A personality so much in love to terrestrial life tries to reap all the fruit of it and in the end starts living in the very garden that makes him extremely happy. For Marceau these

surroundings are of temporal nature, but he has not realized it yet. The nature he thought he had lost some time ago he would accidentally find on the beach of the Mediterranean and clings to it.

The outsider reached his goal; he is extremely happy on this lonely beach! The sun is dribbling into his veins and the sea is moistening his heated toes. He is making towards the waterfall to enjoy its coolness and beauty.

„C’était le même éclatement rouge. Sur le sable, la mer haletait de toute la respiration rapide et étouffée de ses petite vagues... Toute ce chaleur s’appuyait sur moi et s’opposait à mon avance. Et chaque fois que je sentais son grand souffle chaud sur mon visage, je serrais les dents, je fermais les poings dans les poches de mon pantalon, je me tendais tout entier pour triompher du soleil et de cette ivresse opaque qu’il me déversait”.

According to Camus, the murder takes place just at the moment when there is something wrong between proportions of real world and the goals set. Marceau’s intention is hampered by the shiny blade of knife. The Arab stayed on the way of the protagonist and hampered his last chance to be happy. Marceau fires and the harmony of the day is over.

„J’ai secoué la sueur et le soleil. J’ai compris que j’avais détruit l’équilibre du jour, le silence exceptionnel d’une plage où j’avais été heureux. Alors, j’ai tiré encore quatre fois sur un corps inerte où les balles s’enfonçaient sans qu’il y paraît. Et c’était comme quatre coups brefs que je frappais sur la porte du malheur”.

The only tragedy for the protagonist is parting with the terrestrial life, where a lot of time of unexplored joy is left. Just ahead of execution does he realize how strong his love towards life is. Besides, he understands those people with the same experiences. Now he understands why his mother was engaged just before her death as just as he understands now that she was also eager to drink the sap of life. His mom died happy because she truly believed that she could always start anything from anew.

„Personne n’avait le droit de pleurer sur elle”.

So is the outsider, he can start from anew too, while he is alive and therefore happy. He is ready to get any challenge from life, ready for reconciliation just to enjoy the minutes of life even if he is hailed as disgrace by the “still live people”.

„J’ai senti que j’avais été heureux et que je l’étais encore”.

Gods punished Sisyphus but his punishment is symbolic – from the realm of shades he keeps on preaching the great love of life, just as absurdity. The stone rolled up by him are our hopes and dreams, and our life is represented by the road heading to the top. The stone rolled up to the top slides back again and again does it lure human beings to take it back to the final destination.

The mythology does not tell us whether Sisyphus sees any dream in the realm of Hades, maybe he even does and these dreams are earthly life. Dizzy from the newly gone sleep, irreconcilable with the terrestrial laws – a mortal human being will utter: „Mon royaume est de ce monde”.

### **Conclusion:**

Thus, we can conclude that Albert Camus’ “Outsider” is not a laudatory hymn of nihilism and marginalism. The character’s “absurdity” is revealed in his strong attachment to real life and with the help of stylistic devices embodies the theory presented in Camus’ “The Myth of Sisyphus”.

According to Albert Camus, an absurd person is not an individual who has turned down from society or/and rejected existence. A person having cognized the world of absurd tries to take pleasure in every minute of the real life and expresses great love and attachment to the existing world.

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# VERBAL ABUSE IN UPBRINGING AS THE CAUSE OF LOW SELF-ESTEEM IN CHILDREN

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## Abstract

In this article I would like to raise the issue of verbal child abuse in relationships between children and people important to them. Parents and teachers are the first role models in a child's life, therefore their messages have a causative power as they create the image of the "self" in a child, as well as the way of perceiving and valuing themselves. The starting point of my article is the issue of abuse in upbringing, then I discuss the problems of self-esteem and the occurrence of verbal abuse by parents and teachers. In the last part, I present consequences of such experience for the development and life of children.

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**Keywords:** Verbal abuse, self-esteem, children

## Introduction

Child abuse in upbringing consists in doing mental and physical harm. The purpose of such abuse is to change the behavior of a child for better. According to Irena Obuchowska, abuse in upbringing is used in order to force children to obey their parents or teachers (Obuchowska, 1989). Therefore, it functions as a specific upbringing tool and parents are motivated by educational purposes only. The most frequent reasons of using violence in child upbringing by parents are contradictory. Considering the fact that upbringing is a process of versatile personality development, including protection of a child against various hazards and limiting the risk of development of negative traits, as well as impartation of values and behavior patterns by personal example, abuse in upbringing seems to be an antinomy. According to Marian Nowak, upbringing must bestow values, the hierarchy of which is built on the basis of children's experience (Nowak, 2008).

## Self-esteem as an attitude towards oneself

Self-esteem is an attitude towards oneself, especially towards one's capabilities. It is an important part of self-awareness; it is a set of judgments and opinions concerning one's "self" (W. Szewczuk 1985, p. 275). People shape their self-esteem for their whole life, however, the first attempts of shaping the image of the „self” appear as early as in the pre-school period.

Self-esteem has been discussed in various aspects, I am going to focus on some aspects only, selected for the purposes of this article. As far as the relation between one's capabilities and self-esteem is concerned, we may distinguish adequate self-esteem (accurate assessment of one's capabilities) and inadequate self-esteem. Inadequate self-esteem does not reflect the actual, real capabilities of a given person. There are two types of such inadequate self-esteem:

a) too high,

when someone overestimates their capabilities and takes up tasks surpassing their abilities or goals that they are not able to achieve;

b) too low,

when someone underestimates their capabilities and takes up tasks too easy for them.

Another aspect relevant for my article is the positive and negative self-esteem. Positive, adequate self-esteem is mainly about being aware of one's strengths, talents and traits motivating people to undertake various tasks while also being aware of one's weaknesses, deficits and limitations. Negative self-esteem is the feeling of inferiority, focusing on one's flaws and shortcomings while ignoring or belittling one's abilities and achievements;

The most important factors affecting self-esteem include: opinions and judgments expressed on a given person, achieved successes and failures, as well as comparing oneself with others.

Opinions and judgments children hear about themselves are considered most important while shaping the image of one's "self". They may come from various sources, however, I am going to focus on the most important ones – parents and teachers.

### **Parental psychological abuse**

Psychological (emotional) abuse manifests mainly in name-calling, insulting, mocking or humiliating criticism and its degree may vary. When children hear negative opinions on themselves from their closest relatives, especially in the early childhood, they think of themselves in a negative way and develop low self-esteem. On such basis, children start to create their own image and identify with the opinions they hear. According to the studies by Irena Jundziłł, obedience is the quality that parents desire most in their children and try to enforce it through inadequate and even harmful behavior, such as yelling, threatening or frightening. While criticizing their children, they always refer to a person and express generalizations, saying that children always do something wrong or never do anything well. Such criticism very often has a form of humiliation, mocking children's weaknesses or other forms of verbal degradation.

According to P. Mellody, an American psychotherapist, newborn children exhibit five traits: preciousness, helplessness, imperfection, codependence and immaturity and it is the parents' job to develop a child's personality in the right direction. Parents who distort those beautiful traits in children not only fail to fulfill their educational role, they are not only dysfunctional parents, but even toxic ones. As S. Kawula points out, a child is precious right from the moment of its birth and simply because of the fact that its life is most important to their parents. Children's awareness of its importance becomes the foundation for building their self-esteem. Dysfunctional families fail to show their children that they are precious, on the contrary, they belittle their value.

Children's helplessness requires the parents to protect their children against any hazards, which in turn means the ability to identify their needs. Helplessness in a dysfunctional family cannot develop in the right direction as children feel unprotected and cannot learn how to avoid various hazards. As a result of such experience, some children never develop the sense of security and become helpless and more prone to aggression from others even in their adult life.

Imperfection means that children should have the right to make mistakes and parents should instruct them what they are doing wrong. Misunderstood idea of imperfection manifests in oppressing the child, criticizing it for being imperfect and making it believe that it has no right to make any mistakes. As a result, the child is deprived of the opportunity to learn from its mistakes and becomes convinced that each mistake makes it worse. As a consequence, the child rejects the fact that mistakes are an inherent part of human nature and that being erroneous is an integral part of human life, as well as that people should learn and draw conclusions from such mistakes.

Co-dependency is a trait stemming from a child's nature. At some point of life, children are completely dependent on their parents who should satisfy their basic needs. In later life, if this trait was developed correctly, it transforms into independence and self-reliance. Otherwise, children fail to become independent and their right to be autonomous, so

important in the period of development, is limited.

Immaturity in proper upbringing means that parents should let their children be themselves without excessive expectations. In dysfunctional families, parents require their children to be overly mature or always let them be immature which, as a consequence, leads to extremity in both such cases – being too immature or too mature. S. Kawula emphasizes the fact that as a result of underdevelopment of the five above discussed traits, „children develop dysfunctional self-preservation qualities” (p. 131). With proper educational methods, immaturity should become maturity, co-dependency should turn into independence, helplessness – into self-confidence. Imperfection should teach children how to draw conclusions from mistakes and preciousness should be the basis for building one’s self-esteem. As H. Filipczuk points out „*children cannot oppose their parents’ judgment, their self-esteem is shaped on the basis of their opinions*” (p.73.). While being overwhelmed with criticism, children develop the sense of inferiority and focus on their weaknesses and limitations only. For a child, parents are not only the source of love and security, but also are the first important persons and infallible role models. “So if your all-knowing parents say bad things about you, it must be true. If your mother says you’re stupid, it means you’re stupid, if your father says you’re bad, you’re bad” (S. Forward 1994, p. 87). Such words – often said by people who mean much to a child – gradually affect the child’s perception of itself and its self-esteem.

Numerous studies show that parents quite commonly use offensive, humiliating names. Studies conducted among junior high school students show that half of them experience destructive criticism and humiliation in the form of name calling and mocking (J. Maćkiewicz 2007). According to the results of Polish studies conducted last year, one fifth of the students experience emotional abuse in various forms, parents being the perpetrators in half of the cases.<sup>288</sup>

Mariola Bardziejewska conducted studies on prevalence and type of name calling used by parents with regard to their children. It turned out that most of the bad names relate to a child’s intelligence, the most popular being: *moron, idiot and retard*. Moreover, early school children often hear such name calling as: *fool, smartass, dunce, twit, dummy or dumbbell*, and children aged 13-18 usually hear such words as: *nut, wimp, nitwit, smartass, jerk, dimwit, lunatic, cretin, loony, butthead, weirdo, nerd and imbecile*. However, the author stresses that name calling used by parents also relate to children’s behavior and appearance and parents are very creative in this respect. “Especially painful is the fact that children often hear bad names from someone they trust, believe and respect and above all, someone they love” (p. 17).

### **Verbally abusive teachers**

Although parents have the right to be unaware of the effects of their actions (which of course does not justify their harmful deeds), the teachers, being professionals with psychological and pedagogical knowledge, must possess such awareness. On the one hand, they should educate parents in this respect, correct harmful habits in family settings and, on the other hand, be responsible for proper teaching methods and nothing can justify their toxic attitude towards children. In a contemporary school, dominated by the idea of subjective approach to students, teachers should respect and accept children in everything they do.

Thomas Gordon compares the importance of acceptance to a child’s development in the period upbringing to „fertile soil, in which a fragile seedling may become a flower in bloom” (p. 67- 68). Further in his book, the author says that “the soil that most of the teachers give their students is filled with judgments, moralization, orders and destructive criticism. They tell me I am so bad and my ideas are stupid or that I can’t be trusted so often that I started to do even more things they don’t like. If they believe I’m bad and stupid, I think I can

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<sup>288</sup> Studies conducted on a group of Polish children and youth aged 11-17; N=1005; FDN and Millward Brown 2013, <http://fdn.pl/badania-fdn> (7.09.2013)

push it even further” (p. 68). Criticism and emphasis put on failures and mistakes only with lack of praise has a negative effect on a developing personality, it distorts the image of one’s „self”, lowers child’s self-esteem and is destructive for its development as it prevents the child from reaching its full potential. A child cannot spread its wings as they had been clipped.

There is a very fine line between destructive criticism and emotional violence – it is often one and the same thing. Wrong, toxic methods used by teachers usually include screaming, humiliating remarks, criticism, mocking or ignoring students’ achievements. If such situation lasts for an extended period, it ingrains in a child’s mind and affects its whole adult life. Studies conducted by the Helsinki Committees for Human Rights among over three thousand students show that almost 60% of them experienced such abuse as name calling, humiliating, exerting pressure etc. personally from their teachers and 70% know a colleague who has been a victim of such abuse. (E. Czyż, 2003)

A child internalizes such negative opinions, distorts the image of its own abilities and itself as a human being and as a consequence, starts to believe that such opinions are true, which lowers its self-esteem even more.

Too low self-esteem hampers child’s activity and creativity. A child does not believe in itself, is constantly afraid of failing, therefore it does not take up any tasks as they seem impossible to complete. Students with low self-esteem are especially sensitive to failures, criticism and judgments. They are deeply affected by each failure and do not want to try again in fear of failing again, as further failures confirm their conviction of being worthless and further criticism and lack of acceptance from teachers and parents only strengthen their already low self-esteem.

Nathaniel Branden expressed the following opinion on self-esteem: “Of all the judgments we pass in life, none is more important than the judgment we pass on ourselves. (...) The core of such self-esteem has a deep impact on human thinking process, emotions, desires, values and goals. It is one of the most important factors shaping our behavior“ (Faber, Mazlish 1993, s. 149). Therefore, self-esteem is the drive force of all our actions and plays a key role in everyone’s life. Using destructive criticism while criticizing a child, we deprive it of the right to perceive itself as a valuable human being. Failing to satisfy the need for positive self-esteem is one of the most common emotional barriers in mental development of a child and in the Maslov’s hierarchy of needs, the need for recognition and prestige, on which one builds self-esteem and self-respect, is just below the most important emotional need of a human being. Its position in the ladder of needs is a striking evidence of its importance in human life.

The effect of self-esteem on behavior has many aspects. Type of challenges taken up in life and methods of facing them, evaluating and foreseeing one’s chances in various situations, as well as establishing social contacts depend on the way a child perceives itself.

## Summary

The primary value in upbringing should be building a positive and adequate self-esteem and the „basic job of teachers and parents (...) is to find a way to make their children/students think positively about themselves, believe in their competences and value” (Chomczyńska - Miliszkiewicz 2001, p. 53). Therefore, it is necessary to use the approach based on positive reinforcement and constructive criticism, motivating students to work on themselves and achieve their goals, as teachers cannot give up on pointing mistakes and aspects that may be difficult for a child, but at the same time necessary for its development. This is the job of a teacher – to create conditions for, allow for, stimulate and support the development of a child. The crucial thing is that student’s mistakes, lack of ability or predispositions in some fields cannot be used to lower their dignity or personal value.

According to Rogers, „the ability to think positively of oneself depends on the quality and consequences of recognition by others” (B. Thorne 2006, p. 54). In order for a child to

feel valuable, it must experience recognition from persons important to it. Teachers, being aware of the importance of positive self-esteem, should organize the teaching process so that children have the opportunity to feel successful, to know their strengths and abilities – they will be the source of positive experience and foundation for further development, be the basis of self-assurance and the courage to take up challenging tasks and educational institutions are responsible for preparing the young generation to take up challenges in a new and ambiguous environment (B. Majerek, p. 69).

Emotional abuse is described as the abuse „in velvet gloves”. It is a hidden form of abuse, very difficult to recognize and prove. The only effective way is to change social attitude towards psychological abuse by showing negative – both direct and future – consequences of such abuse for a child’s development, by overcoming stereotypes, as well as by developing and implementing prevention schemes. According to world organizations (World Health Organization, International Society for Prevention of Child Abuse and Neglect) education schemes for parents are highly effective in prevention of emotional abuse. They are the first step towards elimination of abusive behavior ([www.ispcan.org](http://www.ispcan.org), accessed on 11.04.2011).

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# WORD MEANING AND ITS MEASURING TOOLS

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## Abstract

A certain thing or phenomenon has its name in a certain language, i.e. has a definite meaning. In another language the same thing or phenomenon is expressed otherwise. A word meaning can be changed as many times as the author wants to use it in different contexts. It is namely a context where a word constantly acquires new meanings. In order to properly understand any utterance one should understand not only words and word combinations but also deeply comprehend what stands behind them, what they indicate to. Namely this is the so called new meaning that is subjective at a certain degree. This meaning can also be changed according to the association a thing (phenomenon) arouses in people, what emotions and feelings it provokes in them. It will be incorrect to prove that this word should be evaluated positively, and that one – negatively as one and the same notion can be positive for a certain person, negative – for another and even neutral for someone else. Consequently, the following issue becomes interesting: does evaluation come from perception or perception – from evaluation? We consider that both of these processes are interrelated and interwoven.

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**Keywords:** Meaning, association, subjective, perception, evaluation

## Introduction:

The aim of the article is the modest attempt to measure a word meaning; to be more precise to evaluate a word meaning and “measure” or discuss the emotion that this or that word (thing, phenomenon) provokes in us. Word meaning is the accepted meaning of a word, the way in which a word or expression can be interpreted. A spoken word as well as a written word, amounts to a nonsensical arrangement of sounds or letters without a consensus that assigns meaning. Namely meaning is the idea a person wants to express by using words, signs, etc., the thing one intends to convey especially by language. In linguistics, meaning is what a sender of information wants to express, communicates, or conveys in his/her message to a receiver of information, and what a receiver infers from the given context. Languages allow information to be conveyed even when particular words used by writers or speakers are not known by readers or listeners. People connect words with meaning and use words to refer to concepts. A person's intentions affect what is meant.

From the very beginning it should be mentioned that a certain thing or phenomenon has its name in a certain language, i.e. has a definite meaning. In another language the same thing or phenomenon will necessarily be expressed otherwise. It is also noteworthy that quite often a word meaning can be changed as many times as the author wants to use it in different contexts. It is namely a context where a word constantly acquires new meanings. It should be especially underlined that in order to properly understand any utterance we have to understand not only words and word combinations but should deeply comprehend what stands behind them, what they indicate to. Namely this is the so called new meaning that is subjective at a certain degree. It is certainly more difficult to understand this new meaning than the one which is already known to us. This meaning can also be changed according to the association a thing (phenomenon) arouses in people, what emotions and feelings it provokes in them.

One and the same word can arouse different associations and emotions in different people. For instance, let us take a word “thunder” – while hearing this word some people can be terrified and others can even feel delight. Thus, one and the same “mediator” (in this case mediator is the word “thunder”) evokes different, even opposite feelings in different individuals.

The experiment has been carried out for the purpose of evaluating word meaning. 50 persons of different ages, different nationalities, and different specialties belonging to different social layer were given a long list of adjectives and nouns. It is a well-known fact that meanings of socially significant signs are different for different classes of people. They were asked to make pairs of these words. In other words they had to make noun + adjective word combination according to the association this or that noun provoked in them. As a result of the experiment was observed that sometimes people’s opinions coincided and in most cases they were diametrically opposite. It is obvious that in this case dominates subjective factor as absolutely objective evaluation is almost impossible. Such adjectives as “good”, “bad”, “beautiful”, “wonderful”, “ugly”, “virtuous”, “depraved”, “attractive”, “disgusting”, “fascinating”, “ghastly”, “kind”, “cruel”, “happy”, “miserable”, “tasty”, “tasteless”, “strong”, “weak”, “useful”, “useless”, “pleasant”, “unpleasant”, “sweet”, “sour”, “bitter”, “pure”, “vicious”, “fragrant”, “smelly”, “honest”, “dishonest” and a lot of other adjectives are fuzzy concepts. Though, there are a great number of adjectives that can be objectively evaluated if we set some boundaries for them. Let us take the adjective pair “tall – short”. A person being 1,70 meter or above can be considered as tall in case the starting point is 1, 70 meter. In this case the concept “tall” is not fuzzy, but the adjective “disgusting” cannot be placed in such frames. It is true that we can make such frames artificially; for instance, we can consider a person “disgusting” if he/she does not satisfy the offered requirements. But such division will still be artificial.

Thus, adjectives can be divided into two parts:

- Adjectives that can be used for objective evaluation, i.e. those that we can place within certain frameworks;
- Adjectives that remain as fuzzy concepts.

While evaluating a word we have to take into consideration the fact that the “stronger” the word is and the more emotions it arouses the sharper are features that can be used for its characteristics. Thus, in such a case we deal with directly proportional relations. We strongly believe that word-combinations can be determined the same way. Two constituent words of a certain composite if separately taken can be characterized with absolutely different qualities than this word-combination itself. These separate components can be evaluated as being weak, passive or good but the word combination can become strong, active and generally, acquire different features.

A certain group of people can explain a particular thing with certain words, for instance, with words “sweet”, “sour”, “tasty”, “delicious”, “devastating”, “bitter”, “marvelous”, “fascinating”, etc. but another group of people can explain the same thing descriptively. It depends on a person’s mentality, psychology, wit, education, and the skills of communication. In any language there definitely exist certain norms which should necessarily be strictly followed, but still a lot of things depend on separate individuals, the society where these individuals were brought up, worked and work.

Owing to the fact that a certain thing, phenomenon can be perceived differently than its meaning is in reality, this thing or phenomenon can acquire a new, different meaning. It is certain that a word acquires a new meaning on the basis of its nominative meaning; at least “a small drop” of the seme of a nominative meaning of a word should be the base for formation of a new meaning. Thus, a meaning is formed on the basis of perception of a thing or a phenomenon:

thing → person’s reaction (perception) → new meaning

Proceeding from the aforementioned, it can be said that a person evaluates a thing or a phenomenon as he /she perceives it, according to his / her perception. For instance, a certain group of people evaluated “US Dollar” positively, but the same people evaluated “fylfot (swastika)” negatively. The question arouses: Is not such evaluation conditional and arbitrary? If fascists were asked the same question, would they also evaluate the word “fylfot (swastika)” negatively? Similarly, some notions such as “church”, “labor leader”, “tyrant”, “Negro” have diverse connotative signification for different people and semantic differentiation can be used to determine the number of these differences. The concepts “labor leader”, “Negro” or “tyrant” can cause awe in one part of individuals and delight – in others; some of them can even have no feelings, i.e. these notions can be neutral for them.

Besides, it should be mentioned that national factor has to be taken into consideration as well as the evaluation of a notion can vary according to nationality.

Thus, some words can be disgusting, even horrific for a certain group of people, but evoke positive associations in others. This fact probably can determine an individual’s character, what kind of a person he/she is, what is his/her psychology, background, etc. But maybe it can also be other way round: knowing his/her personal features, we can a priori be aware how he/she will characterize this or that word.

It is also noteworthy that eventually, owing to some occurrences and events meanings of social signs change. For instance, the meaning of “Italians” changed for Americans in the second half of XX century. Similarly, under the impact of the pressure of psychopathy, the meaning of emotional signification undergoes changes. Otherwise saying, an individual may have some kind of impression on a thing or a phenomenon what can be changed over time under the influence of a certain fact.

### **Conclusion:**

Thus, it will be absolutely incorrect to prove that this word should be evaluated positively, and that one – negatively as one and the same notion can be positive for a certain person, negative – for another and even neutral for someone else. Consequently, the following issue becomes interesting: does evaluation come from perception or perception – from evaluation? It was mentioned above that the following chain can exist: thing → person’s reaction (perception) → new meaning; but on the other hand, if we do not know the meaning, how can we perceive this thing/phenomenon? And if we know the meaning of a thing or a phenomenon, is it perceived and fixed afterwards?

Finally, we consider that both of these processes are interrelated and interwoven.

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## ON INVESTIGATION OF TURKIC NUMERACY

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### Abstract

Turkic culture investigation is one of the less investigated cultures in Asia. One of the reasons for this is that being under the Soviet Union mainly Russian orientalist were concerned with research of Turkic cultures. This is not a secret that European and American Cultural Anthropologists and Ethnography scientists did not have permission and opportunity to investigate Central Asian Countries due to restrictions of Russian orientalists. However there have been made some investigations by French and German scholars. Beside this there can be found quantity of valuable information about Turkic culture in Chinese sources. In this article we will try to find out the peculiarities of Turkic numeracy based on multiple approaches including Western and American scholars' investigation, Chinese and Russian scholars' works and some Kazakh literature as one of the representatives of Turkic culture. In spite of the wide-spread concept that numbers are universal and can be regarded as linguistic unit rather than to be an object of cultural anthropology, we are proving that Turkic numeracy has specific features which require special research. By numeracy can be covered wide range of concepts such as method of traditional chronology (twelve-year cycle system), number words etymology, numerical notation, age understanding in numbers, money and trading, counting and arithmetic and etc. Whole of these concepts are being investigated now. However in this article we have included only some key points regarding Turkic numeracy in general. So here you can get some information on main features of Turkic numeracy and its investigation issues.

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**Keywords:** Turkic numeracy, numerals, numerical notation, number symbols and anthropology of numbers

### Introduction:

Numbers have been investigated from different approaches like its history of formation, its symbolic meaning, number concepts and etc. Numbers system features of different cultures including Western countries, Oriental countries, aboriginal American and some African numbers have been targets of different scholars. Stephen Chrisomalis wrote (p.2) that due to western numerical notation supremacy it was widely investigated. He points to the authors Zhang and Norman (1995), Dehaene (1997) and Ifrah (1998). Amongst non-Western scholars who have undertaken major comparative research on numeracy and mathematics he mentioned Thomas Crump (1992), David Lancy (1983), Marcia Ascher (1991) and Claudia Zaslavsky (1973). Despite works of those authors he admits that numerical notation has not been yet a primary focus of the research. We can add to this statement that numbers in Turkic nation's culture had not been object of research of Western scholars yet at all. Probably this is not case only with number concepts. As we know Turkic culture has been under interest mainly by Russian and German Orientalists. Thanks to their investigations many blank pages of Turkic history and culture have been fulfilled. Also the fact that Turkic cultural countries were under the Soviet Union encouraged Russian scientists

to investigate Turkic cultures much closer than any other regions scientists. “Needless to say, private scientific contacts with scholars in the West or in Muslim countries abroad were almost impossible outside some officially endorsed venues” (Kemper, 2011, p. 12). Along with it main sources about Turkic history were written in Chinese. We have to admit that in the 19th century Chinese culture was also one of main interests by Russian scholars. So investigation of Chinese culture was also a gate for thorough investigation of history and culture of Turkic culture in general. “The task of Oriental studies in the USSR was to provide information on Islam and Muslim societies abroad, with regard to foreign policy, and at home, in the Muslim areas of the USSR, where scholarship was crucial for the formation of national histories and identities” (Kemper, p.xiii). Along with Russian scholars German Orientalists made valuable contribution to the investigation of Turkic culture. Amongst them can be mentioned outstanding scholars such as V. Thomsen, Schott, Radloff and etc. Also Turkish scholars such as Talat Tekin and others made some inputs toward investigation of the culture.

Most of Turkish scholars were written in Turkish, hence most of them are unknown for Western scholars. Of course, there were other scholars who came originally from Central Asia and other ethnical Turkic countries. Some of them will be mentioned during the work. In spite the fact that today interest for Turkic culture raised from the end of the 20th century, it is undeniable that the main sources for Turkic culture are still from Russian and German literature. Despite the fact that main sources about Turks, for both Russian and German scholars, were taken from Chinese sources, “Chinese scholars encountered many setbacks and modern Academic branch of Inner Asia research in China began relatively late, its development was sluggish, and it was constrained by non-academic factors” (Lou Xin, 2012, p. 707). Concerning number concept in Turkic culture we can mention such scholars as Kliashornii, Malov, Radloff, Bartold. However their work had mainly linguistic character concerning its etymology and grammar. In this work we will attempt to fulfill this gap.

### **Origins of Turkic Writing**

‘The Turkic languages constitute a language family of at least thirty-five languages, spoken by Turkic peoples across a vast area from Southeastern Europe and the Mediterranean to Siberia and Western China, and are proposed to be part of the controversial Altaic language family (Raymond, 2005). Turkic languages are spoken as a native language by some 170 million people ([http://en.wikipedia.org/wiki/Turkic\\_languages](http://en.wikipedia.org/wiki/Turkic_languages)) and the total number of Turkic speakers, including second-language speakers, is over 200 million’ ([http://www.nationsonline.org/oneworld/most\\_spoken\\_languages.htm](http://www.nationsonline.org/oneworld/most_spoken_languages.htm) retrieved on 22/05/2013). As you see number of Turkic language speakers is not little. Its population quantity is larger than Russian, Japanese, Korean and French language speakers as first language and it stays after Portuguese speakers with population of 176 million as native language speakers ([http://digitalcommons.bard.edu/cgi/viewcontent.cgi?article=1168&context=senproj\\_s2011](http://digitalcommons.bard.edu/cgi/viewcontent.cgi?article=1168&context=senproj_s2011) retrieved on 23/05/2013). Turkic language speakers are mainly located in Asia. On order to trace history of formation of Turkic numerical notation we have to look to its writing system history and language formation peculiarities.

Archeological findings near Issik in Kazakhstan in 1970 showed that people settled in Central Asia had their writing system in approximately 5-4th centuries BC. Deciphering the scripts on the silver bowl showed that their forms are similar to Aramaic group of language family (<http://irq.kaznpu.kz/?mod=1&tid=5&oid=268&lang=k> retrieved on 05/24/2013). It proves the fact that “not only did the Hebrew and Arabic alphabets, which are used to write these other Semitic languages, derive from the Phoenician, but the entire groups of Turkish Mongolian and Persian and Indian’ (Menninger, p.263). It means that Old Turkic scripts originated from Aramaic languages and had the similar signs. Andras Rona-Tas says that Old

Turkic may be divided into two major groups: those of Semitic and those of Indic origin (Lars Johanson and Eva agnes Csato, 1998, 126). The Aramaic scripts which dates back to the 19th century BC was origin of branches like Hebrew, Palmyra, Syrian etc. However A.S.

Amanzholov (2001, p. 244) suggests that Turkic writing could be formed in the result of the earliest logographic or alphabetic writing dating back to 3-2 millenniums BC. Turkic writing's close genetic interrelation with the earliest Semitic, ancient Greek, Italic and Minor Asian letters can be explained with its long way of development which traces back to the ancient general source of alphabet scripts. However this question is beyond the issue of this work. Generally it is accepted that for Turkic scripts were used Semitic origin writing which developed in following order: Runic, the Sogdian or Uyghur, the Manichaen and the Arabic script. There have been found about 300 texts with Runic scripts. This data is very important for us, since this can help us trace the use of number signs as well.

### **Origins of Turkic Numerical Notation**

Considering numerical notation and today's shape of number signs requires separate work to be written about this issue. There were written numerous books concerning number concept which you can find in the bibliography of this work. Anyway, this process was thoroughly investigated and written in details from its earliest periods to the time when numbers got today's shape. However, we decided that this issue is beyond of our research and decided to limit this part only with this comments. Unlike Turkic culture where numbers and numerical notation had not been yet investigated in one systematic order. Hence we decided to do this analysis as something new and can be useful for further researches in this direction.

Relying on the previous data concerned with Turkic writing we may suppose that Turkic numerals and number system was originated from Aramaic group of Semitic group of languages. According to K. Menninger: there were two forms of writing in India, the Kharoshti, which originated in the northwest and was in use only from 5th century B.C. to the 3rd century A.D. and the much more important Brahmi writing... Brahmi's underlying-principle of numeral signs was in no longer ordering or grouping; now each of the units has its own number word in the spoken language (p.394-395). This is the way how we sign the numbers. So Brahmi numbers were the first stage of contemporary number signing. Along with it they already have ten digit decimal system (Menninger, p.411). So it means that in India B.C. it was already numbers like 20, 30, 40, and etc. Can we relate those data to origins of Turkic numerals? Probably yes. Karl Menninger also referred Central Asian numerals originated from Brahmi numerals (p. 394). However Chrisomalis wrote that Brahmi and Kharoshti numerical notation systems were in competition throughout history. He pointed to Salomon's work (Salomon, 1996: 378) according to which there had been found inscriptions on stone and on copper and documents from Inner Asia. Despite wide-spread of Brahmi numerals throughout Indian continents Kharoshti survived longer in the small states of Inner Asia. However there are other group scientists who urge that Turkic numbers were naturally derived from five base system, because we have five fingers in each hand. For instance Gordlevskii stated that there is no need to try to find initial origins of number system from other neighboring cultures, since this system was naturally established because of five fingers. Later this system developed to ten numbers. This hypothesis will be considered further in analysis of Turkic number etymology.

