



ICSS XI 2017

11<sup>th</sup> International Conference on Social Sciences

20 -21 January 2017

Helsinki

Conference Proceedings

Volume II

ISBN 9786069318591



9 78606 31859

REVISTIA  
PUBLISHING AND RESEARCH

Proceedings  
11<sup>th</sup> International Conference on Social Sciences  
Helsinki, 20-21 January 2017

Volume II

Edited by  
Ewa Jurczyk-Romanowska, PhD

ISBN 9786069318591

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Typeset by Revistia  
Printed in Madrid

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## Modern Greek Church Fairs and Pilgrimage Tourism

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### Abstract

The systematic study of church fairs, especially those of urban parishes in large urban centers, as carried out in recent years, has shown that there are many new customary and ritual forms that are created and adopted, often transformed to be enriched and made more attractive to the people. In this notice we will deal with certain interesting aspects of this contemporary customary reality. Through this adoption of customary forms, with their subsequent changes and amendments by the people on the basic characteristics of its live tradition, both the renewal of the tradition and the enrichment of the customary life of the people is achieved. This, in turn, is essential for the vitality and the continuation of the social impact and the acceptance of the tradition, which is an active procedure in progress, and not a set of fossilized situations, things, opinions, and actions. This is directly connected to the interior pilgrimage tourism since the organized visits of the believers to a place are frequent, specifically in order to take part in some great religious festival, which takes place there. In this process, the so critical from a cultural perspective since it's linked to the substance of our daily tradition itself, the novel elements of our contemporary religious fairs are critical points, as shown above in detail.

**Keywords:** pilgrimage tourism, urban parishes, church fairs, tradition.

### Introduction

The systematic study of church fairs, especially those of urban parishes in the large and populous urban centers, as carried out in recent years, has shown that there are many new customary and ritual forms that are created and adopted, often transformed to be enriched and made more attractive to the people<sup>1</sup>. With several of them, we have dealt systematically, under previous specific studies and publications<sup>2</sup>. With some equally interesting aspects of this modernist customary reality, we will deal below.

At this point it should be noted that due to the known phenomenon of the export of cultural forms from the city to the provincial towns and villages, which is largely due to the television and the electronic media, or accelerated by them, these forms, that are normally created in large cities, today are spread and found all around the Greek cultural area. This is an important phenomenon that has been studied systematically by Edward Bailey<sup>3</sup>, that tends to homogenize the customary events, and which is responsible for the enrichment of the older customary and ritual tradition with novel data.

In this case, important and noteworthy is the role of the electronic agencies of ecclesiastical news, but also of the websites that are built and posted by Metropolises and also by most of the parishes of the Church of Greece. References, descriptions, and photos of the fairs of those parishes, enhanced occasionally by the relevant comments of these electronic

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<sup>1</sup> G. Vozikas, *Η συνοικία της Αγίας Μαρίας στην Ηλιούπολη και το πανηγύρι της. Η καθημερινή ζωή και ταυτότητα της πόλης*, Athens 2009, with bibliography. Idem, «Rural Immigrants and Official Religion in an Urban Religious Festival in Greece», in Rik Pinxten – Lisa Dikomitis (ed.), *When God Comes to Town. Religious Traditions in Urban Contexts*, Oxford 2009, pp. 65-78.

<sup>2</sup> Cf. M. G. Varvounis, *Νεωτερική ελληνική λαϊκή θρησκευτικότητα. Συναγωγή μελετών θρησκευτικής λαογραφίας*, Thessaloniki 2013, pp. 123 seq.

<sup>3</sup> Edward Bailey, *Implicit Religion: an introduction*, Middlesex University Press, 1998, pp. 56-58. Idem, «The Folk Religion of the English People», in *Religion, State and Society in Modern Britain*, London 1989, pp. 145-158.

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pages users, always give information material and provide role models for reproduction to those who want to adopt new forms to the annually conducted festivals of their parishes<sup>1</sup>.

On the other hand, it should be noted that what is described here is primarily related to parish fairs, since at the fairs of the chapels that are scattered in the Greek area, normally a different protocol is kept, more connected with the older ritualistic forms. Certainly, novel elements exist also in these "cottage" fairs<sup>2</sup>, but these have mainly to do with the action and the activity of associations in organizing the entertainment following the religious acts and sequences, not the main body of the fair itself.

As reported on another occasion, the effects in our contemporary church fairs by the public ritual and its various manifestations are many and important. The presence of philharmonics, usually municipal, of military units or formations of the area or even associations operating there, and the fireworks, especially during the festive procession of the image of the celebrated saint, are typical cases of such relations and effects<sup>3</sup>.

### Some cases

Specifically, the following phenomenon is noticed, whereas previously philharmonics accompanied church processions and events generally held in capitals of prefectures, today, philharmonics are invited by celebrating parishes of villages, precisely because it is believed that their presence adds a festive, symbolic and ritual status in the process. And so, whereas previously the presence of the philharmonic in religious and church services was linked inextricably with the chorostasia of the Metropolitan concerned and the attendance of civil and military authorities at the temple, so it clearly derived from the public of rituals of the relevant national and local holidays, which secondarily combined with the church life and practice, today the philharmonic is often a key element of the fair, even if the other components of the public ritual are absent<sup>4</sup>.

The same thing can be noticed with the fireworks too, which in the 70s, for example, just accompanied public festivals and fairs. Nowadays, since they became more economically accessible, and also the administrative and police procedures for obtaining and using them are changed and simplified, they appear more and more. Not only in official parish fairs, especially at the end of the procession of the holy image<sup>5</sup> or after the dismissal of the celebratory eve's vesper, but also in important traditional moments in the life cycle fireworks are used. Thus, we now see them in baptisms and weddings, in the courtyard of the temple after the end of the mystery or at the venue where the reception or party is conducted.

In any case, the use of fireworks is defined by the notion that they give to the festival ritual prestige and glory, that in a symbolic way they establish and formalize, in the realm of public ritual, a more or less private ritual. It is also standard practice of the Church in Greece to try to emphasize in every possible symbolic and non-symbolic way its close relation to the state, its structures and its manifestations, with the belief that it acquires thus prestige and authority in the eyes of its flock<sup>6</sup>. This is also the occasion in the life cycle sacraments (baptism - marriage), where the private is symbolically displayed to the public sphere, in order to obtain symbolic social status (prestige).

In the same category of modernist ritual acts the tactic to invite many priests and prelates to the festival may be added, a practice which will be particularly studied, and also the authorities of the place or the municipality where the temple is celebrated. And as for the notification of the festival to the urban area the practice of issuing and suspending specific

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<sup>1</sup> Justin L. Barrett, «Coding and quantifying counterintuitiveness in religious concepts: Theoretical and methodological reflections», *Method & Theory in the Study of Religion* 20.4 (2008), pp. 308-338.

<sup>2</sup> M. G. Varvounis, *Θεμελιώδεις όψεις και μορφές της ελληνικής θρησκευτικής λαογραφίας*, Athens 2013, pp. 346-350.

<sup>3</sup> Cf. Ol. Bockhorn - H.P. Flelhauer, «Kulturelles Erbe und Aneignung», *Festschrift für Richard Wolfram zum 80. Geburtstag*, Wien 1982, pp. 207-232.

<sup>4</sup> Ph. Boutry, «Les mutations du paysage paroissial. Reconstructions d' églises et translations de cimetiéres dans les campagnes del' Ain au XIXe siècle», *Ethnologie Française* 15 (1980), pp. 7-32.

<sup>5</sup> M. G. Varvounis, «Αστικές εκκλησιαστικές λιτανείες», in Kyriilos Katerelos – Ap. Glavinias – Gr. Larentzakis (ed.), *Festschrift zum 25 jährigen Jubiläum der Bischofsweihe und 20 jährigen Jubiläum Metropolit von Austria und Exarch von Ungarn und Mitteleuropa Dr. Michael Staikos*, Athens 2011, pp. 67-75.

<sup>6</sup> M. G. Varvounis, «Μορφές του ελληνικού δημόσιου τελετουργικού και ελληνική λαϊκή θρησκευτικότητα. Μικρή σπουδή στην λαογραφική υπόσταση των δημόσιων τελετών στην Ελλάδα», in *Idem*, *Νεωτερική ελληνική λαϊκή θρησκευτικότητα. Συναγωγή μελετών θρησκευτικής λαογραφίας*, Thessaloniki 2013, pp. 719-751.



posters<sup>1</sup> is used now, respectively the invitation of the "officials" is made with special written invitation, which is sent to them signed by the Ecclesiastical Council and the head priest of the festive and celebrating parish.

Such invitations are typically sent to MPs, mayors, deputy mayors and municipal councilors, to the regional governor, the deputy regional governors and the regional consultants of the region, but also to judicial, military and police authorities of each municipality or the specific region, as well as to association and union presidents. Characteristic of the convergence of the public and ecclesiastical ritual is the use of the known invitation protocol, which the Metropolises usually take by the Municipalities, the Prefectures, and the regional districts, and then the churches receive it by the Metropolises and use it. It should be noted here that normally the protocol is in a shortened ("short protocol") and extensive ("long protocol") form, depending on the occasion and the purposes of the inviter. In this way, the body of the "officials" will always have a similar composition, so that at the church act all the local rulers will also distinguish from the people who attend and participate in the festival<sup>2</sup> too.

This diversity in addressing the celebrants, the distinction between "officials" and others, is clearly a modernist practice that does not essentially agree with the equality of believers in the Church, substantiated by the evangelical speech and the patristic theology. But it is common practice, normally due to the attachment of the Church in the state structure and operation system, which is thus expressed in absolutely symbolic level, and which has been mentioned elsewhere too<sup>3</sup>.

An equally interesting modernist addition to the fairs' protocol is the transformation "to the more modernist" of old and established customary practices and religious rituals. A typical example is the outdoor Artoklasia. The solemn procession of Artoklasia, normally celebrated inside the temple or its courtyard, if the celebrating temple is small or the weather conditions are such that they do not favor the crowding of the believers, is sometimes transferred to the settlement or municipality Square but also on the beach of the seaside city, during the principal stop of the solemn procession of the image of the saint, usually the night before, after the solemn vesper.

This practice, combined with other modernist practices such as the use of fireworks and the related celebratory speeches, which will be discussed below, is in proportion to the practice of the establishment of new fairs by the local Metropolises, normally dedicated to the "congregation" of local saints in a region or a Metropolis. Because these newly listed celebrations are usually held during summer, the respective religious events are organized in a way that they offer spectacle to the site visitors and also a rallying point for the emigrants of the region, who are in their homelands during summer. It is characteristic that similar trends are observed in other Christian peoples of Europe, as it has been ascertained by Ellen Ettlinger<sup>4</sup>, on the basis of relevant English examples.

So the artoklasia is conducted during the litany, on a stand, and the bread is shared after the return to the celebrating temple and the end of the procession, usually by the head priest of the religious congregation. In fact the practice of bread cut and placed in bags individually, distributed by the high priest along with paper benediction images<sup>5</sup>, that serve as mementos of participation in the festival, is followed. For the "officials" mentioned above, but also for the invited priests of other parishes, specially formulated buns are prepared, usually sweet, sometimes with the offering stamp imprinted on their surfaces, which are usually given in special cartons<sup>6</sup>. The same happens with the eminent persons in the region, parishioners with a significant contribution in the parish, donors and benefactors, etc.

It should also be noted here that a similar way of offering and flowers by the flower decorations of images, the epitaph and the cross of Holy Thursday, as well as cottons with Extreme unction, when carried out in the church, or even small bottles

<sup>1</sup> G. Ch. Kouzas, «Μεταξύ θρησκευτικής λαογραφίας και υλικού πολιτισμού: Η αφίσα στο πανηγύρι του αστικού χώρου», *Λαογραφία* 41 (2007-2009). *Τόμος Εκατονταετηρίδος. Αφιέρωμα στα εκατό χρόνια (1908-1909 / 2008-2009) της Ελληνικής Λαογραφικής Εταιρείας και του περιοδικού «Λαογραφία»*, pp. 215-244.

<sup>2</sup> José Casanova, «Religion, the new millennium, and globalization», *Sociology of Religion* 62.4 (2001), pp. 415-441. Cf. Donald E. Byrne Jr, «Folklore and the Study of American Religion», in Charles H. Lippy - Peter W. Williams (ed.), *Encyclopedia of the American Religious Experience* 1, London 1988, pp. 85-100.

<sup>3</sup> M. G. Varvounis, «Οι εθνοτοπικές παραδόσεις στις μορφές του δημόσιου τελετουργικού της Θράκης», in Idem, *Νεωτερική ελληνική λαϊκή θρησκευτικότητα. Συναγωγή μελετών θρησκευτικής λαογραφίας*, Thessaloniki 2013, pp. 679-696.

<sup>4</sup> Ellen Ettlinger, «Folklore in Oxfordshire Churches», *Folklore* 73.3 (1962), pp. 160-177.

<sup>5</sup> M. G. Varvounis, «Χάρτινες μικρές εικόνες ευλογίας», *Εκκλησία* 85: 9 (2008), pp. 717-721.

<sup>6</sup> Claudia Fonseca, «La religion dans la vie quotidienne d'un groupe populaire brésilien», *Archives de Sciences Sociales des Religions* 112 (1991), pp. 125-139. Wilhelmus Th. M. Frijhoff, *Problèmes spécifiques d'une approche de la religion populaire dans un pays de confession mixte: le cas des Provinces-Unies*, CNRS, 1979, p. 47 κ.εξ.

with oil from the lamp of the saint or sanctification, can be found in many cases. They are usually organized parishes, populous in general, who resort to similar solutions for utilitarian purposes, but also in their efforts to ensure the jeopardized order and decorum of the church when the customary occasion and the liturgical circumstance require similar "sacred distributions"<sup>1</sup>.

### Local and cultural identity

These modernist additions often extend to the case of preaching, which is theologically established and an essential element of the service, always within the framework of divine worship. Already since the time of St. Cosmas of Aetolia but also later with the preachers of the 19<sup>th</sup> and the 20<sup>th</sup> century, some of whom were laymen, and with the work of religious brotherhoods in Greece, the tradition of preaching also outside the context of divine worship, for the purpose of spiritual training and mental construction, has established in the minds of our people. In the cases we examine, an interim modernist form has formed, that clearly interests the context of religious folklore, as we define it and examine it here.

These are speeches normally performed by priests or head priests who chair the related processions, and which essentially replace the sermons, as their content is not exclusively beneficial to the soul, like them. Often, of course, they start with the example of the celebrated saint to make admonitions and exhortations to the believers, but the ending of speech is different, since it acquires social and "political" content, with thanks to the local officials who honoured the festival with their presence.

The main point of the festive oratory of these speeches<sup>2</sup>, refers to the Orthodox Church as guarantor of traditions and the preservation of the cultural, ethnic and religious identity of the Nation. This oratory projects similar church actions, and gives the church life also extensions beyond the purely spiritual and salvific effort of the Church, with the development of a characteristic for the Greek reality close connection of the Church with the Nation, the ethnicity and their identity. It is a peculiarity of the Greek ecclesiastical reality, which of course is due to historical circumstances, as indeed for centuries the Greek orthodox identity was simultaneously a national and cultural declaration.

Depending on the personality and the ideological origins of the talking, these newly listed religious fairs have national and cultural extensions, and are projected as coherent links of those originating from the same place, the "countrymen" and "compatriots" in the broadest sense. And the basic ideological line of these speeches fits with the usual events of the local associations, or local branches of the Lyceum of Greek Women, who after the artoklasia and the completion of the litany, normally in the same room, they dance traditional dances of the region or nationwide known<sup>3</sup>.

Inherent in these events is the ideologically charged connection of folk culture with certain "traditional" celebrational moments, which requires, for example, on Easter Sunday television stations to show broadcasts that fall within the limits of 'staged authenticity'<sup>4</sup> with bands who dressed in "traditional dresses" dance relevant dances, representing generally in a folklore way, older forms of Easter customs in their area. Here it is absolutely typical that the worship and church life falls in the folklore self-determination of the "local identity"<sup>5</sup>, and that through the support of such actions, the Church strongly asserts the role of the protector but also of the eminently genuine exponent of this tradition.

Of course, to a certain extent, this is absolutely justified, as in modern Greek society, the Church is one of the few living institutions in which the people has complete trust since they see the ways it operates today. This assumption is what

<sup>1</sup> Joseph Klapper, *Religiöse Volkskunde im gesamtchlesischen Raum: Grundlagen und Aufgaben*, P. Pattloch, 1953, σ. 35 seq.

<sup>2</sup> Jeanne Kormina, «Pilgrims, priest, and local religion in contemporary Russia: Contested religious discourses», *Folklore* 28 (2004), pp. 25-40. Karl Sigismund Kramer, *Grundriß einer rechtlichen Volkskunde*, Schwartz, 1974, p. 68 seq. Josef Kreiner, «Some Problems of Folk-Religion in the Southwest Islands (Ryukyu)», in *Folk Religion and the Worldview in the Southwestern Pacific*, New York 1968, pp. 101-118. Mark Kriger - Yvonne Seng, «Leadership with inner meaning: A contingency theory of leadership based on the worldviews of five religions», *The Leadership Quarterly* 16.5 (2005), pp. 771-806.

<sup>3</sup> M. G. Varvounis, «Το Λύκειο Ελληνίδων και η σκηνική αναπαράσταση του ελληνικού παραδοσιακού χορού», *Πρακτικά Α' Πανελληνίου Συνεδρίου Λαϊκού Πολιτισμού «Η διαχρονική εξέλιξη του παραδοσιακού χορού στην Ελλάδα»*, Serres 2000, pp. 219-224.

<sup>4</sup> V. Puchner, «Η έννοια της σκηνοθετημένης αυθεντικότητας στην έρευνα του ελληνικού λαϊκού πολιτισμού», *Λαογραφία* 42 (2010-2012). *Πρακτικά Πανελληνίου Συνεδρίου 100 χρόνια Ελληνικής Λαογραφίας 1909-2009 (Πανεπιστήμιο Αθηνών, 11-13 Μαρτίου 2009) – Πρακτικά Ημερίδας «Η έρευνα των λαϊκών διηγήσεων στον ελληνικό και τον διεθνή χώρο»*, pp. 819-829 (= Idem, *Δοκίμια λαογραφικής θεωρίας*, Athens 2011, pp. 69-81).

<sup>5</sup> M. G. Meralkis, *Νεοελληνικός λαϊκός βίος: Όψεις και απόψεις*, Athens 2001. Cf. C. Barraud – J. D. M. Platenkamp, «Rituals and the comparison of societies», in C. Barraud – J. D. M. Platenkamp (ed.), *Rituals and Socio-cosmic Order in Eastern Indonesian Societies* 2, Bijdragen 1990, pp. 23-24.

explains both the ecclesiastical oratory in the celebrational circumstances that are examined here, and the great popular participation in them, considering also the love factor of the people for public ceremonial forms and actions.

A modernist phenomenon is also the connection of the fair, long-established or newly listed, with the organisation of a series of events, which usually take their name from the celebrated saint (eg "Taxiarcheia", "Nikodimeia", "Theotokia", "Theomitorica", "Evangelistria" etc.) and are contacted in temporal relevance to the fair, starting before it and ending after its end.

These events have a triple nature, worship, spiritual and artistic, and usually their contents, sometimes spread in duration up to a month, are imprinted in special posters, programs, and invitations, sent or posted, in order to make them public and attract people. In fact in the recent years electronic posting and notification has started, as the use of Internet and new technologies is increasingly spreading in the church.

The worshiping part of these events includes the conduction of various sequences, beyond the established festive ones, always coherent with the well-known and miraculous images or any holy relics transferred to the celebrating church for the holiday, according to a major modernist religious practice, which is discussed in detail on another occasion. These are liturgies, pre-sanctified if it is Lent, vespers, vigils, and prayers, always combined with preaching and relevant treats by the church.

The spiritual part is covered with the organization of meetings, small conferences or lectures, which generally have a religious and theological content, but are often spread on related sciences too, such as history, literature and folklore<sup>1</sup>. The topics of these events are generally varied and conducted in cultural centers and parishes' halls, or in halls and conference centers of the Metropolises where they belong. The participants are intellectuals and scientists of the parish, and also widely known authors and researchers in the spiritual and ideological field, which generally major audiences follow<sup>2</sup>. In fact in some cases, these spiritual and scientific events are held inside the temples.

### Artistic aspects

The artistic aspect of these events has also various themes. It includes from paintings, crafts mainly from workshops and schools organized and operated in the area of the parish and photography, to music and dance events. In fact the latter, in the frame of the above mentioned, are mainly located in the area of church and folk music, but without excluding classical music concerts, church music of other Orthodox peoples (eg Russian) and choral presentations. Often these events include items for sale, which will strengthen the parish fund, or are part of Charity actions, that exist in almost all parishes, and to which the maintenance and support of the charitable activities of the different parishes<sup>3</sup> are often owed.

In some cases, when the festival coincides with a national or other commonly known holiday, and when the time of year favors it, these events include also theatrical performances, presentation of the work of amateur artistic groups, even large music concerts, whose revenue will strengthen again the parish fund. Sometimes school and student competitions are included again in the same context, with the goal to write a text or the production of a work of art, the theme of which revolves around the celebrated saint, or around values, ideals, and messages that the Church has chosen to project.

Basically, these events have as a common axis the projection of the honored saint, his life, and his life model, and also the parish work and the parish as a whole. Nowadays, with these events, a new parish perspective is essentially constructed, expressed primarily through the novel phenomena replicated here<sup>4</sup>. This modernistic parish spiritual and ideological identity is also documented by the keepsakes given in these celebrations to all participants, diplomas, plaques and medals, where

<sup>1</sup> Benoît Lacroix - Jean Simard, *Religion populaire, religion de clercs?* 2, Quebec, 1984, p. 123 κ.εξ. Benoît Lacroix, «L'Oratoire Saint-Joseph (1904-1979), fait religieux populaire», *Cahiers de Joséphologie Montréal* 27.2 (1979), pp. 255-265. Roger Lapointe, *Socio-anthropologie du religieux: la religion populaire au péril de la modernité* 1, Librairie Droz, 1988.

<sup>2</sup> Jacques Maître, «Religion populaire et populations religieuses», *Cahiers Internationaux de Sociologie* 27 (1959), pp. 95-120.

<sup>3</sup> M. G. Varvounis, «Φάγονται πένητες και εμπλησθήσονται». Λαογραφικές θεωρήσεις των εκκλησιαστικών συσσιτίων του ελληνικού αστικού χώρου», *Θεολογία* 83:4 (2012). *Θεολογία και οικονομία. Προσεγγίσεις στη σύγχρονη κρίση*. Μέρος Β', pp. 81-97.

<sup>4</sup> M. G. Varvounis, «Ναός κάτω από το ναό: Πρακτικές της νεωτερικής ελληνικής αστικής λαϊκής θρησκευτικότητας», *Κανίσκιον. Τιμητικός τόμος επί τη 10ετηριδί (2001-2011) της Αρχιερατείας του Σεβασμιωτάτου Μητροπολίτου Ύδρας, Σπεσιών, Αιγίνης, Ερμιονίδος και Τροιζηνίας κ. Εφραίμ*, Hydra 2011, pp. 257-263.

the emblems of the parish, as well as representations and signals of emblematic content are clearly reflected, in trying to perpetuate the fair beyond the specific timing.

In this direction also leads the yearly repetition of these events, with greater or more limited scope, depending on the circumstances and the specific situation data, but with the clear statement that it is a continuation of the preceding. The continuity in time proves the establishment, and this factor is a condition of self-righteousness for the contributors of such parish events<sup>1</sup>, which should be highlighted that are purely voluntary, with minimized expenses, propped on volunteers and partners, generally folksy, active in every parish.

Besides, we should not forget that in the category of modernist parish events are also included all kinds of educational activities, which the parishes organize and carry out, with the aim of gathering and bringing together people, especially young people, around the parishes. After 2009, the economic crisis of Greek society, which becomes more and tortuously felt in large urban centers, led to a concentration of various social functions around the parishes, to the level of free offer to people who cannot pay for them: food, schools for students, purchase of medicines, clothing and even medical care often covered at parish level, by church resources<sup>2</sup>.

Already before the outbreak of the crisis, the parishes offered for free knowledge and skills, within their social work: painting lessons, music and dance, cookery and craft courses (woodwork, copper art, jewellery making, etc. ), and even foreign languages lessons and providing basic medical and legal knowledge are some of the areas in which the parish work spread. The students of those, basically afternoon, classes, often exhibit their works - with any revenue from the sales to primarily strengthen the parish fund - and actively participate in the events referred to here.

Basically is another aspect of the contributing to society of the parishes of the cities, in the sense that the joint participation in such actions under the auspices of the Church, most often creates or rebuilds and transforms social relations, becoming an essential social unity factor and enhancing the local community ties in the wider operating area of these parishes<sup>3</sup>. And it is this social role, which in final analysis places particular emphasis to these actions, making them the most beloved collective events among people, beyond their obvious religious, intellectual and functional significance for the believers of our times<sup>4</sup>.

## Conclusion

The novel elements of our above mentioned contemporary church fairs, are typical aspects of the contemporary also Greek popular religiosity, which the religious folklore studies. Aspects important for the study of the forms our modern sense of tradition takes, and the transformations the older forms undergo, while the tradition process traverses human societies over time.

In these forms coexist both developments and older data transformations, as much as new forms, adopted either from abroad or from other sectors and divisions of the organized social life. In fact, it should be noted that in the religious folklore we cannot refer to "our own" and "foreign" elements, since from the moment an element of the traditional religious behaviour is adopted by the people, it becomes a fact of the folklore of the given place and time<sup>5</sup>. So the adoption of forms from the

<sup>1</sup> Cf. Elaine J. Lawless, «Brothers and sisters: Pentecostals as a religious folk group», *Western Folklore* 42.2 (1983), pp. 85-104.

<sup>2</sup> M. G. Varvounis, «Αστική λαϊκή θρησκευτικότητα σε ενοριακά πλαίσια: η περίπτωση της ενορίας της Αγίας Αναστασίας της Πατρικίας της Ι. Μητροπόλεως Περιστερίου», in G. Andriomenos (ed.), *Ευκαρπίας Έπαινος. Αφιέρωμα στον καθηγητή Παναγιώτη Δ. Μαστροδημήτρη*, Athens 2007, pp. 183-199. Idem, «Λαϊκά θρησκευτικά πανηγύρια αθηναϊκών ενοριών», in G. K. Kairophyllas – S. G. Philippotis (ed.), *Αθηναϊκό Ημερολόγιο* 19 (2008), pp. 210-218.

<sup>3</sup> Hitoshi Miyake, «Folk religion», in *Religion in Japanese culture: where living traditions meet a changing world*, New York 1996, pp. 79-96. Idem, *Shugendō: essays on the structure of Japanese folk religion*, Center for Japanese Studies, the University of Michigan, 2001. Cf. P. A. Morris, «The effect of pilgrimage on anxiety, depression and religious attitude», *Psychological Medicine* 12.2 (1982), pp. 291-294.

<sup>4</sup> Roberto Motta, «Ethnicité, nationalité et syncrétisme dans les religions populaires brésiliennes», *Social Compass* 41.1 (1994), pp. 67-78. George MacDonald Mulrain, *Theology in Folk Culture: The Theological Significance of Haitian Folk Religion*, P. Lang, 1984. Amaldo Nesti - F. Dassetto - A. Bastenier, «Gramsci et la religion populaire», *Social Compass* 22.3-4 (1975), pp. 343-354.

<sup>5</sup> M. G. Varvounis, «Η ελληνική λαϊκή λατρεία μεταξύ Ανατολής και Δύσης: ζητήματα πολιτισμικού διαλόγου στη Θρησκευτική Λαογραφία», *Phasis. Greek and Roman Studies* 13-14 (2010-2011). Institute of Classical, Byzantine and Modern Greek Studies – Ivane Javakhishvili Tbilisi State University, pp. 416-434.

people, which inevitably means the beginning of a series of changes and transformations, is the critical point after which we cannot talk about outlandish customs, but for manifestations of the single folklore.

Through this adoption of forms, with their subsequent changes and amendments, or rather the "stochastic adjustments" of the basic characteristics of the live tradition by the people, the renewal of the tradition is achieved, as much as the enrichment of the customary life of the people<sup>1</sup>. This, in turn, is essential for the vitality and the continuation of the social impact and the acceptance of the tradition, which is an active procedure in progress, and not a set of fossilized situations, things, opinions, and actions<sup>2</sup>. And this happens even in the case of popular religious tradition, no matter how cumbersome and slow in development these by definition conservative and typically almost repeated religious and liturgical traditions of a people are<sup>3</sup>.

In this process, the so critical from a cultural perspective since it's linked to the substance of our daily tradition itself, the novel elements of our contemporary religious fairs are critical points, as shown above in detail.

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<sup>1</sup> Sidbe Sempore, «Religion populaire en Afrique. Le Bénin, un cas typique in Religion populaire», *Concilium* 206 (1986), pp. 63-70.

<sup>2</sup> G. Ch. Kouzas, «Η καθημερινή ζωή των ζητιάνων στο προαύλιο του αγίου Αντωνίου Περιστερίου: ετερότητα και περιθωριακότητα στη θρησκευτική ζωή του αστικού χώρου», in M. G. Varvounis – Pan. Tzoumerkas (ed.), *Αλεξανδρινός Αμνηστός. Αφιέρωμα στη μνήμη του Ι. Μ. Χατζηφώτη* 1, Alexandria 2008, p. 242. Idem, «Αστική Λαογραφία: θεωρητικές διασταυρώσεις - ιστορική διαδρομή - θεματολογία. Από τη μελέτη των 'βιομηχανικών επιτηδευμάτων' στην έρευνα των σύγχρονων μεγαλουπόλεων», in M. G. Varvounis – M. G. Sergis (ed.), *Ελληνική Λαογραφία: ιστορικά, θεωρητικά, μεθοδολογικά, θεματικές* 2, Athens 2012, p. 144.