In the next stage of numeral system wide spread in the Central Asia was Sogdian writing system and probably sogdian numerical notation system. Fortunately, there were made some researches concerning Sogdian numerical notation by Chrisomalis. He wrote that the Sogdian script is first attested from the "Ancient Letters" dating to AD 312-313 found by Stein in Chinese Turkestan but may have originated in the third century (p. 87). He underlined that there has been no systematic comparative treatment of Sogdian numerals to date, and minimal paleographic work and further he gives signs for numerals 1, 10, 20 and hundred. He

described numerals cumulative additive to 100 which means that this system was similar to Classical Roman numerals where many signs per power of the base, which are added to obtain the total value of that power. For example for 34= XXXIII which is  $(10+10+10)+(1+1+1+1)$ . But hundreds and thousands were multiplicative when two components per power, unit signs and a power-sign, multiplied together, give that power's total value. For example number 1434= $(1*1000+4*100+3*10+4)$ . Unfortunately, there is not special epigraphic investigation toward numerals of the Sogdian numerals and it was fallen out of use by the tenth century.

Anyway knowledge of origin of Turkic numerals being from Aramaic gives us general following information concerning this system. First is that it has decimal base. Second there is a special sign for 20. Third, the use of vertical strokes for units and horizontal strokes for tens. Fourth a cumulative-additive structure for numbers smaller than ten and the use of multiplicative-additive notation for expressing multiples of 100. This analysis was taken from Chrisomalis (p.92). Unfortunately there were found no documents or stone scripts from Central Asia and Mongolia with number signs. In all stones scripts number were given lexically. This was pointed by Chrisomalis either. He underlined that numbers were often written out lexically in religious and literally contexts and even occasionally in economic documents and their imprint was impermanent. (p.92). Indeed amongst the Russian Orientalists works dedicated to Turkic ancient scripts there was not mentioned any signs for numbers. Despite the fact that the earliest script was totally encrypted by Thomsen and there had been conducted several thorough epigraphic investigations, which will be discussed in the following part of the work, there was no mention about number signs. However numbers, chronology methods, etymology of number-words were one of the main concerns for several scientists like Gordlevskii, Kilastornii, Thomsen etc. We think that this lack of information concerning number signs was because of simple reason that there were no number signs in those scripts. Chrisomalis also wrote: "we simply do not know by what means the users of these script traditions performed arithmetic, but there is no reason to assume that it was done with pen and paper" (p.92). This statement led us to try to find traces of counting boards amongst Turkic people which will be considered in corresponding chapter.

After this period we can notice numbers as signs after Islamic began spreading from 8th century. Numbers in that period were written with Arabic number signs. This period lasted till 1929th year, when in Kazakh Autonomous Soviet Social Republic it was replaced with Latin alphabet. From that time till now number signs which we use today was introduced and began to be in use.

This is only the chronology order of Turkic numeracy in the Central Asia. However we should take into account that this is only the beginning of Turkic numeracy system. As it was mentioned above numerals covers such areas of life as arithmetics, money and trade, date chronology, astrology understanding of age and etc. Further analysis requires deeper knowledge of culture of Turkic culture and introduction with Chinese, Russian, and Western literature. In further our researches we are aiming to do contribution to this aspect of Turkic numerical notation.

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# TRANSLATION AS A MEANS OF LEARNING AND SELF-LEARNING IN STUDYING ARABIC AS A FOREIGN LANGUAGE

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(Independent research article)

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## Abstract

Using translation in foreign language teaching has been a rather controversial topic in recent times. While translation was generally accepted as a regular teaching method up to the 18<sup>th</sup> century, the trend slowly reversed to a merely monolingual approach during the 19<sup>th</sup> century. In the last two decades, however, the bilingual approach is again given more attention and possibilities of combination are increasingly being discussed.

This paper aims at demonstrating how integrating translation into L2 learning by the example of Arabic can help learners to better learn the language, master its particularities and grasp a better understanding of the language right from the beginning, especially when it comes to syntax, grammar, and phraseology. For autonomous learning, relevant motivation theories in teaching and learning are highlighted and a strategy in order to benefit from translation in self-learning is being suggested.

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**Keywords:** Arabic, autonomous learning, pedagogical translation, second language acquisition, SLA

## Introduction:

### Growing Demand of Arabic Language Speakers

The number of students studying Arabic as a foreign language has been dramatically increasing during the last decade throughout the entire world. Alone in the United States for example, the interest in the Arabic language has been shooting up since 9/11. According to the Modern Language Association of America, the current number of qualified instructors can hardly satisfy the demand for courses. The only other language that might be experiencing an as magnificent growth in popularity is Chinese (Yahalom, 2007). Middle Eastern study-abroad programs have become the fastest growing exchange program for American college students and from 2006 to 2007 the number of American students studying in Arab countries rose by about sixty percent (Conlin, 2010).

This development is not astounding, regarding that Arabic is the most widely spoken language in the world with a steadily growing population of about three hundred million native speakers (Procházka, 2006). Arabic is thus to be considered an international language and certainly one of the most important and influential ones. With the Middle East having a total G.D.P. of 600 billion US-Dollars and more and more foreign companies investing in that part of the world, Arabic learners hope for better career opportunities in the future, whether they desire to work in trade, international relations, journalism, linguistics, anthropology, history, or for one of the numerous NGOs or peace-keeping organizations located in this area (Conlin, 2010). Another reason to learn Arabic is quite evidently driven by religious motivation: the desire to be able to understand the language of the Quran.

Educational institutions have since long recognized the need for Arabic language education and many universities worldwide offer full-pledged Arabic language programs. Most recently even a US-American public elementary school - Hamilton Heights in

Manhattan, New York - amended its study plan by Arabic language courses for its second to fifth graders. Having identified Arabic as a critical-need language for the students' future careers, Arabic will become a school requirement in September this year (Ford, 2012).

### **Modern Standard Arabic and its Difficulties**

Arabic is a diglossic language. Beside a standard written variant – the so called Modern Standard Arabic (MSA), a form of “Fusha” – many different regional forms of a colloquial Arabic exist throughout the countries where Arabic is spoken. These dialects constitute the everyday language of a specific country or region and can differ from one another considerably. Modern Standard Arabic is the variant of the language that is understood in all Arab countries and used in newspapers, radio and television, speeches and formal occasions. Thus, MSA is the form that is usually taught in class to foreign learners (Fakhri, 1995) and is also taken as the basis for the present paper.

With this diglossia and other linguistic aspects, Arabic is considered to be one of the most difficult languages in the world and ranks level 3 in the US-State Department categorization of languages – the highest level of the difficulty on a scale from 1 to 3 – along with Japanese, Chinese, and Korean. It is hence the only Semitic language rated at this level of difficulty.

Mastering the non-roman script of the Arabic language, which is written from right to left, along with other orthographical difficulties (e.g. only long vowels are written, whereas short vowels usually remain invisible) can be accomplished within a relatively short period of training. A by far greater challenge is the vocabulary learning. As Arabic has few cognates with English and other Indo-European languages, it takes time to internalize new words – especially at the beginning of the learning process. The structural and conceptual particularities of the language are another aspect learners have to struggle with (Ryding, 2003). This includes broken plural forms for nouns and adjectives, the existence of a “dual”, the highly different syntax and other grammatical phenomena.

### **Purpose of this Paper**

This paper aims at taking up the topic of using translation in teaching and learning. It takes Arabic – a Semitic language which is commonly considered to be one of the most complex living languages to learn – as example to demonstrate how translation can help foreign students to better learn the language, master its particularities and grasp a better understanding of the language right from the beginning, especially when it comes to sentence structure, grammar, and phraseology. For this purpose, the most relevant theories relating to the use of translation and the learners' first language (L1) in teaching a second language (L2) will be opposed to tenets supporting merely the use of the target language.

Recent examples of practical research carried out in different Middle Eastern countries concerning translation, the use of L1 and transfer errors made by Arab students studying English will be provided.

Therefore, a certain basic knowledge of the Arabic language is being presumed, as well as the reader's familiarity with the Arabic writing system.

As this paper suggests translation as a means of self-study, factors of motivation in teaching and learning will be outlined. Cognitive skills required to make use of translation exercises in foreign language learning will be discussed. The paper then concludes by suggesting a strategy of how translation can be incorporated in an autonomous learning process.

## **Translation in Second Language Acquisition**

The use of translation and L1 in Second Language Acquisition (SLA) has been a matter of controversial debate in more recent decades. The approach of applying translation as an integral part in L2 teaching is still not uniformly adopted nor rejected. Both proponent and opponent theories have their strengths and both can find their place in SLA. Compared to other fields in the area of Applied Linguistics, relatively little research has been done as far as the use of L1 with regard to focused translation is useful to support, improve and accelerate the acquisition process of the second language to be learned.

However, many aspects may play a role when deciding whether to use translation within SLA and may determine upon the benefit that can be drawn from translation exercises: native and foreign language are of course main aspects, further on age, educational and intellectual background as well as previous experiences in acquiring a foreign language and in translation. Finally, method, quality, and quantity of the translation exercises used for L2 learning are crucial and might decide upon success or failure.

## **The Monolingual Approach**

Throughout history, the tenets of using L1 in teaching L2 have been underlying a periodic change (Auerbach, 1999). Several hundred years ago, bilingual teaching, including translation, was the standard method used in foreign language teaching and was almost universally accepted. The method that was most largely used at that time is known as the Grammar Translation Method. The Grammar Translation Method has been harshly criticized by proponents of the monolingual approach, as it uses decontextualized artificial example sentences which are translated almost word for word into native or target language, mainly focusing on grammatical phenomena and lexical items. Hence, the main points of criticism aims at the out-of-context approach of this method and the merely written form hindering a situationalized realistic acquisition of the language and its communicative use (Vermes, 2010).

However, in the 19<sup>th</sup> century, the trend slowly started to reverse towards a monolingual approach, that was further reinforced during the 20<sup>th</sup> century and eventually completely banned translation as a teaching and learning method. The reasons for this trend reversion lay partly in the shift from the former emphasis on the written word to the emphasis on the spoken word in more recent decades. Colonialism and mass migration of people to other countries contributed their part to the uprise of the monolingual approach, as learning now took place in environments with numerous first languages instead of one single one and L2 – which was mostly English - was considered superior over the learners' L1 (Hawks, 2001). Consequently, the monolingual approach also implies that the native teacher is the ideal teacher. On the other hand, the bilingual approach, which will be discussed in the subsequent paragraph, assumes that a teacher who masters the students' native language has more advantages over a monolingual one.

A main supporter of the monolingual approach is Krashen (1985), who forwards the argument that the amount of exposure to the target language stands in a direct relationship with the learners' proficiency in the L2. Krashen postulates that a lesson should be held in L2 only or as much as possible in L2 and suggests that the reason why learners are not always successful in acquiring an L2 is because they still have access to their L1 – either in class or outside of it. This approach comes along with the hypothesis that second language acquisition follows the same principles as first language acquisition (Phillipson, 1992) – a hypothesis that in return further strengthened the monolingual concept. The Direct Method (Harbord, 1992) and the Communicative Approach (Pennycook, 1994) then directed the general tenet towards the belief that the best way to learn a language was through authentic communication in L2, i.e. mainly oral interaction and little grammatical analysis. Bilingual education was considered to be unnatural and inefficient. Hence, also translation was banned as one of the bilingual

second language learning strategies. Pacek (2003), another communicative researcher, assumes that using L1 interferes with L2 learning, promotes an “error transference” and hinders the learning process. She concludes that translating from the native language into the second language and vice versa misguides learners to believe that there is always a direct equivalent in the respectively other language. Some researchers even go as far as to say that L2 should be the sole medium to be used in the acquisition process, for all purposes regardless of whether instructions, explanations of grammar or new words are concerned (Wringe, 1989).

### **The Bilingual Approach**

However, what the monolingual approach considers to be an obstacle to L2 acquisition – the error transfer concept – is viewed as an advantage in the bilingual approach. Supporters argue that SLA is always a conscious process, especially in case of adult learners, and that the targeted focus on the differences between two languages will reduce first language interference. Starting from this approach, the Contrastive Analysis Hypothesis (CAH) evolved in the 1960s. CAH concentrates on the differences and similarities between L1 and L2. A transfer from L1 to L2 is considered to be positive if the same structure exists in both languages. On the other hand, a transfer can lead to a production of incorrect language in L2 if a certain structure does not exist in L1 or is very different (Saville-Troike, 2006). Shiyab and Abdullateef (2001) point out that translation is immensely helpful when it comes to grammar and lexis. Stibbard (1998) refers to a learner’s first language as a “valuable resource” and considers translation to be the “fifth skill alongside the four other skills” of language learning (listening, speaking, reading and writing), which also helps develop communicative competence, oral fluency and the learner’s ability to use the L2 in a creative way. Creativity in this context refers to the possibility of expressing the same thing in the numerous different ways that every language offers, such as using paraphrases, different syntaxes, lexemes or synonyms.

Andermann (1998) adds that translation is a means to improve linguistic proficiency, to help understand L2 constructions and use them actively as well as to monitor and improve the comprehension of L2. This conforms to the translation monitor theory that this paper introduces and schematizes later on showing how translation is able to help learners figure out initial misunderstandings of L2 when translating into L1 and/or back into L2.

When the discussion touches the use of translation in lower levels, opponents tend to argue that translation is a rather difficult task and complex cognitive process, in which both linguistic and cultural phenomena need to be considered. However, translation as it is used in foreign language acquisition as a means of learning differs considerably from professional translation in its purpose and degree of difficulty. In compliance with my own experience in learning Arabic, I can only confirm that translation can be used right from the beginning and does not only help overcome linguistic difficulties that the beginning learner will face, but also contributes to internalize the cultural-specific use of the language. This personal observation is further strengthened by three additional arguments: as Harris (1978) states, *natural translation* is always there, which means that the learner automatically translates back into his L1 when learning a foreign language. Auerbach (1993) found that the exclusion of L1 can lead to a higher drop-out rate, and Burden (2000) reports that increasing the amount of L2, especially in case of struggling lower-level students, is likely to have a negative effect and add to the students’ frustration.

Another supportive theory for this approach comes from Deller and Rinvulcri (2002) stating that students learning a second bring along language – quite naturally – their native language and their cultural heritage which cannot be assumed away or ignored during the L2 learning process. Deller and Rinvulcri consider the mother tongue a powerful resource that can enhance L2 acquisition. Butzkamm (2003) adds another important point to the advantages

of using L1 in L2 acquisition by stressing that all newly-acquired foreign language items first of all have to sink roots in the mind before they can finally function independently of the speaker's first language.

According to my experience, this statement can only be confirmed, as establishing a direct connection between L1 and L2 helps gain a better command of the new language and more security in dealing with vocabulary, grammar, structure and expressions. This personal experience is once again strengthened by Prince (1996) stating that new L2 words are more effectively memorized when they are linked to their L1 equivalent and that the same can seemingly be applied to grammar and morphology.

Equivalency in this context, however, is not to be understood that there is always a 1:1 translation possible on a word- or sentence-level. On the contrary, translating rather illustrates that expressing the same sememe can sometimes differ considerably within two languages.

Considering these arguments and knowing that translation is an analytical process that requires a certain degree of cognitive skills as well as awareness about the language, one can conclude that translation is especially adequate and helpful for teenage to adult learners, who come "loaden" with their L1 and learn L2 in a rather conscious way. In compliance with that, Schäffner (1998) considers translation exercises beneficial in order to:

- improve verbal agility;
- expand students' vocabulary in L2;
- develop the style;
- improve the understanding of how languages work;
- consolidate L2 structures for active use;
- monitor and improve the comprehension of L2.

One can add that translation also helps to:

- avoid negative transfer by comparing between L1 and L2;
- understand the correct contextual use and subtleties of vocabulary;
- accelerate the internalization of L2 grammar and vocabulary;
- handle cultural linguistic differences and foster the correct use of idioms.

### **Practical Research into Arab Speakers learning English**

As it is the state of the art, not much research has so far been done into non-Arab speakers studying Arabic as a foreign language, which is perhaps due to the fact that Arabic is experiencing its boom in popularity in the Western world since the 2000s only. On the other hand, however, quite many recent studies into transfer errors and contrastive linguistics relating to Arab students learning English as well as the use of translation in the EFL classroom have been conducted in the Arab world during the past two decades. As a consequence of these studies, translation and contrastive linguistics are approaches which are being professionally implemented into EFL learning in Arab countries in order to enable students to achieve better and faster results in acquiring the language.

The following is a chronological selection of recent practical studies on translation and L1 interference in EFL carried out in different countries throughout the Middle East. The author of this paper cites bilingual examples given in the respective studies and sometimes supports them with personal examples in order to further illustrate the background of the research.

Abu-Jarad (1986) investigated the formation of relative clauses and the use of verb tenses of Palestinian students studying English at the Islamic University of Gaza. The findings show that the Palestinian learners transferred the aspectual system of their Palestinian Arabic to the English tense system. They used the English past and present tense to mark Palestinian perfective and imperfective aspects. However, his studies also revealed that 90% of the formed relative clauses were independent of the respective Palestinian Arabic structuring of a

relative clause. In this case, the negative transfer occurred only in the English tense system but not in the English syntax system.

Lakkis and Malak (2000) analyzed the transfer of Arabic prepositions to English and found both positive and negative transfer. They came to the conclusion that in particular an English teacher whose native language is Arabic is very beneficial for the learners as he can use his native language to point out similarities and differences in prepositional usage in the two languages.

Prepositional usage constitutes a problem for learners in almost all languages as each language has its particular prepositional nexus – and many times there are no rules or logical relations; the right prepositions just need to be memorized by the L2 learner. A contrastive comparison is especially useful to highlight such prepositional particularities where they differ considerably within two languages or even allow more than one option. The following examples given by the author of this paper shall illustrate some divergences in the locational and verbal prepositional usage in English and Arabic:

|                             |  |
|-----------------------------|--|
| في المطار                   | <b>at</b> the airport<br>[literally: <b>in</b> the airport]  |
| في الطائرة / في الباص       | <b>on</b> the airplane / <b>on</b> the bus<br>[literally: <b>in</b> the airplane / <b>in</b> the bus]        |
| هذا المكان بعيد عن الجامعة. | This place is far <b>from</b> the university.<br>[literally: This place is far <b>about the</b> university.] |
| هذا المكان قريب من الجامعة. | This place is close <b>to</b> the university.<br>[This place is close <b>from the</b> university.]           |
| أنا أبحث عن ساعتني.         | I'm looking <b>for</b> my watch.<br>[literally: I'm looking <b>about</b> my watch.]                          |
| 1. أنا وصلت إلى الرياض أمس. | I arrived in Riyadh yesterday.   |
| 2. أنا وصلت الرياض أمس.     | [literally: I arrived <b>to</b> Riyadh yesterday.]<br>[literally: I arrived <b>Ø</b> Riyadh yesterday.]      |

Few studies touch on idiomatic expressions as a source of transfer errors for students studying English as a foreign language. One reason for that small number of studies dealing with the translation of idioms might be the fact that students need to have reached an advanced level of proficiency in the foreign language before they can fully understand and correctly produce idiomatic speech. Mahmoud (2002) is one of these few researchers who investigated the influence of the native language when transferring idiomatic expressions from Arabic into English. He found that out of the total of idioms used only 20% were grammatically, lexically and contextually correct.

As Arabic is rich in idioms, figurative and religious expressions, which are widely used throughout every day communication, too. Therefore, it is recommended to train the understanding and production of such idiomatic expressions right from the start of the language learning process. In the following sections, the author of this paper wants to draw on a few idiomatic examples commonly found in daily life:

The standard expression, for instance, to wish a “bon appétit” before a meal or to express “blessings” when somebody has sneezed or coughed is “صحة” (health). Instead of replying with a simple “thank you” (“شكراً”) the usual response in this case is “قلبك على” – literally: “upon your heart”. This saying is rooted in the common belief that the heart shortly stops beating when someone sneezes or coughs and is therefore to be understood as a greeting to the person whose heart has just ‘come back to life’.

Likewise, when an Arab speaker of any age is being asked about his well-being when being greeted by a person, his instantaneous and sometimes sole reply to the question would

be “praise Allah”. This use of religious idiomatic speech is not only typical for Muslim Arab speakers, as one might think, Christian Arab speakers, for instance, would refer to the same expression as they also refer to the Christian God as the ONE God – إله.

كيف حالك؟ - الحمد لله.

How are you? – Praise Allah.

Or let us assume a situation where a person learns from another person, his friend is sick and has just gotten to hospital. While the English speaker in this case would say something like “I hope he is going to be better soon”, an Arab speaker would most certainly include God (“Allah”) in his well-wishing, e.g.:

شفاه الله / الله يشفيه.

May Allah heal him.

Bataineh (2005) researched into errors occurring with indefinite articles made by Jordanian undergraduate EFL students and discovered that ungrammatical structures were produced due to the differences between English and the students’ L1 Arabic. She further explains that “the fact that Arabic does not have a distinct marker for indefiniteness the way English does is probably the cause of learners’ deviation from the target language rule” (11). The following examples further illustrate this phenomenon:

قلم

can mean both: "pen" or "a pen"

كتاب

likewise: "book" or "a book"

In case of compound nouns, Arabic uses an article on the second word component only to make it definite, while the article is completely omitted in case of indefiniteness:

Indefinite:

غرفة نوم

(a) bedroom

فرشاة أسنان

(a) toothbrush

Definite:

غرفة النوم

the bedroom

فرشاة الأسنان

the toothbrush

This construction is, however, also a common source of clerical mistakes as it might tempt L2 Arabic learners to use the definite article on both compound words. And this even more due to the fact that definite noun-adjective constructions indeed have articles on both compounds such as:

القلم الأحمر

**the** red pen

الكتاب الجديد

**the** new book

Looking at learners with an advanced level of L2 competence, Raddawi (2005) reports about an experiment she conducted with colleagues at the American University of Sharjah (UAE), which aimed at testing a new software program using translation for medical doctors to help them acquire medical terminology and phraseological collocations in L2. The software works with continuous and repetitive translation from L1 into L2 and has already achieved satisfying results among the participating doctors.

On a lower proficiency level, Raddawi likewise reports about experiments using translation in EFL, which led to a success rate of up to 80% in error avoidance compared to the reference group. In these experiments, students were given statements in L1 and asked to translate them into L2 and vice versa. Raddawi observed that this method was beneficial especially when it comes to syntax, morphology, vocabulary, and figures of speech. Following the experiments, she also comes to the conclusion that “the ‘shift’ to thinking and writing in L2 does not occur automatically over a certain period of time but needs hard work and drilling in L1 vs. L2 translations” (4). The following examples shall elucidate the benefits of the translation method:

Giving an example for syntax, the Arabic language usually does not make use of the auxiliary verbs *to have* and *to be* in present tense. Therefore, Arab learners tend to omit these verbs in English sentences, a result of negative transfer.

For instance, instead of saying *I am ten years old*, lower level Arab speakers tend to say *I ten years old* or *I have ten years old*, an error obviously due to the Arabic syntax:

سني عشر سنوات

[literally: My age ten years.]

The same applies to a sentence like *My name is John*, often erroneously rendered as *My name John* by Arab learners.

اسمي جون.

[literally: My name John.]

One of the morphological differences between Arabic and English is that the English language knows a perfect and a progressive present and past tense, whereas Arabic uses only the present or past. Raddawi brings in that the Arabic sentence *يأكل جون الفاصولياء والرز* can in English both mean “John eats beans with rice” and “John is eating beans with rice”. Another interesting aspect that is revealed by contrasting the two sentences is the definiteness of both nouns in the Arabic statement as well as the use of the word “and” (و) instead of “with” as it is used in the English sentence.

As part of her practical work, Raddawi makes use of the following type of translation exercises to clarify the use of tenses to Arab learners:

يأكل جون الفاصولياء والرز.

John is eating beans with rice. (*Simple Present Progressive = action currently taking place*)

يأكل جون الفاصولياء والرز على الغداء.

John eats beans with rice for lunch.  
(*Simple Present = habit / recurring action*)

أكل جون الفاصولياء والرز من قبل.

John has eaten beans with rice before.  
(*Simple Perfect = result of action the past still important in the future*)

أكل جون الفاصولياء والرز على الغداء.

John ate beans with rice for lunch.  
(*Simple Past = action finished in the past*)

Translation is equally useful in case of all other simple and progressive tenses, such as future simple and progressive, and to show the difference between the present perfect and the present perfect progressive:

سيعمل جون على أطروحته غداً.

John will work on his thesis tomorrow.  
(*Future Simple = intended future action*)

سيعمل جون على أطروحته, الشهرين

John will be working on his thesis for the next two months. (*Future Progressive = action in progress at a time in the future*)

عمل جون على أطروحته منذ الأسبوع الماضي.

John has been working on his thesis since last week. (*Present Perfect Progressive = action starting in the past and still ongoing in the present*)

In the above given examples, the variants of English present and progressive tenses clearly outnumber the availability of directly corresponding forms in Arabic, in expressing different aspects in the past, however, the Semitic language has its inherent ways, which do thus not exist in English:

صلى محمود كل ليلة ركعتين نافلتين.

Mahmoud praid two voluntary Rakaat prayers every night.

(= *general action in the past*)

كان محمود يصلي كل ليلة ركعتين نافلتين.

Mahmoud was praying two voluntary Rakaat prayers every night.

(= *action in the past emphasizing its continuity*)

يصلي محمود كل ليلة ركعتين نافلتين.

Mahmoud has been praying two voluntary Rakaat prayers every night [... *is still doing so and will be doing so in the future.*]



(= *action started in the past continuing in the present and intended to be pursued in the future*)

While the first two examples might be easy to apprehend for a foreign learner, the last construction requires particular attention. Although the sentence is written in present tense, it implies that the action has started in the past, is going on in the present and intended to be continued on in the future.

Another aspect mentioned by Raddawi where translation into L1 is very beneficial to learners is when it comes to imparting the meaning of figures of speech resp. idioms in L2. The first group of idioms that can be easily acquired through translation are idioms that pertain to the same semantic field in L1 and L2 and have the same word form:

|               |             |
|---------------|-------------|
| كذبة بيضاء    | white lie   |
| لائحة سوداء   | black list  |
| حبة دواء مرّة | bitter pill |
| ضوء أخضر      | green light |

The second group of idioms, where translation is equally helpful but which are comparably harder to learn, are idioms that do not pertain to the same semantic field. Not only is it challenging for L2 learners to grasp the exact meaning of the idiom but also to avoid mistakes relating to syntax, order of words or punctuation as a result of L1 interference.

هذا الشبل من ذلك الأسد.

Like father, like son.

[literally: This lion cub from that lion.]

While not only the way of expression differs in the two languages, punctuation and the absence of the verb might be possible sources of errors here for L2 learners of both languages.

Other examples are:

انتظر بفارغ الصبر.

He waited on needles and pins. (*≈ he waited impatiently or nervously*)

[literally: He waited with empty patience.]

انقلب السحر على الساحر.

He dug his own grave. (*≈ his evil turned against him*)

[literally: The magic turned against the magician.]

Special attention needs to be paid when certain idioms are relatively similar in both languages but not completely identical.

ابن مبارك

born yesterday (*≈ somebody inexperienced, incompetent*)

[literally: son of yesterday]

إيدي وأيدك

hand in hand

[literally: my hand and your hand]

Altakhaineh (2010) raises again – like Raddawi further above – the issue of Arab students often omitting the verb “to be” in English sentences, as the Arab language rarely uses it in present tense. In this case, the Arab learner wrongly applies his L1 structure to English resulting in the production of incorrect L2 output:

هذا الكتاب لي.

This book is mine.

[literally: This book for me.]

As a counterexample where transfer can result in correct L2 production, Altakhaineh mentions the position of object pronouns, which both in English and Arabic are placed after the verb:

هو يعرفني.

He knows me.

While the position of the object pronouns is quite unproblematic for learners of both the Arabic and English language, it might constitute a problem for native speakers of French learning Arabic and vice versa, as for instance in French the object pronoun precedes the verb:

Il **me** connaît.

[literally: He **me** knows.]

Further on, Altakhaineh draws the attention to a lexical difference likely to be a pitfall for Arab students: the Arab language does not distinguish between the modal verbs “to want” and “to need”, thus Arab students have difficulties understanding their role in a sentence and beginners avoid using more complex constructions such as “could I have...?” or “I would like...”.

When going to a library, the English speaker would probably politely say “I would like to have this book” when talking to the librarian, instead of “I want this book”, which sounds much more impolite in English. Acceptable would be also to say “I need this book”, expressing more a *necessity* or *urgency* of having this book instead the *desire* to have it. However, Arabic can cover all these options with the same expression, which doesn't distinguish between urgency and wish or between a higher or lower degree of politeness: “من أريد هذا الكتاب فضلك”.

### **Motivational and Cognitive Factors**

As this paper does not only talk about translation as a means of learning but also as a means of self-study, let us shed some light on the principles of what is also called autonomous learning, particularly with regard to acquiring a foreign language.

### **Self-Learning**

Self-learning is part and parcel of modern learning theory. It is based on humanistic and cognitive psychology and a great topic of interest in current applied linguistics research. Just as any other learner ability, learner autonomy is also considered a skill that can be acquired. Beside defining learning goals and a learning plan, it requires appropriate learning methods that allow the autonomous learner to monitor and evaluate the learning process (Johnson, 2002).

The main psychological component required for self-learning is – quite naturally – motivation. Motivation is the initial force to start learning and the long-time factor to keep up the learning process.

But what is the driving force to keep your motivation alive over a mid- and long-term period of learning? We all know the answer to this question: success. Visible and measurable success, immediate and long-term positive results that consistently re-nourish your motivation.

### **Motivation in Second Language Acquisition**

Numerous studies have been investigating the issue of motivation in the field of teaching and learning a second language. Two motivation types are being distinguished – *intrinsic* and *extrinsic* motivation, whereof intrinsic motivation is defined as the motivation that arises within the individual and is driven by interest and enjoyment and is therefore considered the more important element in persistent and efficient autonomous learning. Extrinsic motivation, on the other hand, is driven by outside factors such as rewards like grades, money and esteem, or threat of punishment.

Lepper and Hodell (1989) suggest that intrinsic motivation is based on the following four main factors: challenge, curiosity, control and fantasy.

In accordance with that, Vockell (2001) assumes that learners get intrinsically motivated through challenge if the following conditions are fulfilled:

- (a) the learners themselves set and try to achieve clearly defined goals;
- (b) the goals are neither extremely hard nor extremely easy;
- (c) learners receive constructive and encouraging feedback about their progress, and
- (d) learners feel confident and competent after completion of the task.

Another component Vockell points out to be essential to fuel motivation is a certain degree of control over the learning activities from the side of the learner. Understanding the relevance of the learning activities and the ability to freely choose them will endow the learner with a stronger sense of being in control.

Basically, translation as a pedagogical means is perfectly able to satisfy these points. Especially when used as a method of self-study, it endows the learner with the greatest possible amount of freedom and control over his own learning process.

### **Pedagogical translation – do I need special skills to translate?**

Professional translation is a competence which has been acquired through a developmental process and which is possessed by professional translators. However, it is not controversial in translation theory that every individual has an innate predisposition to translate. The difference between professional translation and non-professional translation, namely translation as a means of foreign language teaching and learning, is that the so-called non-professional pedagogical translation is mainly sign-oriented while professional translation is mainly sense-oriented. Sign-oriented refers to a rather literal translation, though not a word-for-word translation, while sense-oriented describes a rather free and adaptive translation, whose main goal is to replicate the contents and function of a source text in another language.