<sup>3</sup> Cf. G. Vozikas, «Οι υπαίθριες αγορές των θρησκευτικών πανηγυριών στην πρωτεύουσα», *Λαογραφία* 41 (2007-2009), pp. 195-196.

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## The Effects of Networks on New Entrepreneur's Internationalization, a Case Study from Izmir-Turkey

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### Abstract

Entrepreneurship is not only one of the important topics of developed countries but also takes place in developing countries. State and government agencies, as well as private sector representatives spend efforts for increasing the number of entrepreneurs in an economy. Thus, it is expected to decrease unemployment rates, prevent unrecorded economy and accelerating innovation capability of a nation. To achieve these goals, it is crucial to understand who the entrepreneur is, how their potential will be brought out, what kind of support does he/she need. Especially in emerging economies, entrepreneurs should have vision of being international to gain competitive advantage. Because of that reason researches on internationalization of new ventures have been intensified for 20 years. After experiencing and observing the role of networks and networking on sustainable entrepreneurship, number of studies have been increased. In this study, we chose to conduct in depth interviews among the companies who are in business less 5 years and having an export percentage 10% in accordance with total sales. The findings of the research show that networking accelerates internationalization of new ventures.

**Keywords:** Entrepreneurship, networks, internationalization

### Introduction

Success in local or domestic market can limit the internationalization intention of firms, those have tendency to invest and grow in their local market (De Clerq et al., 2005; Arbaugh, Camp & Cox, 2008). But some reasons such as economics crisis, payment risks, international price differences, demand fluctuations, scarcity of natural and human resources, government incentives for export, low wages and tax rates, may have triggering effect on internationalization of firms (Kemer, 2003; Pangarkar, 2008). Due to number of variables, businesses and businessmen will have to be more knowledgeable and attentive than ever before in the global and uninhibited international trade areas, wherever they are in the world (Mirze, 2010).

It is possible to say that the definitions of entrepreneurship are sufficient, but the concepts and definitions related to international entrepreneurship are constantly renewed and the studies about this field include a new researcher day by day. Early studies on internationalization mainly focused on MNE's, but increasing number of entrepreneurial companies, and SME's directed scholars to explore internationalization of different types of companies.

The Conceptual models of international entrepreneurship have drawn attention on; potential of creation wealth, environmental and organizational characteristics, survival and growth (Arbaugh, et al., 2008).

Internationalization simply means operating beyond borders of home country. By leading studies and great contributions to the literature, Mc Dougall and Oviatt (2008, p. 903) define international entrepreneurship as “ combination of innovative, proactive, and risk-seeking behavior that crosses national borders and is intended to create value in organizations”

### Literature Review

The internationalization can be either in step by step or beginning from company establishment, and according to Crick and Spence (2005) this phenomenon can take place via planned or unplanned. According to stage models of internationalization, export operations are the initial steps of internationalization. Different kinds of stage models( incremental models )were revealed by different scholars. Johanson and Wiedersheim-Paul (1975) Johanson and Vahlne, (1977) from Uppsala University-Sweden, developed a model named as their region and university. Uppsala Model of Internationalization (U-M) has four main steps:

In the first step of this model there is no regular export activities,

In the second step, export emerged with the help of independent representative,

In the third step, company will establish a foreign subsidiary

And the last, company will start operations (including manufacturing) abroad.

One of the another crucial contribution to stage (incremental) models was from Cavusgil (1980), this model also considered as Innovation- Related Internationalization. According to his model of internationalization, company sells only to domestic market in the initial step.

Second step is called as pre-export phase, means, seeking information for export qualification.

Third step is Experimental export, the firms starts to export products to countries which are physiologically close to home country.

In the fourth step the firms export directly more than one country with high volumes.

Fifth step committed involvement, means the firms decides about allocating resources in terms of export or domestic sales.

Other reputed incremental models under the Innovation Related Internationalization Models revealed by Bilkey and Teaser (1977), Czinkota (1982) and Reid (1981). Incremental models, Uppsala Internationalization Model and Innovation Related Internationalization Models are behavioural oriented. These models are closely similar, main differences between them are, number of the stages and definitions of steps (Erkutlu & Eryigit, 2001).

In the literature there can be seen different approaches to internationalization, one of the most important is capital based view, which include, general human capital, management know-how, specific know-how, and ability to acquire financial capital( Becker, 1975; Cooper et al., 1994; Westhead, Wright & Ucbasaran, 2001). According to study of Westhead et al. (2001) experience about working abroad, networking potential of founders, remarkable management know-how encourage firms to be exporter, all these encourage internationalization.

In the discipline of internationalization, stage models were inadequate to explain the process, after acceleration of globalization. According to Lindquist (1988) and Bell (1995) small company internationalization is affected by relations between customers, entry mode and choosing target market. Not only characteristics of the company and the market determines entering new markets and internationalization but also, position in a foreign network and strength of relationship within network plays crucial role (Johanson & Matson, 1988).

Another model for internationalization is Born Globals, these are the companies., which have global vision and begin export with one or more products in two or three years after establishment (Knight & Cavusgil, 1996; Luostarinen & Gabrielsson 2006, Servais et al. 2007).

According to Lin, (2010) The international entrepreneurship approach explains the internationalization of the enterprises from the perspective of the entrepreneur, together with the experience and the networks of the entrepreneur. Networks have potential to provide experiential knowledge to the companies, especially to SMEs which they strongly need in the first



stages of their internationalization process and accelerate speed of internationalization because of synergetic relations (Lindqvist, 1997; Dana, Etemad & Wright, 1997). It also provides confidence that facilitating the internationalization process will make it easier for the firm to find solutions to possible problems in international markets.

Social networks and physical networks are related each other; infrastructure, communication equipment, transportation are the parts of physical networks, relations between people during business transactions are the social part of networks (Casson, 1997; Casson & Della Guista, 2007). Axelson and Easton (1992) defines network as "sets of two or more connected exchange relationships" These relationships take place among, the company itself, suppliers, government agencies, customers and shareholders.

### **Methodology**

The aim was to investigate and find out the roles of Networks and their contribution on internationalization of new entrepreneurs. According to our literature review, there were a few specific studies conducted related with networks and internationalization in Turkey. Because of that reason, due to exploratory nature, in depth interviews was chosen as research method (Yin, 1989; Sasi & Arenius, 2008). Qualitative methods should be used to clarify social issues in order to get deeper information (Hill, et al. 1999; Hoang and Antoncic, 2003; Jack, Dodd & Anderson, 2009). Purposive sampling approach was used and 5 participants selected from the members of Aegean Exports Union. Series of 5 interviews made with the participants. The duration of interviews was approximately 30 minutes duration per participant. Collected data inductively analysed, network patterns were discovered. Main limitation is our sample size it is not enough to generalization, and the industry types. Working with different sectors and more samples are our future objectives to improve our study.

### **Findings and Conclusion**

According to quotas derived from transcripts we found three main themes.

#### **First theme is To Overcome Cultural and Language Barriers**

New entrepreneurs who were decided to internationalization have anxiety about overcoming cultural barriers. Studies of Coviello & Munro, (1997) Coviello & Martin (1999) indicated the importance of informal network relations such as friends and family members which our findings supported their claim as well.

*"Before we established our company, we conducted market research on the product. We think Germany will be a suitable market for us. My friend from high school lives in Germany. First, I shared the subject with him. I asked him to find a company for us. The first prototype samples arrived to potential buyers through him. He told us about attending a fair in Germany. In this fair we found a good buyer from Egypt. We export our products both Egypt and Germany"(MO, Partner & Export Manager, Plastic Sector, 2 years old)*

*"Our company owner was born in Netherlands, educated there, and had worked for 6 years there. From foundation of our company our orientation is for EU market. Because he had good contacts from EU because of his last relations, he knows 3 languages which enable us to export our products easily". (F. A. Export Manager, Company A, Chemical Industry, 3 years old)*

*"Our position in Turkish market is pretty good. But to survive in this business world, people should integrate themselves to new markets, not only domestic, but also international ones. Language and way of doing business are important issues for new companies. I sent my daughter to Italy for fashion certificate program. One of her friend's father also was in men's wear business. With her help I had chance to met him in Italy. He helped me about making patterns in Italian style. After that with their help we started to make collections for famous Italian brands. We also started to export our products to Urumqi-China with a support of an broker"(SH, Owner, Textile, 5 years old).*

They had exports to the firms in EU and they knew how to get certification for EU. With the help of broker company we've got requested certificate and started to sell our products with them. We are still working with them, because without them it would be risky for us to start ourselves, but we have also our own export department for exporting our products directly. We have self confidence, we attend regularly international fairs and we are getting important proposals about partnership" (AD, Export Manager, Mineral Processing Sector, 5 years old)

Intermediaries also acting as connector between the firm and customers abroad, they facilitate business transactions both parties. Intermediaries as formal networks, initiates buying and selling activities without bringing producer and customer (Havila, et al. 2004; Oviatt & Mc Dougall, 2005).

"We have met with Turkish entrepreneur in the fair. She helped us during the fair as translator. It has been 3 years since we started to work with her. She is our exclusive agency now, because she now hot to deal with German customers"

*"Before we established our company, we conducted market research on the product. We think Germany will be a suitable market for us. My friend from high school lives in Germany. First, I shared the subject with him. I asked him to find a company for us. The first prototype samples arrived to potential buyers through him. He told us about attending a fair in Germany. In this fair we found a good buyer from Egypt. We export our products both Egypt and Germany"*(MO, Partner &Export Manager, Plastic Sector, 2 years old)

According to Johanson and Vahlne (1977) in the first step of internationalization, -with the aim of eliminating risks- firms are directed to physically closer markets. From our interviews we can infer same remarks. Germany market is not closer to Turkey but the population of the Turkish people in Germany, enable internationalization of the firms in Turkey. Founders and managers that in firms contemplating and executing international expansion they need to take into account the structure and content of their networks. For instance, SME managers ought to be mindful of the background and expertise of their international contacts and recognize the value of language proficiency in the facilitation of communication with network members. (Musteen, et al. 2010).

### Second Theme is **The Way of Doing business**

Our aim was to have competitive position in the domestic market. We are the third biggest company in our sector. But our competitors were really big, it was not easy to get market share from them. Then we decided to export our products to Europe. Because Europe market is safe and logistically close to our country. But we did not know how to deal with standards related with product and operational procedures. One of my friend suggested me a broker company in Izmir.

With the help of broker company we got requested certificate and started to sell our products with them. We are still working with them, because without them it would be risky for us to start ourselves, but we have also our own export department for exporting our products directly. We have self confidence, we attend regularly international fairs and we are getting important proposals about partnership" (AD, Export Manager, Mineral Processing Sector, 5 years old)

According to study of Arbaugh, et al. (2008) knowledge and cultural factors are more important than the companies who are acting in domestic markets. To overcome these issues entrepreneurial firms look for proper network agents for themselves and the successes of the firm in terms of internationalization is connected with the transition from dyadic relationships to multilateral network relationships (Sasi & Arenius, 2008).

### Third Theme is **Reducing Risk**

They had exports to the firms in EU and they knew how to get certification for EU. With the help of broker company we got requested certificate and started to sell our products with them. We are still working with them, because without them it would be risky for us to start ourselves, but we have also our own export department for exporting our products directly. We have self confidence, we attend regularly international fairs and we are getting important proposals about partnership" (AD, Export Manager, Mineral Processing Sector, 5 years old)

"For eliminating domestic market risks, our team is decided to enter new markets, and for us, the best way of finding new customers abroad is to attend international fairs. One of the basic challenge was how to communicate in a correct way with Foreign customers. First we attended an international fair in Germany. We have met with Turkish entrepreneur in the fair. She helped us during the fair as translator. It has been 3 years since we started to work with her. She is our exclusive agency now, because she now hot to deal with German customers. I am also member chamber of commerce, commission of cosmetics. I am sharing my experiences and encouraging other members for export business " (L. K, Owner, Company B, Cosmetics Sector, 3 years old)

It can be seen that internationalization of new enterprises in Turkey can be preferred especially in the countries where the Turkish population lives intensively. The reason is that the lack of language, culture, and ways of doing business can be overcome by those who speak their own language and share common culture on this issue. Our main limitation for this paper is about the city, which we selected our sampling from. The highest number of educated entrepreneurs are living in Izmir. Their vision and their aim related with internationalization can be differ from the entrepreneurs who are living in central and eastern Anatolia. In order to increase the validity and reliability of the study, we ought to increase the number of samples from different parts of Turkey. Because empirical observations show that entrepreneurship tends to concentrate

geographically and that while some communities exhibit high rates of entrepreneurial activity, others with similar initial characteristics, do not (Minniti, 2005. p. 24).

According our research on internationalization of new entrepreneurs, we found below contributions of networks.

Support at stands at the fairs,

Organizing Bilateral meetings

Translation services

Pre-financing

One of the basic challenge is for Turkish new entrepreneurs is language. New entrepreneurs fear of making communication failure and misunderstandings. Operational and payment procedures, requested product standards also another issue for the entrepreneurial firms in Turkey to deal with. Experienced, and qualified broker companies or people who have god relations in targeted foreign market, help new firms for internationalization by eliminating potential risks and teaching them how to make business abroad. Relatives and close friends who are living and working abroad, also play important role in internationalization of new entrepreneurial firms.

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## Application of Energy Efficiency Techniques While Using ICT Equipment

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### Abstract

Information and Communication Technology (ICT) devices and services are becoming more and more widespread in all aspects of human life. Computers and home office equipment represent one of the fastest growing categories of home energy use. While ICT equipment has become more energy efficient in recent years, computers, peripherals, and data centers still use significant amounts of energy, especially if they are left on constantly. The information and technology ecosystem now represents around 10% of the world's electricity generation and it represents the largest area of potential energy savings, as well. Most of these devices now have power management features that allow them to enter standby or "sleep" mode during periods of inactivity but only a fraction of users, know about the potential energy savings features. The aim of this paper is to offer practical and actionable tips for saving energy with computers and home office equipment. I review and test the main opportunities, explain them in plain language, and provide practical tips for leading an initiative to increase ICT energy efficiency in order to cut energy consumption per unit in half – or more. This paper presents the survey conducted about ICT equipment energy use in four offices and in five residential buildings in Korça region, Albania. The users were advised to use some basic energy efficiency tips, and energy data were collected before and after the new practices. Experimental results show that the methods used for increasing efficiency were very effective and the electricity consumption was reduced to about 10% - 45% in offices and about 5% - 15% in residential buildings.