The reason why L2 learners translate mainly sign-oriented is because this allows them to keep the cognitive load low, in particular at the beginning of the L2 acquisition process. Sign-oriented translation is a much easier mental process than sense-oriented translation, which is more abstract and therefore requires a much higher level of cognitive processing (Krings, 1986). As a baseline, professional translation focuses on the content of language and linguistic problems are of subordinate importance. Pedagogical translation, in contrast, focuses on the language itself (Gile, 1995). The main purpose of pedagogical translation is to recognize similarities and dissimilarities between the foreign language and the learner's mother tongue, to get used to different L2 sentence structures and expressions, to be able to understand L2 content and to produce correct output in L2 as well as to learn and revise vocabulary. Klaudy (2003) considers pedagogical translation as an instrument to improve the learner's proficiency in the foreign language, to raise consciousness, practice the language or test the acquired language skills. Hence, the goal of pedagogical translation is to improve language proficiency with the text translated as the tool to do so, while in professional translation the translated text is the goal of the process. With that in mind, a mainly sign-oriented approach in pedagogical translation can be considered sufficient, in particular in the lower levels.

As already mentioned earlier in this essay, Harris and Sherwood (1978) use to speak of a "natural translation" which is "done by bilinguals in everyday circumstances and without special training for it" (Harris 1977, 99). The authors believe that every bilingual possesses a third competence beside their linguistic competences in the two languages and that competence is the ability to translate between the two languages. According to Harris and Sherwood, this translation competence develops parallel to the bilingualism and increases with the development of the individual's command of the two languages. Lörcher (2003) speaks of "an innate rudimentary ability to mediate" between two languages and to realize elementary translations. This ability, that endows every human with basic translation skills, is made up of two universal skills of the human intellect: the ability of categorizing and the ability of comparing and differentiating. According to Lörcher, these two skills allow the individual to express sense and signs and their connections in different ways. Transferring this to language learning, every human is able to express the same content (sense) in different ways, referring to lexical, syntactical and grammatical constructions etc. (signs) in his mother tongue and to connect these sense and signs to a second language. Ringbom (1985) found that when learning a new L2, foreign learners make use of all previous knowledge they consider to

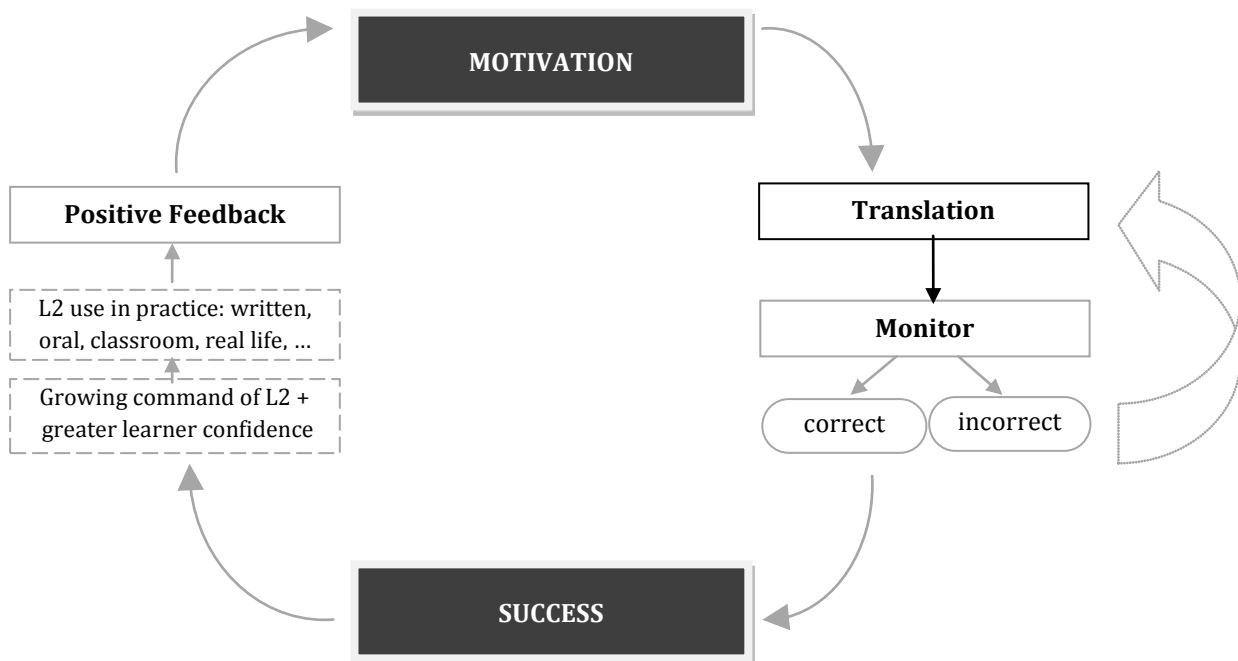
be relevant in order to acquire the new language more easily. This includes their previous knowledge about the L2 as well as the knowledge of their L1 and possible other foreign languages learned. When learning a foreign language, learners constantly filter and translate information through their L1 - a natural process that occurs automatically and cannot be stopped or avoided. In this form, translation can be considered as a rather unconscious process, because the learner is not focusing on the translation process deliberately. So even if the second language is entirely taught through the L2, learners are still using translation into their L1 as one cognitive process to decode the information.

Now that we have seen that mental translation is a naturally-occurring cognitive process, it seems to be rather useful to carry out this activity consciously and to teach the learners how to translate correctly in order to help them avoid translation mistakes, which happen naturally anyway even if translation is not used as a classroom activity.

### **Pedagogical Translation Model: Interdependence of Motivation and Success**

The author of this paper holds the view that translation being used in its pedagogical form in foreign language acquisition is a very effective method of study and self-study that can provide the learner with success, freedom and control over his learning activity, which is necessary to maintain motivation and keep alive the learning process, even throughout tedious phases of learning.

The following model is meant to illustrate how the translation process can be carried out in order to give the learner a high degree of freedom and control over his learning activity and how motivation and success can interfunction when using translation as a means of study:



### **Ill. 1: Interdependence model of motivation and success when using translation as a means of (self-)study in second language acquisition**

Let's assume a learner who wants to learn a foreign language. His starting point is – most ideally - motivation. During his learning process he uses translation as a means of study. One option is that the learner takes a source text in L2, that he has already worked on and which he is sure to understand, and translates this text into his mother tongue. While translating, the learner monitors his comprehension of the L2 text, might figure out initial slight misunderstandings of the source content and notice differences in the way of expressing

the same meaning in his L1. Also, the learner will become aware of the always multiple options his L1 offers him to render the corresponding L2 content; that is what was further above referred to as a creative way to use a language. As a matter of fact, new and old vocabulary is also being revised during that process.

An aid to get familiar with L2 peculiarities that differ from L1 in a way the beginning learner might not be able to handle them at this point, is to transfer the relevant part of a sentence (almost) literally or to make an insertion in parentheses in case of a highly divergent L1 structure as a mnemonic aid for the subsequent back-translation. This is for the sole purpose of helping the learner get used to such interlinguistic differences. Once they have been successfully internalized by the learner, this doesn't need to be done any more.

How this can look like in practice shall be illustrated by the following Arabic sentences, each exemplifying a construction which remarkably differs, for instance, from any Germanic, Romance or Slavonic language:

دخل المكتبة المدير ورجل آخر - لا أعرفه - قبل قليل.

Entered the library the director and another man - I don't know him - before shortly.

ذهبت إلى مكتب البريد لأخذ البرقية التي جاءتني من أبي.

I went to the post office to (for) take the telegraph which came (to) me from my father.

أرجو أن تشتري لي هذا الكتاب عندما تذهب إلى الهند في عطلة الصيف.

I ask that you buy for me this book when you go to India in the summer vacation.

ما هو الأمر الذي لم تفهمه في الدرس؟

What (is he) the issue which you didn't understand (him) in the lesson?

من المفارقات أيضاً، أن المعلم لم يكن يطلب أجراً على عمله في الماضي.

From the differences too, that the teacher didn't ask a compensation (on) his work in the past.

Back to the translation process: after having translated a certain text passage from L2 into L1, the learner leaves the translation aside for a while in order to later resume it and translate back into L2, which will be the more demanding and also the more efficient learning task. What might sound like an easy job to the non-expert reader, must not be underestimated. Most certainly, an L2 learner will never be able to re-translate the text entirely correctly. Errors in grammar, syntax, spelling, punctuation or due to not memorized vocabulary are most likely bound to occur. During this re-translation process, the learner will most importantly practice L2 syntax, grammar and expressions and thus considerably develop his style competences in the foreign language. The process will equally help accelerate the internalization of the L2 syntax structures, grammatical and expressional patterns. Again, vocabulary is being practiced and the brain is now trained to connect L1 and L2 equivalents in the respectively opposite direction.

As a third step, the learner counterchecks his translation against the source text. This step is referred to as "The Monitor" in the above illustration – a means endowing the learner with an easy way of self-control.

If the learner was able to express the content in L1 and to do this mostly correctly, the exercise constitutes an experience of success. In case of a mistake in his translation, the learner will figure out what kind of mistake he made (lexis, morphology, grammar, syntax, interference, etc.), contrast with his L1, note similarity or dissimilarity, translate again properly and memorize the correct version in order to avoid the mistake in the future. The second time the learner comes across an identical linguistic phenomenon, he will most likely be able to use the correct form.

Checking the translation against the source text and finding it correct produces an immediately visible success and awards the student with a sense of achievement, which in return will boost his motivation. A higher motivation will lead to more study, which will consequently lead to more success and thus the circle can go on and on. We can now assume that regular translation will endow the learner with a better proficiency in L2 and thus also strengthen his confidence when using the language in practice, may it be in written or oral form, in the classroom or in real life situations. As the learner is acquiring a good command of the language, he is likely to get positive feedback from his environment, which will once again add to his motivation.

As described above, translation is an easy-to-implement self-learning method that gives the learner the necessary autonomy concerning freedom of choice and control over the learning activity. Practice will allow the learner to become successful in decoding the system of the foreign language by his own, i.e. independently grasp syntax rules and grammatical phenomena typical of the L2. Translation constitutes a supplementary means of repetition and training in addition to the regular SLA exercises as well as a way of context-oriented revision of vocabulary, instead of bilingual vocabulary glossaries. Using texts which correspond to the respectively achieved language level of the learner allows to easily ensure a progression with the translation exercises.

### Conclusion:

With that said, we can now summarize and illustrate the pedagogical translation process as it can be used in foreign language classes as well as a means of self-study as a 3-step process, from which the learner can draw the following benefits:

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# WELL BEING AT WORK: WHAT MAKES A DIFFERENCE?

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## Abstract

The article analyses current research trends on psychological constructs related to well being at work. Right around the turn of the last century, the field of psychology began to place greater importance on investigation what contributes to human flourishing, however, positive approach is still developing, and evidence on relationship between positive constructs has not been grounded culturally yet. This paper presents some results of the survey (n=197) which was conducted in Lithuania. It aimed to identify psychological factors that were found to be related to well being at work: job satisfaction, organizational commitment, psychological capital, personality traits, constructive thinking. This study confirmed that job satisfaction, organizational commitment and positive psychological capital are related constructs, and this Lithuanian research complements the previous studies done in various countries. The study has also demonstrated some statistically significant relations between personality traits and constructive thinking in Lithuanian organizations.

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**Keywords:** Well being, psychological capital

## Introduction:

Although the importance of well being at work has been given attention through the years, only recently it has been proposed as a new standpoint for organizational behavior research (Cameron, Dutton, & Quinn, 2003; Luthans, Youssef, & Avolio, 2007.) For many decades researchers have been exploring the factors contributing to well being at work, but the results varied across the different cultures and economic systems (Suki, 2011). Recent research has revealed universal factors that can be applied to any given organizational and cultural context. This implies employees' psychological capital, organizational commitment, job satisfaction, and personality traits of leaders (Garg and Rastogi, 2009; Kumar and Giri, 2009; Narimawati, 2007; Tayyab, 2006; Meyer et al., 2008). These new trends are discussed in this article. The article also presents the results of research which aimed to study the relationship between leaders' personality traits and constructive thinking as well as the relationship between employees' organizational commitment, job satisfaction, and positive psychological capital in Lithuanian organizations (n=197).

### 1. Well being at work and psychological capital

Right around the turn of the last century, the field of psychology began to place greater importance on investigation what contributes to human flourishing (Seligman & Csikszentmihalyi, 2000; Sheldon & King, 2001; Snyder & Lopez, 2002). Drawn from the recent positive psychology movement (Peterson, 2006; Peterson & Seligman, 2004; Seligman & Csikszentmihalyi, 2000; Snyder & Lopez, 2002), the positive focus extended to the workplace by focusing on both the value of micro-oriented positivity in individuals as well as macro-oriented positivity in organizations (Luthans, Youssef, & Avolio, 2007; Nelson & Cooper, 2007; Wright, 2003; Cameron & Caza, 2004; Cameron, Dutton, & Quinn, 2003; Roberts, 2006; Spreitzer & Sonenshein, 2004). Positive organizational behavior for the first

time was defined as "the study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today's workplace" (Luthans, 2002). Moreover, a specific construct of psychological capital was introduced (Luthans, 2007). Psychological capital is conceptualized as an individual's positive psychological state of development that is characterized by: (1) having confidence (self-efficacy) to take on and put in the necessary effort to succeed at challenging tasks; (2) making a positive attribution (optimism) about succeeding now and in the future; (3) persevering toward goals and, when necessary, redirecting paths to goals (hope) in order to succeed; and (4) when beset by problems and adversity, sustaining and bouncing back and even beyond (resiliency) to attain success (Luthans, Youssef, et al., 2007, p. 3). Psychological capital is seen as a resource that goes beyond human capital (experience, knowledge, skills and abilities) and social capital (relationships, networks). It deals with "who you are here and now", and "who you can become" in the proximal future if your psychological resources are developed and nurtured in the workplace (Luthans, Luthans, & Luthans, 2004; Luthans & Youssef, 2004). In terms of measurement, a valid and reliable PsyCap questionnaire has been developed (Luthans, Youssef et al., 2007) and empirically validated (Luthans, Avolio et al., 2007). The items used in it were originally drawn from published validated scales commonly used in positive psychology. These individual scales have also been used in previous studies in the workplace (e.g., Peterson & Luthans, 2003, Luthans et al., 2005; Youssef & Luthans, 2007). Six items in this questionnaire represented each of the four components that make up PsyCap. These items were adapted for the workplace from the following standard scales: (1.) Hope (Snyder et al., 1996); (2.) Resilience (Wagnild & Young, 1993); (3.) Optimism (Scheier & Carver, 1985); and (4.) Efficacy (Parker, 1998). Therefore, PsyCap meets the criteria of valid measurement and being open to development, and a growing number of studies have clearly demonstrated that it has impact on desired outcomes in the workplace. For example, PsyCap was shown to be positively related to employee satisfaction (Luthans, Avolio, et al., 2007). There is also increasing evidence that PsyCap is significantly related to desired employee behaviors (and negatively to undesired behaviors), attitudes (e.g., satisfaction and commitment), and performance (Luthans, Avolio et al., 2007). Research studies evidently demonstrates the impact that PsyCap may have on satisfaction and/or commitment (Larson & Luthans, 2006; Luthans, Avolio et al., 2007; Luthans, Norman et al., 2008; Youssef & Luthans, 2007) and absenteeism (Avey, Patera, & West, 2006). Although PsyCap predominately focuses on positivity at the individual level, expanding research in the science and study institutions in the USA has also demonstrated positive relations between collective PsyCap and team performance (Clapp-Smith, Vogelgesang, & Avey, 2009; Peterson & Zhang, 2011; Walumbwa, Luthans, Avey, & Oke, 2011). There are at present in excess of 45 published PsyCap papers, and the emergence of the first meta-analysis is further evidence to the growth of PsyCap research (Avey, Reichard, et al., 2011). Some empirical research indicates that positive appraisals of life domains besides work (i.e., Relationship PsyCap and Health PsyCap) impact on employee's overall well-being (Luthans, Youssef, Sweetman, & Harms, 2010; Luthans & Harms, 2013). Furthermore, work-related positivity is viewed as antecedent not only for proximal work outcomes, but also for overall well-being over time (Avey, Luthans, Smith, & Palmer, 2010). A recent meta-analysis has provided further evidence of significant, positive relationships between PsyCap and job satisfaction, organizational commitment, organizational citizenship behaviors and job performance and negative relationships with turnover intent, cynicism, job stress and deviance (Avey, Reichard, Luthans, & Mhatre, 2011). Therefore, based on the theory building and research to date, we have hypothesized that there would be statistically significant relations between constructs of psychological capital and job satisfaction as well as organizational commitment in Lithuanian organizations.

## 2. Well being at work and personality traits of a leader

Contemporary leadership psychology acknowledges that some leaders are motivated by goals and values, but some are motivated by greed or big egos (Babiak, 2007). As Paul Babiak and Robert D. Hare, the authors of book *Snakes in Suits* (2007) states, there are some individuals who allow the responsibilities of leadership and the perks of power to override their moral sense. Moreover, their grandiose sense of self-importance leads them to believe that other people exist just to take care of them. Another characteristic is an ability to avoid taking responsibility for things that go wrong; instead, they blame others, circumstances, fate, and so forth. Sometimes they rely on coercion, abuse, humiliation, harassment, aggression, and fear to get their way. They are callous to almost everyone, intentionally finding reasons to engage in conflict, to attack others unfairly (in private and in public), and to be generally antagonistic. They lack any insight into their own behavior, and seem unwilling or unable to moderate it, even when it is to their own advantage. Does this kind of leadership gives added value to organizational effectiveness? Obviously, not. How personality traits of a leader affect employees' well being? Classical Peter Drucker's model of effective leadership does not involve coercing people, silencing individuals with fear, or utilizing humiliating tactics to carry out orders (Maciariello, 2011, p. 246). Peter Drucker says that effective leadership is not 'making friends and influencing people'; effective leaders lead followers with dignity and inspire them toward achievement (Drucker, 2008, p. 288). The model of 'servant leadership', proposed by Robert Greenleaf (1970) involves providing subordinates with a considerable degree of freedom based on trust and respect. Jim Collins proposed idea of 'great leaders', who possesses the quality of humility (Collins, 2001). Therefore, based on the theory building and research to date on personality traits and the related constructs we have hypothesized that there would be statistically significant differences in personality traits of leaders in Lithuanian organizations, however, the results may vary depending on other respondents' characteristics.

### Methods

This study used a test design utilizing a heterogeneous random sample of 197 working adults (leaders of various levels) representing a wide cross-section of Lithuanian organizations. Participants were sent an e-mail by the researchers or personally asked to participate in the study. The subjects of the study were 89 men and 108 women. Additional demographics of the sample included a mean age of 38.9 years and average job tenure of 6 years. The majority of the participants had bachelor degree or higher (68.6 %). The measures used in this study included: Job Satisfaction Survey (to assess personal job satisfaction, Spector, 1985), Organizational Commitment Questionnaire (to assess organizational commitment, Mowday et al., 2000), Psychological Capital Questionnaire (to assess positive psychological capital, Luthans et al., 2007), NEO-Five Factor Inventory (to measure neuroticism, extraversion, and openness to experience, agreeableness, and conscientiousness, Costa & McCrae, 1990), Constructive Thinking Inventory, CTI (to assess constructive and destructive beliefs and thinking patterns, Epstein, 1993). CTI predicts a variety of desirable abilities/states, that are either unrelated or only very weakly related to intellectual intelligence, including work performance, social skills, and emotional and physical well-being. All responses for the questionnaires were anchored on a 5-point Likert scale: 1 - *strongly disagree*, 2 - *disagree*, 3 - *not sure*, 4 - *agree*, 5 - *strongly agree*. Each questionnaire demonstrated acceptable reliability in this study: Job Satisfaction *Cronbach*  $\alpha$  =0,92, Organizational Commitment *Cronbach*  $\alpha$  =0,90, Psychological Capital *Cronbach*  $\alpha$  = 0,86. Reliability of NEO-FFI and CTI are shown in Table 1.

Table 1. Reliability of NEO-FFI and CTI in the Lithuanian study

| Scales                              | Crobach Alpha |
|-------------------------------------|---------------|
| <b>NEO-FFI</b>                      |               |
| <i>Neuroticism</i>                  | 0,796         |
| <i>Openness to experience</i>       | 0,753         |
| <i>Extraversion</i>                 | 0,697         |
| <i>Agreeableness</i>                | 0,718         |
| <i>Conscientiousness</i>            | 0,785         |
| <b>CTI</b>                          |               |
| <i>Global constructive thinking</i> | 0,835         |

## Results

Given the focus of the study, correlation analysis was determined to be the appropriate statistical technique. The results demonstrated statistically significant strong relationship between organizational commitment and job satisfaction ( $r=0,76$ ,  $p<0,01$ ), psychological capital and job satisfaction ( $r=0,47$ ,  $p<0,01$ ), psychological capital and organizational commitment ( $r=0,52$ ,  $p<0,01$ ).

In order to determine the relationship between organizational commitment and psychological capital (dependent variable was job satisfaction), we used linear regression analysis procedure (Enter model). The results of regression analysis are presented in Table 2.

Table 2. Linear regression analysis of organizational commitment and psychological capital in Lithuanian organizations

| Components of the model          | R    | R <sup>2</sup> | p    | Non Standardize d coefficients | Standardized coefficients | t    | p    | Multicollinearity |      |
|----------------------------------|------|----------------|------|--------------------------------|---------------------------|------|------|-------------------|------|
|                                  |      |                |      | B                              | $\beta$                   |      |      | Tolerance         | VIF  |
| <b>Constanta</b>                 | 0,77 | 0,59           | 0,00 | 8,46                           | –                         | 0,62 | 0,54 | –                 | –    |
| <b>Organizational Commitment</b> |      |                |      | 1,82                           | 0,71                      | 8,99 | 0,00 | 0,73              | 1,38 |
| <b>Psychological Capital</b>     |      |                |      | 0,19                           | 0,09                      | 1,14 | 0,26 | 0,73              | 1,38 |

Note. Dependent variable: job satisfaction;  $p < 0,01$ ;  $VIF < 4$ ;  $Tolerance > 0,25$ .

As it can be seen in Table 2, the regression is statistically significant ( $p = 0,00$ ), and coefficient of *Pearson* shows strong relationship of variables ( $R = 0,77$ ). Coefficient of regression analysis explains that in linear regression model the relationship found between dependent and independent variables is stronger than medium ( $R^2 = 0,59$ ). Linear regression analysis focus on dependent and independent variables in regard to job satisfaction and organizational ( $\beta = 0,71$ ;  $p = 0,00$ ). Therefore, this linear regression analysis implies that the higher organizational commitment leads to higher job satisfaction ( $t = 8,99$ ;  $p = 0,00$ ).

In order to determine the relationship between job satisfaction and psychological capital (dependent variable was organizational commitment), we also used linear regression analysis procedure (Enter model). The results of regression analysis are presented in Table 3.

Table 3. Linear regression analysis of job satisfaction and psychological capital in Lithuanian organizations

| Components of the model      | R    | R <sup>2</sup> | p    | Non Standardize d coefficients | Standardize d coefficients | t    | p    | Multicollinearity |      |
|------------------------------|------|----------------|------|--------------------------------|----------------------------|------|------|-------------------|------|
|                              |      |                |      | B                              | $\beta$                    |      |      | Tolerance         | VIF  |
| <b>Constanta</b>             | 0,79 | 0,62           | 0,00 | 2,46                           | –                          | 0,47 | 0,64 | –                 | –    |
| <b>Job Satisfaction</b>      |      |                |      | 0,26                           | 0,03                       | 1,14 | 0,00 | 0,78              | 1,28 |
| <b>Psychological Capital</b> |      |                |      | 0,18                           | 0,06                       | 2,90 | 0,05 | 0,78              | 1,28 |

Note. Dependent variable: organizational commitment;  $p < 0,01$ ;  $VIF < 4$ ;  $Tolerance > 0,25$ .

As it can be seen in Table 3, the regression is statistically significant ( $p = 0,00$ ), and coefficient of *Pearson* shows strong relationship of variables ( $R = 0,79$ ). Coefficient of regression analysis explains that in linear regression model the relationship found between dependent and independent variables is stronger than medium ( $R^2 = 0,62$ ). This linear regression analysis ( $\beta = 0,71$ ;  $p = 0,00$ ) implies that the higher organizational commitment leads to higher job satisfaction ( $t = 8,99$ ;  $p = 0,00$ ). Coefficient of regression analysis demonstrates that dependent variable organizational commitment is statistically significantly related to independent variables: job satisfaction ( $\beta = 0,03$ ;  $p = 0,00$ ) and psychological capital ( $\beta = 0,06$ ;  $p = 0,05$ ). In regard to  $\beta$  coefficients, psychological capital is mostly related to organizational commitment. This implies that the rates of organizational commitment heightens in regard to the rates of job satisfaction ( $t = 1,14$ ;  $p = 0,00$ ) and psychological capital ( $t = 2,90$ ;  $p = 0,00$ ). To sum up, job satisfaction, organizational commitment and psychological capital are statistically significantly related in the group of respondents from different Lithuanian organizations.

As it is shown in Table 4, some statistically significant relationships were found between personality traits (NEO-FFI) and constructive thinking (CTI). Global constructive thinking was found to be statistically significantly negatively related to neuroticism ( $r = -0,668$ ,  $p = 0,000$ ), and statistically significantly positively related to extraversion, openness to experience, agreeableness, conscientiousness. As it can be observed, some other correlations between personality traits and thinking patterns were found.

Table 4. Relationship between personality traits (NEO-FFI) and constructive thinking (CTI), Pearson correlation

|                                     |   | <i>Neuroticism</i> | <i>Extraversion</i> | <i>Openness to experience</i> | <i>Agreeableness</i> | <i>Conscientiousness</i> |
|-------------------------------------|---|--------------------|---------------------|-------------------------------|----------------------|--------------------------|
| <i>Global constructive thinking</i> | r | -0,668             | 0,239               | 0,351                         | 0,121                | 0,024                    |
|                                     | p | <b>0,000</b>       | <b>0,014</b>        | <b>0,000</b>                  | 0,218                | 0,811                    |
| <i>Emotional coping</i>             | r | -0,625             | 0,208               | 0,321                         | 0,066                | -0,091                   |
|                                     | p | <b>0,000</b>       | <b>0,033</b>        | <b>0,001</b>                  | 0,503                | 0,358                    |
| <i>Behavioral coping</i>            | r | -0,602             | 0,443               | 0,397                         | 0,135                | 0,272                    |
|                                     | p | <b>0,000</b>       | <b>0,000</b>        | <b>0,000</b>                  | 0,169                | 0,005                    |
| <i>Superstitious thinking</i>       | r | 0,510              | -0,164              | -0,403                        | 0,055                | 0,147                    |
|                                     | p | <b>0,000</b>       | 0,095               | <b>0,000</b>                  | 0,579                | 0,135                    |
| <i>Esoteric thinking</i>            | r | 0,243              | 0,524               | 0,228                         | 0,079                | 0,006                    |
|                                     | p | <b>0,013</b>       | <b>0,000</b>        | <b>0,019</b>                  | 0,424                | 0,955                    |
| <i>Categorical thinking</i>         | r | 0,264              | 0,122               | -0,311                        | -0,372               | 0,195                    |
|                                     | p | <b>0,007</b>       | 0,215               | <b>0,001</b>                  | <b>0,000</b>         | <b>0,046</b>             |
| <i>Naive optimism</i>               | r | -0,113             | 0,585               | 0,253                         | -0,070               | 0,235                    |
|                                     | p | 0,249              | <b>0,000</b>        | <b>0,009</b>                  | 0,480                | <b>0,016</b>             |

As it can be seen in Table 5, Linear regression analysis of personality traits (NEO-FFI) and constructive thinking (CTI) showed that openness to experience, agreeableness, and conscientiousness can be important in predicting the global constructive thinking.

Table 5. Linear regression analysis of personality traits and constructive thinking of leaders in Lithuanian organizations (n=105)

| Components of the model       | Non Standartized coefficients |           | Standartized coefficients | t      | p            |
|-------------------------------|-------------------------------|-----------|---------------------------|--------|--------------|
|                               | Beta                          | Std. erot | Beta                      |        |              |
| Constanta                     | 153,700                       | 9,826     |                           | 15,643 | 0,000        |
| <i>Neuroticism</i>            | -0,942                        | 0,094     | -0,717                    | -9,972 | <b>0,000</b> |
| <i>Extraversion</i>           | 0,061                         | 0,122     | 0,043                     | 0,500  | 0,618        |
| <i>Openness to experience</i> | 0,257                         | 0,091     | 0,226                     | 2,836  | <b>0,006</b> |
| <i>Agreeableness</i>          | 0,077                         | 0,089     | 0,062                     | 0,863  | 0,390        |
| <i>Conscientiousness</i>      | -0,399                        | 0,109     | -0,297                    | -3,656 | <b>0,000</b> |

***Dependent variable: Global constructive thinking***

To sum up, the study revealed some statistically significant relations between personality traits and constructive thinking in various Lithuanian organizations. Moreover, it showed that openness to experience, agreeableness, and conscientiousness can be essential in prognosticating the global constructive thinking.

**Conclusion:**

This study confirmed that job satisfaction, organizational commitment and positive psychological capital are related constructs, and this Lithuanian research complements the previous studies done in various countries (Aydogdu, Asikgil, 2011; Avey et al., 2011; Gallato et al., 2012; Garg, Rastogi, 2009; Gomes, 2009; Fernando et al., 2007, cit. pagal Iqbal, 2012; Yucel, 2012; Kumar & Giri, 2009; Lumley et al., 2011; Luthans et al., 2007; Luthans et al., 2008c; Malik et al., 2010; Nagar, 2012; O'Reilly, Chatman, 1986; Salami, 2008; Seyal, Afzaal, 2013; Syauta et al., 2012; Spector, 1997b; Tayyab, 2006; Unal, 2012). It has also showed some statistically significant relations between personality traits and constructive thinking in Lithuanian organizations. It demonstrated that openness to experience, agreeableness, and conscientiousness can be essential in prognosticating the global constructive thinking. Nonetheless, supplementary research is needed to explore further the different factors contributing to well being at work, as it could have added value to practical applications in organizational settings.

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# PERSONALITY AND INFORMATION PROCESSING: A COMPUTER-ASSISTED TECHNIQUE OF PREDICTING AGENT'S ACTIVITY AND EMOTIONAL STABILITY

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## Abstract

A computer-based information-processing technique, simulating the process of information exchange between the “virtual pilots” and “flight controllers”, patented by the authors as a “Method of predicting the individual’s stability to failure stress” (patent of Ukraine №91842, 2010) has been empirically proved to be predictive of the individual’s agentic activity as well. The conclusion was made on a sample of 60 participants, split into 2 clusters (K-means algorithm), by comparing their personality characteristics and the modes of information processing. One of the cluster’s participants demonstrated the abilities to simultaneously attend to the two different perceptual activities (identifying “call-names” and processing the visually perceived information) and equally high levels of efficacy of performance of both activities. The members of another cluster concentrated on one of the activities, partially ignoring the instruction to identify call-names, which is claimed to be a sign of susceptibility to stress. The clusters with different modes of information processing appeared to differ statistically significantly by t-test: on their psychological well-being measures, the strategies and attributions preferred and coping strategies. Between-cluster differences are significant: on the key strategies and attribution scales: success-expectation scale ( $t=8,87$ ,  $p \leq .001$ ); the master-orientation scale ( $t=8,17$ ,  $p \leq .001$ ), and task-irrelevant behavior scale ( $t= - 8,99$ ,  $p \leq .001$ ); as well as on all the scales of psychological well-being and coping behavior. The results clearly suggest the conclusion about the validity of the technique for predicting both: the emotional stability and the agentic activity of the individual.

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**Keywords:** Agentic activity, emotional stability, information-processing, computer-based technique, personality characteristics

## Introduction

Personality traits have been reported to correlate with “a multitude of objective indices of information processing” (Matthews, G., 2008). As the above cited author points out, it was the pioneering psychological trait theorist, Hans Eysenk, who introduced experiments that

related traits to performance tasks requiring attention, memory and other cognitive functions. Since then personality researchers began to look for cognition qualities, such as locus of control and dispositional focus of attention as the aspects of personality assessment. Michael Eysenk (2001) reviewed studies relating extraversion to standard information-processing tasks, such as attention, memory, guided responses, motor skills, problem solving and strategy choice. In his later publications he with coauthors (Eysenck, M., Derakshan, N., 2011; Derakshan, N., Smyth, S., Eysenck, M., 2009) described new perspectives in attentional control theory and effects of state anxiety on performance using a task-switching paradigm.

Experimental psychologists provided new chronometric paradigms for studying vigilance as a distinguishing feature of introverts (Warm, J.S., Dember, W.N., Murphy, A.Z., Dittmar M.L., 1992; Warm J.S. & Dember W. N., 1998). Differences in the latencies of responses to the visually displayed images of social objects are ascribed to the implicit *prejudices* against those objects (Egloff, B., Schumkle, S., 2005). *Intensity of prejudices*, implicitly assessed by chronometric measures, is related, in its turn, to the positivity/ vs. negativity of the global traits (Nosenko, E., Tischenko V., 2010). Chronometric measures are also used in the implicit computer-based assessment of such personality constructs as self-concept, self-esteem, differences between the real and ideal selves (Asendorpf, J.B., Banse, R., & Mücke, D., 2002; Greenwald, A.G. & Banaji, M.R., 1995; Greenwald, A.G., Banaji, M.R. et al., 2002).

The authors of this paper (Nosenko, E., Kovriga, N., 2003) substantiated and empirically examined the validity of an information-processing approach to assessing the level of *emotional intelligence*, attained by the individual, which is based on evaluating the degree of impulsivity of the individual's responding to an emotionally-charged stimuli in terms of the latency of responses, measured in oral speech. An instantaneous response (generated on the sensory-perceptive level) with low latency of responding is considered to correspond to the lowest level of emotional intelligence. The response, mediated by thinking, i.e. having longer latency, corresponds to the intermediary level of emotional intelligence, whereas short latencies of responding to a class of the functionally equivalent situations are claimed to correspond to the highest level of emotional intelligence, at which responding to the emotionally-charged stimuli is exercised on the level of sets (convictions). The latter finding shows, though, that the meaning of the above described correlations between the information-processing measures and personality characteristics needs to be deeply investigated not only in the laboratories, but in the outcomes observed in the real-life settings. Moreover, correlations between traits and measures of information processing are generally of modest magnitude, unlike the intelligence measures.

### **The description of the method used in this research**

When planning the research, the empirical results of which are presented in this paper, we tried to stick to the major principles of the cognitive theory, in accordance with which a cognitive task performance not only depends on multiple mechanisms, but these mechanisms are also highly heterogeneous in nature.

The cognitive task, we used in this research, is described in our patent (Arshava, I., Nosenko, E., Khizha, O., 2010) and was investigated in our studies oriented toward predicting the proneness of the individual to a failure stress (Arshava, I., Nosenko E., 2008, 2010, 2013).

It was designed so as to simulate the process of information exchange between two interlocutors: a pilot and a flight controller. The individual, whose proneness to failure stress is assessed, is expected to perform simultaneously two interrelated cognitive tasks: 1) identifying the virtual interlocutor's "call name" and the "call name" assigned to him/her by clicking them in the appropriate menus or orally and 2) identifying the location of the figures, visually presented on the map (See Fig.1).

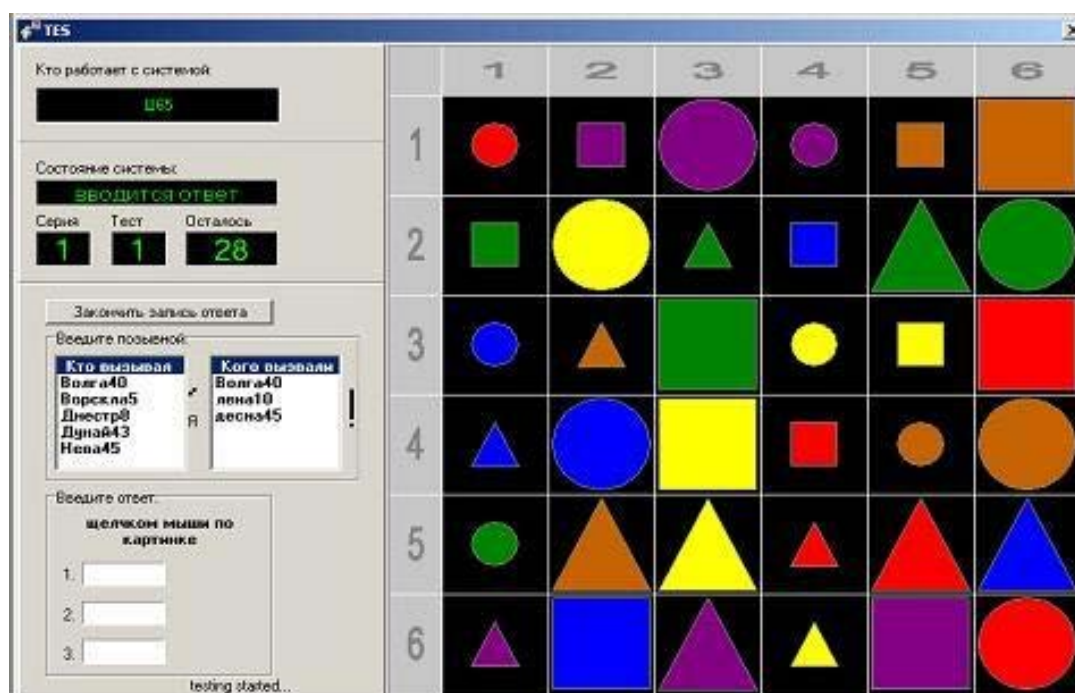


Fig. 1. Multi-colored geometrical figures of 3 different shapes, 2 sizes and 6 colors, presented to the subjects in the visual form. Note: In the left-hand side of the figure there are two menus to register the user's 'call names' and those of the virtual interlocutor.

When performing the first set of assignments (20 questions), the recipients had to process the amount of information which does not exceed the human short-term memory capacity. In the second set of assignments (20 questions) the amount of information to be processed is increased beyond the maximum short-term memory capacity which dooms the recipients to an unavoidable (or hardly controllable) failure, likely to elicit failure stress in the individuals susceptible to stress. In the third set of assignments (also containing 20 questions) the initial conditions of information presentation are renewed.

Susceptibility to failure stress is implicitly assessed on the basis of the statistically significant differences in the multidimensional cognitive behavior measures, characterizing the differences in the efficacy of information processing in the situations after failure and prior to it. The measures include three groups of parameters: 1) quantitative: efficacy of performance characteristics (number of correctly identified geometrical figures and call names); 2) modes of information processing chosen by the recipients in the course of the simultaneous enacting of the two interrelated types of activities: identifying the locations of the figures on a visually displayed map and reporting call names, the modes being intuitively-simultaneous (constructive) or reflective-consecutive (non-constructive) (Kuhl, J., Wassiljev, J., 1985); 3) hesitation phenomena in oral speech of the subjects are recorded during the oral exchange of information (latencies of responses, an average continuity of a speech utterance pronounced without hesitation pauses, (250 ms and longer) overall duration of performance and the like, earlier found out to signal an emotional tension of the speaker (Nosenko, E., 1981; Goldman-Eisler, F., 1967).

The above described approach to the design of the computer-simulated method of assessing stability vs. susceptibility to failure stress allows assessing the following aspects of self-regulative efficacy after experiencing an uncontrollable failure: 1) the degree of retention of the *structure of goals*, 2) *frustration tolerance*, and 3) the *degree of activity* manifested towards the achievement of the goals.

We observed in the course of testing the prognostic validity of the designed method that individuals demonstrated different patterns of behavior related to their goal-setting and goal-striving 1. Some of them retained the initial structure of the goals (prescribed by the

instruction in the initial set of assignments), and simultaneously attended to the both interrelated types of activities modeled, namely reported ‘call names’ and identified the figures on the visually displayed map. When fulfilling the second set of assignments, they quickly realized that the goals were unattainable and either abandoned them altogether or fulfilled the assignments partially. The unavoidable failure did not tell though on their performance efficacy in the *third series* of assignments. They managed even to increase the number of correctly answered questions in the third series of assignments or retained the original efficacy level, demonstrated in the first series of assignments.

Other individuals failed to equally distribute their attention between the two interrelated assignments and abandoned one of them either entirely or partially, demonstrating the so called reflective-consecutive mode of information processing (unlike the intuitive-simultaneous one displayed by the subjects who appeared more successful in their self-regulation efforts). After experiencing an unavoidable failure less efficacious subjects failed to cope with the assignments presented in the third serious and demonstrated a lower level of efficacy than that prior to failure, despite the fact that conditions for their fulfillment became favorable again. They continued to neglect one of the goals (reporting the call names) and concentrated their attention on the assignment they considered to be more significant the identification of the figures displayed on the map. This mode of self-regulative behavior signals *operational tension*. It was observed in the real-life stressful situations and was described in the literature on reactions of the astronauts to professional stress as indicative of the stress vulnerability (Beregovoy, G. G., Zhdanov, O. I., 1992).

The self-regulation patterns of this group of individuals were also characterized under failure-threat conditions either by the persistent attempts to cope with an unavoidable failure, manifested by the longer latencies of responses, or by the formal simulation of the external activity. Thus, observations on the level of individual cases showed differences in goal-setting behavior of the individuals, susceptible to stress, (abandoning one of the goals); frustration tolerance (reducing efficacy of performance after failure), setting different standards of activity toward achieving the goals (between-subject differences in the quantitative characteristics of performance under similar conditions).

### **Testing the validity of the method for predicting the agentic activity**

The major objective of this study was to examine the possibility of extending the prognostic potential of the patented technique as a means of predicting the *agentic activity* of the individuals, who fulfilled this test. We followed some of the assumptions of the methodology of modeling the behavior of the “social agents”, used in social sciences (Schmidt, B., 2000). We have chosen as potential measures of the *agentic activity* displayed in the course of the cognitive-task performance the following indices:

1) a maximum average numbers of the correctly identified „call names“ and „the figures“, displayed on the map, as predictive of the *achievement motivation* and *conscientiousness* of the individuals;

2) the degree of the continuity of maintaining *stability* of the efficacy characteristics of cognitive task performance (assessed in terms of the variations of the *latencies* of responses) as indicative of the *endurance* of the individuals;

3) the *asymmetry* in performance characteristics of the two interrelated tasks on different stages of the testing procedure, as indicative of the ability to *divide attention* between two interrelated tasks, interpreted as an index of *frustration tolerance*.

The above innumerated characteristics of the efficacy of the cognitive task performance are claimed (Ilyin, E. P., 2005) to be indicative of the professional efficiently of the individuals.

To verify the prognostic validity of the patented technique as a possible means of predicting the *agentic activity* a quasi-experimental research was carried out.

## Method

### Participants

There were several groups of participants: university undergraduates (55 persons); secondary school teachers (60 persons); air-flight controllers (55 persons).

To illustrate the results obtained we have chosen on the sample of participants – 60 secondary school teachers, aged 28 -50. The sample included 78.3 % (N=47) females and 21.7 % (N=13) males.

### Materials

#### *Coping Inventory for Stressful Situations (CISS)*

The Coping Inventory for Stressful Situations was used to measure the tendencies of the individuals to resort to the: *task* -, *emotion* -, and *avoidance-focused* coping strategies (Endler & Parker, 1999, adapted to the Ukrainian culture in 2004 by Krukova). The measure consists of 46 items to which subjects respond on a seven-point Likert scale ranging from 1 – “strongly disagree”, to 7 – “strongly agree”. The stem question requests that individuals rate how much they engage in each activity when they encounter difficult, stressful or upsetting situations. Sample items for the respective subscales include: task-oriented coping, “Think about how I solved similar problems”; emotion-oriented coping, “Blame myself for not knowing what to do”; and avoidance-oriented coping, “Watch TV; call a friend”. Reliability and validity estimates for the Ukrainian adaptation of CISS provide support for internal consistency of all the scales. Cronbach  $\alpha = .876$  for the whole inventory,  $\alpha = .853$  for the problem-focused coping;  $\alpha=.877$  for emotion-focused coping and  $\alpha=.814$  for the avoidance coping.

#### *NEO Five-Factor Inventory (NEO-FFI)*

NEO Five-Factor Inventory (Costa et al., 1992, adapted by V. Orel) is a 60-item inventory, comprising questionnaires for measuring the Big Five personality factors. Participants in our study rated 60 behavior-descriptive statements on 7-point Likert scales, ranging from 1 (strongly disagree) to 7 (strongly agree), indicating the degree to which they thought the items were characteristic of them. The NEO-FFI is one of the most widely used measurement tools of the Big Five and has very strong psychometric properties. Six-year test-retest reliability has ranges from .63 to .82. For the NEO FFI (the 60-domain-only version), the internal consistencies were: for neuroticism  $\alpha=.79$ ; extraversion  $\alpha=.79$ ; openness to the new experience  $\alpha=.68$ ; agreeableness  $\alpha =.75$ ; conscientiousness  $\alpha=.83$ . Adapted version Cronbach alphas reliabilities were reported as follows: E = .76, N = .63, O = .75, C=.73, A=.79.

#### *Psychological Well-Being (PWB)*

The multidimensional inventory of PWB (Ryff, C.,1989) is an 84-item scale which assesses the goal of reaching human potential and having a meaningful life. The scale includes six components: self-acceptance ( $\alpha = .77$ ), environmental mastery ( $\alpha = .80$ ), purpose in life ( $\alpha = .77$ ), positive relations with others ( $\alpha = .74$ ), personal growth ( $\alpha = .78$ ), and autonomy ( $\alpha = .87$ ). The subjects respond to the items on a seven-point Likert scale ranging from 1 – “strongly disagree” to 7 – “strongly agree”. Reliability and validity estimates for the Ukrainian adaptation of PWB (Karskanova S.V., 2011) support the internal consistency of all the scales with Cronbach’s alpha: .75 for self-acceptance; .73 for environmental mastery, .74 for purpose in life, .73 for positive relations with others, .74 for personal growth, and .78 for autonomy. These data demonstrate the adequacy of the Ukrainian translation.

#### *The Strategy and Attribution Questionnaire (SAQ)*

The Strategy and Attribution Questionnaire (SAQ) offered by Jari-Erik Nurmi, Katariina Salmela-Ago, Tarja Haavisto in 1995, is a 60-item self-report scale for measuring cognitive and attributional strategies which influence the extent to which people are successful in various situations. The statements form 10 scales: five for the *achievement*

situations (success expectations, task-irrelevant behavior, seeking social support, reflective thinking, master-orientation) and five for the situations of *affiliation* (success expectations, pessimism, avoidance, task-irrelevant behavior, master-orientation). They are responded on a 4-point scale with 1 - strongly disagree to 4 - strongly agree. The questionnaire was adapted in Ukraine by Dukhnevych, V.N. in 2000. The reliability of the internal consistency for the scales varies from 0.69 to 0.60.

## Procedure

The sample was split into 2 clusters (K-means algorithm) on their cognitive performance variables. Three measures were obtained: 1) number of correctly identified “figures”; 2) number of correctly identified “call names” and 3) asymmetry between correctly identified “figures” and “call names”, computed in percentage for each of the three series of the computer-based information processing assignments (each comprising 20 questions).

## Results

The participants’ data appeared to differ statistically significantly (by t-test) on the number of correctly identified “call names” and “figures” between the first and the third sets of assignments. The results of the second set of assignments were not compared, since they were designed to doom the participants of both clusters to failure by increasing the information load in them to exceed the short-term memory capacity (see table 1).

Table 1. Between-cluster (1st vs. 2nd) differences in performance characteristics

| Cognitive task performance variables in different series of assignments |          | Mean values |           | t-test  | Differences fit goodness by t-test (for independent samples) at: |
|---|----------|-------------|-----------|---------|--|
|   |          | Cluster 1   | Cluster 2 |         |  |
| „Call names“  | 1 series | 14.197      | 12.346    | 2.218   | .0317  |
|   | 3 series | 15.121      | 8.538     | 12.315  | .0001  |
| „Figures“   | 1 series | 14.977      | 12.058    | 3.087   | .0035  |
|   | 3 series | 15.576      | 13.846    | 2.097   | .0418  |
| Asymmetry (%)   | 1 series | 8.664       | 25.369    | -3.363  | .001   |
|   | 3 series | 5.618       | 44.778    | -21.833 | .0001  |

It is evident, that the participants of the first cluster correctly identified approximately 2/3 of the total number of assignments, whereas the participants of the second cluster had statistically significant differences in their cognitive-task performance efficacy. Their asymmetry measures also differed significantly (by t-test). The results suggest that the participants of the first cluster equally high goals to achieve efficacy in both interrelated cognitive activities, which can be claimed indicative of their higher achievement motivation and conscientiousness. Significant differences in the asymmetry characteristics can predict the higher level of frustration tolerance of the participants of the first cluster.

Table 2 presents the results which illustrate statistically-significant differences between the two clusters in their personality characteristics, claimed to be likely determinant of the cognitive performance differences.

As shown in Table 2, the participants of the “opposite” clusters, formed by the method of cluster analysis on the results of their cognitive performance indices, appeared to statistically significantly differ on *extraversion* ( $t = 3.170$ ,  $p < .01$ ); *conscientiousness* ( $t = 2.989$ ,  $p < .01$ ); *openness to a new experience* ( $t = 6.270$ ,  $p < .000$ ) and *neuroticism* ( $t = -6.46$ ,  $p < .000$ ).



Table 2. Explicitly assessed measures of the participants' personality characteristics

| List of Inventories and their scales         | Mean values |           | t value       | P       |
|--|-------------|-----------|---------------|---------|
|  | Cluster 1   | Cluster 2 |               |         |
| <b>Big Five</b>                              |             |           |               |         |
| extraversion                                 | 25.052      | 15.462    | <b>3.170</b>  | .002    |
| agreeableness                                | 26.636      | 26.936    | -0.080        | .936    |
| conscientiousness                            | 28.212      | 18.486    | <b>2.989</b>  | .0045   |
| neuroticism                                  | 14.714      | 25.692    | <b>-6.463</b> | .0001   |
| openness to a new experience                 | 28.517      | 20.872    | <b>6.170</b>  | .0001   |
| <b>CISS</b>                                  |             |           |               |         |
| Task-focused coping                          | 61.485      | 51.769    | <b>4.282</b>  | .0001   |
| Emotion-focused coping                       | 47.667      | 54.000    | <b>-2.272</b> | .028    |
| Avoidance coping                             | 41.848      | 51.538    | <b>-3.080</b> | .003    |
| <b>Psychological Well-Being</b>              |             |           |               |         |
| Self-acceptance                              | 60.060      | 51.154    | <b>4.211</b>  | .0001   |
| Positive Relations with others               | 62.606      | 61.692    | 0.324         | .747    |
| Autonomy                                     | 60.030      | 56.308    | 1.303         | .235    |
| Environmental Mastery                        | 62.818      | 50.769    | <b>7.348</b>  | .0001   |
| Purpose in Life                              | 61.333      | 60.077    | 0.569         | .623    |
| Personal Growth                              | 67.333      | 55.154    | <b>6.702</b>  | .0001   |
| Cumulative level of Psychological Well-being | 374.181     | 335.154   | <b>6.78</b>   | .0001   |
| <b>SAQ</b>                                   |             |           |               |         |
| <b>Achievement</b>                           |             |           |               |         |
| Success expectations                         | 17.545      | 11.308    | <b>8.870</b>  | .0001   |
| Task-irrelevant behavior                     | 9.909       | 14.923    | <b>-8.990</b> | .0001   |
| Seeking social support                       | 16.091      | 16.077    | 0.012         | 0.99    |
| Reflective thinking                          | 15.576      | 19.462    | <b>-4.236</b> | 0.0001  |
| Master-orientation                           | 20.879      | 14.077    | <b>8.170</b>  | 0.0001  |
| <b>Affiliative</b>                           |             |           |               |         |
| Success expectations                         | 12.333      | 9.538     | <b>4.440</b>  | 0.0001  |
| Pessimism                                    | 9.636       | 12.308    | <b>-5.455</b> | 0.0001  |
| Avoidance                                    | 14.242      | 20.615    | <b>-6.189</b> | 0.0001  |
| Task-irrelevant behavior                     | 14.788      | 21.538    | <b>-6.427</b> | 0.0001  |
| Master-orientation                           | 24.485      | 19.385    | <b>3.382</b>  | 0.00152 |

There are also significant differences on the three basic strategies and attributions the participants are governed with in their life, as well as on the measures of psychological well-being: ecological mastery; personality growth; self-acceptance and the integrated Score of psychological well-being.

Their characteristic features assessed with the help of The Strategy and attribution Questionnaire differ on all the ten scales, except one – “expecting support”.

These empirical data convincingly confirm our hypothesis as to the psychometric properties of the information-processing technique, which can be used not only as patented (Arshava, I., Nosenko, E., Khizha, O., 2010) to assess stability to failure stress, but also to predict the agentic activity of the individual.

## Conclusions and discussion

Since the empirical data presented in the paper illustrate statistically significant between – person differences in both: the measures of performance on the information-processing task and the relevant personality variables, characterizing the orientation of the individuals to achieving success, active coping with difficult situations, the avoidance of the task-irrelevant behavior, there are all the grounds to claim that the technique, designed for predicting stability to failure stress, can be also informative as a measure of the *agentic activity*. The conclusion is based not only on the statistically significant differences registered in the stable personality traits (extraversion, conscientiousness, openness to a new experience and neuroticism), but

also on the strategies and attributions, the participants of different clusters habitually resort to as well as the differences in the levels of psychological well-being attempt.

The prospects of farther research in this direction we foresee in testing the technique of the implicit personality diagnostics on the participants who achieved different levels of success in the real-life settings.

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# EMPIRICAL DIMENSION OF PHILOSOPHICAL GEOGRAPHY

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## Abstract

Geography explores relationships between society and the natural environment. Humans transform the natural environment, which in its turn influences and, to a certain degree, conditions society. Some geographical elements (for example place and space) exert a powerful influence on individual and collective identities, self-awareness and actions. Philosophical geography should study relations between these geographical elements and individual and collective identities and human agency. The empirical dimension of philosophical geography is the most interesting, but perhaps also the least investigated part of this discipline. In order to elucidate how the conceptual framework of philosophical geography can help the empirical research, the present article discusses the expedition which was organised by the Institute of Philosophy and Social Sciences under the auspices of Grigol Robakidze University (Tbilisi, Georgia) in Upper Khevsureti in the summer of 2012.

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**Keywords:** Philosophical geography, sacred places and spaces, *khati*-s (shrines), place and identity

## Introduction:

Geography explores relationships between society and the natural environment. Humans transform the natural environment, which in its turn influences and, to a certain degree, conditions society.<sup>289</sup> Some geographical elements (for example place and space) exert a powerful influence on individual and collective identities, self-awareness and actions.<sup>290</sup> Philosophical geography should study relations between these geographical elements and individual and collective identities and human agency. Because of its interdisciplinary nature, in the research process the student of philosophical geography should employ methodology of both humanities and social sciences.

The interdisciplinary nature of philosophical geography is a necessary prerequisite for future research. This interdisciplinarity is revealed in its title: philosophical geography studies those issues which are important not only to philosophy but also to human geography and social sciences in general. In spite of that, *philosophy* in *philosophical geography* appears as an adjective; it does not follow that philosophical geography is more geography than philosophy or *vice versa*. Philosophical geography is located in the space of intersection

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<sup>289</sup> See Richard Peet, *Modern Geographical Thought* (Malden, MA: Blackwell Publishing, 2006), pp. 1-2; Ron Johnston, *Philosophy and Human Geography. An Introduction to Contemporary Approaches* (Baltimore: Edward Arnold, 1986), p. 3; Chris Gibson, Human Geography, in: *International Encyclopedia of Human Geography*, Editors-in-chief: Rob Kitchin and Nigel Thrift (Amsterdam: Elsevier, 2009), vol. 5, p. 218.

<sup>290</sup> See for instance, Yi-Fu Tuan, *Topophilia: a study of environmental perception, attitudes, and values* (Prentice-Hall, Englewood Cliffs, NJ, 1974); Edward Relph, *Place and Placelessness* (London: Pion, 1976); Edward S. Casey, *Getting Back into Place: Toward a renewed Understanding of the Place-World* (Bloomington: Indiana University Press, 1993); Jeff Malpas, *Place and Experience. A Philosophical Topography* (Cambridge: Cambridge University Press, 1999); Thomas F. Gieryn, A Space for Place in Sociology, *Annual Review of Sociology*, vol. 26 (Aug., 2000), pp. 463-496; John Urry, The Sociology of Space and Place, in: *The Blackwell Companion to Sociology*, edited by Judith R. Blau (Malden, MA: Blackwell Publishing, 2004), pp. 3-15.

between philosophy and geography. Therefore it employs those notions which are of crucial importance to philosophy and human geography.

The conceptual framework of philosophical geography includes three levels of analysis: local, regional, and global. At the local level philosophical geography should study those relationships which exist between places/spaces and individual/collective identities. Place is understood here not as a static point in the homogenous space, but as a *process and an event*.<sup>291</sup> In this process places acquire new identities and lose the old ones; they are constantly redefined and reinterpreted in the ongoing interactions with humans and other places.<sup>292</sup> Thus, philosophical geography should rely on the dynamic understanding of place.

At the regional level the subject matter of philosophical geography is the relationships between regional, spatial concepts and identities. At this level philosophical geography is interested in the following questions: what aspects can be distinguished in the process(es) of formation of regional spatial concepts? What is the influence of regional spatial concepts on the identities of inhabitants of a given region? Is it possible to assert that different regional concepts reinforce different traditions of thought? From these questions it is clear that the regional level of philosophical geography should be understood in the context of intercultural philosophy.

Finally, philosophical geography at a global level should study the interconnection of geographical factors and human agency on a global scale. Climate change and the development and current state of humans' spatial consciousness are important issues to be analysed in the spatial context. The former represents a serious challenge to humanity,<sup>293</sup> while the latter has radically transformed the humans' way of life.<sup>294</sup>

I consider the empirical dimension of philosophical geography as the most interesting, but perhaps also the least investigated part of this discipline. This dimension is the most interesting because philosophical geography is not limited only to theoretical formulations and building its conceptual framework. They should be the starting points for empirical research, the ultimate aim of which is to show the interconnections between local, regional, and global levels and their dynamic nature. To achieve this goal, philosophical geography at first should focus on local and regional levels. Only by researching the local is it possible to grasp its meaning in the regional and to outline the relationships between local and global. On the other hand, in the process of researching the local and regional, the global emerges, because different places are linked in the region and the interconnection of regions acquires the global scale. In addition to all this, individuals constantly move between local, regional and global levels. The research of places, mobilities and identities in the context of empirical dimension of philosophical geography becomes necessary.

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<sup>291</sup> For place as a process see Allan Pred, *Place as Historically Contingent Process: Structuration and the Time-Geography of Becoming Places*, in: *Annals of the Association of American Geographers*, Vol. 74, No. 2 (June, 1984), pp. 279-297. For place as an event see Edward S. Casey, *How to get from Space to Place in a fairly short stretch of Time: Phenomenological Prolegomena*, in: *Senses of Place*, edited by Steven Feld and Keith H. Basso (Santa Fe, NM: School of American Research Press, 1997), p. 26 ff.; see also Martin Heidegger, *Building Dwelling Thinking*, in: Martin Heidegger, *Poetry, Language, Thought*, translations and introduction by Albert Hofstadter (New York: Harper & Row, 1971), pp. 145-161. Here Heidegger speaks about the "gathering" nature of place: place admits and installs the fourfold. Therefore it is an event.

<sup>292</sup> The interaction between places can manifest itself as mutual *reinforcement* or *negation* (actually there can be various gradations from the full compatibility between places to the total negation and incompatibility). Mutual reinforcement between places as well as their mutual negation are realised through human agency.

<sup>293</sup> See Anthony Giddens, *The Politics of Climate Change*, (Cambridge: Polity Press, 2009). See also Bharat Raj Singh (ed.), *Climate Change. Realities, Impacts Over Ice Cap, Sea Level and Risks* (Rijeka: InTech, 2013); Martin Voss (Hrsg.), *Der Klimawandel. Sozialwissenschaftliche Perspektiven* (Wiesbaden: VS Verlag, 2010).

<sup>294</sup> See Carl Schmitt, *Land and Sea*, translated and with a foreword by Simona Draghici (Washington DC: Plutarch Press, 1997).

In order to elucidate how the conceptual framework of philosophical geography can help the empirical research, in what follows I will consider the expedition which was organised by the Institute of Philosophy and Social Sciences under the auspices of Grigol Robakidze University (Tbilisi, Georgia) in Upper Khevsureti (a mountainous region in Northern Georgia, near the border with the Russian Federation) in the summer of 2012.<sup>295</sup>

The aim of expedition was to study place – identity relationships; to investigate how the specific places function; to observe the everyday dynamic of place and its inhabitants; to analyse the attitudes of natives toward sacred, historical and everyday spaces and to investigate the various place identities. The main base of the expedition was in Shatili, a small village in Upper Khevsureti (this region is called by natives “Piriqita Khevsureti”).<sup>296</sup> Shatili was chosen as a main base of expedition for several reasons: 1. In Khevsureti *khati-s*<sup>297</sup> or sacred shrines are of great importance. The gathering of sacred places creates sacred spaces. It is very interesting to study natives’ attitudes towards these places and spaces, as well as those influences which these places and spaces exert on natives’ individual and collective identities. There are several *khati-s* in Shatili. In addition, Shatili is famous for its towers (which were inhabited by natives until the 1950s). There are many oral stories connected with *khati-s* and towers. It can be said that Shatili is rich with sacred and historical places and spaces; 2. Shatili is the most densely populated village in Upper Khevsureti<sup>298</sup>; 3. The mass identity<sup>299</sup> of Shatili is that of an exotic place which is full of myths and legends. It is interesting therefore to investigate how natives’ early experience Shatili on a daily basis.

The course of the expedition can be divided into two stages. In the first stage (1<sup>st</sup> July – 31<sup>st</sup> July) I worked together with the students. The fieldwork was mainly conducted in Shatili. During the next stage (1<sup>st</sup> August – 5<sup>th</sup> September) I continued to work alone. In this stage I also visited nearby villages (Kistani, Mutso, Ardoti) and conducted in-depth interviews.

In the first week of the expedition we made the acquaintances of the natives, looked round Shatili and nearby territories and gathered firsthand information about important places (shrines, towers, the church, *Saqvabe*, *Sapekhvno* etc.). On the basis of this information, there gradually emerged the contours of sacred, historical and everyday spaces which have been playing important roles in natives’ lives.

The sacred space in Shatili consists of sacred places which natives call *khati* (“icon”) and the church. The historical space is constituted by fortresses (*qvitkirebi* or *koshkebi*) and

<sup>295</sup> Head of expedition – Giorgi Tavadze. Other members of expedition were the following students of Grigol Robakidze University: Shalva Bakhsholiani (Department of Tourism), Giorgi Berelidze (Department of Journalism), Nino Mamamtavrisvili (Department of Sociology), Megi Machabeli (Department of Sociology), Salome Khachidze (Department of Sociology), Shorena Khubutia (Department of Journalism), and Levan Khutsinashvili (Department of Sociology); head of the coordinating group – Prof. Tengiz Iremadze.

<sup>296</sup> “Shatili is a historic highland village in Georgia, near the border with Chechnya. It is located on the northern slope of the Greater Caucasus mountains, in the historical Georgian province of Upper Khevsureti, which is now part of the modern-day region (mkhare) of Mtskheta-Mtianeti. Located in the deep Arghuni gorge at approximately 1,400 meters, the village is actually a unique complex of medieval to early modern fortresses and fortified dwellings of stone and mortar, which functioned both as a residential area and as a fortress guarding the north-eastern outskirts of the country. The fortress consists of terraced structures dominated by flat-roofed dwellings and some 60 towers which cluster together to create a single chain of fortifications” (*Shatili*, *UNESCO World Heritage tentative list*, <http://whc.unesco.org/en/tentativelists/5232/>, accessed 1 July 2013). Shatili is included in the UNESCO World Heritage tentative list.

<sup>297</sup> Local name variations for *khati* also include *jvari* (“cross”) and *salotsavi* (“places for prayer”). *Khati-s* in Shatili are small cairns (niches) in which a bell hangs.