**Keywords:** Appliance efficiency, energy efficiency techniques, ICT equipment, standby power consumption, power management features.

### Introduction

#### ICT and Energy

In general, ICT has a green image because it provides solutions to some environmental problems. Well-known solutions are electronic documents and electronic mail (no need to print and no transportation costs). As well, teleworking, a system where an employee can work from outside the workplace, is another possible application (P. Fernando and A. Okuda, 2009) which has many advantages such as an improved work-life balance, increased productivity, savings of CO2 emissions, space saving and financial benefits (S. Ruth, 2011). Even though ICT gives some solutions to environmental problems, it also induces some of them. One of these problems is energy consumption of ICT itself. It is predicted that 14% of the worldwide electrical energy in 2020 will be consumed by the ICT sector (M. Pickavet, 2008). Over the past decade, concern has been raised about the rapidly growing energy use by personal computers (PCs) and other electronic office appliances. The prominent publications by Mills (1999) and Huber and Mills (1999) suggested that as much as 8% of electricity demand in the United States was directly related to internet-linked computer use. With recent swiftly increasing market demands for new Communication Technology devices, the ICT sector continues to witness rapid growth and mass spread of ICT equipment and services at both the national and global levels. The electricity consumption associated with this expansion is also illustrated by the fact that the IEA estimates that, even with a continuation of all existing appliance policy measures, the electricity consumption for ICT and consumer electronics will grow by almost 800% from 1990 to 2030. Comprehensive data for electricity consumption by the ICT industry alone are not available, although, globally, electricity consumption by the ICT sector in 2012 was estimated to be roughly 900 million MWh, or 4.6% of the world's overall electricity consumption (Heddeghem et al. 2014). This includes electricity consumption by end-use devices, data centers, and the telecommunications industry. Figure 1 shows the share of each. ICT has the potential to play a central role in addressing the climate and energy challenges we face today. The European Commission highlighted this opportunity in its

Recommendation COM (2009)7604 of October 2009 on mobilizing ICT to facilitate the transition to an energy-efficient, low-carbon economy.

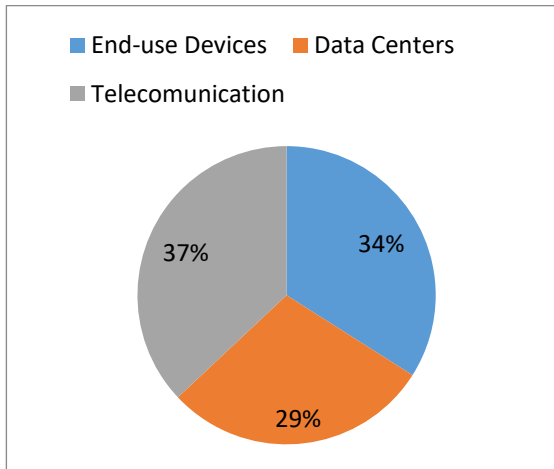


Figure 1. Electricity consumption by end-use devices, data centers, and the telecommunications industry.

All electric equipment commercialized in the European Union is required to comply with energy efficiency regulations. Energy standards are set up around the world through well-known eco labeling and energy efficiency programs, such as Energy Star for major appliances in North America, ASEAN in Asia, GreenTag in Australia, and Eco-Label in European Union that is set through the Regulation (EC) No 66/2010 of the European Parliament and of the Council.

Energy conservation through equipment efficiency is an essential component of international efforts to slow global warming and prevent the potentially catastrophic effects of climate change, caused primarily by increased atmospheric carbon dioxide levels that result from burning fossil fuels. Although ICT efficiency techniques alone will not save the planet, I believe that making home or office more energy efficient reduces domestic electricity consumption by at least a few percentage points, thereby helping our planet.

However, while industrial processes and public infrastructure still offer many opportunities for saving energy through conventional ICT-based automation and optimization, this is more difficult in a home environment. Conventional measures for reducing domestic energy consumption need to be taken – they essentially consist of using more energy-efficient appliances and reducing energy lost by appliances on standby mode.

A university is a specific example of an office environment, and the power consumption in four department offices has been considered for this study. In this paper I present the results of the survey about energy use by ICT equipment conducted in four offices in “Fan S. Noli” University and in five residential buildings in Korça city, Albania. Measurements were carried out for a period of two months. After the first measurements were performed, both office employees and residents were instructed to use a list of practical techniques to increase the efficiency of electricity consumption for the ICT equipment they used. Over the whole study period, continuous measurements were performed and the results were compared with previous measurements. It is observed that all experimental results show that the methods used for increasing efficiency were very effective and the electricity consumption was reduced significantly.

### Measurement Methodology

In each site, consumed power was measured while the appliances were in normal routine use. A common measurement methodology and the same equipment were used in all measurements. The data were collected using the metering equipment EKM-OmniMeter I v. 3. The meter was connected to the central site power panel and to the computer (it can export data to computer in excel format through EKM Dash software). The data were collected for one month from each site. After that, the office employees and residents were instructed to use a list of practical techniques (explained in details in Chapter III) to increase the efficiency of electricity consumption for the ICT equipment they used. Eventually data were collected again for another one-month period for each site.

## **The Main Saving Opportunities**

Office employees and residents were provided with advice on managing ICT in order to minimize running costs. Also residents were provided with long term recommendations for purchasing efficient and environmentally preferable office equipment.

### **Out-of-office-hours use:**

I have concluded that nearly half of my colleagues' PCs in my office are left powered on unnecessarily after office hours, greatly increasing the average monthly power consumption of these desktops to around 100 kilowatt-hours per Pc. Using an electricity cost of 10 cents/ KWh, the annual energy running cost of a single workstation left powered on unnecessarily after business hours, could be up to 365. 25\*24-1800 (official working hours) = 6966 hours \* 0. 12 KW/h \* 10 cents/KW = \$83. 6 per annum. The users were advised to switch-off or activate the power saving settings for computers or ICT devices when they are not in use. Spending a large portion of time in low-power mode not only saves energy but helps equipment run cooler and last longer.

### **Enable Power Management directly on all equipment:**

Most computers, copiers, fax machines and printers now offer "power save" or "sleep" mode settings by which they go into an energy-saving mode after a certain number of idle minutes. The energy-saving mode typically uses at least 70 percent less energy than full-power mode. For example, a typical desktop PC consumes about 150W while powered on; roughly 80W by the PC and 70W by the LCD monitor, while only a fraction of this is consumed in standby or off-mode. It is a common misperception that screen savers reduce a monitor's energy use. Do not confuse screen savers with monitor and computer power management features. Screen savers can actually increase the energy used by both the display and the computer's processor. Screen savers were originally developed to prevent the permanent damage of patterns on older CRT monitors, but modern display screens do not suffer from this problem. Today, screen savers are purely for entertainment. Use automatic switching to sleep mode or simply turn it off. The users were advised to activate the power saving settings for computers and other ICT devices.

For optimal savings and user experience, Energy Star recommends:

Set display to enter sleep mode after 5-20 minutes of inactivity.

Set computer to enter system standby/hibernate/sleep after 30-60 minutes.

On laptops, be sure to change the "AC" or "Plugged in" power profile; if you only make these changes to the "DC" or "Battery" power profile, you won't see any energy savings.

### **Imaging equipment:**

Because printers, scanners, and copiers are commonly left on for 24 hours a day, energy-efficiency is an important purchasing consideration. Office equipment that has earned the energy efficiency certification helps save energy through special energy-efficient designs, which allow them to use the least possible energy to get a job done and to automatically enter a low-power mode when not in use. In addition to saving energy, energy efficiency certified copiers and printers also cut down on paper use by automatically printing on both sides of the paper. The users were advised to activate the imaging devices to automatically enter low-power sleep or standby modes when inactive, and to print on both sides of the paper.

### **Use smart power strips:**

Most office equipment, consumer electronics and battery chargers continue to draw a trickle of electricity from the outlet even when turned off.

The users were advised to consider purchasing smart power strips with integrated master switch and attaching to them clusters of electronics that can be shut off at once, manually or automatically. Since it is not always practical to completely unplug these items whenever you leave your desk, smart power strips can effectively do that for you.

### **Switching to laptops and getting rid of desktops:**

If your office is considering a computer upgrade, suggest switching to laptops instead of desktops. Laptops use roughly five times less electricity, consuming just 14–24 watts of power while on, compared to a desktop at around 100 W. When



in sleep mode, most laptops use only 1–2 W, which means that businesses that trade in their desktops for laptops can see dramatic energy savings. The users were suggested that if they are considering a computer upgrade they should switch to laptops inside of desktops.

**Make sure all lights are turned off in your office at the end of the day.**

The users were suggested to create an office policy to ensure all the lights in office are turned off, including lights in bathrooms, kitchen areas, and meeting rooms. The employees were suggested also to switch off lights in a room if they are going to be out of there for longer than a few minutes at a time.

**Energy efficiency qualified products:**

The “Energy Star” or “Eco-Label” mark indicates the most efficient computers, printers, copiers, televisions, and other appliances and equipment.

It can provide remarkable energy savings, with as much as 90% savings for some products. Overall, energy efficiency qualified products use about half the electricity of standard equipment. The users were advised to always buy energy efficiency qualified products for their home or business.

**Get the light right**

For lights in the office, install LED or compact fluorescent light (CFL) bulbs that can use significantly less electricity than incandescent bulbs.

Unfortunately, not all of my colleagues expected with a sense of enthusiasm or urgency my computer power management initiative. I have identified three possible reasons for this:

**The employees do not pay the utility bill.** Office users rarely pay the electricity bills, so they don't directly benefit from energy efficiency measures.

**Job priorities.** An office employee's job, first and foremost, is to keep computer running to fulfil the tasks. Daily software upgrades ensure that this job is not jeopardized. Thus all initiatives to introduce energy efficiency modes take a distant back seat.

**Lack of expertise.** Energy efficiency is almost never a part of office-employee training. The time it takes to research energy-saving strategies, tools and techniques is often significant enough to serve as a barrier to action.

**Estimate Implementation Costs**

The costs associated with activating these settings are minimal, in contrast to energy savings.

Implementation costs may include:

**IT staff time.** Even for the largest companies, activating power settings rarely takes more than a few days of work.

**Software solutions.** There are lots of ways to activate sleep settings across entire networks of computers, and most of them are free. Although there are lots of commercially available software packages that offer more feature-rich solutions and may deliver more energy savings, they can involve fees of roughly \$3-15 per PC.

**Results**

Office users find it easy to manually activate computer power management features, while it is a little bit more difficult for home users. After the users were instructed to use a list of practical techniques to increase the efficiency of electricity consumption, the energy consumption data were collected again for another one-month period for each site. Figure 2 and Figure 3 show the measurements before and after the electricity saving actions.



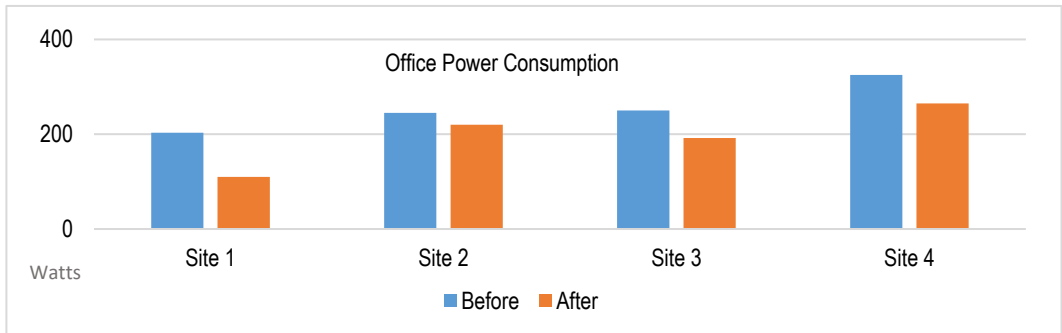


Figure 2. Office power consumption before and after recommended energy efficiency tips.

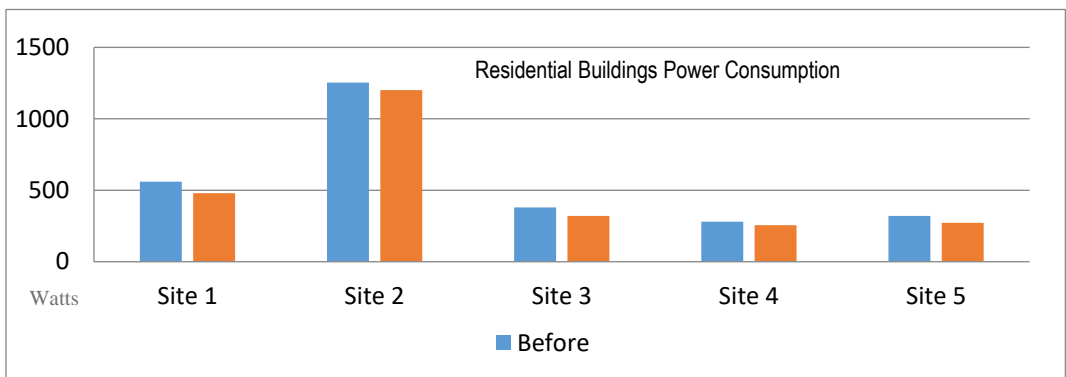


Figure 3. Residential buildings power consumption before and after recommended energy efficiency tips.

As seen in Figure 2 and Figure 3, the data shows the potential of energy savings from basic energy efficiency techniques. The average energy saved by all ICT for one average office is around 60 KWh per month, whereas for residential buildings it is slightly less, around 53 KWh per home. The results showed that the energy savings in offices were higher than in residential environments. This may be due to the fact that:

In the office, almost all the electricity consumed comes from ICT equipment type, while in residential buildings only a small portion is consumed by the ICT equipment.

Even before efficiency recommendation tips, the home users were more careful than office users not letting ICT appliances on all time, thus the difference of consumption before and after measures was smaller for home users.

Office users may find it easier to activate equipment's power management features than home users may.

### Conclusion

ICT can make a significant contribution to saving energy, both through autonomous optimization and by inducing changes in user behavior. Obviously, the potential energy savings of energy efficient office equipment will only be achieved if the user acts accordingly. People often underestimate the little things they do at work, so promoting awareness and consciousness about energy issues is very important, not only for decreasing the amounts billed each month, but also for promoting a healthy environment within our workplace. Considering the crucial list of practical techniques mentioned above will enable us to see immediate changes in the energy bill in the subsequent month. In order to be effective, energy efficient suggested techniques should therefore be accompanied by organizational and educational measures to ensure that the potential efficiency gains are actually realized. Also, when it comes to influencing consumer behavior about efficiency,

further research is required not only to develop user interfaces that present consumption data in a suitable way, but also to identify and better understand concepts of behavioral science.