<sup>298</sup> “The most densely populated” is a relative concept. There are only 5-7 families (approximately 20 individuals) permanently living in Shatili throughout the year. In the summer during the touristic season the number of inhabitants rises considerably. In the middle of August 2012, with the help of two informants I counted the natives. There were 16 families (approximately 56 individuals including children).

<sup>299</sup> About the mass identities of places see E. Relph, *Place and Placelessness*, p. 58 ff. According to Relph, “[mass identities] are the most superficial identities of place” (ibid.).

*Sapekhvno* (a place where native males used to gather). *Saqvabe* (where *dasturi-s* brew beer for religious ceremonies) can be considered as a place which is located at the border of sacred and historical spaces.

Entrance to the territory of *khati* is strictly forbidden to everyone. Only at the Athengenoba feast<sup>300</sup> is it permissible for men to enter “the land of icon”. Even in this case they do not have right to come near to the *khati* i.e. shrine.<sup>301</sup> Women are subject to greater restrictions: not only are they prohibited from entering “the land of icon”, they are also prohibited from passing nearby.<sup>302</sup> Women have special “women ways” (*sadiaco gzebi*) in Shatili. Nevertheless none of native women complained to me about this custom. It seems that they are used to it from the adolescence.

*Khati-s* play an important role in the life of the natives. All my interviewees acknowledged the specific role of these sacred places in Shatili. They believed that *khati-s* preserve Shatili and its inhabitants from misfortunes. Therefore one should not offend *khati-s*. This is expressed in reverence toward sacred places and spaces and in the following of traditions. “If we do not celebrate Athengenoba and if *dasturi-s* do not sacrifice animals to *khati-s*, then we will offend both *khati-s* and the people” – one native told me. Adherence to traditions and reverence for *khati-s* constitute inseparable part of the local males’ identity.<sup>303</sup> At the feast of Athengenoba in Shatili are gathered natives and descendants of the inhabitants of Shatili who migrated from Shatili to lowland Georgia in the second half of the 20<sup>th</sup> century.<sup>304</sup> This feast and these sacred places reinforce their identity in a powerful way.

**The Orthodox Church** is another sacred place in Shatili. The old church which was built in the 19<sup>th</sup> century during the era of Russian colonialism, was later destroyed in the Soviet era. Local priest Ochiauri was the victim of repression in the 1930s. Since then there was not a church in Shatili. In 2010 Catholicos-Patriarch of All Georgia, the Archbishop of Mtskheta-Tbilisi and Metropolitan bishop of Abkhazia and Bichvinta, His Holiness and Beatitude Ilia II visited Shatili. Under his blessing the construction of new church began. The building was almost finished at the time when we were conducting our fieldwork and a priest conducted the liturgy. Natives took part enthusiastically in the building process. My interviewees considered that *khati-s* and the church supplement each other. “We should attend a service, go to confession and receive communion in the church. But we should also go to *khati-s*, light the candles there and sacrifice animals” said one of my informants to me, a man in his early 60’s. The church is also an important place because here the spatial-gender segregation is abolished: women and men attend the liturgy together. In contrast with this, it is impossible for women to participate, even to observe the ritual which takes place in *khatis mitsa* (“land of icon”).

As I noted above, the *saqvabe* is located at the border of the sacred (the land of icon) and historical (fortresses) spaces. This is also true in an indirect sense: *saqvabe* is a place where beer is brewed for the Athengenoba feast. Therefore, it is a sacred place and the entrance of women is prohibited. All work in the *saqvabe* is done by men. But the *saqvabe*

<sup>300</sup> The feast is related to the orthodox saint Athenogenes who was martyred in the beginning of the 4<sup>th</sup> century in Sebaste (Byzantine Empire). *Athengenoba* is a moveable feast. Its celebration begins in the second half of July and continues four days.

<sup>301</sup> The reason is that there is no local shrine priest (*khutsesi*) in Shatili, as was noted above. Only *khutsesi* and his subordinates (*khelosani* – the assistant of *khutsesi*, *medroshe* – “the flag bearer”, *mezare* – “the bell bearer”, *magandzuri* – “the keeper of treasure”, usually the silver jugs) have a right to approach *k’vrivi* (central point of *khati*). The restriction to come near to the *k’vrivi* applies even to abandoned *khati-s*.

<sup>302</sup> For the reason for this prohibition see Kevin Tuite, *Real and Imagined Feudalism in Highland Georgia*, in: *Amirani*, vol. 7 (2002), pp. 28 ff.

<sup>303</sup> It was extremely difficult for us to obtain information from local women. In most cases they avoided speaking with us and pointed to their husbands. The information which we got from a few respondent women was consistent with the general picture.

<sup>304</sup> Elderly men told me that in the Soviet era many more *Khevsurs* visited Shatili at the Athengenoba feast.

also has a more “mundane”, social function: on the first day of Athengenoba *dasturi-s* make a feast in the *saqvabe* and entertain guests with locally brewed beer and *khavitsiani-s*.<sup>305</sup> Khevsurs gathered in *saqvabe* make toasts to *khati-s* and their deceased ancestors who are famous for their heroic deeds. Therefore sacred ritual and historical past merge together in *saqvabe*.

The **fortresses/towers** of Shatili (*qvitkirebi* or *koshkebi* as natives call them) create a historical space. In spite of their historic value the condition of the towers are very critical. There are cracks in the walls and the interior is badly polluted with trash (DAIPSS<sup>306</sup>). During the first stage of the expedition the walls of two towers collapsed (DAIPSS). Restoration work began slowly and its aim was to restore particular towers, not the whole complex. Besides, restorers ignored collapsed towers between two guesthouse-towers, near *Sapekhvno* and concentrated on the damaged tower in Qvenaubani (DAIPSS). The natives were extremely concerned about the critical condition of towers. They considered that government should act more effectively, lest the condition of towers be worsened.<sup>307</sup>

*Sapekhvno* is a part of historical space. It played a very important role in Shatili's everyday life in previous times. The men who gathered there, were making gunpowder, shoes and other domestic tools. But it was the social function of the *sapekhvno* which was the most important. Here all the important matters of the village were discussed. Like the towers, now the *sapekhvno* is empty and natives do not gather here - even to chat - to say nothing of discussing any burning issues of the village. There were attempts to build a new *sapekhvno* in the 1980s but without success.

There are two main reasons why the old *sapekhvno* ceased to function. First (and the most dramatic) is a considerable decrease in the population due to migration to lowlands in the second half of the 20<sup>th</sup> century. Second: the old *sapekhvno* is located near the towers and the fact that the towers are not inhabited at the present times means that the location of the *sapekhvno* is inconvenient to the natives who live around the sacred and historical spaces of Shatili, forming three small, separate neighbourhoods. Besides, now they are not making gunpowder and shoes themselves. Locals want to make the *sapekhvno* functional again, but up to now they have no clear idea how to resolve this problem.

### Conclusion:

The sacred and historical spaces of Shatili and their elements (*khati-s*, the church, *saqvabe*, towers, and *sapekhvno*) exert a powerful influence on the natives' identities. All our interviewees noted that these places were of the utmost importance to them. The sacred and historical spaces of Shatili are mainly situated in the center of village. But it is not to say that the space of everyday movement and action (everyday space) lies outside of these spaces. On the contrary, those spaces interact and intersect daily with one another thanks to the movements and interactions of natives and visitors to Shatili. When a Khevsur woman makes *khavitsiani* for the Athengenoba feast in her kitchen, sacred space enters her house, penetrates everyday space and endows the whole process with exceptional importance and spirit. When Khevsur men bring home-baked *khavitsian-s* and *qada-s* in *saqvabe*, when they drink beer which *dastur-s* have brewed, they congratulate each other Athengenoba and have a pleasant chat with one another, then everyday space is felt fully within the intersection of sacred and historical spaces. And finally, when a young Khevsur girl leaves her house and

<sup>305</sup> *Khavitsiani* (or *khavitsiani qada*) is a filled bread dish. The filling contains *khavitsi* which is made by mixing flour and clarified butter. *Khavitsiani-s* are an essential part of any Khevsur feast.

<sup>306</sup> Digital Archive of the Institute of Philosophy and Social Sciences.

<sup>307</sup> It should be noted, that conditions of other historical monuments in upper Khevsureti are also very critical. The fortress of Qachu nearby Shatili is almost destroyed. According to legend the first inhabitants of Shatili lived there. The towers in Kistani (*Abuletaurta*, *Atandilata*, *Babkiaurta*, and *Torelis Cikhe*) require restoration. The fortress of Mutso (*Mutsos Cikhe*), which still enchants travellers' eyes collapses day by day. The towers of Ardoti and Khakhabo are badly damaged. *The lack of care exposes the fragility of places.*



goes to *Chala*, a nearby neighbourhood, she incidentally makes her way by the “women way”, thereby reaffirming and reinforcing sacred and (in this case, gendered) everyday spaces. In all these cases, spaces (sacred, historical, and everyday) are created by places. Humans interact with these places and spaces through their movements and (inter)actions. In the wake of these movements and interactions, sacred, historical and everyday spaces constantly interact and intersect one another.

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# NEW PERSPECTIVES OF GEORGIAN PHILOSOPHY IN THE LIGHT OF INTERCULTURAL THOUGHT

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## Abstract

The present article analyses new perspectives of rethinking the traditional models of philosophy in the process of knowledge transformation. Problems of intercultural philosophy, its methodology and topicality in the context of modern global thought are also discussed. Special attention is given to the recent concept of intercultural philosophy (“crossroad”) that was developed in his latest work by T. Iremadze. This concept connects systemic and historical aspects of philosophy to each other in a new way and formulates the “topos of mutual understanding” of different thinking traditions. The importance of the idea of “Caucasian Philosophy” is stressed that can offer new perspectives for further research and turn the Georgian-Armenian philosophical relations into a special subject of interest.

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**Keywords:** Interculturalism/intercultural philosophy, philosophising at the crossroads, Caucasian philosophy, cultural dialogue, topological research

*“In all its essence and appeal philosophy strives to establish universal communication among people and to determine the general scopes that are the strong bases for peaceful coexistence of the inhabitants of the world.”*

*Tengiz Iremadze*

## Introduction:

The epoch of global changes and the necessity to respond to the challenges posed by this epoch requires from us rethinking the content of the humanities. The maintenance of the existing knowledge, its dissemination, transformation and application becomes essential. In the transformation process of the humanities, the essence and the purpose of philosophy also transform. Rethinking of the traditional models of philosophy enables to set new perspectives and methodologies. Rethinking of philosophy, first and foremost, means a new definition of history of philosophy.<sup>308</sup> Moreover, in this context it becomes necessary to adapt the present potential of philosophical thought to the modern cosmopolitan thinking, to take into account different thinking traditions, thereby balancing Eastern and Western cultures and traditions.

The analysis of different thinking traditions and peculiarities of the transformation of philosophical thought is an intercultural process. In his research on Georgian and intercultural philosophical perspectives, Udo Reinhold Jeck states that namely such researches have great perspectives<sup>309</sup>. In this context it becomes necessary to evaluate the entire historical heritage of Western philosophy anew and define its role in a new way.

Thus, apart from theoretical-visionary function of philosophy, its social-practical function becomes more and more important – it should facilitate formation of mental unity as well as establishment of optimal communication between people.

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<sup>308</sup> U. R. Jeck, *Erläuterungen zur georgischen Philosophie*, Tbilisi, 2010 (2nd edition: 2013).

<sup>309</sup> U. R. Jeck, *Erläuterungen...*, p. 54.

Today, in the post-classical period, it is also of paramount importance that philosophy should again stand in guard of free thinking inasmuch as it outlines contours of human liberty and reveals its real nature, sets and analyzes the values on which legal state, civil society, personal and cultural orientations should be based.

### **Contemplations on Intercultural Philosophy:**

Transformation of philosophy or a philosophical style aims at approximating philosophical theory with practice. Together with its own tradition, Western philosophy should intensively study philosophical traditions that differ from its own one. It is intercultural philosophy that offers this opportunity.

Recent researches deal with intercultural philosophy as an alternative to globalization<sup>310</sup>. It is a project aiming at changing/altering the paradigm of philosophy. It can be achieved through disintegration of mono-cultural structures created by traditional philosophy. Intercultural philosophy is based on the type of thinking that transcends its own cultural boundaries. Not only does it acknowledge different forms of thinking but strives to solidarity as well. For intercultural philosophy, different traditions of thinking are separate worlds existing in their own terms. Consequently, it understands that it is only through these “universums” that the approximation of philosophy to universal can be reached. On the whole, “intercultural philosophy strives to turn into a philosophy that can be practiced by cultural collaboration”<sup>311</sup>.

Today, the idea of universal as a practice of solidarity between the cultures is forgotten. Intercultural philosophy reflects and re-thinks philosophical knowledge not only on the theoretical level but on the level of certain historical reconstructions as well. Thus, *at the crossroads*, the reconstructed knowledge and more stable philosophical models and monocultural conceptual systems are discussed side by side.

Intercultural philosophy requires criticism of its own philosophy as well as of the tradition from which it took its origins. In this context the own tradition can become a certain bridge and linking ring for intercommunication. And here the construction of other knowledge becomes topical as well as the respect towards other, the analysis of those reflections and mutual influences that “are revealed between textual groups of different cultures and origins”<sup>312</sup>.

Intercultural philosophy is significant in many aspects, but it is especially topical in research projects referring the problems, methodologies and fields important in the context of modern global thinking. Intercultural philosophy influences and gives feedback on the process of acquiring education and knowledge, thus broadening scope of vision. Consequently, many essential issues of philosophy, history of philosophy, comparative philosophy and political globalism can be innovatively assessed and grasped.

### **New Concepts of Georgian Philosophy:**

Interculturalism and interdisciplinarity are recognized as one of the important and successful methodologies for the study of philosophical problems. Methodological contemplations in this direction are extremely significant and reveal new unique perspectives for the integration of the Georgian philosophy into the worldwide philosophy. In this context the work by Professor Tengiz Iremadze “Philosophy at the Crossroads of Epochs and

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<sup>310</sup> see R. Fernet-Betancourt, ‘An alternative to globalization: theses for the development of an intercultural philosophy’, in: M. Sáenz (ed.), *Latin American Perspectives on Globalization: Ethics, Politics and Alternative Visions*, Oxford, 2002, pp. 230-236.

<sup>311</sup> Ibid, p. 230

<sup>312</sup> U. R. Jeck, *Erläuterungen...*, p. 68.

Cultures. Intercultural and Interdisciplinary Research”<sup>313</sup> is of paramount importance. The book deals with the old and new concepts of philosophy from intercultural and interdisciplinary perspectives. The study is interesting in many ways: 1) it aims to transgress “narrow-national” boundaries of philosophy, criticize Eurocentrism and show the necessity of universal thought in the age of global thinking; 2) the author highlights a new concept of intercultural philosophy – “Crossroad”- that connects systemic and historical aspects of philosophy to each other in a new way; 3) the monograph introduces for the first time the idea of “Caucasian Philosophy” that can offer new perspectives for further research and turn the Georgian-Armenian philosophical relations into a special subject of interest. Reflections on main aspects in Iremadze’s work enable interpretation of Georgian philosophy from a completely different angle and determining many new and fruitful ideas.

If we logically and sequentially comprehend the main ideas in Iremadze’s work, we should firstly pay due attention to the author’s viewpoint on place and role of philosophy: Philosophy “is the study of universal and general whereas a philosopher is a specialist of universal and general. It must be able to find those *anthropological constants* in the rapidly changing world that will show the necessity of universal thinking in the age of global changes.”<sup>314</sup> Intercultural analysis of “impressive documents” created at the crossroad of different epochs and cultures aims at overcoming unilateralism of European philosophical historiography. In this context, first and foremost, it becomes essential to revise and re-activate the initial original statuses of old ideas, concepts and models of philosophy. New methodology and such a hard process of cognition are “rooted in the dialectics of visualizing the new and revising the old”<sup>315</sup>.

On the basis of such dialectics Iremadze considers appropriateness of the division of philosophy into more or less important, European and non-European, privileged and non-privileged, main and marginal lines as questionable. Relying on this methodological prerequisite he formulates arguments against the critique of Eurocentrism which is still topical in the modern philosophical discourse.<sup>316</sup> According to the author, proceeding from the Hegelian concept of the history of philosophy, “[...] this sharp and strict division accomplished by the European philosophical historiography, [...] hindered the desirable processes of drawing together and forming mutual understanding between Western and Eastern cultures.”<sup>317</sup> Moreover, in his opinion, “such an approach appeared to be fateful even for the development of European thought and it considerably prevented the process of intercultural dialogue”<sup>318</sup>.

Iremadze’s theoretical viewpoints point to the necessity of the revision of Hegelian philosophical historiography as Hegel was one of the most faithful supporters of Eurocentrism. European thought appeared to be as unilateral in reaching the “common wisdom” and intercultural dialogue as the Eastern culture. Overcoming of this theoretical drawback<sup>319</sup> from the methodological viewpoint is possible by the so called “**paradigmatic**

<sup>313</sup> T. Iremadze, *filosofia epoqata da kulturata gzagasakarze. interkulturuli da interdisciplinuri kvlevebi* [*Philosophy at the Crossroads of Epochs and Cultures. Intercultural and Interdisciplinary Researches*], Tbilisi, 2013.

<sup>314</sup> *Ibid.*, p. 7.

<sup>315</sup> *Ibid.*, p. 8.

<sup>316</sup> See L. Zakaradze, ‘Udo Reinhold Jeck and Georgian philosophical thought (In the light of the criticism of Eurocentrism)’, in: T. Iremadze and G. Tevzadze (eds.), *aghmosavleti da dasavleti. interkulturuli da interdisciplinuri kvlevebi* [East and West. Intercultural and Interdisciplinary Studies], (Philosophy, Sociology, Media Theory, vol. 6), Tbilisi, 2012, pp. 15-33.

<sup>317</sup> T. Iremadze, *filosofia...*, p. 8.

<sup>318</sup> *Ibid.*, p. 8.

<sup>319</sup> In this context the interpretation of F. Nietzsche’s theory of individualism and G. Robakidze’s philosophical-sociological works are very interesting. See T. Iremadze, ‘Truth, Interpretation and Problem of Communication in Friedrich Nietzsche’s Philosophy’, in: L. Zakaradze, M. Gogatishvili (eds.), *sicocxlis filosofia. problemebi da perspeqtivebi* [Philosophy of Life. Problems and Perspectives], Tbilisi, 2009, pp. 10-15; T. Iremadze,

**metaphors**” that, proceeding from the epistemological and conceptual perspectives, will eliminate the shortcomings of “dry” and “empty” concepts in the intercultural process of cognition<sup>320</sup>.

According to Iremadze, philosophising “at the crossroad” and dialogue between different cultures form the “topos of mutual understanding” between Western and Eastern, European and non-European thinking. This method of research became an object of interest for a number of scholars. So, for instance, while speaking on the importance of new “typological research”, a Russian philosopher Michail Reutin in his recent researches<sup>321</sup> names the works of Tengiz Iremadze and Michele Trizio, these two scholars of “new generation”. Comparison of different thinking traditions is far more important than just sharing different ideas or “going deeper into oneself”. These two traditions have much to say to each other.

It should specially be noted that for characterization of intercultural philosophy in general as well as Georgian philosophy the concept/metaphor “crossroad” can become of basic importance. The analysis of medieval and new age Georgian philosophy and theology ascertains that Western and Eastern philosophy meet here and form “tops of mutual understanding”. “Philosophising at the conceptual and epistemological junction, at the crossroad of different cultures, religions and traditions – it is here that we must search for original and specific nature of Georgian philosophy”<sup>322</sup>.

Georgian philosophy developed mostly with the influence of Greek-Byzantine philosophical tradition. **“Reflection”** and **“reincarnation”**, **reception** and **transformation** of the ancient (Byzantine) based theses in different thinking models appeared to be decisive not only in formation of European (Latin, German) culture but for Georgian thinking as well. In this aspect, “paradigmatic (con)text(s)” of Georgian philosophy in the intercultural and interdisciplinary study can reveal new aspects. In its turn, it creates possibility to speak about the legitimacy of the idea of **“Caucasian Philosophy”**<sup>323</sup>. The best example of it in the new age Georgian thought is Anton Bagrationi and his philosophical-theological school. His school fostered the dialogue of philosophical thinking between Georgia and Armenia. It should be noted that via Ioane Petrizi’s philosophical way in the medieval and new age Georgian and Armenian thinking the peculiarities of reception and transformation of Proclus’s philosophy were determined<sup>324</sup>. By establishing the idea of “Caucasian philosophy” and expanding Georgian-Armenian philosophical collaboration in future it is possible to outline new geophilosophical contours of Caucasian thinking space.

Traditional forms of culture and human existence are based on certain concepts and values. In most cases they are considered as absolute and undoubted notions. Philosophical category of truth belongs to such notions. However, the notion of truth has lost its universal nature in the modern models of thinking and has been replaced by “interpretation” and “evaluation”. Hence, the works of Friedrich Nietzsche acquire extraordinary importance from the perspective of intercultural thought. Nietzsche’s philosophical theses – “every age has its own Truth”, “history always creates new truths”, “truth is a temporal truth beyond good and evil” – are extremely significant in this context. Iremadze offers on the one hand,

Individualism or intersubjectivity? (Nietzsche and Kant in Grigol Robakidze’s contemplations), in: M. Tavkhelidze, T. Iremadze (eds.), *grigol robakidze da tanamedrove azrovneba [Grigol Robakidze and Contemporary Thought]*, Tbilisi, 2011, pp. 110-123.

<sup>320</sup> See T. Iremadze, *filosofia...*, p. 13.

<sup>321</sup> М. Ю. Реутин, *Мистическое богословие Майстера Экхарта*, Москва, 2011; М. Ю. Реутин, ‘Ответ М. Ю. Реутина на рецензию монаха Диодора (Ларионова) О некоторых проблемах интерпретации наследия святителя Григория Паламы’, 2009 // <http://www.bogoslov.ru/es/text/472026.html>. Проверено 15.07.2013.

<sup>322</sup> T. Iremadze, *filosofia...*, p. 14.

<sup>323</sup> Ibid., p. 9.

<sup>324</sup> It is universally acknowledged that the first Armenian translation of Proclus’s “Elements of Theology” made by Gar r n isi Bishop Simeon in 1243, was done from the Petrizi’s Georgian translation of the text.

(re)interpretation of Nietzsche's philosophical program, and on the other hand, reconstructs the old notion of the truth.<sup>325</sup> The second important methodological approach is to put forward reception and transformation: "Philosophical ideas acquire significance through their reception and transformation"<sup>326</sup>.

It is through this perspective that the questions on basic concepts of modern philosophy arise. By re-actualizing old traditional concepts of philosophy one of the main peculiarities of philosophy is highlighted: "[...] its future should be sought in its own self and expansion of its horizons"<sup>327</sup>. By restoring and expanding traditional "Antique-Medieval" model of wisdom it becomes possible "to surmount really existing confrontations and contradictions, to overcome them and morally improve the world".<sup>328</sup> Iremadze's contemplations about the purpose and perspectives of philosophy respond to the pathos of recent opinions in modern Western philosophy<sup>329</sup>.

In the direction of intercultural philosophy, new correlations of Georgian philosophical research are shaped – "disappearance of Petrizi's ideal of freedom" and "fate of the idea of freedom in Soviet Georgian philosophy", "European endeavor" and "philosophical endeavor", comparative-critical analysis of Friedrich Nietzsche's "great European politics" and Merab Mamardashvili's "little European politics" will outline the contours of the thinking of principally new responsibilities, namely, of the new European responsibility<sup>330</sup>.

While talking about new perspectives of Georgian philosophy, the critical analysis of the philosophical idea of freedom in Soviet Georgian philosophy is very important. "Destruction of Old Ideas, New Concepts and Intercultural Thinking" (the third chapter of the book) covers problematic analysis of the history of freedom and non-freedom. The destructive impacts of the Soviet ideology primarily touched the humanities and social sciences. "They appeared to be the victims of wrongly understood and interpreted Marxism. [...] The leading representatives of the Georgian philosophical thought of that time had to stand in service of Marxist-Leninist ideology"<sup>331</sup>. Thus, the thorough study of the history of non-freedom in Georgian (Soviet) philosophy will promote the restoration of "critical-enlightening pathos" lost in the Georgian humanities and social sciences for decades. At the same time, it "will enable to reveal and expose the false basis and background of Georgian Soviet science..."<sup>332</sup>. It is through this method that we can "really re-evaluate and withdraw" thinking paradigms characteristic to Soviet thinking.

## Conclusion:

The return to the basic sources of philosophy as well as discovery of hitherto unknown documents through their interpretation and re-actualization still remains as one of the reliable perspectives of philosophy. Intercultural philosophy which is interested in driving forces of human cultural activities and thinking and general (unifying) principles, offers unique opportunities in this respect. Thus, the old and the new concepts of Georgian philosophy gain new perspectives in the direction of intercultural philosophy. This, in its turn, raises truly theoretical and practical interest towards Georgian philosophy and grants it with new scopes.

<sup>325</sup> T. Iremadze, *filosofia...*, p. 67.

<sup>326</sup> *Ibid.*, p. 71.

<sup>327</sup> *Ibid.*, p. 11.

<sup>328</sup> *Ibid.*, p. 94.

<sup>329</sup> It should be noted that in the conditions of strict requirements of modern economic market, the German philosopher Julian Nida-Rümelin sees the overcoming of social and other types of injustice and the achievements of these goals in the restoration of Antique ethic teaching. (see J. Nida-Rümelin, *Die Optimierungsfalle. Philosophie einer humanen Ökonomie*, München, 2011).

<sup>330</sup> L. Zakaradze, 'Merab Mamardashvili: Perception of European Identity – a Road towards Self-Awareness', *European Scientific Journal*, (July Special Edition, 2013), pp. 87-96.

<sup>331</sup> T. Iremadze, *filosofia...*, p. 109.

<sup>332</sup> *Ibid.*, pp. 109-110.

Tengiz Iremadze's above discussed research highlights exactly these aspects and sets new ways for future theoretical thinking.

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## THE ISSUE OF LONELINESS IN THE PERIOD OF „EMERGING ADULTHOOD”

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### Abstract

Loneliness is a complex and multidimensional life experience affecting almost each individual. However, due to the turbulent social and civilization changes, it seems that a modern man more and more frequently suffers this unpleasant condition as well as emotions accompanying loneliness, that is: sadness, despair, apathy, diffidence, a sense of alienation. The phenomenon of loneliness has become a serious problem especially among the youth. This group indeed is subjected to intense and acute sense of loneliness, which is a result of, among others, low level of social skills, lack of emotional maturity or teachers' and parents' insufficient interest in their problems.

The proposed paper will present the most important theoretical and empirical standpoints, and analyze types and symptoms of loneliness among the youth. When discussing the causes and consequences of the phenomenon, the author refers to both Polish (e.g. Public Opinion Research Center) and European research reports (e.g. Mental Health Report, SUPRE, ESPAD). The speech will also demonstrate selected institutional forms of support for the youth who experience loneliness as well as other emotional and social problems.

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**Keywords:** Loneliness, period of „emerging adulthood”, social and civilization changes

### Introduction

Feeling of insecurity, anxiety, fear, losing the meaning of life, depression, neurosis and suicidal attempts – those are only some of the consequences of failing to cope with more and more frequent social and economic crises. U. Beck (2002) described the issue of emerging problems and disturbances as the „psycho-wave effect”. It also seems that loneliness appears very often in everyday existence of many people. According to Z. Dołęga (2003), the problem of loneliness can be analyzed either from the perspective of individuals or whole social groups. It seems that young people experience the feeling of loneliness in particular due to civilizational and social changes.

The available sociological, psychological or pedagogical literature provides completely divergent descriptions of the situation of a contemporary young human being. Some sources present a very positive image of the youth – optimistic, open, satisfied with their lives, focused on everyday pleasures and, above all, feeling confident about the future (CBOS 2009). However, there is some disturbing data as well, showing a gradual increase in the number of young people suffering from mental and emotional problems (ref. Majerek B. 2011, 2012).

Contemporary young people experience many problems resulting from e.g. educational devaluation, difficulties in finding a job or living in a cyberspace and having problems with establishing relations with others. It seems that this group is most likely to experience negative consequences of civilization changes. Therefore, conducting studies and theoretical analyses is an important element in creating preventive and therapeutic schemes



used to deal with such problems. This article tries to analyze the feeling of loneliness, assuming that this emotional issue is the cause of many dangerous social problems.

### **1. Various faces of loneliness**

Loneliness as an ontological phenomenon is the “universal quality of human existence, just as common and as frequently experienced as happiness, hunger or sadness” (Dołęga Z. 2003, p. 9). In the social and psychological perspective, however, loneliness is usually perceived as the sign of lack of personal well-being and is related to low level of satisfaction with one’s life.

Loneliness should be analyzed on multiple levels as this feeling is very subjective and described using various emotions. According to J. Rembowski (1992), this unpleasant feeling is an emotional state, in which an individual is aware of being isolated from others and unable to act to their benefit (p. 33). J. Gajda (1997), however, believes that the problem of loneliness is undoubtedly related to other negative emotional states, such as:

- feeling of hopelessness, which means the conviction that people are left at the mercy of external powers and have no influence whatsoever on their lives;
- feeling of meaninglessness understood as the inability to tell what is important and worth believing in;
- feeling of anomie is the conviction that unacceptable behavior is necessary to achieve some goals;
- feeling of isolation leads to avoidance of social relations as one believes he/she is unable to establish any closer relations with others;
- feeling of self-alienation – it lowers one’s self-esteem and makes them believe that acting in accordance with one’s own beliefs would not lead to achievement of their goals (p. 205).

It is worth mentioning that the above emotional states should be considered temporally, i.e. they can manifest either as a short-term effect of failures or temporary difficult situations or a permanent quality, defining the quality of life of an individual. Similarly, loneliness has its own time dimension. It could be either chronic, i.e. last for years or even the whole life, or be only temporary, while breaking up a relationship or friendship, losing someone close (death, divorce, moving somewhere else). Each of us can experience short states of “everyday loneliness” despite having satisfying relations with other people (Stefańska-Klar R. 2002).

Therefore, there are many perspectives and angles, from which the phenomenon of loneliness can be analyzed. Z. Dołęga (2003), distinguishing three basic types of relations, i.e. with social environment, oneself and realm of values and goals in life, describes the following types of loneliness:

- feeling of social loneliness concerns experience of isolation and marginalization; inability to identify one’s role in the social system or not being confident about one’s importance to social partners [...];
- feeling of emotional loneliness consists in perceiving oneself in a negative way in terms of being a social partner, believing in one’s low social competences and exhibiting a distress manifesting in depressed mood and other negative emotions or feelings [...];
- feeling of existential loneliness primarily means no identification with any values, standards or life goals; feeling of being „out” of this world or out of a broader social context and experiencing lack of integration with others (p. 22-23).

T. Gadacz (1995) describes moral loneliness, meaning no connection with any values, symbols or patterns. Moral loneliness stems from badly imparted behavioral patterns or lack of such patterns in the closest environment, from experiencing the crisis of values. “People experiencing this kind of loneliness feel unable to identify themselves with the values that

give their lives a meaning, without which they are not able to function normally” (Gadacz T. 1996, p.17).

At the same time it seems that complete loneliness described by M. Szyszkowa (1998) is a particularly overwhelming state. Such loneliness is experienced as lack of acceptance from anyone, feeling of being completely useless and stuck in a void or a labyrinth with no exit.

The available psychological, pedagogical and sociological literature provides a host of publications on the issue of loneliness. However, it seems that despite substantial theoretical knowledge, methods of limiting or combating negative emotional states resulting from the feeling of loneliness are quite limited. One may also have the impression that this problem is expanding and escalating as it concerns more and more persons experiencing more and more unpleasant and long-lasting states of emotional tension resulting from limiting, breaking or lacking social bonds.

## **2. Causes of loneliness in the period of “emerging adulthood”**

The problem of loneliness is difficult to describe as it can be a result of many different aspects. It could be generated either by external factors (e.g. personality traits), specific situations (e.g. hospitalization or economic migration) or social factors (e.g. being rejected by a peer group or family). E. Dubas (2000) lists the following factors:

- external factors of global nature, e.g. technical and technological development, rapid urbanization and industrialization, consumerism, marginalization of the meaning of religion in human life, stereotypical lifestyle models (e.g. negative image of the old age) and contemporary cultural patterns;
- external factors of environmental nature focused on the closest environment;
- internal personality factors focused on destructive personality traits, such as pessimism, indifference, skepticism or egoism;
- ontological internal factors referring to the deepest parts of human existence in general.

Other types of feeling of loneliness have been presented by S. Kozak (2007), who pointed to:

- low self-esteem that makes people shy, insecure and weak, seeking support from others. However, if other people cannot satisfy their needs, a feeling of threat and severe loneliness appear;
- inability to communicate – when people cannot reach an agreement, a persisting feeling of loneliness and isolation appears even when someone is a member of a group or community;
- self-defensive attitude resulting from competitive approach becoming a lifestyle and consisting in constant strive for success regardless of negative social consequences;
- attitude of apparent independence and self-reliance.

While analyzing the causes of the feeling of loneliness, we must emphasize the role of developmental factors, as young people experience such state particularly during the period of adolescence. Adolescence-related physical changes (e.g. rapid body weight gain, changes in body shape) often result in the feeling of being different and dissatisfied with the “new” looks, causing withdrawal from social contacts. It is also worth to mention that the main developmental goal is achieving independence and autonomy, which must entail conflicts, rejection and temporary loneliness. A. Brzezińska (2002) wrote that such period is not only a transition from childhood into adulthood, but a true rite of passage understood not as a single episode, but as a phase. J. Arnett (2004) called this period, occurring from the age of 18 to 25-29, the “emerging adulthood” and described it as:

1. The time of seeking one’s identity (continuation of the search started during the adolescence period); experimenting with new possibilities, usually in close relations,

at work and in one's world view and seeking what is best for them and – what follows – taking up new commitments gradually.

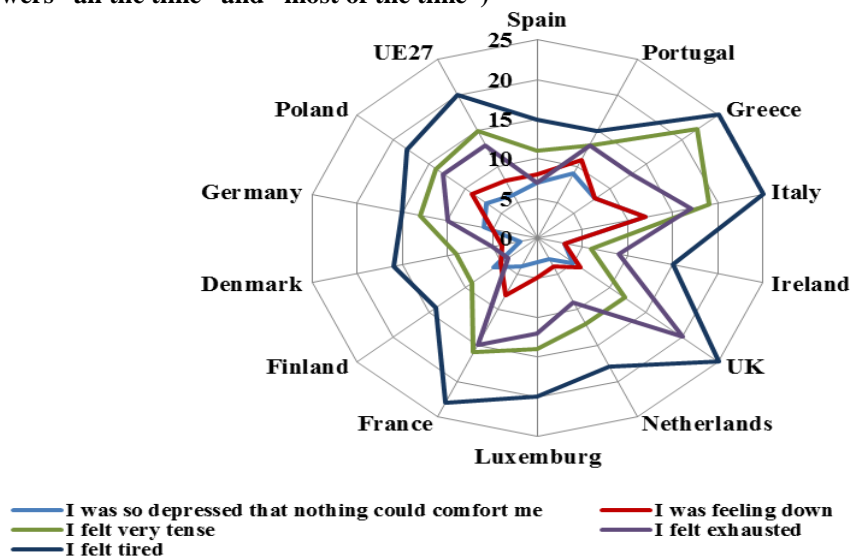
2. The time of instability and frequent changes (young people often change their place of residence or work).
3. The time of focusing on oneself (more than at any other point in life), answering the question “what I want” in order to make independent decisions; making one's point of view most important and making own experiences, observations and reflections absolute, pursuing one's own goals gradually.
4. The time of feeling like “being in-between”, in a phase of transition, change of developmental status, not being adolescent anymore and not being adult yet (subjective autonomy).
5. The time of opportunities, hope, when people have the chance to make a change, create their own lives; the “emerging adults” are usually very optimistic about their future life and success (for: Lipska A., Zagórska W. 2011, p. 15).

Therefore, it should be emphasized one more time that the period of „emerging adulthood” is even more intense and unstable as young people must cope with all their efforts, decisions and failures alone. At the same time, it seems that in this exceptionally difficult period of life, young people experience negative consequences of changes in existential, civilization and macro-social areas in a special way. Educational devaluation, unemployment and forced migration are only some of the problems generating the feeling of insecurity, being lost and alone.

While looking for the causes of the feeling of loneliness among young people, family setting should be considered in the first place. On the one hand, the adults have no emotional bonds with the young people, no time to hear them out or no interest in their problems or their expectations exceed the young people's capabilities (ref. Domagała-Kręcioch A. 2008). On the other hand, however, the adults themselves often have difficulties in coping with everyday problems. According to the studies by Eurobarometer ordered by the European Commission in 2010 in EU countries, we may notice many alarming symptoms suggesting numerous emotional problems of the Europeans (*Mental Health Report* [http://ec.europa.eu/health/mental\\_health/eurobarometers](http://ec.europa.eu/health/mental_health/eurobarometers)).

The diagram below contains data presenting the frequency of experiencing negative emotional states (i.e. tiredness, exhaustion, tension and depression) by the respondents. The analysis takes into consideration only those answers that suggest permanent, persisting negative states and emotions of the respondents.

**Diagram 1.** Frequency of experiencing negative emotional states by the Europeans (the sum of the answers “all the time” and “most of the time”)



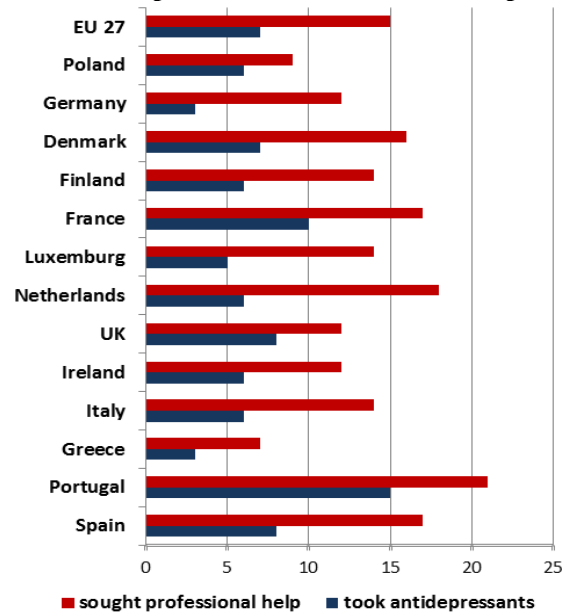
**Source: Own work based on [http://ec.europa.eu/health/mental\\_health/eurobarometers](http://ec.europa.eu/health/mental_health/eurobarometers)**

The above presented data is alarming as according to it, one fifth of EU residents feel tired all the time. This figure increases to 25% in countries experiencing economic crisis, i.e. Greece and Italy. But almost 25% residents of the UK and France also feel tired. 13% of Europeans are tired of life permanently and 15% feel anxious all the time. Such tensions lead to permanent feeling of sadness and depression (8%) that often end with a feeling of failing at life and mental breakdown (6%). Chronic depression and sadness is most frequently experienced by the Italians (12%), Portuguese (11%), Poles (9%) and French (8%).

It should also be noted that poor mental condition of parents often becomes the direct reason of domestic violence and as J. Maćkowicz (2009) proved, such situation almost always entails the feeling of loneliness among child victims.

Further results of the above mentioned study also show the scale of problems of the Europeans today. The diagram below presents the percentage of respondents, who sought professional help during the last 12 months due to their mental and emotional problems.

**Diagram 2. Seeking professional help due to mental and emotional problems in selected EU countries**



**Source: Own work based on [http://ec.europa.eu/health/mental\\_health/eurobarometers](http://ec.europa.eu/health/mental_health/eurobarometers)**

According to the data in the diagram, 15% of Europeans sought professional help due to problems of mental or emotional nature and almost 8% of them have been taking antidepressants on a regular basis. The Portuguese are above the EU 27 average with 22% of the population seeking medical help. Also, almost 18% the Dutch, the French and the Spaniards sought specialist help in 2010 due to emotional problems. Portugal (15%) and France (10%) are the countries with the highest rate of people taking antidepressants.

The above data clearly point to the problems that people more and more often cannot deal with and living in a family, where fear, feeling of danger, insecurity and hopelessness are predominant are additional reasons why adolescents feel abandoned and lonely.

### 3. Physical, mental and social consequences of loneliness

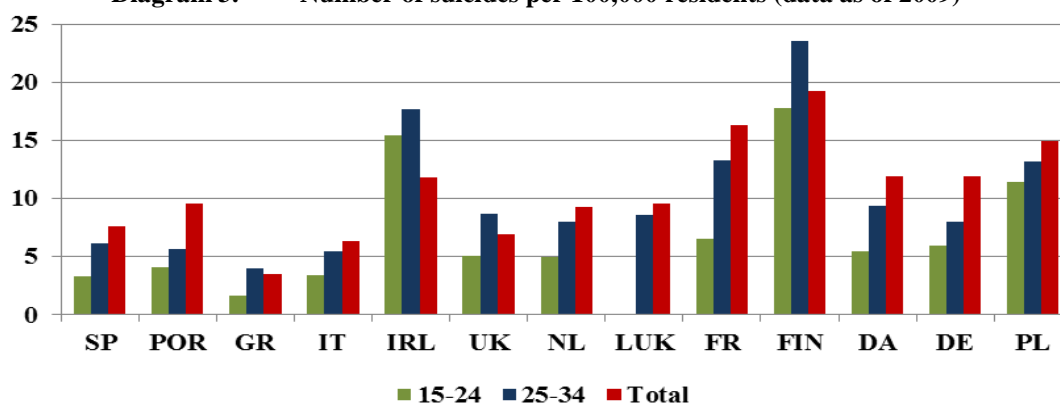
Feeling of loneliness causes numerous problems that can be considered either in a global (e.g. diseases of affluence, i.e. neuroses, alcoholism, nicotine dependence) or individual aspect as far as their dimensions and scale are concerned. Consequences of loneliness are usually considered in three main categories:

1. Physical consequences, as the stress resulting from lack of relations with others weakens our immune system (Cichočka M. 2005). Such mental emptiness caused by

loneliness also increases the risk of binge eating, obesity, diabetes, atherosclerosis and joint degeneration (Aleksandrowicz J. 1988).

2. Mental consequences associated with loneliness include mainly anxiety, pessimism, feeling of worthlessness and misery (Rembowski J. 1992). As a result of withdrawing from establishing social relations, the so called “narcissistic withdrawal” may also appear (Braun-Galkowska M. 1994). Attention should also be drawn to the occurrence of loneliness-related depression (Dołęga Z. 2006). One of the common consequences of the feeling of loneliness, alienation and being unaccepted by the environment is self-destructive behavior, including direct self-aggression (e.g. beating, self-harm, self-accusation) and indirect aggression (e.g. when someone forces, provokes or submits to aggression of others) (Kozak S. 2007). What is more, the feeling of being rejected and lonely more and more frequently causes mental disorders (e.g. neurosis, depression) and suicides.

**Diagram 3. Number of suicides per 100,000 residents (data as of 2009)**

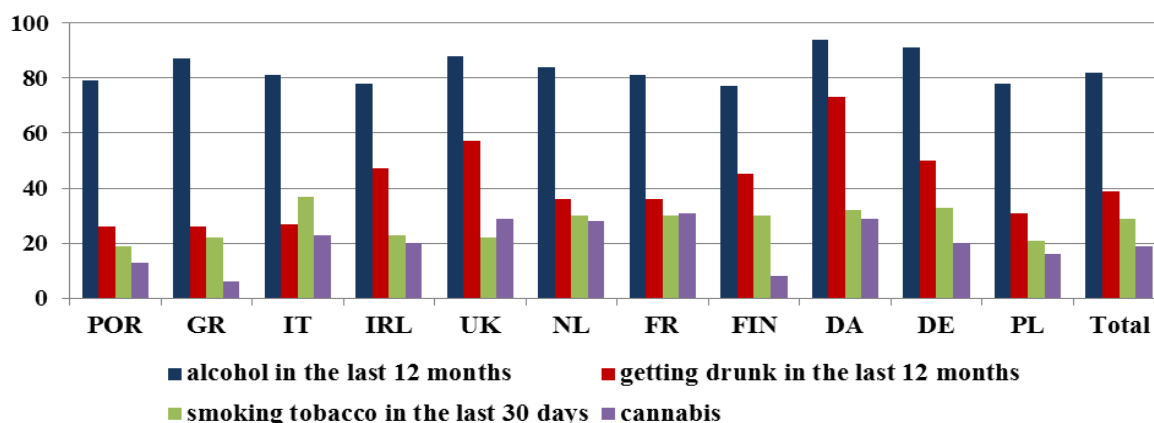


Source: [www.who.int/mental\\_health/media/arqe.pdf](http://www.who.int/mental_health/media/arqe.pdf)

The above presented data show significant differences in the characteristics of the analyzed problem. There are countries, where young people, more often than other age groups, cannot cope with their lives and commit suicide, e.g. Finland, Ireland and the United Kingdom. What is really alarming is the fact that in Greece, Ireland, the United Kingdom and Finland, the number of suicidal attempts is higher among the youth than among the rest of the population. Considering all the countries listed above, suicide rate in Poland is very high among all age groups. It seems that young people in particular, left without professional help and support, commit suicide as they are not able to deal with their problems.

Social consequences appear usually when lonely young people want to become members of a social group, e.g. a cult, a youth subculture or an organized crime group. However, in order to gain social acceptance and interest, young people are „forced” to engage in risk behavior, such as smoking, drug abuse or prostitution. The scale of such problems is of course monitored on an ongoing basis and the results show a rather alarming tendency.

**Diagram 3. Risk behavior among young people**



Source: [www.espad.org](http://www.espad.org)

As it has been mentioned above, while discussing the problem of loneliness and related emotional issues, we cannot ignore the problem of engagement of young people in risk behavior, being often a way of coping with difficult situations. According to ESPAD 2007 report, 80% of young people aged 15-16 in almost all analyzed countries drink alcohol. Over 70% of young Dutch, nearly 60% of the British youth and over 50% of young Germans have gotten intoxicated in the last 12 months. From 20% to 30% of young people (depending on the country) smoke tobacco and use cannabis.

### Conclusions and recommendations

The above analysis shows that emotional and mental problems are a part of everyday life of a majority of the Europeans. At the same time, such problems create a negative atmosphere, in which young people grow up. Lack of support from families affected by economic and mental crisis, lack of efficient problem-solving strategies make a large number of young people engage in self-destructive behavior. Undoubtedly, one of the major causes of such situation is the feeling of being lonely and abandoned in difficult everyday problems. Young people all over Europe live in the atmosphere of fear, anxiety and hopelessness and when being affected by a personal crisis or problem they probably too often hear the words “I don’t know, I’m tired, depressed or exhausted”. Such response forces them to deal with their problems on their own.

While making recommendations for teachers, the scale and importance of the issue of loneliness should be emphasized. Teachers and educators must see the problems of the youth in the first place. Recognizing first symptoms, i.e. decrease in social activity, isolating oneself from the peers or inability to maintain social bonds and relations, reduces the time needed for therapeutic process should negative consequences of loneliness and alienation occur. The importance of communication with others (e.g. engaging in a discussion, reading body language) should be also noted and the ability to identify one’s own emotional states and seeking help in crisis situations should be developed as well. Teaching social sensitivity and openness to the needs of others to young people should also be an important task for the teachers. It should also be mentioned that the ability to identify emotional states of others should become an important element in education of parents.

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# NORMATIVE AND DEVIANT BEHAVIOR IN TERMS OF D. UZNADZE SET THEORY BASED STRAIN MODEL

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## Abstract

Normative systems are major adjustment instruments. Subjective existence of social values and activity standards reflected in norms has its mental equivalent – the system of fixed unconscious sets and expectations underlying activity. Absence of relevant normative sets hinders adaptation and results in different types of tension. Some forms of tension actualize through non-normative channels and create a basis for deviant behavior. Adaptation or the normativity of activity cannot be ensured only by unconscious systems of sets fixed through experience. To adjust to changeable environment it becomes necessary to form new sets which will be later integrated into the existing system. Formation of new sets (D. Uznadze's "primary/situational" set) requires conscious resources. When the re-actualization of fixed set or the formation of primary set faces some problems resulting in the blockage of activity and the production of tension, effective adaptation cannot be ensured either through unconscious regulation or conscious voluntary regulation. Only the synergism of the two regulatory levels can ensure the modification of fixed sets, formation of primary sets, prevention of strain/ deviation and the normativity of activity. Many classical theories try to explain the formation of strain by blockage of dynamic mental formations. Explaining strain by blockage of existing fixed sets (i.e. from the perspective of Uznadze set theory) represents an original approach to the problem. Furthermore, the explanation of strain by failure to form the situational set necessary for adaptation represents a new approach to the psychological investigation of strain and deviation phenomena.

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**Keywords:** Psychological tension, strain, set, normativity, deviation

## Introduction:

Strain theory is one of the central theories explaining deviant activity. The classical conceptual approach has a poorly elaborated psychological aspect, also from the perspective of set theory. Development of an original approach to the psychological components of strain theory might serve the promotion of normative activity and stability of the social system as well as reduction and prevention of deviant activities.

Along with the satisfaction of social subjects' needs and interests, adjustment to the environment implies the existence of the resulting state of balance and harmony both with oneself and the environment.

Normative systems provide ready, tested and sanctioned instruments the utilization of which ensures the effectiveness of adaptation and minimizes the risk of tension caused by disadaptation and imbalance.

Social values and activity standards reflected in norms have their mental equivalent – the system of fixed unconscious sets which represent a psychological basis of their realization and underlie adaptive activity.

According to D. Uznadze set theory, set, as the state of psycho-physical readiness for adaptive activity, creates a basis for any level of regulatory activity. One of its forms is



primary or situational set which stops existence as soon as its constituting factors lose importance. Another form of set is represented by mental formations – fixed sets, the fixation of which takes place in the course of past experience [9:26].

The concept of set developed by D. Uznadze psychological school encompasses not only fixed sets (scope of the concept of attitude) or primary sets formed with the consideration of present givenness, but also the types of set specific of the personality level of human development which reflect future, prospective aspects of social values and, due to this, ensure a maximum adaptive value of activity.

Adaptive activity running on the personality level (or the level of normative activities) implies the existence of a form of fixed set - dispositional set [1:20], having the following specific attributes: 1. existence in permanently active state; 2 ability to self - actualize (relative independence from external stimulation); 3. ability to affect a very wide range of events; 4. ability of being actualized by a very wide range of events; 5. dispositional set is social value oriented; 6. is characterized by a high level of stability. Such sets are permanently supplied with energy because they are not dependent on the satisfaction of individual needs. They are based on internalized social values that are incorporated into set structure and, for this reason, their “satisfaction” can be understood as a permanent process of the realization of sets through the activity aimed at the realization of values. Therefore, dispositional sets are never fully realized or never reach the state of balance understood as stagnation. The balanced state for like sets implies their continual dynamic existence, continual realization. It is the hindrance of such a dynamic process that forms tension, i.e. imbalanced state of the system stimulating different types of activities (including deviant activity) which are aimed at the reduction of the given imbalance [2:55].

Adaptation and normativity of activity cannot be ensured only by the systems of set fixed through past experience. To modify fixed dispositional sets and adjust them to changeable environment it becomes necessary to form new situational sets. Formation of new primary sets for the realization of fixed dispositional sets requires conscious resources, since the named sets have to take into consideration current and future social requirements, and the social value of expected results [1:22].

Therefore, prosocial normative activity implies the existence of the state of psychophysical readiness the structure of which involves prospective factors. For example, in the absence of the situational factor or the object having some valency it is replaced by a pattern of anticipated, expected event. If the level of certainty related to the realization of prospective event is high, it can serve the function of the structural factor of set and the corresponding set can initiate adaptive activity. Otherwise, inability to adapt produces tension and the tendency to use the deviant adaptation method. Subjects differ in terms of a) ability to form set on the basis of the expected; b) value systems and hierarchies able to function as a motivational determinant of activity; c) stable dispositional systems of like sets which are in the state of permanent actualization.

To adjust goals according to social needs and/or choose a normative way of reaching a desirable result, the subject has to partially give up one's interests and expect more modest and/or delayed, but socially acceptable results. The subject makes this kind of compromise when, in addition to being attractive (i.e. being able to satisfy the interest) the result or, in this case, the motivational determinant is characterized by the corresponding level of expectancy/relevancy. To reject non-normative ways of prompt goal achievement, the subject needs a guarantee that the normative way will lead to desirable results within a reasonable period of time and that the achievement of goal is highly probable. The subjective probability underlying the certainty of achieving expected results is increased by additional guarantees provided by the following factors: a) Rule of law (guaranteeing the achievement of desirable results by means of normative activity through stability and the gains resulting from law abidance) and the legal state based on the rule of law [4:19]; b) Cognitive social

capital (co-participation of the society and the state as a guarantee of achieving results through normative activity) and a high level of structural social trust [5:72].

Therefore, normativity of behavior and the prevention of deviant behavior are ensured by the person's ability to form (and maintain) stable sets on the basis of social values. It is also ensured by successful socialization resulting in the internalization of normative attitudes.

Since social values are based on social expectations and adherence to social norms depends on a high level of certainty related to expectations, several factors, determining normative character of activity (or, consequently, deviation), have to be singled out. These are:

1. External factors – Fulfillment of expectations/realization of set or the normative space of the guarantees needed for the performance of prosocial activity ensured by the legal state, civil society and the supremacy of law;

2. Internal factors: a) on the individual level - systems of dispositional sets formed on the basis of values and characterized with the level of readiness needed for the realization of these values; formation, through socialization, of the skills required by conscious voluntary activity for the initiation and control of normative activity; b) on the collective level – normative expectations, attitudes and legal culture (legal consciousness and the experience of law abiding activity).

It is only the compatibility of these factors that ensures the stability and normativity of activity and prevents deviation.

Absence of relevant normative sets or the existence of problems with the re-actualization of fixed set/ formation of primary set hinder adaptation or make adaptation impossible. The disturbance of balance caused by disadaptation results in different forms of tension [6: 71]. The problems related to the sources of such tension are very close to the understanding of the phenomenon of set as adaptation oriented integrate psycho-physical modification and mobilization. There is also an important connection between strain and the state of readiness specific of set, which will be discussed below.

As already said, in addition to the unconscious resources provided by set, normative prosocial activity also requires involvement of the conscious level of mental activity. Stemming from Uznadze theory, connection between the unconscious and conscious levels of mental activity and the regulation of activity are ensured by objectification. From the perspective of Uznadze theory, the objectification act is related to impediment in the realization of set caused by incompatibility of the individual's fixed and actualized sets with the changed situation [8:92]. In general, irrespective of whether there are problems with the realization of fixed set or the formation of a new, situational set, objectification takes place only when it is impossible to carry out adaptive activity based on the named forms of set.

It should be emphasized that the objectification act is caused by hindrances in the realization of both actualized fixed set and primary set. We should also take into consideration that in addition to the above reasons, objectification can be also caused by failure to modify these sets or replace them with newly formed sets. In this case we are talking about the formation of primary (i.e. situational) set, where the problem triggering the objectification act is the absence of the factors necessary for the formation of fully structured primary set [3:31]. In terms of the specificity of the structure of set we are talking about the possibility of set formation in such cases where set is structured by anticipated, prospective, expected and valent events represented on the ideal level (the version of the motivational model of expected value in which motive is represented by the result determining adherence to the norm). It is clear that the formation of this type of set is only possible through the involvement of the conscious level. The primary sets determining normative behavior and shaped in this way are fixed in certain conditions and continue to exist as unconscious mental entities not requiring

any further conscious intervention for the purpose of compatibility between activity and previously imprinted normative patterns.

The absence of like sets or inadequate development of their attributes results in the failure of normative activity and a risk of deviant behavior. Like risk arises because of the absence of fixed sets ensuring normative behavior and because of the absence of organizing individual personality that would structure and shape the named resources, increase the readiness level and ensure their realization. Thus, another necessary precondition is the existence of the subject of activity who is expected to have the following characteristics: 1. a) ability to purposefully distort the existing mental balance due to the needs of the social environment; b) ability to form the type of dispositional sets described above on the basis of prospective expected results following the realization of social values; c) possession of highly developed skills enabling the subject to consciously and, also, voluntarily, regulate impulsive activity (carried out on the level of set). Existence of these characteristics increases the predictability of social subjects' behavior as well as the confidence in normativity of their activity. 2. Sufficiently developed resources for unconscious mental regulation (i.e. the presence of the system of dispositional sets ready for self-actualization as well as the initiation and regulation of activity). Stable, permanently dynamic dispositional sets, aimed at the realization of social values, impede the formation or actualization of incompatible, non-normative sets. The described mechanisms take part in the prevention of deviant behavior by blocking formation of sets preceding deviant behavior and ensuring a sort of resistance against non-normative activity.

Synergism of the conscious and unconscious levels regulating activity is a necessary precondition for normative behavior and, consequently, a precondition for the prevention of deviant behavior. Set based and conscious regulation mechanism complement and back up each other in an unusual environment and, by doing so, ensure the stability and adaptability of normative behavior [7:22]. When used as an adaptation instrument, deviant behavior can be understood as a last resort. Such a necessity arises when the social subject lacks the relevant resources for normative adaptation, including fixed sets. Therefore, deviation could be related to the following: a) Inability to form specific primary sets with the use of data only in a prospective way or anticipate the outcomes of the realization of social values, which points to inadequate development of conscious and ethical levels of reflection and regulation; b) Absence or inadequate actuality of dispositional sets caused by their weak fixation resulting from their insignificant personal value for the activity subject; c) Peculiarities of the social environment unfavorable for the formation of new socially oriented sets or the incorporation and fixation of already existing social sets

### **Conclusion:**

Absence of relevant normative sets or the existence of problems with the re-actualization of fixed set/ formation of primary set hinder adaptation or make adaptation impossible. Inability to form the state of readiness necessary for behavior or the blockage of the set realization process produce different forms of tension. Some forms of tension tend to realize in a non-normative way (strain), which results in deviant behavior. Explanation of tension by blockage of the realization of dynamic mental formations – sets, is in line with the traditional strain models (psychodynamic and/or psycho-hydraulic models) which focus on unrealized mental formations. According to these theories such mental formations tend to realize themselves through activity. When the realization process is blocked their unused energy creates tension.

As for set theory, it explains the creation of tension by a) existence of non-realized fixed mental formations, and, b) inability or impossibility to form the sets necessary for adaptation (and, consequently, necessary for the prevention of the undesirable state of strain). If we take into consideration that a general level of tension increases in case of

necessity of adaptation (which is related to mobilization, concentration, directedness and readiness) then the formation of set would imply a purposeful directedness at the adaptation tasks corresponding to the general level of tension through which it would be possible to release the tension or state of readiness. If set fails to form, then tension a) is not able to realize itself through activity, or, b) localize, acquire specific, directed character and accumulate into the readiness for prospective activity existing in the form of fixed set with delayed realization potential (e.g. conative component of set). In this case it will have a weaker tendency to transform into the set underlying another type of activity (undesirable activity). In case of the absence of set the tension meant for adaptation will transform into a counterproductive, destructive tension and might later achieve realization through undesirable activities (e.g. deviation, as an instrumental activity caused by a deficit of the relevant dispositional sets representing a resource for normative activity).

Stemming from the above we can single out several sources of strain/tension, and, consequently, deviant activity:

1. Existence of dynamic mental formations with high level of readiness for realization (i.e. existence of not only cognitive and/or affective components but also of the fully developed conative component) which have no realization opportunity or the realization of which is blocked;

2. Absence of dynamic mental formations with high level of readiness for realization or impossibility of the formation of the sets necessary for adaptation for the following reasons: 1) insufficient differentiation of one of the factors; 2) absence of the system of similar normative dispositional sets (caused by gaps in the socialization process) the energy of which could be used for the formation of new sets; 3) insufficiently developed skills involved in voluntary activity, due to which it becomes impossible to a) compensate the factor related deficit through the use of prospective entities (e.g. content of values) as motivational determinants, and b) ensure permanent experiential givenness of goals/ prospective entities.

3. Absence of the synergism between the levels of mental regulation, due to which a problem emerging on one level cannot be compensated by the other level of regulation, which makes adaptation impossible and creates a risk of strain formation;

4. In the absence of synergism between conscious and unconscious resources or in the case of incompatibility between the tendencies actualized in parallel to these levels, conscious and unconscious tendencies block each other. Because of these internal, subjective and psychological incompatibilities (rather than environmental problems, as stated in many sociological approaches) it becomes impossible to perform behavior, resulting in inability to adapt, and consequently, in the creation of tension.

Neither set based unconscious regulation nor conscious voluntary regulation can separately ensure effective adaptation. Only the compatibility and synergism of these two levels can ensure the modification of fixed sets and formation of primary sets. The latter two create preconditions for effective adaptation and prevention of deviation/strain.

Thus, adaptation problems and different forms of tension are caused by blockage of formation/ realization of the set systems underlying adaptive behavior and their existence in non-realized form. In more general terms, tension is created by the disturbance of mental balance understood as a continual dynamic process of set formation, change and realization.

Differentiation of the stages of set formation, fixation and functioning as well as interpreting the balance-tension dynamic model in terms of set, will significantly enrich the theoretical and practical research instruments which could be used for the investigation of the non-productive/destructive mental state caused by a deficit of adaptation resources.

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# PERSONALITY-MEDIATED DIFFERENCES IN COPING BEHAVIOR AS PRECURSORS OF THE SUBJECTIVE WELL-BEING

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## Abstract

The phenomenon of the subjective well-being (SWB), which is used in the contemporary personality research as the correlate of the key notion of the lay theories of happiness, is claimed to be determined predominantly by neuroticism, since the demographic personality factors, widely investigated in this context, appeared to have only about 10 % effect on happiness. The objective of this study was to examine the hypothesis of the existence of a hierarchy of the personality precursors of the subjective well-being and mental health continuum (MHC), which were verified through the mediating effect on the choice of the different forms and strategies of coping behavior. Using the statistical methods of the correlational, factor and cluster analysis, it was found out on a sample of a 64 university undergraduates, that SWB and MHC are determined by the hierarchy of personality precursors, the key role among which is played by ego-involvement (strive to self-evolution), ego-identity (self-esteem and belief in self-efficacy), while neuroticism had significant negative correlations only in one out of three factors singled out in the sample. It was concluded that the higher are the levels of ego-involvement and ego-identity, the more diverse is the repertoire of the constructive coping strategies and forms of coping behavior. The phenomenon of self-handicapping, conceptualized in this research as the form of non-constructive proactive coping, appeared to be significantly lower in clusters with high ego-identity and ego-involvement. Thus, its status as a non-constructive coping strategy was confirmed.

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**Keywords:** Subjective well-being, ego-identity, ego-involvement, coping behavior, self-handicapping

## Introduction

The efforts of the contemporary psychologists to define the aspects of personality, promoting the actualization of human potential, have revived an interest in the Aristotelian ideas of the eudaimonic and hedonic components of happiness as a likely consequential outcome of self-actualization. In the science of happiness the latter is conceptualized in terms of the subjective well-being (Diener, 1984). The notion of the subjective well-being is defined as having two components: cognitive and affective ones, assessed respectively through the satisfaction with life and the ratio of the positive and negative emotions, experienced by the individual in the real-life settings (Diener, 2000).

There is empirical evidence confirming that the subjective well-being taps both: the eudaimonic and hedonic perspectives of happiness. It has been reported in recent studies (Diener et al., 2010; Dogan, Totan & Sapmaz, 2013) that it positively correlates with the psychological well-being – another important personality construct, describing, in the first

rate, the eudaimonic aspects of human functioning, manifested in maintaining positive relations with others, experiencing feelings of competence (ecological mastery), positive self-acceptance, having meaning and purpose in life (Ryff, 1989). It was also found out that high ratio of the positive vs. negative emotions in the individual evaluation of one's life experiences does not necessarily correlate with the *material* and *economic* indices of the quality of life. People in the underdeveloped countries are reported to experience the same average level of satisfaction with life as the people in the countries with the higher level of economic development. This peculiar paradox suggests that neither cognitive, nor affective components of the satisfaction with life are solely determined by the hedonic pleasurable experiences but rather reflect the eudaimonic perspective of the subjective well-being. The latter can be caused by the positive prosocial emotions, related to the self-fulfillment of the individual and his/her adequately high level of self-esteem as a consequence of satisfaction with oneself as an *agent* of the purposeful activity. This effect was observed in the studies of the emotional burnout of teachers in the countries with different levels of economic development. The burnout appeared to be moderated by the level of satisfaction of the teacher with oneself as an agent of professional activity (Grysenko & Nosenko, 2012), rather than by the level of salary or of other situational factors.