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## Investigation of Attitudes and Perceptions of Human Resource Managers at Hospitality Establishments Regarding Affirmative Action Programs A Case Study in Eskişehir-Turkey

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### Abstract

The purpose of this study is to examine the perceptions and attitudes of human resource managers at some hospitality organisations regarding the employment of disadvantaged individuals as part of affirmative action program in the province of Eskişehir-Turkey. This study is a qualitative study focusing on real cases to inspire other organisations. The data were collected through active interviews, and the collected data was analysed through the use of manual qualitative data analysis methods. The findings of the study reveal that perceptions of human resource managers regarding disadvantaged individuals at hospitality organisations are closely related to disabled individuals. They do not have positive attitudes towards the employment of disadvantaged individuals in tourism as part of affirmative action programs. They are also against positive discrimination of disadvantaged individuals in the employment in tourism for some reasons. All these findings suggest that participants are confused about some terms regarding affirmative action.

**Keywords:** Affirmative action, employment, tourism, disadvantaged individuals, hospitality organisation

### Introduction

The issue of affirmative action has been a major debate among policy makers and administrators managing organisations for long years. Affirmative action (AA) is related to workplace policies and practices aiming to eliminate any discrimination in any workplace among the members of protected classes (Crosby et al., 2006). It is commonly believed that the terms of affirmative action (AA) and equal opportunity (EO) are two closely related terms to one another, and they can be used synonymously. However, they are actually two terms which significantly differ from one another in many ways. The first difference between the two terms is that EO is mostly reactive. It means that EO attempts to remove any discrimination when it occurs. However, affirmative action plans aim to prevent any discrimination within an organisation before it takes place reacting in a proactive way (Crosby et al., 2006). Affirmative Action Programs (AAPs) have been a controversial issue for employment policies in most workplaces throughout the world. With the help of the AAPs, policy makers aim to reduce traditional discrimination practices among employees.

AAPs started to be a major concern in the USA first in history, but it has become a popular issue throughout the world in time. Governments around the world have started to pass new regulations and laws encouraging and leading organisations to decrease any discrimination practices in workplaces (Jain, Sloane, Horwitz, Taggar, & Weiner, 2003). The regulations passed in these countries require organisations to adopt equal opportunity policies and to improve the employment opportunities for the members of underrepresented groups in the society. As individuals employed in organisations have been subjects to AAPs, understanding their psychological reactions to AAPs used in workplaces has been very important. Psychological reactions of employees at organisations such as attitudes of employees play significant roles in the development of affirmative action policies and in the implementation of the AAPs in workplaces. In the determination of the effectiveness of the AAPs in workplaces, managers and employees' supportive attitudes towards the implemented AAPs are very important for organisations (Hitt & Keats, 1984). As a consequence of this fact, many types of research have been

carried out in the field to investigate the attitudes and perceptions of the workers and administrators in organisations. To have a better understanding of affirmative action, which is the subject of this study, it is very important to have a clear definition of "attitude". Attitude is defined as an evaluative judgment regarding an object (Fishbein & Ajzen, 1975). If employees and managers' attitudes towards AAPs can be understood better in organisations, it becomes easier for those implementing AAPs in organisations to manage any AAP related issues. For example, positive support or any resistance to AAP can be managed more effectively in such cases (Bell, Harrison, & McLaughlin, 2000). The most basic aim of this study is to come up with new evidence based on a different context for the AAPs and reactions of human resource managers towards it.

### **Structural Features of Affirmative Action Programs**

The most important structural feature of AAPs is the amount of the focus on applicants' demographic traits such as gender and race-ethnicity, and therefore the relevant research in the literature has focused on these two traits briefly mentioned above. The AAPs used in research are classified into four types as suggested by Sanders (2004)

The first of these is opportunity enhancement. In this class, AAPs offer assistance to the subject group members before the decision of employment was made. This is done with the help of focused recruitment or training. In this category, demographic traits of the applicants are disregarded in the employment decisions. Just opposite, their primary aim is to have more target group members in the pool of qualified candidates to have more alternatives. Thus, decision makers have more alternatives to select and the average quality of the chosen ones are higher than the case when less target group members are available in the selection pool for the decision makers in employment.

The second structural feature of AAPs is equal opportunity, which is the elimination of any discrimination within the organisations. AAPs do not allow decision makers to put a negative focus on membership in an AAP target group. The third one is tiebreak AAPs. Members of the target group are preferred more often over the others if their other qualifications are equivalent. Thus, the amount of positive weight put on the target group is kept at the minimal level. The last structural feature of AAPs is strong preferential treatment AAPs. This one prefers members of the target group even when the qualifications they have are less than those owned by the non-target group members. Thus, more weight is put on demographic traits.

In brief, affirmative action programs are workplace policies and practices designed to reduce historical forms of discrimination based on demographic distinctions among employee. These programs aim to increase the number of individuals from disadvantaged groups in the work areas where they have been underrepresented traditionally. These programs also help organisations to find out any discrimination within the organisation monitoring the employees well. This is done with the systematic collection of the data from organisation building cause and effect relationship regarding the detected problem.

### **Affirmative Action for the Employment of Disadvantaged Individuals in Tourism**

The employment opportunities in different sectors are mostly based on the match between the job necessity and the qualifications that applicants have regarding the applied job. If the match is good between the job necessity and qualifications, the employment becomes more functional. The match mentioned may be very difficult for those with some significant disadvantages. According to the 30th article of the labour law numbered 4857 and according to the labour law numbered 3713, there has been some quota by the authorities regarding the employment of disadvantaged individuals, physically handicapped individuals and former convicts in the public and private sector. There has been no other legal regulation regarding the employment of other disadvantaged individuals. Therefore, it is very important to focus on the employment of all the disadvantaged individuals in tourism except the ones defined by the law. It can be suggested here that even the employment of the disadvantaged individuals regulated by law are not positively treated by the sector representatives. Therefore, what they think about affirmative action programs is a great wonder. Affirmative action is defined as the whole of the policies, strategies, methods and practices developed for the benefit of disadvantaged individuals in the society. The purpose of affirmative action programs is to help the disadvantaged individuals to be treated more advantageously in their workplaces and education lives than normal individuals (Akbaş and Şen, 2013). Banning discrimination for the purpose of assuring equity within a society seems to cause more social problems. When individuals need to be treated differently because of some features, there is also a need to take some measurements regarding the elimination of the disadvantages caused by this features. The measures that are also named as affirmative action tend to provide a real equality in employment rather than having equality in word within workplaces (Karan, 2009). Whereas the criteria for equality in employment have been made clear in labour law and constitution, practitioners do not feel clear about

them when a need emerges for equal employment in business life. The attempt to ensure real employment equality through affirmative action programs has always been subject to labour contracts and regulation. It is also hard to find an adjudication regarding affirmative action in Turkey, affirmative action is evaluated depending on features of each event emerging in business life (Ulucan, 2013). As tourism has many sub-branches, employment of disadvantaged individuals is closely related to employers' perceptions and implementations regarding affirmative action in workplaces. That is why; this study has great significance as it aimed to raise awareness regarding affirmative action programs in the hospitality industry through a qualitative research.

## **METHOD**

### **Purpose of the Study**

The purpose of this study is to investigate the perceptions, experiences, attitudes and views of human resource managers regarding the employment of the disadvantaged individuals in 7 hospitality establishments in the province of Eskişehir. To do that, the following research questions were looked for answers within the scope of this study;

What are the perceptions of the human resources managers regarding disadvantaged individuals?

What are the views of the human resources managers regarding the employment of the disadvantaged individuals in the hospitality industry?

What are the views of human resources managers regarding the affirmative action in the employment of disadvantaged individuals in hospitality industry?

Is there any interesting experience of human resource managers with any disadvantaged individuals?

### **Limitations of the Study**

This qualitative study was conducted at only 7 hospitality establishments in the province of Eskişehir. The biggest limitation of this study is that it was conducted at a few hospitality establishments. Therefore, it is difficult to make generalisations using the findings of this study, which is always so in qualitative studies by their nature. However, qualitative studies can have inspiring findings for other establishments operating in the same sector.

### **Design of the Study**

This study aims to fill in a gap regarding perceptions of human resources managers in hospitality industry regarding affirmative actions and strategies in Turkey. A qualitative case study approach was used in this study to answer the research questions and objectives. This approach uses rich in-depth interviews to gather data (Berg 1989). This study is grounded in an interpretive paradigm attempting to see the events through insiders' perspective (Jennings 2001). One reason for using a qualitative approach is to collect rich information from the participants because it cannot be done so effectively through standard quantitative instruments (Veal, 1997). Qualitative research is flexible and they allow researchers to be creative for the detailed analysis of research data collected in the study. Human resource managers were primarily chosen as participants in the study due to their knowledge regarding their company's operational strategies in employee hiring.

The data collection method used in this study to address the research questions was qualitative interviewing. Qualitative interviewing can be in-depth, semi-structured or loosely structured forms of interviewing as suggested by (Mason, 2002). For this study, the data collection was done through semi-structured in-depth interviews with 7 different hotel managers to gather data regarding affirmative action. Many advantages of interview techniques as a data collection method have been suggested by researchers. Jennings (2010) suggests that semi-structured interviews can be used to reorganise and expand the responses. The semi-structured schedule provides a relaxed interview setting for both the interviewer and interviewee. Each interview was also type recorded for the further analysis of the collected data.

### **Participants**

7 hotel managers were communicated within the scope of this study in the province of Eskişehir, and they were briefly informed about the aim of the study. They were also informed about the data collection instrument and procedure. All of them volunteered to participate in the study.

### **Interview Form and Data Collection**

Semi-structured interview technique was used in this qualitative study to collect data from the human resources managers. The interview form consisted of four open-ended questions. The interview questions were given to the participants through e-mail prior to the interviews upon their request. Then interviews were arranged through phone calls with the human resource managers and then the interviews were conducted with them in their workplaces. The questions developed for this study were directed to the participants and the answers were type recorded for further data analysis. The active interviewing technique was used in this study and this technique takes the advantage of interviewee's personal experience accepting him/her as an authority on the examined issue. At this point, the interviewer is responsible for keeping the conversation focused on the key points of interest, but they should also be ready to revise the interview questions under the light of the emerging new ideas. The questions which were asked to the participants are as follows;

*Who are the disadvantaged individuals according to you? What do you recall when you are mentioned about disadvantaged individuals?*

*What do you think about the employment of the disadvantaged individuals?*

*What do you think about affirmative action in the employment of the disadvantaged individuals in tourism sector?*

*Do you have any interesting experience that you had with any disadvantaged individual? If there is, could you tell us about it, please?*

### **Data Analysis**

The data collected through semi-structured interviews were analysed with descriptive data analysis method. The analysis was done in four stages. At the first stage, a framework was formed with the help of the research questions of this study for data analysis. Thus, it was made clear under which themes the collected data could be grouped. It was very important to combine the collected data under relevant themes in a logical and meaningful way. After that, the organised data were defined and direct quotations were presented from the interviews. Following this stage, the findings of the study were explained and meaningful relationships were built among them. Cause and effect relationships among the findings were made clear to support the discussion, and relevant comparisons were made among different cases.

### **Validity and Reliability**

Qualitative studies are considered to be reliable when the data is collected and analysed in one hand by the same individual (Kirk & Miller, 1986). Therefore, the interviews in this study were conducted by only one individual and the collected data were also analysed by the same individual to make the study a reliable one. Then the analysis procedure was revised and edited by the other researchers to increase the validity and reliability of the study. On the other hand, validity in active interviews, as in this study, is obtained through the conversational approach in data collection in field research (Platt, 2002). Opposed to the survey interview, which is a common way of data collection in quantitative studies, it is possible for both parties of interactions to clarify meaning in communication in active interviews. Another reason why this study is a valid one is that the findings of the study were shared with the participants of the study, and they confirmed the findings. The findings of the study were also shared with a field expert, and they were discussed in detail. The data of the study were also stored in confidence by the researcher for any further confirmation in the future. The process of data analysis was explained in detail. For the external validity, the stages of the study were explained in detail. Direct quotations from the interviews were also presented in the study to support the findings of the study.

### **Results**

In this qualitative study which was conducted at 7 hospitality organisations in Eskişehir province aimed a few things, one of which is to reveal the perceptions of human resource managers at some hospitality organisations towards disadvantaged individuals in employment. The following question was asked to the human resource managers in the interviews as the first step, *"Who are the disadvantaged individuals according to you? What do you recall when you are mentioned about disadvantaged individuals?"* The findings obtained are presented in Table 1 below.

**Table 1.** Findings regarding the perceptions of managers towards disadvantaged individuals.

Disadvantaged Individuals	Participants (P)
Disabled individuals	P1, P2, P3, P4, P5, P6, P7

Drug users	P1, P3, P5, P7
Terror-stricken	P6
Former sentenced persons	P2, P3, P5, P7
Those with different sexual preferences	P3
Immigrants	P4
Those from shelter houses	P4

When the replies given to this question in the interviews were analysed, it was found that the participants' perceptions regarding disadvantaged individuals varied from one another and significantly differed. All of the participants placed "disabled individuals" under the category of disadvantaged individuals. However, 4 of the participants replied the question as "drug users", "former sentenced individuals" and "immigrants" as shared answers. That makes it clear that the human resource managers of the subject hospitality organisations had deficient knowledge of disadvantage individuals when all answers are considered.

Following the first question addressed to the participants, the following question was asked; "What do you think about the employment of disadvantaged individuals in tourism sector?" The answers received for this question varied from one another, some of which were positive and some of which were negative. Some extracts are given below and then they are analysed.

*"Government should take more responsibility in the employment of disadvantaged individuals to increase the employment rates in the sector as should be in all sectors. I do not think that the government has done enough in this matter" (P1)*

*"It is our duty to help those individuals in their employment and manage their lives as normal individuals" (P2)*

*"Organisations do not seem to volunteer in employing such individuals if they are legally forced to do so" (P3)*

*"I do not think we need enforcement to employ such individuals in tourism because qualification is important in tourism sector as it is a service based sector" (P4)*

*"The government should employ such individuals in public sector, but it should not legally for private sector in employment of disadvantaged individuals. We are a private sector and we have to struggle to commercially survive but public sector does not have such concern" (P5)*

*"I should not be forced by the government in the employment of disadvantaged individuals. I need to employ the people who will have a real function in the operation of the organisation" (P6)*

*"It is not appropriate to employ such individuals in all sectors. Tourism is one of these sectors which need special qualification. If we employ everybody as they are disadvantaged in tourism, we will have big problems" (P7)*

The replies received from the participants reveal that more than half of the participants were against the employment of disadvantaged individuals in tourism. In other words, they had negative perceptions regarding the employment of disadvantaged individuals in tourism. Their main concerns seem that they consider tourism a sector which is service dominant. Employees have to interact with customers face to face most of the time and they consider disadvantaged individuals as problematic ones to allow them with clients. Two participants suggested that tourism is not a sector where such individuals could be employed freely. They state that public sector is one where such individuals need to be employed. What is interesting is that their replies all show that they consider disadvantaged individuals as potential source of problem in their employment.