The practical significance of this type of research is evident. Until recently, researchers claimed that *genetic factors* have a 40 to 50 % effect on happiness (Lykken & Tellegen, 1996), whereas the precursors of the remaining 50% of possible between-person differences remained practically undefined, since the demographic factors, studied in this context (life conditions, age, gender, education level, marital status and the like) appeared to have only up to 10% effect on happiness (Dogan, Totan & Sapmaz, 2013). Recently there appeared one more new line of research in personality differences which is likely to help fill in the gap in studying the determinants of the subjective well-being. One of the keynote speakers at the 28<sup>th</sup> Conference of EHPS (Bordeaux, France, July, 2013), Lutz Yankie in his lecture entitled "Brain, Cognition, Self-Regulation and Health" claimed, with reference to the new empirical data, that an efficacious self-regulation manifested in the form of goal-setting, decision-making, planning of one's own purposeful behavior and using the appropriate forms and strategies of coping, is beneficial for the individual's health, both mental and physical. The participation in this conference encouraged the authors of this article to analyze the empirical findings, obtained by one of the co-authors of this paper Dina Nosenko in course of working on her MA thesis, to highlight the role of the individually preferred coping strategies and forms of coping behavior in the individual's subjective well-being and mental health.

We ascribed a particular significance for the subjective well-being to the habitual choice by the individuals of two different forms of proactive coping: a constructive one (Greenglass, 1998; Schwarzer & Taubert, 2002) and a non-constructive one, manifested by the phenomenon of *self-handicapping* (Colman, 2009, p.682) and substantiated the possibility of viewing the individually preferred forms and strategies of coping behavior as a consequential outcomes of a hierarchically arranged system of the personality resources.

### **Substantiation of the subject-matter of this research and its methodology**

#### ***An alternative strategy for personality science in determining individual differences***

In the new SAGE edition of the Handbook of Personality Theories and Assessment (Boyle, Matthews, Saklofske, Eds, 2008), alongside with the classical structural approach to the study of personality factors determining the individual differences in behavior, *alternative strategy for personality science* has been highlighted. While the dispositional approach to studying individual differences in personality functioning represented by the stable traits like the Big Five, can best explain between-person differences in a comparatively limited number of everyday situations, the within-person causal dynamic is claimed to be best tapped (Cervone, 2008; Campbell, 2005), by the personality constructs, formed on the borderline

between the *personality* and *abilities* (like emotional intelligence); *personality and values*, like the so-called character strengths, identified by positive psychologists (Peterson & Seligman, 2004); *personality and self-regulation*, like individually preferred coping strategies or specific adaptations (Parker & Wood, 2008). The latter (coping strategies and forms of coping behavior) were chosen as the subject-matter of this paper for the following reasons.

The subjective well-being has not yet been sufficiently investigated as a possible outcome of the efficacious coping behavior, moreover the new type of the specific adaptations – the *proactive coping* (with different forms of its manifestation, like: preventive coping, strategic coping, seeking emotional or instrumental support, etc.) has been identified (Greenglass, 1998; Schwarzer & Taubert, 2002). All the forms of the proactive coping are characterized as “constructive”. We have chosen for this research as their non-constructive opposite form of proactive coping the construct of *self-handicapping* (Feick & Rhodewalt, 1997), which is interpreted as “imposing an obstacle to one’s successful performance in a particular situation in order to provide an excuse for failure (usually in a person of low self-esteem)” (A. Colman, 2009, p.682). Self-handicapping has been studied before as a motivational strategy to investigate the “sensitive ego”.

The significance of studying different forms and strategies of coping behavior in the context of their role in determining the subjective well-being of the individual is determined not only by their role in dealing with stressful situation, but also by the likely possibility to use the information about the relative frequency of using particular types of coping behavior for the implicit personality diagnostics, since coping behavior lets itself for overt observation in the real life settings. So, this line of research is likely to open up new vistas for developing post – non classical methodology in personality research in psychology.

Since self-regulation has been claimed in the introduction to this paper to be a likely personality-mediated precursor of mental and physical health, the investigation of the frequency of resorting by the individual to the proactive coping strategies might cast new light on studying the *agentic activity* of the individual which might characterize the high level of self-evolution.

The research questions set forth for empirical study, presented in this paper, were formulated as follows.

1. Is there a *hierarchy* of the personality precursors of the subjective well-being and can it be revealed through the preferred forms and strategies of coping behavior used by the individuals with different levels of subjective well-being?
2. If the hierarchy of the personality precursors of the effective self-regulation exists, will the personality constructs of ego-identity and ego-involvement be predictive of using more constructive types of coping?
3. Will the differences in the hypothesized personality precursors of self-regulation be manifested in different levels of probability of using constructive proactive coping behavior vs. self-handicapping?

### **Hierarchical structural model of the personality-mediated differences in coping behavior**

The preliminary answers to the questions of the empirical research, the results of which are summed up in this paper, have been presented in the hierarchical structural model of the personality-mediated differences in coping behavior, developed by the authors. The model accounts for the individual differences in the *evaluation of the situations* which call for the decision making as to the choice of the coping efforts at three levels: 1. *Primary* (affective) appraisal of the situation; 2. The *cognitive* evaluation by the individual of the available coping resources; 3. The *generalized appraisal* of the situation and oneself as an agent of coping behavior.



The *primary* evaluation of the situation, which calls for coping efforts, can result in perception of it either as a *threat* or as a *challenge*. The personality precursors of the choice of the forms and strategies of coping behavior on the *primary (affective)* stage are determined by the dispositional traits, primarily by genetic factors. Emotional stability and extraversion are likely to be precursors of the perception of the situation as a *challenge* while neuroticism- as a *threat*.

The likely personality precursors of the *cognitive appraisal* of available coping resources are *ego-identity*, manifested by high vs. low levels of self-esteem and belief in self-efficacy and ego-involvement, manifested by dispositional characteristics of personality self-evolution as appraised in terms of available resources, mechanisms and levels of involvement (Kusikova, 2012). High levels of self-esteem, belief in self-efficacy and self-evolution result in cognitive appraisal of resources as sufficient and in orientation to their active use. Low levels of self-esteem and belief in self-efficacy, and orientation of the coping behavior to the defense of one's sensitive ego result in cognitive appraisal of resources as insufficient and using non constructive proactive coping to defend one's sensitive ego. It is hypothesized, thus, that constructive proactive coping strategies will be pertinent to the individuals with high level of ego-involvement and positive ego-identity, and whereas individuals with low level of ego-involvement and negative ego-identity will resort to self-handicapping as a non constructive proactive coping will be used the individual's sensitive ego.

The above described hierarchical structural model includes also the *generalized level of appraisal of oneself as an agent of coping behavior*. If the appraisal is positive the individuals are expected to experience subjective well-being, operationalized in this research in terms of satisfaction with life and mental health continuum, and likelihood of using the wide variety of constructive proactive coping strategies is high. In case of the negative generalized appraisal of oneself as an agent of coping, the low level of subjective well-being and mental health continuum are expected. The likely forms of coping behavior include non constructive proactive coping, manifested in terms of self-handicapping and counterfactual thinking.

The hypothesized forms and strategies of coping behavior are identified in the developed model as follows: if the situation is perceived on the *primary (affective)* level as a *challenge*, the likely coping strategy is the problem-focused one. If the situation is perceived as a *threat* the coping the tendency for avoidance is demonstrated. At the level of *cognitive evaluation* of available coping resources, the problem-focused coping signals the availability of resources and the positive *ego-identity*, and the emotion-focused coping is associated with insufficiency of resources and negative *ego-identity*. At this level of *cognitive appraisal of resources*, the proactive constructive coping strategies (preventive, strategic, reflexive and others) are likely to be resorted to by the individuals who have sufficient resources. If the individuals perceive their resources as insufficient and have a sensitive ego, the likely coping strategies they will resort to are emotion-focused coping and non constructive proactive coping conceptualized in the form self-handicapping.

The suggested model is hierarchically arranged from top to bottom, which means that we ascribe more significance in determining the differences in coping behavior to personality precursors of the second and third levels, namely levels describing self-authenticity of the individuals (ego-identity and ego-involvement). To test the psychological reality and expediency of the model in empirical research was carried out.

## **Method**

### **Participants**

The sample included 64 participants, aged 18-21 (mean age 19 years 6 months), undergraduate students of Oles Honchar Dnipropetrovsk National University, currently continuing their education during the 2013-2014 academic year. Of the participants, 62.5 % (n=40) are female and 37.5 % (n=24) are male. Participation in the empirical study was a part

of their course work for which students were supposed to get credit after completing the course.

## **Materials**

### **Coping Inventory for Stressful Situations (CISS)**

The Coping Inventory for Stressful Situations was used to measure task-, emotion-, and avoidance-oriented coping strategies (Endler & Parker, 1990; adapted to the Ukrainian culture in 2004 by Krukova). The measure consists of 46 items to which subjects respond on a seven-point Likert scale ranging from 1 – “strongly disagree”, to 7 – “strongly agree”. The stem question requests that individuals rate how much they engage in each activity when they encounter difficult, stressful or upsetting situations. Sample items for the respective subscales include: task-oriented coping, “Think about how I solved similar problems”; emotion-oriented coping, “Blame myself for not knowing what to do”; and avoidance-oriented coping, “Watch TV; call a friend”. Reliability and validity estimates for the Ukrainian adaptation of CISS provide support for internal consistency of all the scales. Cronbach  $\alpha = .876$  for the whole inventory,  $\alpha = .853$  for the problem-focused coping;  $\alpha = .877$  for emotion-focused coping and  $\alpha = .814$  for the avoidance coping.

### **Proactive Coping Inventory (PCI)**

PCI consists of 6 subscales, 55 items total (Greenglass & Schwartz & Taubert, 1998, adapted to the Ukrainian culture by E.Starchenkova, 2002). The six subscales of the Ukrainian adapted version of PCI are: The Proactive Coping Scale, the Reflective Coping Scale, Strategic Planning, Preventive Coping, Instrumental Support Seeking, and Emotional Support Seeking. The subjects are asked to evaluate the degree of agreement with the following statements on a 4-point scale, from 1 - “totally disagree” to 4- “totally agree”. The authors note that in case of shortage of time, The Proactive Coping Scale can be used as the single independent measure. The Proactive Coping Scale combines autonomous goal setting with self-regulatory goal attainment cognitions and behavior (Greenglass, 1998). The scale has high internal consistency, Cronbach  $\alpha = .85$ . The Reflective Coping Scale consists of 11 items and includes contemplating about various behavioral alternatives, brainstorming, analyzing problems and resources, etc. The Reflective Coping Scale has internal consistency as seen in Cronbach  $\alpha = .79$ . Strategic planning subscale comprises of 4 items and focuses on breaking extensive tasks into manageable components as well as generating goal-oriented schedule of action. This scale has acceptable reliability,  $\alpha = .71$ . Preventive Coping deals with anticipation of possible stressors and initiation the preparation before stressors develop fully. The 10-item Preventive Coping Scale correlates positively with another measure of Preventive Coping (Peacock & Wong, 1990), with Internal Control, Active Coping, Planning and Acceptance. Instrumental Support Seeking combines seeking of assistance, information or advice about what to do and the greater the seeking of empathy from others. Finally, Emotional Support Seeking 5-item subscale deals with seeking the advice and empathy from others.

### **Self-handicapping Scale**

The Self-Handicapping Scale is comprised of 25 statements designed to assess an individual's proclivity to display self-handicapping behavior. For each statement, subjects were asked to indicate their level of agreement on a six-point scale. Large group testing sessions indicate that the scale exhibits acceptable internal consistency (Cronbach alpha = .79) and test-retest reliability ( $r = .74$  after one month). The predictive ability of the scale is confirmed by a number of studies (Feick & Rhodewalt, 1997). The instrument was translated into Ukrainian for the first time by an experienced researcher with a first degree in translation and then checked by the research team, who were fluent in both English and Ukrainian. Care

was taken to ensure each item translated retained a meaning as close as possible to the original version by means of a back translation process.

### **NEO Five-Factor Inventory (NEO-FFI)**

NEO Five-Factor Inventory (Costa et al., 1992, adapted by V. Orel) is a 60-item inventory, comprising questionnaires for measuring the Big Five personality factors. Participants in our study rated 60 behavior-descriptive statements on 7-point Likert scales, ranging from 1 (strongly disagree) to 7 (strongly agree), indicating the degree to which they thought the items were characteristic of them. The NEO-FFI is one of the most widely used measurement tools of the Big Five and has very strong psychometric properties. Six-year test-retest reliability has ranges from .63 to .82. For the NEO FFI (the 60-domain-only version), the internal consistencies were: for neuroticism  $\alpha=.79$ ; extraversion  $\alpha=.79$ ; openness to the new experience  $\alpha=.68$ ; agreeableness  $\alpha=.75$ ; conscientiousness  $\alpha=.83$ . Adapted version Cronbach alphas reliabilities were reported as follows: E = .76, N = .63, O = .75, C=.73, A=.79.

### **The Positive and Negative Affect Scale (PANAS)**

The Positive and Negative Affect Scale (Watson et al., 1988, adapted to Ukrainian culture in 2012 by E.Osin) intended to assess general positive and negative affect. The scale is comprised of 2 subscales measuring positive and negative affect respectively. PANAS is composed of 20 adjectives describing different feelings and emotions. Subjects are asked to read each adjective and mark how often he or she felt this way in the past few weeks, on a 5-point Likert from 1 – “almost never” to 5 – “very strongly”. Internal consistencies as seen in Cronbach alpha are: for positive affect =.89, and for negative affect = .86.

### **The Satisfaction with Life Scale (SWLS)**

The 7-point Likert scale that has been developed by Diener et al. (1985) and adapted into Ukrainian culture by D. Leontiev and E.Osin (2008) contains five items. The internal consistency (Cronbach  $\alpha$ ) and test-re-test coefficient of the adapted version of the scale is .75 and .70 respectively.

### **Mental Health Continuum – Short Form (MHC-SF)**

MHC-SF, designed by Keyes (2006) is composed of 14 items and provides measures of subjective well-being, psychological well-being and social well-being. We used our own translation into the Ukrainian language without adaptation (as allowed by the author, if the scale is used for research). The short form has shown good internal consistency (Cronbach  $\alpha=.80$ ) and discriminatory validity. Test-re-test reliability estimates range from .57 to .82 for the total scale. The three factor structure of the short form - emotional, psychological, and social well-being – has been confirmed in American representative samples (Keyes, 2006).

### **Rosenberg Self-Esteem Scale (RSE)**

For measuring global self-esteem Rosenberg Self-Esteem Scale (1965) was used. The scale consists of 10 items, responses being measured on 4-point scale, from 1- “strongly disagree” to 4-“strongly agree”. Cronbach  $\alpha$  reliabilities for the RSE are reported from .72 to .88.

### **The General Self-Efficacy Scale (GSE)**

The General Self-Efficacy Scale is a 10-item psychometric scale that is designed to assess optimistic self-beliefs to cope with a variety of difficult demands in life. The scale has been originally developed in German by M.Jerusalem and R. Schwarzer in 1981 and adapted to the

Ukrainian culture by V.Romek in 1996. During adaptation study single general factor was confirmed and internal consistency coefficient was reported as  $\alpha=.847$ .

### **Dispositional Characteristics of Personality Self-Evolution**

To assess individual's awareness of oneself as an agent of self-evolution, we used a new Ukrainian thought-out inventory "Dispositional Characteristics of Personality Self-Evolution" (Kusikova, 2012). The Inventory consists of 30 statements rated on a five-point Likert Scale (with 5- "very much like me" and 1- "not like me at all"). The statements are formulated like: "I believe in my potential abilities and strive to self-actualization"; "I enjoy doing things that require maximum commitment and efforts"; or "In my life I am guided by the ideals of the truthfulness, goodness and beauty" etc. The Inventory has 3 scales. The meaning of the first scale is described by the author (Kusikova, 2012) as the awareness of the individual in the necessity of self-growth, self-evolution; openness to changes, interest in the events of the surrounding world; interest in one's own inner world. The meaning of the second scale "Conditions of self-evolution" is defined in the terms of autonomy, positive self-perception, strength and maturity of the self-image; awareness of one's goals, active life strategies. The meaning of the third scale "Mechanisms (functional means) of self-evolution" is defined in terms of self-comprehension (strive to authenticity); self-reflection (self-analysis)' awareness of the discrepancies between the real and the ideal self; sensitivity to the feedback from other people. The author reports internal consistency of the Inventory  $\alpha=.70$

### **Procedure**

The research data was acquired from the students at Oles Honchar Dnipropetrovsk National University during 2012-2013 academic year. The participants of the research were included in the study following a short brief about the research and then were asked to fill in suggested questionnaires individually and provide their demographic details to the authors of this research. The analysis of the data was carried out via IBM PAWS SPSS 18. Three types of research procedures have been carried out: the correlational analysis (r-Pearson product moment correlation coefficients) were assessed among all the variables included in the hypothesis; factor analysis (the method of independent components with Varimax rotation) was carried out to identify the variables with eigenvalue exceeding 1; and cluster analysis (k-means algorithm) was performed as a part of a quasi-experiment to identify subgroups of subjects with differences in their personality variables, differences between cluster means being assessed with t-test.

### **Findings**

In the hypothesis hierarchical model that was formed to explain a mediating effect of the personality authenticity variables on the efficacy of self-regulation and subjective well-being as a consequential outcome it was put forward that there were significant relationships between neuroticism, self-esteem, belief in elf-efficacy, level of self-evolution and the self-regulation efficacy as dependent variables mediating their effect on the subjective well-being.

As a result of the *correlational analysis* it was determined that there were significant relationships between all the variables in the model, supporting the hypothesis (see Table 1).

Table 1. Relationship coefficients between the dependent (Self-regulation efficiency) and independent (personality authenticity) variables.

| Hypothesized dependent variables of Self-Regulation (coping strategies) | Hypothesized independent personality variables of self-authenticity |               |                         |  |                                       |  |  |                       |                         |
|---|---|---------------|-------------------------|--|---------------------------------------|--|--|-----------------------|-------------------------|
|   | Neuroticism   | Self-Esteem   | Belief in Self-Efficacy | Dispositional self-evolution resources | Needs of dispositional self-evolution | Conditions of dispositional self-evolution | Mechanisms of dispositional self-evolution | Subjective well-being | Mental Health Continuum |
| Problem focused   | -.144   | .068          | <b>.477**</b>           | <b>.562**</b>                          | .215                                  | <b>.554**</b>                              | .391**                                     | <b>.344**</b>         | .173                    |
| Emotion-focused   | <b>.513**</b>   | <b>-.299*</b> | <b>-.486**</b>          | -.214                                  | <b>-.345**</b>                        | <b>-.269*</b>                              | .240                                       | .089                  | <b>-.267*</b>           |
| Avoidance   | -.039   | -.062         | .112                    | .019                                   | -.131                                 | -.037                                      | <b>.249*</b>                               | .172                  | -.053                   |
| Distraction   | .027  | -.095         | -.135                   | -.216                                  | <b>-.318*</b>                         | <b>-.268*</b>                              | .203                                       | .076                  | <b>-.302*</b>           |
| Seeking social support  | -.028   | .183          | .213                    | .224                                   | .120                                  | .149                                       | .209                                       | .176                  | .096                    |
| Proactive   | <b>-.396**</b>  | .165          | <b>.480**</b>           | <b>.316**</b>                          | .193                                  | <b>.390**</b>                              | .034                                       | <b>.249*</b>          | .205                    |
| Reflexive   | -.202   | -.114         | <b>.365**</b>           | <b>.279*</b>                           | -.122                                 | <b>.371*</b>                               | <b>.345**</b>                              | .128                  | .131                    |
| Strategic   | -.140   | -.079         | <b>.451**</b>           | .180                                   | -.006                                 | .240                                       | .135                                       | .092                  | <b>.248*</b>            |
| Preventive  | -.040   | -.116         | <b>.300*</b>            | -.010                                  | -.196                                 | .146                                       | .071                                       | .191                  | <b>.321*</b>            |
| Seeking of emotional support  | .110  | -.048         | .016                    | <b>.276*</b>                           | .010                                  | .194                                       | <b>.408**</b>                              | .163                  | .109                    |
| Seeking of instrumental support   | .064  | <b>.288*</b>  | <b>.329**</b>           | <b>.336**</b>                          | .179                                  | <b>.341**</b>                              | .163                                       | .138                  | <b>.300*</b>            |
| Self-handicapping   | .240  | <b>-.304*</b> | <b>-.452**</b>          | -.182                                  | -.184                                 | <b>-.285*</b>                              | .146                                       | -.084                 | <b>-.251*</b>           |

\*p≤.05

\*p≤.01

The analysis of the correlation data has confirmed the hypothesized significance of the effect of the personality characteristics for the self-regulation efficacy.

1. As shown in Table 1, the probability of the choice of the most efficacious of the coping strategies identified by Endler and Parker (Endler & Parker, 1999) – problem-focused one, statistically significantly correlates with 6 of 9 personality variables, including subjective well-being, besides all of these correlations are positive. The least efficacious coping strategy, the emotion-focused one, statistically significantly negatively correlates with five personality variables, including mental health continuum. The sixth significant correlation, which is positive, is registered with a genetically determined factor of neuroticism.

2. The correlational analysis has also proved the probability of the hierarchical nature of relationship between personality variables and the self-regulation efficacy. The higher are the values of the linear correlation coefficients, the higher is the level of the positive self-authenticity as the personality factor. For example, while the negative correlation coefficient of the most effective self-regulative coping strategy – the problem-focused one with “neuroticism” does not reach the level of significance  $r = -.114$ , the correlations are positive and significant for “belief in self-efficacy” ( $r = .477$ ,  $p \leq .01$ ), and for the level of the self-

evolution ( $r=.562$ ,  $p\leq.01$ ). These findings cast some new light on the known statement that “biology is not always a destiny”.

3. Two significant negative correlations of the mental health continuum with the emotion-focused coping ( $r=-.267$ ,  $p\leq.05$ ) and distraction ( $r=-.302$ ,  $p\leq.05$ ) also confirm the hypothetical model of the personality mediation of the subjective well-being.

4. Moreover, proactive forms of coping most vividly illustrate the role of personality factors in determining self-regulation. Six out of seven forms of proactive coping significantly correlate with the belief in self-efficacy and with the level self-evolution. This proves the significance of personality factors of higher levels of hierarchy in determining the choice of coping behavior. While the level of neuroticism negatively correlates only with one form of proactive coping, the belief in self-efficacy and the level of self involvement have ten positive correlations with different constructive proactive coping strategies. This data prove the expediency and psychological reality of the suggested hierarchical model of relationship between personality and self-regulation. The results of the research confirmed the relevance of choice of self-handicapping as a non-constructive coping-strategy. As shown in Table 1, it negatively correlates with self-esteem, belief in self-efficacy, conditions of self-development and mental health continuum.

5. The analysis of correlations of the personality variables with self-regulation efficacy related to the use of the constructive proactive forms of coping behavior and the non constructive form of proactive coping, which we ascribed to self-handicapping, have showed that proactive coping negatively correlates with neuroticism ( $r=-.396$ ,  $p\leq.01$ ) and positively correlates with belief in self-efficacy ( $r=.480$ ,  $p\leq.01$ ), dispositional self-evolution resources ( $r=.316$ ,  $p\leq.01$ ), conditions of dispositional self-evolution ( $r=.390$ ,  $p\leq.01$ ), subjective well-being ( $r=.249$ ,  $p\leq.05$ ) and mental health continuum.

With the help of the *factor analysis*, it has been found out that there were three factors which characterized the personality precursors of the choice of different forms and strategies of coping behavior. The first component (factor) named *personality precursors mediating the avoidance of the non-constructive coping behavior* included negative correlations with emotion-focused coping ( $r=-.664$ ), self-handicapping ( $r=-.573$ ), and positive correlations with a constructive forms of proactive coping ( $r=.521$ ). The personality precursors included in this factor are: belief in self-efficacy ( $r=.778$ ), adequate self-esteem ( $r=.684$ ), striving for self fulfillment ( $r=.641$ ), mental health continuum ( $r=.603$ ), low negative neuroticism ( $r=-.589$ ).

The distinguishing feature of the second factor, identified by the factor analysis, was that it included highly significant intercorrelations of the problem-focused coping strategy, localized both in present and future time, namely: a problem-focused coping ( $r=.596$ ), strategic proactive coping ( $r=.556$ ), and preventive proactive coping ( $r=.547$ ). So, this factor was named as *personality precursors of the constructive psychological coping*. The list of these precursors includes three of five global dispositional personality traits: agreeableness ( $r=.710$ ), openness to experience ( $r=.614$ ), subjective well-being ( $r=.614$ ) and the dispositional mechanisms of self-evolution ( $r=.501$ ), which include: striving to self-authenticity, self-reflection, awareness of the distance between real and ideal self, responsiveness to the feedback, the ability of self-regulation and self-growth (Kusikova, 2012).

This structure of the intercorrelational links suggests that in order to ascribe the priority to the problem-focused coping strategy, the individual is supposed to be aware of the availability in one's experience of the appropriate coping resources.

The third factor is characterized by a vividly expressed tendency to avoiding any coping efforts whatsoever. The personality precursor of this tendency seems to be represented only by the mechanisms of dispositional self-evolution.

On the basis of factor analysis, the sample of participants was *clustered* (K-means algorithm) into 3 subgroups. The comparison of the coping strategies and the forms of coping

behavior, pertinent to the representatives of the “best” cluster, has shown that they differ from those of the second and third clusters by the higher level of the problem-focused coping, and the lower level of self-handicapping. Besides, they have statistically higher level of the subjective well-being ( $t=2.97$ ) and mental health continuum ( $t=4.05$ ). They possess adequately high self-esteem, the highest in the sample belief in self-efficacy, i.e. positive self-identity and the highest in the sample index of the dispositional characteristics of self-evolution (ego-involvement). Besides, the cluster analysis revealed that ego-identity and ego-involvement characteristics have higher t-values than neuroticism. Thus, all the hypotheses of the research have been confirmed.

## Conclusion

The research findings allowed to form a hierarchical model of the personality-mediated differences in coping behavior as precursors of subjective well-being. The major findings of the study can be summed up as follows.

1. The individuals with low level of neuroticism are prone to choose problem-focused coping strategy on the stage of the primary (affective) appraisal of the situation.
2. The positive ego-identity (high self-esteem and belief in self-efficacy) can be claimed to determine the choice of both: the problem-focused coping strategy and constructive forms of proactive coping (localized in the future).
3. The high level of ego-involvement and inadequately high or low levels of self-esteem stimulate the appearance of non constructive proactive coping, localized in the future (i.e. self-handicapping).
4. The higher are the levels of the subjective well-being and mental health continuum, as the indicators of the generalized appraisal of the life situation and oneself as an agent of activity, the more diverse is the repertoire of the constructive coping strategies and forms of proactive coping behavior
5. The phenomenon of self-handicapping can be claimed to be not only a motivational strategy but also a form of non constructive coping behavior, as the subjects with high level of ego-involvement and ego-identity had the lowest levels of the tendency to resort to self-handicapping, and, vice versa, the subjects with low levels of ego-involvement and ego-identity frequently resort to self-handicapping. The latter proves the status of self-handicapping as a non constructive form of proactive coping behavior.

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# METAMODERNISM AS WE PERCEIVE IT (QUICK REVIEW)

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## Abstract

Metamodernism is a new moment in philosophy, art, literature, fashion, photography, economics, politics and other spheres of human activities. It is expressed through variety of mindsets, practices, forms and genres. Its prerequisites were Modernist and Postmodernist movements, the roots of which were found in the early XIX and then in the midst of the XX century. Metamodernism comprises changes and oscillations in style and manner of thinking and behavior. The prefix *meta* is a term of Greek origin and means “after, between, beyond” that is Metamodernism is a movement that emerged and covered the period after Postmodernism. Its features completely distinguish from its predecessor: Metamodernism is serious, sincere, it oscillates from one polarity to another, between diametrically opposed ideas, like enthusiasm and irony, naivety and knowingness, totality and fragmentation, bright and plain and so on, whereas Postmodernism is playful, insincere, unsteady and ironic. Robin van den Akker and Timotheus Vermeulen, the researchers from the Netherlands, describe Metamodernism as a nonstop action, a “constant repositioning” between position and mindsets, something like a “pendulum swinging” between the above mentioned polarities. The article is a quick review of identity of Metamodernism in culture, particularly, in poetry and architecture, as these fields give an easier chance to see the characteristic features of the movement and its results in the development of the XXI century culture more distinctly.

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**Keywords:** Modernism, postmodernism, metamodernism, surrealism, oscillate

## Introduction:

Metamodernism combines elements of modernism and postmodernism as the prerequisites of it were Modernist and Postmodernist movements, which substantially contributed to the formation of current metamodernist tendency.

Modernism, as we observe it in broader sense, comprises modern thoughts, modern style, the cultural movement of the late XIX century and early XXs, the individual change of the capitalist system, industrialization and fast growth of the cities; it covers the period of World War I and after. All these cap the style of Modern thinking and behavior, perception of reality; though rooted in the past, it obtained different colors, different expressive techniques and touches.

The modernist movement dominated in the art, politics, economics, literature, architecture and so on. It developed through the phases of Picasso with external influences and inspirational sources. It developed through symbolists, surrealists and other contemporaries who experimented in the spheres of philosophy and culture.

Influential came the theories of Sigmund Freud (1856-1939) and Ernest Mach (1838-1916). According to Freud, all subjective reality was based on the play of basic drives and instincts through which we perceived the outer world. As to Mach, he stated that relations of objects in nature were known as mental shorthand. This represented the break with the past. Friedrich Nietzsche (1844-1900) was the author, major precursor of the Modernism, according to whom psychological drives, particularly, “the will to power” were more important than facts. Carl Jung (1875-1961, with the idea of collective unconscious, suggested essential nature of “human animal”.

Thus, modernism broke with tradition with strong reaction against the established religious, political, social views: modernism perceived the world as it saw it - no absolute truth, no absolute connection with the history, they experience lost and destroyed, only insight and instincts left; life in disorder, only unconscious existed.

Famous British representatives of Modernism in literature are James Joyce, Ford Madax, Virginia Woolf, Stevie Smith, Aldous Huxley, Thomas Eliot and some others. American modernists are mostly known as the Lost Generation. The World War I destroyed their illusions. They rejected traditional institutions and forms. They are Ernest Hemingway, F. Scott Fitzgerald, Sherwood Anderson, Edna Millay, Marianna Moore and others.

Some think that Postmodernism is a rational rejection of modernism, We don't agree, as Postmodernism is not truly rational; rational thought is unable to perceive the problems of the society, as the society is always changing. Its characteristic features were: irony, joyfulness on very serious objects like World War II, the cold war, a pastiche on earlier genres, metafiction i.e. awareness of fictionality (the author travels in time and location), techno-culture and hyper-reality (videos, adds and so on),paranoia( chaos in society), maximalism (tradition of long works) and etc. Postmodernism rejects the means of the Enlightenment and Romanticism. Postmodernism appeared after World War II and then in some countries it came to totalitarianism and the mainstream. It needed some novelty and the novelty came with new cultural improvement, and the basic traits we are talking now, were based in pre and post-War II period.

The characteristic features of destruction of traditional Postmodernism are forms, criticism, and marginalism in relation with morality, rejection of canons, ambiguity, unsteadiness, and incomplete narratives.