To find out the perceptions and attitudes of human resource managers towards affirmative action, the following question was asked to the participants; "What are your views as human resources managers regarding the affirmative action in the employment of disadvantaged individuals in hospitality industry?"

*"I am not positive for affirmative action plan in the employment of disadvantaged individuals in tourism because I personally believe that they will cause a lot of problems within the organisations. Our sector is based on service and*



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*interaction between employees and customers. I believe that employment of such individuals as part of affirmative action will give serious damage to the operative capacity of the organisations” (P1)*

*“As a manager of this organisation, my priority is to employ the individuals whose qualifications match the needs of the job in my organisation. If I have to obey the requirements of affirmative action programs, I will have to employ those with irrelevant skills and qualifications” (P2)*

*“I am against affirmative action in employment in tourism. Tourism is a service dominant sector and interaction is very important in this sector. If you employ disadvantaged individuals as affirmative action programs require, you risk a lot of things” (P3)*

*“When affirmative action is implemented in hospitality organisations in tourism, it will lead to serious and irreversible consequences in the organisation. It is against the principle that relevant job should be given to the relevant employee with relevant qualifications regarding tourism and service delivery” (P4)*

*“Qualification should always have the priority in employment. Employment of such individuals as part of affirmative action programs can be good in some sectors, but tourism cannot be one of those because employees have great significance in hospitality organisations” (P5)*

*“As we have difficulty in finding the right employee for the right position, it would be more difficult to do so if implementing affirmative action in employment is done. Public sector is the right place to employ such people as they have no concern regarding profitability” (P6)*

*“I do not think it is a right way of increasing the employment of such individuals in tourism. We are different, and this sector is very sensitive. Skill is very important. Where will I place such people in my workplace?” P7*

All of the findings obtained from the participants regarding affirmative action in employment in tourism reveal that all of the human resource managers are against affirmative action programs because of some concerns. Almost all of the participants stated that tourism, especially hospitality establishments need skill and qualification based employment as it is a service sector. The interaction between employees and customers has primary significance, so employees should be selected considering their skills and qualifications. As their perceptions are negative towards affirmative action in the employment of disadvantaged individuals in tourism, especially hospitality establishments, their attitudes are also negative towards affirmative action in tourism.

Human resource managers were asked the following question to reveal their perceptions and attitudes towards affirmative action in the employment of disadvantaged individuals in hospitality establishment; *“Do you have any interesting experience that you had with any disadvantaged individual? If there is, could you tell us about it, please?”* Only one of the participants had an interesting experience with any disadvantaged individuals in the past, and the other participants had no experience or they do not remember any experience regarding this issue. The experience is as follows;

*“At one of the organisations where I worked as a manager, our human resource responsible employed a former sentenced person in the organisation. When we examined his qualification for the most appropriate placement within the organisation, we decided to employ him in the kitchen as a person responsible for the transfer of the consumable materials in the kitchen, but he, in time, requested to work in the frontline to interact with consumers as he found himself qualified for it not to make him feel that he was positively discriminated in the organisation. However, we had problems with him and many consumers delivered many complaints about him. When asked him for explanation, he said that he was negatively discriminated within the organisation by the other employees and managers as he was a former sentenced person. We had to stay silent but complaints continued in time and we could not speak about this matter with him. We had to dismiss him, which was a bad experience for us” (P3)*

Whereas only one participant suggested a negative experience with the employment of any disadvantaged individual, it was a negative one. In his experience, it was clear that the disadvantaged employee exploited the fact that he was employed as a disadvantaged individual. When the participants' perceptions and attitudes are considered under the light of the responses given to the former questions directed in the interviews, it can be suggested that human resource managers are negative towards affirmative action and employment of disadvantaged individuals in tourism.



## Discussion

The findings of this qualitative study suggest that the perceptions of human resource managers at hospitality organisation in Eskişehir province are closely related to disabled individuals, physically or mentally. Therefore, it can be suggested under the light of this finding that participants have low level of awareness regarding disadvantaged individuals. In fact, the term of “disadvantaged individuals” is more comprehensive than disabled individuals. As they mainly focus on “disabled” individuals when asked about disadvantaged individuals, they mainly associate disadvantaged individuals with disabled individuals, which is the main cause of the confusion here.

When considered from the point of employment of disadvantaged individuals in tourism, it can be suggested that they are not positive towards their employment in tourism. The main reason for that, as suggested by the participants in the relevant replies to the relevant question in the interview, they consider tourism as a service dominant sector. Therefore, interaction is very important between customers and employees and they do not feel sure about the rapport between customers and disadvantaged individuals when employed in their organisations. They believe that any mismatch in the interaction between customers and employees will cause reversible consequences for the organisation.

Participants’ reactions to affirmative action seem to be parallel with their reaction to employment of disadvantaged individuals in tourism. They do not volunteer to employ disadvantaged individuals in tourism as part of affirmative action programs. They believe that tourism is a too risky sector to positively discriminate disadvantaged individuals in tourism because skills and qualifications possessed by those employed in tourism. When individuals are subject to affirmative action in employment in tourism, they believe that they have to ignore the skills and qualifications sought for, which in time leads deterioration in service delivery and customer satisfaction in hospitality organisations.

After all those findings, it can be concluded that tourism cannot be considered as a sector where affirmative action can be implemented in employment of disadvantaged individuals in tourism. However, those operating in tourism sector, especially in hospitality organisations, can be asked for their ideas before putting legal forces in the employment of disadvantaged individuals not to cause the negative consequences mentioned above by the participants. That does not mean to say that tourism should be excluded from affirmative action, positive discrimination in employment of such individuals, but further studies and field work should be done to raise awareness of human resource managers at hospitality organisation regarding the difference between disabled individuals and disadvantaged individuals. Thus, human resource managers’ perceptions can be changed positively to help them adopt positive attitudes towards the employment of disadvantaged individuals in tourism. If they have less concern about the performance of those employed as part of affirmative action, their employment rates in tourism can be increased.

In brief, it can be suggested that human resource managers’ false perceptions regarding disadvantaged individuals are the main barrier to the employment of such individuals in tourism. The interaction between the sector and policy makers should always be kept alive. Even disadvantaged individuals should undergo skill and qualification analysis for better placement in workplaces to increase their job performance. Thus human resource managers’ perceptions and then attitudes will change for positive in time. The conclusions draw here are based on some hospitality organisations in Eskişehir province. Further and more comprehensive research can be conducted on more organisations to test the findings of this qualitative study. Further research can focus on this.

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## Measurements of Standby Power Consumption of Domestic Appliances in Albania

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### Abstract

Nearly all modern domestic appliances used in typical homes consume some energy when they are left on standby mode or even switched off. I investigated the variation in standby power consumption in five homes in Korça city. The typical standby energy loss for studied homes ranged from 8–115 W, with an average of 37 W. This corresponded to 3%-20% of the homes annual electricity use. This loss and the associated cost are not high enough to get noticed by the consumer. However, when such power losses of all domestic appliances are aggregated at the level of a country, the amount becomes significant and cannot be ignored. The appliances with the largest standby losses were coffee machines, televisions, set-top boxes and printers. They account for a significant proportion of the electricity consumption in more and more Albanian households. The wide variation in the standby power of appliances providing the same benefits indicates that producers are able to reduce standby losses without degrading performance. The standby power consumption of various domestic appliances was determined using an energy smart meter and data-logger connected with a computer. The purpose of this paper is to estimate how much power is wasted in a typical Albanian home due to household appliances being in the standby mode.

**Keywords:** Standby power consumption, energy loss, vampire power, leaking electricity, domestic appliances, appliance efficiency.

### Introduction

Standby power, vampire power, phantom load, or leaking electricity are general terms commonly used to describe the energy consumed by the electric appliances when they are not performing their principal function. In the beginning of 1990, standby power loss was a phenomenon for electronic devices rather than for electric appliances. Whereas now, almost every household appliance like air-conditioners, freezers, refrigerators, microwave ovens and washing machines, need a small amount of electricity to maintain signal reception capability i. e. remote control, monitoring temperature, powering internal clock and continuous display. A significant number of studies have been conducted in developed countries, such as in Germany (Rath et al. 1997), Netherlands (H. Siderius 1998), and the United States (A. Meier, K. Rosen, 1999). Those studies have found that standby power accounts for as much as 10% of national residential electricity use. The typical electricity loss for an appliance can range from as little as 1 W to as high as 30 W (B. Mohanty 2001). At first glance, the loss of such kind seems to be low, but the combined effect of all appliances, the power consumption of which varies from less than 1 Watt to 30 Watts, is having significant impact on total household electricity consumption. For instance, in the United States, standby losses account for about 5% of total residential electricity while 15% in Italy (Camilleri et al. 2002). The standby energy for all households in the EU-27 countries amounts to about 43 TWh in total, and it is responsible for about 19 million tons of CO<sub>2</sub> per year. The standby power consumption of all the office equipment used in EU-27 countries is estimated to be about 9TWh (Bertoldi et al., 2009). Altogether, standby power use is roughly responsible for 1% of global CO<sub>2</sub> emissions. According to the International Energy Agency, by 2030, 15% of the total appliance electricity consumption in Europe could be due to standby functions. Figure 1 shows that the standby power loss of developed and developing countries varies up to 10% due to various social and technological factors.

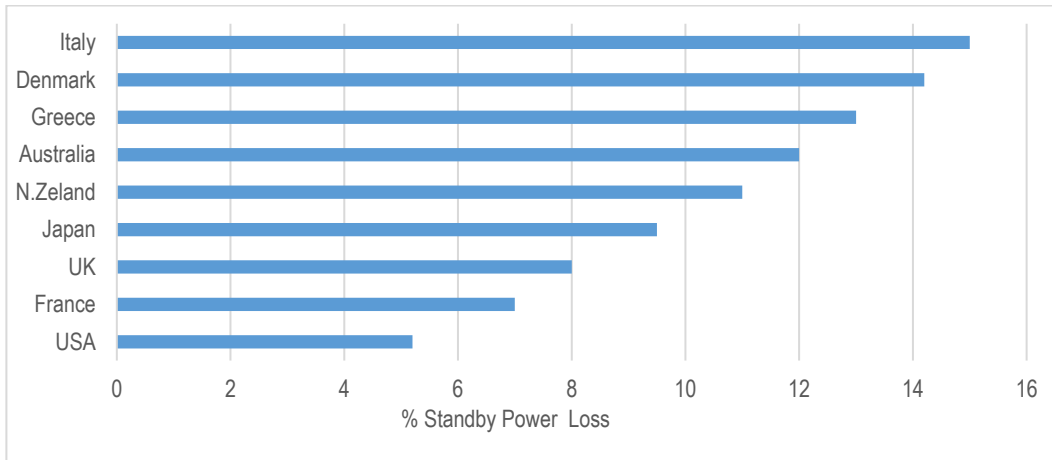


Figure 1. Share of standby power losses in total electricity used in the residential sector. (M. Violet, S. Iwisi, 2009)

The objectives of the study were to measure the standby power losses of household appliances and estimate potential savings from reductions in standby power use. I have examined the energy use by domestic appliances in five typical homes in Korça city, Albania. The standby power consumption of various domestic appliances was determined using an energy smart meter. The experimental results show that the standby power for various office appliances is a real concern. The results from this study can also help to formulate policies and programs to reduce standby power in Albanian homes.

### Methodology

A sample of five homes was recruited from a range of different income levels. This group of five homes is too small to accurately represent the standby losses for every home, but it involves a great diversity of appliances and situations. In each home, I measured each appliance's power consumption, while the appliance was in use, in standby (passive and/or active) where applicable, and briefly measured the house's total electricity consumption, with all appliances switched off. I tried to perform as many measurement modes as possible in order to achieve the maximum information about products power consumption. I used a common measurement methodology and the same equipment in all measurements. Appliance standby power was measured at the lowest level with a watt meter equipment model EKM-OmniMeter I v. 3. The meter was connected to the mains and to the computer (it can export data to computer in excel format through EKM Dash software). Then the product was plugged into the power cable connected to EKM meter through current transformer (CT) and the measurement could be started. The total standby power for each home was calculated by summing the individual appliance measurements.

### Results

About 75 domestic appliances were investigated from five houses studied. Table 1 summarizes those measurements.

The majority of these appliances are classified in 3 main levels: entertainment, ICT, and miscellaneous.

Table 1. Measurements of standby power consumption by type of appliance

Domestic Appliance	Minimum (Watt)	Maximum (Watt)	Average Load (Watt)
<b>Entertainment</b>			
TV	2	6	4.3
CD player	3	7	4.7
VCR	4	30	10.3
Digital receiver	2.8	10	7.2

<b>ICT</b>			
Desktop tower	1.5	8	4.2
Monitor	2	10	3.2
Laptop	2.3	16	4.3
Printer all in one	2.1	13.5	5.1
Cordless phone	1.2	2.3	1.3
Modem	3	7	4
<b>Miscellaneous</b>			
Oven + cooktop	2	6	4.2
Microwave	1	7	3.2
Coffee-espresso	4	60	25
Dishwasher	1	4	3
Air conditioner	2	6	4

The ranges of standby in this study are also similar if compared to other compilations of measurements such as Meier et al. 1999 and Huber 1997. The households had an average of 19 appliances with standby power, ranging from 1 to 60 W. Standby accounted for 3% to 20% of total annual electricity consumption. The appliances with the largest standby losses were coffee-espressos, televisions, and printers. Each home's annual electricity consumption was also displayed (based on utility monthly bills). Average annual electricity use was 4110 kWh/yr. All five homes used wood stoves and natural gas for space heating.

Table 2. Measurements of annual standby power consumption in the surveyed houses

Home	Annual Electricity Use (KWh/yr)	Standby Power (W)	Relative Standby Power (KWh/yr)	Standby Power as % of Annual Electricity Use
1	2591	15	132	5%
2	4945	115	1009	20%
3	1212	8	70	6%
4	7852	25	219	3%
5	3950	22	193	5%
Average	<b>4110</b>	<b>37</b>	<b>325</b>	<b>8%</b>

## Conclusions

The survey conducted in five houses is too small to accurately represent the standby losses for every house, but it involves a great diversity of appliances and situations, and can provide new insights to the scope of the problem and the opportunities for reducing it. According to the resulting measurements, the biggest attention regarding standby losses must be paid to the following appliances: coffee-espresso, TV, VCR, printers, computer monitors, and even laptop chargers. The device should be switched off when it is not in use, especially at night or at weekends, when possible, and looking to the future we should consider choosing equipment with class A++ (low standby) energy efficiency, in order to reduce standby energy consumption for the benefit of individuals and of the whole nation. Consumer awareness about standby power consumption should be increased by launching publicity campaigns and with energy efficiency labeling schemes to be initiated by the Ministry of Energy and Industry.

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## The Perception and Attitudes Towards City Garbage Management: A First Analysis

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### Abstract

The main aim of this paper is to explore the perception and attitude of people toward an important issue like the City Garbage Management. A new Survey Questionnaire to measure the perception and attitudes towards city garbage management has been developed by the Authors, in order to realize a very first analysis of compatibility of the Comprehensive Action Determination Model - CADM (Klößner, 2013) with City Garbage Management issues. To test the application of the CADM model to City Garbage Management, a simple linear regression was calculated to predict the dependent variables based on predictor variables according the CADM model. The linear regression analysis shows a first confirmation of the CADM model applied to the perception and attitudes towards city garbage management.

**Keywords:** environmental psychology; Regression analysis; city garbage management; attitude

### 1. Introduction

People exercise influence on the environment and - at the same time - this same environment influences people who are interacting with it. As Gifford (2012) states: "Environmental psychology is the study of transactions between individuals and their built and natural settings".

Today people have to facet with several environmental problems and, usually, they don't act in a correct way to prevent environmental risks for the following reasons: low attitude and preparation to prevent the risks, the hasty and sometimes inappropriate responses to mitigate the risks and a misperception of them. National and international efforts are needed to counteract the big number of global environmental challenges that we must face (Klößner, 2013).

The environmental psychology is a research field focused on the understanding of the keys and processes which are carrying these environmental challenges, to prevent them and minimize their negative responses (Hertwich, 2005). As important factors to get this mission we found the technologic development, the national and international policies and the individual behavior, especially the household behavior highlighted by Hertwich (2005). Dietz, Gardner, Gilligan & Stern (2009) underlined several aspects that can reduce the negative impact of the human behaviors on the environment.

Around the environmental psychology there are several theoretical frameworks, due to the number of factors influencing the interaction people-environment (Gifford, 2012; Newell, McDonald, Brewer & Hayes, 2014).

### 2. The theoretical background

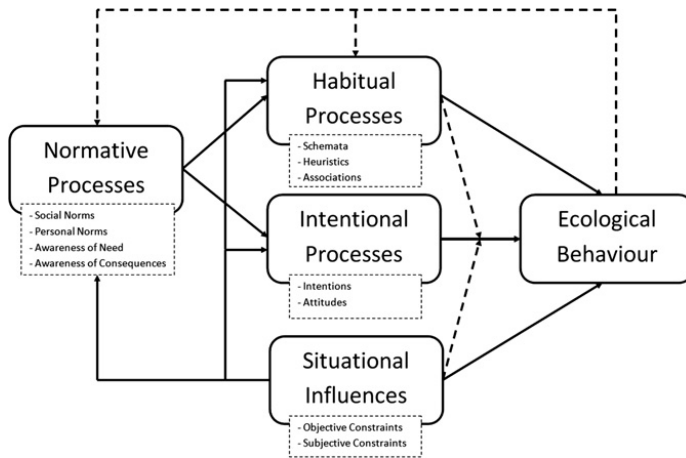
Lots of psychological theories have tried to shed light on the interaction between people and environment, but is it difficult to find a exhaustive model that explains and represents the overall human behavior in connection with the environment, due to the already named complexity and variety of behaviors and the amount of factors that influence them (Dubois & Dubois, 2012; Uzzell & Rätzl, 2009).

An interesting attempt to provide such a general model is the Comprehensive Action Determination Model (CADM) (Klößner, 2013; Klößner & Blöbaum, 2010).

CADM model is consistent with the theory of Planned Behavior (TPB) of Ajzen (1991), a general model of deliberate behavior; the Norm Activation Model (NAM) of Schwartz (1977), that focuses on the personal norms as determinants of human behaviors; the Value Belief Norm Theory as adapted by Stern (2000), that explore the relation between general values, environmental beliefs and human behaviors; the Ipsative Theory of Behavior of Tanner (1999), that considers the situational characteristics, both objective and subjective, as behavior's predictors.

The most important assumption of CADM model is the three sources of direct influence on the individual behavior: intentional, situational and habitual. In addition, we find the normative processes that influence of indirect form. These four processes interact of complex form and cannot be considered of independent form (Klößner and Blöbaum, 2010). Unlike the previous models, the influence of the personal and social norms takes form of normative processes together with the awareness of need and the awareness of consequences (fig 1. ). These processes are able to generate intentions and habits (Klößner & Blöbaum, 2010).

Figure 1. The Comprehensive Action Determination Model (CADM) by Klößner & Blöbaum (2010).



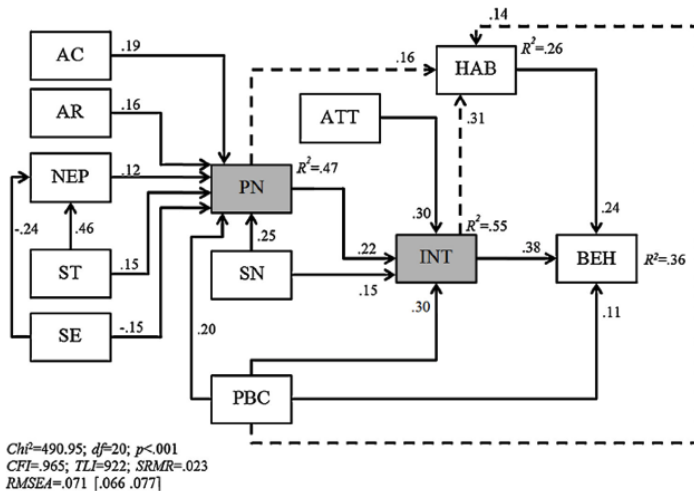
The model was used by Klößner (2010) to predict the behavior of travel model choice, conduct considered important for the impact that it exercises on the environment and the results obtained were significant demonstrating a good adjustment between the model and the empirical data.

But in spite of the goods empirical results, this model showed several limitations. First, the limitations of the situation, because it only considers the car access, leaving of side other possible situation influences. Secondly, the limitation of the used population since one gave a strong process of self-selection, since those who took part in the study were the persons who had more interest in the topic (Klößner and Blöbaum, 2010).

Klößner (2013) developed a new general model introducing some changes. The intention of this new adjustment is that the new model could be applied to a wide range of environmental situations and behaviors.

Figure 2. The Comprehensive Action Determination Model (CADM) by Klößner (2013) shows the results of the meta-analytical structural equation modelling based on the pooled correlation matrix.





Notes. AC, awareness of consequences; AR, ascription of responsibility; ATT, attitudes; BEH, behavior; HAB, habit; INT, intention; NEP, new environmental paradigm; PBC, perceived behavioral control; PN, personal norm; SN, social norm; ST, self-transcendence values; SE, self-enhancement values.

Klöckner (2013) includes in this adjustment three new variables that activates the Personal Norms: the New Environmental Paradigm (NEP) and the Self-transcendence and Self-enhancement values, that at the same time influences in the ecological worldview (NEP), the first one in a positive way and the second one in a negative way. More in details, the self-transcendence value will increase the altruist behaviors, while the self-enhancement value will decrease it, and it will be more selfish. He also adds the Attitudes like a predictor that influences the intentions and the influence of the Habits on these Intentions.

The main aim of this paper is to to explore the perception and attitude of people toward an important issue like the City Garbage Management. A new Survey Questionnaire to measure the perception and attitudes towards city garbage management has been developed by the Authors, in order to realize a very first analysis of compatibility of the Comprehensive Action Determination Model (Klöckner, 2013) with City Garbage Management issues.

In fact, as underlined by Larose & Pontonthe (2000), the problem of the increasing quantity of domestic garbage dumped in the environment, as a principal source of pollution, is assuming a growing importance in the scientific literature. The lack of an effective domestic garbage collection and management system in some European cities put in great evidence the negative impact of such human behavior on environment (Kortland, 1997).

### 3. Materials and Methods

#### 3.1 Participants

This first study is based on the analysis of the perception and attitude of a high school group of students towards environmental issues, who are participating in an awareness campaign on the environment and ecological behavior organized by a management waste Company in an Italian Municipality. The questionnaire was then administered to 45 secondary school students aged between 15 and 17 years.

#### 3.2 Procedure

To test the application of the CADM model to City Garbage Management, due the low number of subjects involved in the research, a simple linear regression was calculated to predict the dependent variables based on predictor variables according the CADM model (Klöckner, 2013).

#### 3.3 Measures

To test the robustness of the CADM model if applied to City Garbage Management, a Survey Questionnaire to Measure the Perception and Attitudes towards City Garbage Management has been developed by the Authors. It consists in 40 items measured on a likert scale ranging from 1 to 5 (1 = strongly disagree, 5 = strongly agree) that includes all the 12 CADM's factors (Klößner, 2013). The content of the items have been adapted to the topic of our current study. More in details, the items of the questionnaire explore the three main city garbage topics as describing the relationship between people and their local environment: recycle and reuse, garbage on the street and the overflowing of landfills.

The following are the 12 factors of the proposed Survey Questionnaire to Measure the Perception and Attitudes towards City Garbage Management:

F1: *Awareness of Consequences (AC)* refers to the perception of a causal relation between the own behaviors and its consequences with the environment. The factor is made up of 3 items. An example is the item: "If I recycle all my refusals I improve the quality of life of the future generations".

F2: *Personal Norms (PN)* is about the feelings of moral obligation that directs the conduct to an ecologically positive behavior. The factor is made up of 3 items. An example of these items is: "For my values, I feel in duty to recycle all the refusals that I produced".

F3: *Intention (INT)* we define like the will to do an effort to demonstrate a certain behavior like recycle. The factor is made up of 2 items. An example of these items is: "I'm immediately strongly determined to recycle".

F4: *Perceived Behavioral Control (PCB)* consists on the degree in which persons we perceive that we have control at the moment of realizing certain environmental behaviors, like recycle or not throw garbage on the street. The factor is made up of 3 items. An example of these items is: "The circumstances make me very difficult to recycle".

F5: *Habits (HAB)* consist in the descriptions about the habitual behaviors related to two different areas of environmental behavior, the recycling and the fact of throwing garbage on the street. The factor is made up of 6 items. An example of these items is: "Recycling is something that I automatically do without almost thinking it".

F6: *Behavior (BEH)* is the conduct or conducts that are realized in response to a set of internal and external factors. The factor is made up of 3 items. An example of these items is: "In the last week, how many times have you happened to throw refusals on the street?".

F7: *Ascription of Responsibility (AR)* we can described like an acceptance of a consequences with environment has the own actions. The factor is made up of 3 items. An example of these items is: "To protect the environment is my personal responsibility".

F8: *New Environmental Paradigm (NEP)* consists in the people ecological worldview about topics like the overfilled of landfills, the steady increase of the residues, the limits of the natural resources and the environmental protection in itself. The factor is made up of 6 items. An example of these items is: "We cannot keep on throwing the refusals in the landfills".

F9: *Self-Transcendence Value (ST)* consists on the altruist or ecologic values, which mean accept the others like equals and there are orientated to the common good and to be care about the nature. The factor is made up of 3 items. An example of these items is: "Recycling improves the quality of the life and the comfort of the people that surround us".

F10: *Self-Enhancement Value (SE)*, opposite the previous factor, consists in selfish values that are focusing on the own benefit over of the others. The factor is made up of 3 items. An example of these items is: "Recycling serves only to the fittings of harvest owners that get rich".

F11: *Social Norms (SN)* consists on the belief of the expectations that others have about how they expect us to behave in a respectfully way to environmental issues. The factor is made up of 3 factors. An example of these items is: "The people who I'm tied up expect that I don't throw the refusals on the street".

F12: *Attitudes (ATT)* consists on the sum of beliefs that the persons possess towards recycling, throwing garbage in the street, the overfilled of the landfills and the environmental care in general. The factor is made up of 2 items. An example of these items is: "Recycling is something very positive for everybody".

#### 4. Results

The first result refers to the descriptive statistics for the 40 items of the survey questionnaire (tab 1).

We decided to delete the item 27 since all subjects have answered assigning always value 1. This happens because item 27 refers to a specific garbage management behavior that is unusual for teenagers (Item 27: In the last month, noticing piles of rubbish or bulky waste abandoned on the street, did you reported the fact to those involved in the collection of such waste?).

Table 1. Descriptive statistics of the survey questionnaire items.

Variable	Min	Max	Mean	SD					
V01	2	5	4,38	,747	V20	1	5	4,16	1,086
V02	2	5	4,47	,661	V21	1	5	3,69	1,104
V03	3	5	4,62	,535	V22	1	5	4,38	1,029
V04	1	5	3,33	1,187	V23	1	5	3,04	1,445
V05	1	5	4,51	,787	V24	1	5	3,60	1,053
V06	1	5	3,40	1,136	V25	1	5	2,87	1,290
V07	1	5	4,11	,935	V26	1	5	4,16	1,021
V08	2	5	3,80	,869	V27	1	1	1,00	0,000
V09	1	5	3,40	1,176	V28	2	5	4,47	,869
V10	1	5	3,80	1,014	V29	1	5	4,22	1,020
V11	1	5	3,13	1,179	V30	1	5	3,93	,986
V12	1	5	4,16	1,065	V31	1	5	4,07	1,009
V13	1	5	1,93	,915	V32	1	5	3,11	1,369
V14	1	5	4,07	,915	V33	2	5	4,31	,793
V15	1	3	1,67	,739	V34	1	5	3,29	1,058
V16	2	5	4,53	,661	V35	1	5	3,56	1,139
V17	1	5	4,18	,984	V36	1	5	2,98	1,055
V18	1	5	4,53	,842	V37	1	5	4,24	,830
V19	1	5	2,91	1,104	V38	1	4	2,07	,889
					V39	1	5	3,71	1,199
					V40	3	5	4,56	,586

The following are the results of the simple linear regression to predict the dependent variables based on predictor variables according the CADM model (Klößner, 2013). All the relationships between independent and dependent variables as depicted in the CADM model (Klößner, 2013) have been statistically verified.

Causal Relationship # 1: AC PN ----->

A significant regression equation was found ( $F(1, 43) = 7,528, p < .009$ ) with a  $R^2$  of .386. Participants' predicted Awareness of Consequences (AC) is equal to  $8,101 + 0,357$  of Personal Norms (PN) value.

Causal Relationship # 2: AR PN ----->

A significant regression equation was found ( $F(1, 43) = 27,050, p < .000$ ) with a  $R^2$  of .621. Participants' predicted Ascription of Responsibility (AR) is equal to  $7,802 + 0,439$  of Personal Norms (PN) value.

Causal Relationship # 3: NEP PN ----->

A significant regression equation was found ( $F(1, 43) = 9,111, p < .004$ ) with a  $R^2$  of .418. Participants' predicted New Environmental Paradigm (NEP) is equal to  $6,785 + 0,256$  of Personal Norms (PN) value.

Causal Relationship # 4: ST PN ----->

A significant regression equation was found ( $F(1, 43) = 16,158, p < .000$ ) with a  $R^2$  of .523. Participants' predicted New Self-Transcendence Value (ST) is equal to  $7,283 + 0,430$  of Personal Norms (PN) value.