Influential Postmodern Philosophers were Martin Heidegger (1889-1976); he rejected the philosophical basis of the concepts of "subjectivity" and "objectivity" and asserted similar grounding oppositions in logic referring to one another. Jacques Dersida (1930-2004) tried to destroy the presence of metaphysics in analytical techniques, Paul Michel Foucault (1926-1084) introduced concepts that explained the relationship among means, power and social behavior within social orders. Frederic Jameson (1934) brought forward a concept on Postmodernism as an intellectual trend. Douglas Kelener (1943) stated that Postmodernism was based on advancement, innovation and adaptation.

As the Postmodernist moment has passed, its strategies and ideological critiques continue to live on, as those of Modernism, in our XXI century too. But the contemporary modernity is to surpass Postmodernism. Metamodern reality entered the new era with all seriousness and romanticism.

Since the turn of the Millennium, the democratization of digital techniques and technologies has brought a shift from Postmodern" media logic "- TV screen, Cyberspace,- to Metamodern "media logic" of "creative amateurs' social network and locative media."

So the new tendency emerged, sincere and natural, with new ideas, and we can easily discuss that a new, quite another trend is to rise beyond Postmodernism. Now it is a new strategy, perhaps Post Postmodernism, or Metamodernism as some call it, some deny it.

It is thought that Metamodernism is clearly expressed by the neoromantic turn of the latter, associated with the architecture of Herzog and de Meuron, the installation of Bas, Jan Ader collages of David Thorpe, the paintings of Kaye Donachie, the films of Gondry\*.

Now we observe the mindsets about the past against the future, changes and oscillations in style, manner, prosperity, trend or tendency or brand, so to say, in literature, film, fashion, photography, that is alterations in cultural life, innovations in public relations, history and politics.

There has been much thought and arguments online as well as in conference halls about prefix *meta* in metamodernism. Metamodernism is a term which means after modernism; it comes beyond modernism as counterstrategy within modernism. Prefix *meta* is

of Greek origin and translates as ‘after’, but can also denote qualitative changes or show positions ‘with’(epistemologically) and ‘between’(ontologically) Online Etymological dictionary gives the following definitions of the word: with, beyond, between. It indicates a motion, a dynamic or movement between as well as movement beyond. That is, Metamodernism is after Postmodernism, beyond it, between Modernism and Postmodernism, it is everywhere and nowhere at the same time.

Two young researchers from the Netherlands Timotheus Vermeulen and Robbin van den Akker define Metamodernism as a continuous oscillation, a perpetual movement and changes between position and outlooks, metanarrative, a movement to the future, but here they put a question: does this future exist? Perhaps it is a naivety of idealism or a return to Romanticism, transcendentalism.

Two examples – Metamodernist Poetics and Metamodern Architecture – are given to characterize Metamodernism in its function.

**Metamodernist Poetics.** A case concerns the oscillation between the modern and the postmodern, with a nuance of neomodernism or neoromanticism. These two examples vividly show the essence of the tendency that is dominant nowadays. It comprises characteristics of Metamodernism that tends to be serious, pompous, sets out to change irony and sneer. It swings to and fro, that gives a vibration, fluctuation between different opinions, purposes and outlooks, between two polarities as they are already established and widely known: a desire for *sens*/ a doubt about the sense, enthusiasm/irony, hope/melancholy, naivety/knowingness, empathy/apathy, totality/fragmentation, unity/plurality, authenticity/pastiche, involved/detached, elitist/democratic, to already given list I have added bright/plain, light/dark. Metamodern stays between these polarities, between Modern and Postmodern poetry, but its location goes beyond the latter.

David Roster Wallece, an American novelist and essayist proclaimed the generation who would oppose Postmodernism would, perhaps, be some of anti-rebels who would have gall to oppose irony and sneer.

Here is given a poetry by an English poet Sir Geoffrey William Hill, a poem titled “The Triumph of Love.” We chose the author as a representative of metamodern poetry and try to show the very example of metamodern verse.

.....

Whose lives are hidden in God? Whose?  
Who can now tell what was taken, or where,  
Or how, or whether it was received:  
How detached, divested, clamped, sifted, overlaid, raked over, grassed over, spread around  
Rotted down with leaf mould accepted.

.....

Synonymous phrases detached, divested, clamped, sifted, overlaid, grassed over, spread around, raked over, rotted down, oppose to one word - accepted. Another polarity is: was taken/ received.

.....

Some qualities are best  
Left unrecognized. Needless to say,  
Unrecognized is not  
unacknowledged. Unnamed is not nameless.

Many polarities are given in the following stanza:

.....Is prayer  
Residual in imprecation? Only  
as we equivocate. When I examine

my soul's heart's blood I find it the blood  
of bulls and goats.

Things unspoken as spoken give us away.

Earnest and serious tone with obscurity and comparison, metaphors are characteristic of this period: my soul's heart's blood/the blood of goats, things unspoken /spoken; contrasts and vibration between prayer/imprecation. The same vibration sounds in the following lines:

.....for in equity, inequity  
for religious read religiose, for distinction  
detestation. Take accessible to mean  
acceptable, accommodating, openly servile.

Metanarrative about the last chords by Heydn and Bartok and some melody sound in the passage:

.....Heydn  
at sixty-six, his clowning majesty  
of invention never bettered

.....  
Bartok dying in New York unfinished  
music.....  
ta Rha, ta-Rha...

Another example of Metamodernist poetry by a famous American woman poet Kay Ryan gives us quite another view on this period changes. Kay Rhyan is often compared with Emily Dickinson and Marianna Moore. Her witty and facile style of writing earned her the status of one of the great living American poets. Her narrative is magnificently compact in a vertical order of lines; rhymes are subtle. She returned the clichés; she brought structure to her work and constructed the verse like a gentle painting of Monet, being aware of a poet's mission in life.

Here is a passage from her poem "Pinhole":

We say  
Pinhole.  
A pin hole  
Of light. We  
Can't imagine  
how bright  
more of it  
could be,  
the way  
this much  
defeats night.  
It almost  
Isn't fair,  
whoever  
poked this,  
with such  
a small act  
to vanquish  
blackness.

A typical metamodern seriousness with metaphoric meanings and twists: pinhole of light, defeats the night, to vanquish blackness by such a small act... Light, bright vs night and blackness. Nimble rhythms of rhymes help comprehend the author's expressiveness and emotion.

Another American poet Ryan but this time Michael in his verse “A Thank-You Note” writes some lines to his daughter:

What kind of delusion are you under?

The life he hid just knocked you flat.

You see the lightening but not the thunder.

In these lines we notice the intelligence of the poet, his comprehension of the world, and bitterness of the soul. Here we feel the aroma of neo-romanticism that is natural to metamodernist style.

**Metamodern architecture** comes from Postmodern architecture with two polar contradictions – To have a total idea let us have some samples like buildings, sometimes they look like they are about to fall down. Windows strangely proportional, walls uneven, floors are not level, unusual angles, windows leaning. All these are very interesting and amazing, but as if not for settling, perhaps better than Modernist style of boxy buildings. The State Centre of MIF campus (the author - Frank Gehry).

Peter Eisenman is also Postmodernist. His manner is deconstructing the buildings: walls are not parallel and perpendicular; they are disorienting, not practical for living, like a maze, built to shifted grids.

Generally it is difficult to classify and pigeonhole the creative work, though Peter Eisenman did not wish to be labeled, but still his style could be labeled as postmodern (an interview with Charles Jenks, an American landscape architect and theorist).

Frank Gehry, the star postmodern architect, whose buildings do not look much positive and negative, high/low, bright/simple, and etc. His style is passionate, quirky and unrefined.

In Metamodern architecture they look into the ways in which the climate crisis, the financial crisis and geographical crisis affect contemporary ways of doing architecture.

The financial crisis is evidently capping the era of austerity, quite different from frivolity, playfulness and exuberance of postmodern architecture; new seriousness came in architecture.

Geographical crisis is a manifestation of both landscape and ecology in architectural practice, which is a “cross-disciplinary phenomenon.” The principle emerged at the end of the XX century and is broadly confined to infrastructural constructions and attempts to find a coherent system contrasting to architectural practice.

The climate crisis is resulting in growing awareness of need for sustainable urban future -Societal reform. It is not a continuation of post modernism, but quite different to build “green architecture” according to environmental needs, snow, wind, sun, rain. It stands somehow between two poles, modern (strict functionalism) and postmodern (boundless formalism) – it oscillates between these two poles (Herzog & de Meuron, Snohetta, BIG. Its fragility and natural beauty answers the challenges of our day: these terms cannot be explained as Postmodernist; that is why we talk about the alleged demise of Postmodernism and the rise of another modernism – Metamodernism (wow inducing buildings).

Bjark Ingels, a founder of architectural practice BIG, the most prominent representation of a generation of architects, that surpasses the postmodern conventions, attitudes and strategies, “pragmatic utopianism,” as he calls his architecture, oscillates between modern and postmodern ones, out-of-worldliness and earthliness. Peter Zumthor’s 2011 pavilion for the Serpentine Gallery opened in London’s Kengsiston Gardens was a welcome change of the course. Imposing black walls, an enclosed garden. All critics unanimously claimed that it was something new and quite opposite to previous pavilions. It was a splendid structure and quite spectacular, designed for rest and speculation.

Jacque Herzog and Pierre de Meuron from Switzerland are best known for their conversion of giant Bankside River Station to Tate Modern. They refined the tradition of modernism to simplicity through new techniques, from simple rectangular forms to more

complex geometrical figures, using skills and materials (Forum building, Barcelona; 1111 Lincoln Road parking garage, Miami, Florida, USA; Walker Art Center expansion, Minneapolis, Minnesota; Prado Store, Tokyo; Elbe Philharmonic Hall, HafenCity, Hamburg and the kind).

Other representatives of Metamodernism in culture are: Michel Gondry, Guz van Sant(film), George Lentz, Devendra Banhart (music), Peter Doig (artist), David Foster Wallace (literature) and so on.

### **Conclusion:**

Thus, Metamodernism is an oscillation, rather than stability; it is ongoing discussion, argument without an answer.

After modern hope and postmodern disappointment Metamodernism appears to be a balance between them and presents a serious authority over the emotional expressiveness with its clarity and simplicity. It is used in law, art, literature, politics, economics, data analysis, architecture and etc.

Main messages that Metamodernism can send to these spheres of activities, are reflexivities obtained without irony on traditional background; these are more often hindrances to this kind of accomplishment and achievement than a helper.

The attitudes between two poles bring to praxis rather than to parataxis.

### **Appendix: METAMODERNIST // MANIFESTO**

Published by the artist Luke Turner in 2011

1. We recognize oscillation to be the natural order of the world.
2. We must liberate ourselves from the inertia resulting from a century of modernist ideological naivety and the cynical insincerity of its antonymous bastard child.
3. Movement shall henceforth be enabled by way of an oscillation between positions, with diametrically opposed ideas operating like the pulsating polarities of a colossal electric machine, propelling the world into action.
4. We acknowledge the limitations inherent to all movement and experience, and the futility of any attempt to transcend the boundaries set forth therein. The essential incompleteness of a system should necessitate an adherence, not in order to achieve a given end or be slaves to its course, but rather perchance to glimpse by proxy some hidden exteriority. Existence is enriched if we set about our task as if those limits might be exceeded, for such action unfolds the world.
5. All things are caught within the irrevocable slide towards a state of maximum entropic dissemblance. Artistic creation is contingent upon the origination or revelation of difference therein. Affect at its zenith is the unmediated experience of difference in itself. It must be art's role to explore the promise of its own paradoxical ambition by coaxing excess towards presence.
6. The present is a symptom of the twin birth of immediacy and obsolescence. Today, we are nostalgists as much as we are futurists. The new technology enables the simultaneous experience and enactment of events from a multiplicity of positions. Far from signaling its demise, these emergent networks facilitate the democratization of history, illuminating the forking paths along which its grand narratives may navigate here and now.
7. Just as science strives for poetic elegance, artists might assume a quest for truth. All information is grounds for knowledge, whether empirical or aphoristic, no matter its truth-value. We should embrace the scientific-poetic synthesis and informed naivety of a magical realism. Error breeds sense.
8. We propose a pragmatic romanticism unhindered by ideological anchorage. Thus, Metamodernism shall be defined as the mercurial condition that lies between, beyond and in pursuit of a plurality of disparate and elusive horizons. We must go forth and oscillate!

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# SURVEY OF DENTAL SERVICES PROVISION TO PEOPLE WITH DISABILITIES IN GEORGIA

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## Abstract:

Access to dental care for people with disabilities is mostly related to various social and physical obstacles. The goal of this research is to study an overall situation of dental care access for persons with disabilities, follow up the factors influencing access to dental care for 15 nosologies. Qualitative and quantitative research methods were utilized. One hundred and forty two (142) dentists and residents (79% dentists and 21% resident dentists) were interviewed with self-administrated questionnaire. Research results demonstrate that 77% of persons with disabilities have applied for dental care at least once in their lifetime and mostly persons with Down syndrome have been refused to be served. According to the research results, treatment is most efficient in patients with diabetes, least efficient – in patients with cerebral palsy. **The vast majority** of the respondents wish to get more information on all 15 nosologies. Remarkably high interest was revealed towards autism, HIV/AIDS and hepatitis, the low interest – towards **visual/hearing impairment**. Research findings confirmed an obvious relation between being informed and readiness to provide dental service; moreover, the level of awareness on disability conditions is quite low. The attitudes to serve the persons with disabilities are tended to be negative. The lowest acceptance is demonstrated towards persons with Acquired Immune Deficiency Syndrome, AIDS. The study revealed the importance of revision of dental education modules on a higher education and post-diploma level in order to integrate several thematic issues with regard to disability and health conditions.

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**Keywords:** Disabilities, special health care needs, social attitudes, readiness to provide dental care

## Introduction:

Dental care is one of the most important spheres in rehabilitation and treatment for persons with disabilities, nevertheless one of the most inaccessible ones [10, 26, 15, 16]. Studies conducted in different countries of world show that during the visit to a dentist such specific patient often faces a different kind of physical, psychological, and social problems that significantly limit the services or, as a rule, make it completely inaccessible for the consumer. A pilot study conducted by us revealed that some dentists refuse to give the dental services to the people with disabilities, and for people with disabilities nowadays dentistry is considered to be one of the most important, but the least accessible area of medical service in Georgia for them. Three main factors seem to have negative influence on dental service access: 1) the poor physical accessibility, 2) lack or low level of awareness on certain kind of disability 3) a negative attitude towards the people with disabilities [5, 6, 11, 21, 23, 26].



Some studies demonstrate that denial to give dental care is related to a little information, provided during the medical studies and lack of information can be also lead to students' stigmatised attitudes towards patients with disabilities [2, 7, 8, 9, 10, 12, 14, 20, 22, 30, 31, 32]. On the other hand, the existing empirical data shows that there are proven certain ways to increase the access to dental services. Studies in USA demonstrate that raising the level of awareness on disabilities is the first step to develop social desirability and positive attitudes towards the people with disability [10, 12, 30]. Besides, some studies reveal that growing working experience with people with special needs is raising the efficiency of treatment [25].

Residential studies for dentists in Georgia vary from 11 to 33 months depended on specialisation. But none of education modules contains the information on special needs dentistry. There is no research concerning the access to dental services for people with disabilities in Georgia. Besides, there is no questionnaire to examine the issue [17, 18, 19, 24].

The positive experiences of making dental care more accessible for people with disabilities can be generalized and tailored with Georgian reality, for this purpose it is necessary to be aware of the current needs and situation in Georgia [21, 26].

Results of work can be useful as a recommendation on dental care services for raising accessibility for people with disabilities.

**Hypothesis:** the level of awareness on developmental disabilities and chronic diseases affect the delivery of dental services, its performance effectiveness and dentists attitudes towards disabled patients.

### Methods:

The **goal** of the survey was to clearly identify the following:

- The level of availability to the dentist service for the disabled people;
- Identification of physical, informational, psychological and social factors affecting the provision with dental services to the disabled patients by the dentists.

**Preparation of the questionnaire:** bases on the data from the Ministry of Labor, Health and Social Affairs we identified the nosologies/conditions that are the most frequent basis for awarding the status of disability.

There were also organized the meetings with the dentists to ascertain the nosologies that are actual for the sphere of dentistry and higher-priority for the survey.

On the next stage we conducted the meetings with the **focus groups**. The meetings were organized in the Association "Anika" and the Georgian Blinds Union. Our goal was to determine the nosologies significant for the survey and focusing on the key issues included in the survey inventory.

We summarized the epidemiologic data of the last period; after analyzing (in consideration of the urgency of the issue, problematical character matters in the sphere of dentistry, the epidemiology or/and frequent references) the outcomes obtained as a result of the work there were selected 15 nosologies:

1. Cerebral palsy.
2. Autism,
3. Tic disorders.
4. ADHD (Attention deficit and Hyperactivity disorder)
5. Down syndrome.
6. Impairment of Hearing /deafness.
7. Visual impairment/blindness.
8. Epilepsy.
9. Mental retardation
10. HIV/AIDS.
11. Hepatitis.
12. Behavioral disorder
13. Diabetes.
14. Asthma.
15. Acquired disability.

On the basis of the data obtained there was identified the structure of the questionnaire and developed its pilot version; consequently the pilot survey was initiated. The survey was conducted in Tbilisi and covered interviews with 30 dentists; the final version of the questionnaire was developed on the basis of the pilot survey outcomes.

### **Participants and their recruitment:**

The survey was conducted in Tbilisi and the regions. In Tbilisi case there was created the special frame for selection of the respondents while in the regions we applied the principle of "Snowball".

The survey target group general number was considered 5988 dentists licensed in 2006-2010 years in Georgia and 820 (maximal quota of the Georgian residency bases seekers); the selected total amounted to 6000 dentists (residents and licensed physicians) – 8,9% of the general number. In total, from 600 respondents 142 individuals` questionnaire were processed, i.e. the number of interviewed individuals amounted to 142.

Statistical methods: Data was processed by using SPSS for Windows version 17 (statistical package for social sciences), there was computed simple average, relative frequencies, standard deviation. To examine variations between groups, tests with significance were made with  $\chi^2$  for categorical variables, The statistical reliability of the differences between groups was examined by the  $\chi^2$  criteria while for the statistical significance of the difference between two samples mean Student's t-distribution. There were applied both - quantitative and qualitative approaches.

### **Survey inventory:**

The survey inventory regarding the issue of availability of dental service for the people with disabilities, the self-administered questionnaire is drafted with semi-structural questions; the questionnaire consists of several blocks.

The first block is assigned for collection of demographic data, the second block contains the data regarding the frequency of references by the patients with disabilities as well as it studies the facts and frequency of provision/non-provision of the dentist service to the patients.

The third block of the questionnaire collects the information about effectiveness of the treatment while the fourth block is dedicated to the studies of approaches and attitudes of the dentists toward the disabled patients. Several instruments have been inserted for survey of the attitude including the Bogardus social distance scale method; the fifth block of the questionnaire inspects the respondent`s level of awareness of 15 nosologies.

The questionnaire includes the questions regarding physical environment; it studies the dentists` opinion to ascertain whether there is the need of special environment of the disabled patient or where should such patients be given dentist service – at home, in clinic or in any specialized facility.

### **Results:**

According to the results obtained, 77.5% of the respondents were female, while 22.5% were male. Average age - 32 years. 79% of the respondents were physicians and 21% - residents. 84% of the participants were from Tbilisi; 60% were therapist-dentists. Our study revealed that:

- The persons with disabilities often apply to the dentist for relevant treatment. Among those the most frequent referral of patients falls on the patients with diabetes (61%;  $\chi^2=99.7$ ;  $p=0.000$ ) and the least – on those with tic disorder (9.2%;  $\chi^2=301.3$ ;  $p=0.000$ ) and autism; (11.3%;  $\chi^2=387.0$ ;  $p=0.000$ )
- The patients with Down Syndrome are rejected to be given the medical services in the most frequent cases (30%;  $p=0.000$ ) and while such rejection is the most rare among the individuals with asthma (7%;  $p=0.000$ );
- According to the survey participants, treatment is the most effective among the patients with diabetes while the medical treatment for the persons with cerebral palsy is assessed as the most inefficient. ( $\chi^2=75.0$ ,  $p=0.000$ ), 2.2% of the respondents claim, that the

main reason for treatment rejection was the non-adapted environment, in particular, non-adapted dental chair. 5.2% claim the communication difficulties as the barrier.

- The large part of the respondents are informed about Diabetes (76.8%;  $\chi^2=122.8$ ,  $p=0.000$ ), vision and hearing impairment, (75%;  $p=0.000$ ) violation/deafness, the less information is delivered to the patients with tic (36%;  $\chi^2=53.6$ ,  $p=0.000$ ) and behavioral disorders (46%;  $\chi^2=106.6$ ,  $p=0.000$ ). The majority of the survey participants want to enhance their knowledge about all 15 nosologies. Particularly high interest was fixed in autism (76%;  $\chi^2=100.1$ ,  $p=0.000$ ), HIV/AIDS (69%;  $\chi^2=90.8$ ,  $p=0.000$ ) and hepatitis (66%;  $\chi^2=81.2$ ,  $p=0.000$ ) while the lowest interest was shown in vision and hearing impairment/deafness; as it can be seen from the research results, 57% of respondents do not possess the right knowledge about autism. 59% of respondents claimed that they have information about Down syndrome, while 26% of them could not name at least one symptom.

- Research shows that the most feared category of patients are those with HIV/AIDS. The patients with epilepsy, tic disorder and hepatitis are almost at same level ( $p=0.000$ ). 23% of respondents claim that persons with disabilities show specific warmth towards the medical personnel (27% say the opposite, 50% restrain themselves from answer) ( $\chi^2=18.0$ ,  $p=0.000$ ). 43% say that people with disabilities express positive attitude; 47% evaluated the attitude of people with disabilities towards the doctors as negative and noted, that such patients suffer from fear, aggression, feeling of danger, they try to hide truth about their condition in order not to be rejected.

The injection of local anesthetic solutions to achieve anesthesia is one of the most commonly performed dental procedures. Prior to administering any medication, including local anesthetics, it is appropriate for the dentist to take a complete medical history and follow up any questions with the patient or by a consultation with the patient's physician. Though local anesthetics are remarkably safe at therapeutic doses, the practitioner treating medically complex patients must address two basic concerns pertinent to the use of local anesthetic agents: existing systemic diseases that may be exacerbated by the anesthetic agent and medications that may have adverse interactions with local anesthetic agents.

We suggest characteristics of few, mostly interested in Georgia, diagnoses and dental management of such patients.

## Diabetes

The bi-directional association exists between diabetes mellitus and periodontal health: Diabetes is associated with increased development and progression of periodontitis, and periodontal infection is associated with poorer glycemic control in people with diabetes.

There is also evidence emerging that suggest that periodontal disease is associated with increased risk for diabetes complications, the development of Type 2 diabetes, and perhaps the development of Gestational Diabetes Mellitus.

Patients with either Type I insulin-dependent diabetes mellitus or Type II non-insulin-dependent diabetes mellitus, can generally receive local anesthetics without special precautions if control of their disease is well-managed. Consultation with a patient's physician, as well as frank discussion with the patient, can determine the current status and what, if any, precautions are needed.

Typically, diabetic patients should receive morning appointments when endogenous corticosteroids are at high levels (better stress management). Appointment should be kept as no traumatic, short, and stress-free as possible, as endogenous epinephrine release in response to stress and pain can antagonize insulin action and promote hyperglycemia. Epinephrine should be used in the dental anesthetics to ensure long lasting and profound anesthesia. Post-operative analgetics should be provided to ensure that the patient is pain-free following tooth extraction periodontal surgery, or any other invasive procedure [33,35]

Special caution should be used for patients with Type I diabetes who are being treated with large doses of insulin. Some of these patients, so-called brittle diabetics, experience dramatic swings between hyperglycemia and hypoglycemia; and the use of vasoconstrictors should be minimized due to the potential for vasoconstrictor-enhanced hypoglycemia.

### **Cardiovascular Diseases**

Local anesthetic agents themselves can affect the cardiovascular system, especially at higher doses. Cardiovascular manifestations are usually depressant and are characterized by bradycardia, hypotension, and cardiovascular collapse, potentially leading to cardiac arrest. The initial signs and symptoms of depressed cardiovascular function commonly result from vasovagal reactions (dizziness and fainting), particularly if the patient is in an upright position [39, 40].

Absolute contraindications for the use of local anesthetics with or without vasoconstrictors in patients with cardiovascular diseases exist only if the patient's condition is determined, by the dentist's review of the health history, to be medically unstable to the degree of posing undue risk to the patient's safety. Dental care should be deferred in these patients until their medical conditions have been stabilized under the care of their physicians. For patients with stabilized cardiovascular diseases, dental treatment may usually be delivered in near routine fashion [39].

In 1964, the American Heart Association and the American Dental Association concluded a joint conference by stating that "the typical concentrations of vasoconstrictors contained in local anesthetics are not contraindicated with cardiovascular disease so long as preliminary aspiration is practiced, the agent is injected slowly, and the smallest effective dose is administered. "It has long been recommended that the total dosage of epinephrine be limited to 0.04 mg in cardiac risk patients. This equates to approximately two cartridges of 1:100,000 epinephrine-containing local anesthetic. The results of a number of studies indicate that the use of one to two 1.8 ml cartridges of local anesthetic containing a vasoconstrictor is of little clinical significance for most patients with hypertension or other cardiovascular diseases, and that the benefits of maintaining adequate anesthesia for the duration of the procedure far outweighs the risks. However, the use of more than two cartridges of local anesthetic with a vasoconstrictor should be considered a relative rather than an absolute contraindication. If, after administering one to two cartridges of vasoconstrictor-containing local anesthetic with careful preliminary aspiration and slow injection, the patient exhibits no signs or symptoms of cardiac alteration, additional vasoconstrictor containing local anesthetic may be used, if necessary, or local anesthetic without epinephrine can be used.

### **Down syndrome**

A compromised immune system with a corresponding decrease in number of T cells is characteristic of most individuals with Down syndrome. This contributes to a higher rate of infections and is also a contributing factor in the extremely high incidence of periodontal disease, that can be the reason why the amount of plaque and calculus seen on the teeth is not proportionate to the severity of the disease. Children with Down syndrome often have chronic upper respiratory infections (URIs). These contribute to mouth breathing with its associated effects of xerostomia (dry mouth) and fissuring of the tongue and lips. There is also a greater incidence of aphthous ulcers, oral candida infections and acute necrotizing ulcerative gingivitis (ANUG). Although 40 to 50% of babies with Down syndrome are born with some type of cardiac abnormality, most receive surgical correction within the first few years of life. There is however, an abnormally large percentage who develop mitral valve prolapse (MVP) by adulthood. The incidence of MVP in the normal population is between 5-15%. Approximately 50% of adults with Down syndrome have mitral valve prolapse requiring subacute bacterial endocarditis (SBE) prophylaxis for dental treatment (Barnett,

Friedman, & Kastner, 1988). One third of these adults with MVP do not have auscultory findings, requiring diagnosis of the MVP by echocardiogram. Patients with Down syndrome, or their caregivers may not be aware of the need for diagnostic echocardiology in adulthood.

It may take a little extra appointment time to explain procedures to the patient with Down syndrome, but once a level of trust is achieved they are likely to be very co-operative patients. Down syndrome is frequently seen in conjunction with other medical problems. There is a higher incidence of epilepsy, diabetes, leukemia, hypothyroidism and other conditions. Alzheimer's disease and Down syndrome appear to have a strong connection to one another. The importance of a thorough medical history including a work-up by a physician cannot be over emphasized [38].

### **Asthma**

Dental management of asthmatic patients is primarily aimed at prevention of an acute asthma attack. Knowing that stress may be a precipitating factor in asthma attacks, adherence to stress-reduction protocols is again essential and implies the judicious use of local anesthetics containing vasoconstrictors when the planned procedure requires extended depth and duration of anesthesia. However, caution has been recommended based upon Food and Drug Administration warnings that drugs containing sulfites can be a cause of allergic reactions in susceptible individuals. Studies suggest that sodium metabisulfite, which is used as an antioxidant agent in dental local anesthetic solutions containing vasoconstrictors to prevent the breakdown of the vasoconstrictor, may induce allergic, or extrinsic, asthma attacks. Data on the incidence of this problem occurring is limited, and suspicion is that it is probably not a common reaction even in sulfite-sensitive patients since the amount of metabisulfite in dental anesthetics is quite small. Indications are that more than 96 percent of asthmatics are not sensitive to sulfites at all; and those who are sensitive are usually severe, steroid dependent asthmatics. As Perusse and colleagues conclude, "we believe local anesthetic with vasoconstrictor can be used safely for no steroid-dependent asthma patients. However, until we know more about the sulfite sensitivity threshold, we recommend avoiding local anesthetic with vasoconstrictors in corticosteroid-dependent asthma patients on account of a higher risk of sulfite allergy and the possibility that an accidental intravascular injection might cause a severe and immediate asthmatic reaction in the sensitive patient" [33, 37].

### **Hepatic Disease**

For patients with known liver function impairment, drugs metabolized by the liver should be avoided if possible, or the dosage at least decreased. Since all of the amide local anesthetics are primarily metabolized in the liver, the presence of liver disease and the status of liver function are important to the dentist. In completely recovered patients, local anesthetics may be administered routinely. However, patients with chronic active hepatitis or with carrier status of the hepatitis antigen must be medically evaluated for impaired liver function. Local anesthetics may be used in these patients, but it is recommended that the dose be kept to a minimum. In patients with more advanced cirrhotic disease, metabolism of local anesthetics may be significantly slowed, leading to increased plasma levels and greater risk of toxicity reactions. Total anesthetic dosage may need to be reduced and the interval of time between subsequent injections may need to be extended. In these cases, initial injection with rapid-onset anesthetics such as lidocaine or mepivacaine followed by injection with a long-acting anesthetic like etidocaine or bupivacaine may be the best protocol for limiting total anesthetic dosage while achieving adequate pain control duration [34, 36].

### **Discussion:**

Half of the respondents in our study had personal relationships experience with persons with disabilities. The study conducted in Germany showed that the personal

relationship is the precondition of establishment of positive attitude. It is noteworthy that in our study the opposite result was gained when it was compared the personal relationship and the attitudes toward disabled people. It was found that the proportion of respondents who had experience with persons with disabilities have a more negative attitude, though, it does not seem whether this attitude was developed by the experience a personal relationship or its was conditioned by their initial opinion before the relationship with the persons with disabilities [25, 26].

A large part of the respondents (59%) believe that for the services to be rendered to the persons with disabilities there will be necessary a special environment ( $\chi^2=47.7$ ,  $p=0.000$ ), though neither of them provides with the relevant picture while describing the physical or social environment that would be close to the universal design dental clinic. However, taking into consideration that service at home is even more unacceptable but it is quite acceptable redirection to the "Specialized clinic" (67%,  $\chi^2=166.9$ ,  $p=0.000$ ), we can conclude that we are dealing with a particular attitude [13].

The attitudes to the individuals with the conditions/illnesses conditions of which impact their behavior or/and is associated with a delay in intellectual development is sharply negative.

It should be emphasized that more than half of the respondents indicated that they have no information about hyperactivity syndrome, tic of behavior disorder; "in the case of asthma, diabetes and acquired restrictions we obtained practically the similar results – the most respondents have the sense of compassion or they have not any special attitude.

The study results identified the main problems that affect the desired results - efficiency of the service and providing the dental services to the persons with disabilities. These factors are awareness and attitude. In the both cases number of measures is to be taken to minimize the facts of rejection to provide the services from the dentists.

It should be emphasized that the majority of the dentists is willing to raise the level of their awareness regarding specific nosologies.

### **Conclusion:**

As the results of the research show that respondents' knowledge about chronic diseases is higher than about development disorders.

From 15 nosologies identified for the study the most positive attitude and results fall on asthma and the most negative – on HIV/AIDS

According to the obtained results, the hypothesis was partly justified. Our research showed the clear connection between the service providing and awareness. Over half of the respondents considers unacceptable even neighboring the people with disabilities, though the majority of the study participants express their willingness to provide them with dental services.

### **Several recommendations could be worked out based on the research results:**

1. Activities which will be oriented on informational awareness should be organized, which means integration of studying modules into practice and high educational programs.
2. Activities for raising the awareness and practical skills for practicing doctors
3. Raising the awareness in the area of working with people with disabilities and environment adaptation.

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