Causal Relationship # 5: SE PN ----->

A significant regression equation was found ( $F(1, 43) = 17,311, p < .000$ ) with a  $R^2$  of .536. Participants' predicted New Self-Enhancement Value (SE) is equal to  $15,869 - 0,542$  of Personal Norms (PN) value.

Causal Relationship # 6: ST NEP ----->

A significant regression equation was found ( $F(1, 43) = 14, 653, p < .000$ ) with a R2 of .504. Participants' predicted New Self-Transcendence Value (ST) is equal to  $14, 812 + 0, 677$  of New Environmental Paradigm (NEP) value.

Causal Relationship # 7: SE NEP ----->

A significant regression equation was found ( $F(1, 43) = 6, 693, p < .013$ ) with a R2 of .367. Participants' predicted New Self-Enhancement Value (SE) is equal to  $26, 948 - 0, 606$  of New Environmental Paradigm (NEP) value.

Causal Relationship # 8: SN PN ----->

A significant regression equation was found ( $F(1, 43) = 10, 677, p < .002$ ) with a R2 of .446. Participants' predicted Social Norms (SN) is equal to  $9, 304 + 0, 311$  of Personal Norms (PN) value.

Causal Relationship # 9: PBC PN ----->

A significant regression equation was found ( $F(1, 43) = 11, 700, p < .001$ ) with a R2 of .462. Participants' predicted Perceived Behavioral Control (PCB) is equal to  $9, 891 + 0, 312$  of Personal Norms (PN) value.

Causal Relationship # 10: PN INT ----->

A significant regression equation was found ( $F(1, 43) = 38, 442, p < .000$ ) with a R2 of .687. Participants' predicted Personal Norms (PN) is equal to  $-2, 048 + 0, 768$  of Intention (INT) value.

Causal Relationship # 11: PN HAB ----->

A significant regression equation was found ( $F(1, 43) = 24, 910, p < .000$ ) with a R2 of .606. Participants' predicted Personal Norms (PN) is equal to  $5, 217 + 1, 374$  of Habits (HAB) value.

Causal Relationship # 12: SN INT ----->

A significant regression equation was found ( $F(1, 43) = 33, 793, p < .000$ ) with a R2 of .663. Participants' predicted Social Norms (SN) is equal to  $1, 968 + 0, 518$  of Intention (INT) value.

Causal Relationship # 13: PBC INT ----->

A significant regression equation was found ( $F(1, 43) = 21, 250, p < .000$ ) with a R2 of .575. Participants' predicted Perceived Behavioral Control (PCB) is equal to  $3, 735 + 0, 433$  of Intention (INT) value.

Causal Relationship # 14: PBC BEH ----->

A significant regression equation was found ( $F(1, 43) = 17, 062, p < .000$ ) with a R2 of .533. Participants' predicted Perceived Behavioral Control (PCB) is equal to  $3, 916 + 0, 352$  of Behavior (BEH) value.

Causal Relationship # 15: PBC HAB ----->

A significant regression equation was found ( $F(1, 43) = 26, 542, p < .000$ ) with a R2 of .618. Participants' predicted Perceived Behavioral Control (PCB) is equal to  $13, 985 + 0, 944$  of Habits (HAB) value.

Causal Relationship # 16: ATT INT ----->

A significant regression equation was found ( $F(1, 43) = 78, 256, p < .000$ ) with a R2 of .803. Participants' predicted Attitudes (ATT) is equal to  $0, 250 + 0, 985$  of Intention (INT) value.

Causal Relationship # 17: INT BEH ----->

A significant regression equation was found ( $F(1, 43) = 9, 662, p < .000$ ) with a R2 of .428. Participants' predicted Intention (INT) is equal to  $4, 280 + 0, 375$  of Behavior (BEH) value.

Causal Relationship # 18: INT HAB ----->

A significant regression equation was found ( $F(1, 43) = 30, 804, p < .000$ ) with a R2 of .646. Participants' predicted Intention (INT) is equal to  $12, 600 + 1, 311$  of Habits (HAB) value.

Causal Relationship # 19: HAB BEH ----->

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A significant regression equation was found ( $F(1, 43) = 61, 449, p < .000$ ) with a  $R^2$  of .767. Participants' predicted Habits (HAB) is equal to  $-0, 352 + 0, 331$  of Behavior (BEH) value

## 5. Discussion

Basing on the analysis of the results, we can underline the role of all the 12 factors proposed by Klöckner (2013), used with regard to measuring the behaviors in that we were interested and we can affirm that the sample proves is showing his concern as the ecological topics about which were asked and also, they show worry about the importance of taking care of the environment.

The regression analysis shows a confirmation of the CADM model applied to the perception and attitudes towards city garbage management.

As already underlined, the main limitation of this research is the low number of subjects involved.

Further research have to deeply verify the perception and the attitude of people toward an ecologically important topic like is the management of the urban residues, more concretely on garbage recycling, not throwing garbage on the street and the management of the overfilled landfills issue.

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## Drug Utilization of statins in Republic of Kosovo

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### Abstract

**Objectives:** Cardiovascular Diseases are the ones that make the leading cause of death among patients in Kosovo. Drug used to treat cardiovascular diseases are classified in different groups and subgroups. Statins are drugs that are used for the lipid lowering in the body or according to the ATC classification HMG CoA reductase with the main purpose of action in preventing cardiovascular diseases as myocardial infarct and stroke, due to the increase of the lipid concentration. Aim of this study is the analysis of the drug utilization of statins in Kosovo. **Methods:** The methodology of the drug consumption is based on the WHO ATC/DDD system with results shown in DDD/inhabitant/day (DID). In this study are also analysed the factors that influence this increase in the consumption and the impact in the public health of the population in the time period 2011- 2015. The study includes also the comparison with the C10A class and the comparison as well with the other countries in the region and Norway. **Results:** A total of 8 drugs of the C10AA class are analyzed according to their INN name (69 brands) from 31 manufacturers. Data were collected from wholesalers in the time period 2011-2013 and published as a total consumption for all drug groups by Kosovo Medicines Agency (KMA). The most used drug from this subgroup is Atorvastatin with 7. 56 DID in 2013 compared to Serbia with 20. 94 DID, Croatia with 32. 17 DID, Norway with 70. 43 DID in Estonia with 10. 33 DID, in Latvia with 30. 31, and in Lithuania with 10. 83 DID. **Conclusion:** Drug utilization of this subgroup of drugs show differences over the years. The result show significant lower consumption which in Kosovo can be either due to the under diagnosis or the underconsumption. Bearing in mind that cardiovascular diseases are the mostly numbered as a cause of death and cardiovascular medicines are significantly lower consumed than in other countries it is strogly recommended that there should be further studies about morbidity and drug utilization in hospitals and other health care settings in order to have the more accurate data about the diagnostics and treatment/prevention options.

**Keywords:** Statins, ATC classification, DDD, DID; Drug Consumption

### Introduction

Cardiovascular diseases are the leading cause of death among Kosovo population with 57% among all cause of death registered in a death certificate (1). Cause of death is defined as disease, symptom that caused or stimulated death, as well the conditions of the accident causing these traumas (description in the death certificate) (2).

According to the WHO (3) Cardiovascular diseases are a group of disorders of the heart and blood vessels and include: coronary heart disease: disease of the blood vessels supplying the heart muscle; cerebrovascular disease: disease of the blood vessels supplying the brain; etc.

Drugs used to treat cardiovascular diseases are also categorized in groups in ATC calssification (3) with the main group C – drugs used in cardiovascular system and subgroups C01 – Cardiac therapy, C02 – Antihypertensives, C03 – Diuretics,

C10 – lipid Modifying Agents. These subgroups are further categorized in their 4 and 5th level. Statins are drugs that are classified in the fourth subgroup C10AA and this particular subgroup will be further analysed.

### Methodology

A total of 8 drugs of the C10AA class are analyzed according to their INN name (69 brands) from 31 manufacturers. Data were collected from wholesalers in the time period 2011-2013 and published as a total consumption for all drug groups by Kosovo Medicines Agency (KMA) (4).

Methodology used is based on ATC classification of drugs. According to WHO (5) in the Anatomical Therapeutic Chemical (ATC) classification system, the active substances are divided into different groups according to the organ or system on which they act and their therapeutic, pharmacological and chemical properties, furthermore explaining that drugs are divided into fourteen main groups (1st level), with pharmacological/therapeutic subgroups (2nd level), the 3rd and 4th levels are chemical/pharmacological/therapeutic subgroups and the 5th level is the chemical substance.

Furthermore WHO introduced DDD (6) (Defined Daily Dose – as the average maintenance daily dose of a product) and DID (Defined Daily Dose of a product per Inhabitant per Day) which are used for drug utilization studies and also that are used in the analysis for this paper.

The detailed analysis of data included also different indicators needed for final results. These including the total quantity in mg of substance, defined daily dose of the product, time period of the consumption that has been made and population in total.

Data were collected in Excel format due to the lack of other forms of system which would made it easier for analysis. Initially entering it from hardcopy to excel and then validating it and further analyzing according to the desired indicators.

### Results

The drugs of the group C are the most consumed drugs in Kosovo according to the drug consumption data in the time period 2011-2013 are the mostly used in Kosovo comprising 31.66% of total consumption from all 14 drug classes of ATC classification.

According to ATC level 2, as presented in table 1 the subgroup C09 makes 144.68 DID overall for three years or 48.48 % of the consumption among all C level 2 subclass. While second subgroup C03 makes for three years 40.20 DID or 13.53 % of the group C and group C10 the one that is analysed in this research represents 38.02 DID or 12.8% of overall consumption of the C group. Together these three – main subclasses make 74.3% of the group C consumption among 9 subclasses of the group C in the second level of the ATC classification (Table 1). C10 subclass represents lipid lowering medicines.

Table 1 DID for drug consumption of group C according to ATC level 2 (ref 4)

Row Labels	2011	2012	2013	Total
C	89.99	104.42	102.63	297.05
C01	2.71	2.21	1.46	6.38
C02	0.76	0.79	0.76	2.31
C03	8.36	15.48	16.37	40.20
C04	1.95	1.10	1.56	4.61
C05	0.13	0.20	0.26	0.59
C07	8.44	7.81	9.98	26.22
C08	13.03	9.72	11.30	34.04
C09	44.50	51.70	48.47	144.68
C10	10.12	15.42	12.49	38.02
Grand Total	89.99	104.42	102.63	297.05

According to the level 3 of ATC there are shown only selected agents which has higher numbers of consumption for the three years time period with the three most used subclasses of group C (from 24 in total that are consumed) make 76% of total group C consumption:

C09B – ACE Inhibitors – combinations	73. 52 DID	49%
C09A – ACE Inhibitors – plain	47. 59 DID	14%
C10A – Lipid Modifying Agents - plain	38. 02 DID	13%

From the results in table 2 we see that lipid lowering medicines are among the mostly consumed for the prevention of the cardiovascular diseases among medicines treating these conditions. Rational use of these medicines would perhaps give better outcomes in those patients thus identification of any kind of undertreatment or non rational use of these medications would be the first step toward better drug utilization and better quality of life and health of these patients.

Table 2 DID for selected drug consumption of group c on the third ATC level (ref 4)

Row Labels	2011	2012	2013	Total
<b>C</b>	89. 99	104. 42	102. 63	297. 05
<b>C09B</b>	21. 69	26. 29	25. 54	73. 52
<b>C09A</b>	16. 87	17. 00	13. 72	47. 59
<b>C10A</b>	10. 12	15. 42	12. 49	38. 02
<b>C08C</b>	12. 44	8. 86	10. 74	32. 05
<b>C03C</b>	6. 59	12. 33	13. 11	32. 03
<b>C07A</b>	8. 44	7. 81	9. 95	26. 19
<b>C09D</b>	3. 78	6. 34	6. 97	17. 09

Comparing these results with the consumption of the same drug class in Norway it is seen that there are many differences. The total consumption of the C10AA group for 2011-2013 in Kosovo is 18. 02 DID –table 3 or 12. 42 DID in 2013, compared in 2015 to Serbia (7) with 34. 29 DID, Croatia (8) 59 DID, for 2015 in Norway (9) 122. 09 DID, Estonia 38. 8 DID, Latvia 40. 97 DID and Lithuania 12. 86 DID (10).

Table 3 Consumption of drugs from group A for according to ATC level 5 (ref 4)

Row Labels	2011	2012	2013	Total
<b>C</b>	10. 05	15. 19	12. 42	37. 65
<b>C10AA</b>	10. 05	15. 19	12. 42	37. 65
<b>Atorvastatin</b>	4. 51	6. 73	7. 56	18. 81
<b>Fluvoxamine</b>	4. 53	6. 79	2. 26	13. 58
<b>Rosuvastatin</b>	0. 15	0. 79	1. 66	2. 60
<b>Simvastatin</b>	0. 80	0. 77	0. 50	2. 07
<b>Pravastatin</b>		0. 11	0. 36	0. 47
<b>Lovastatin</b>	0. 03	0. 00	0. 06	0. 09
<b>Levostatin</b>	0. 03		0. 01	0. 04
<b>Fluvastatine</b>	0. 00			0. 00
<b>Grand Total</b>	10. 05	15. 19	12. 42	37. 65

Continuing to analyze each agent or each individual drug it is seen that the most used lipid lowering drug in the statins groups is Atorvastatin with 7. 56 DID in 2013 compared to Serbia with 20. 94 DID (the most consumed), Croatia with 32.



17 DID (same the most consumed) and Norway with 70. 43 DID (same the most consumed), in Estonia with 10. 33 DID, in Latvia with 30. 31, and in Lithuania with 10. 83 DID.

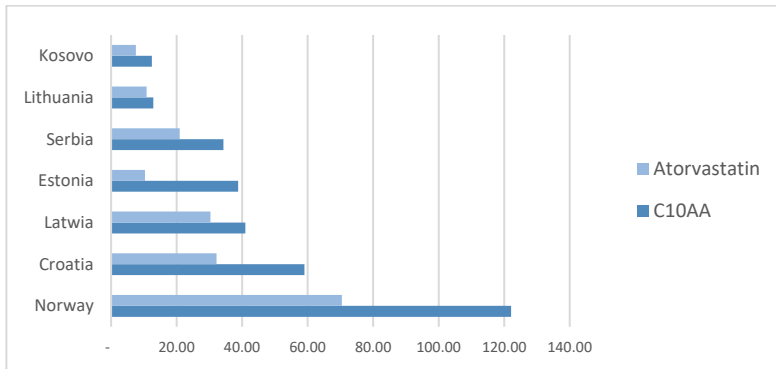


Figure 1 Comparison of the consumption of Atorvastatin and C10AA group

### Discussion and conclusion

The overall consumption of the class C of drugs according to ATC classification is the mostly used among other drug classes. Consumption of drugs that are used to treat cardiovascular diseases or make prevention like statins is increasing in Kosovo over years but unfortunately drug utilization of this subgroup is significantly lower than in the region countries which can be either **due to the under diagnosis or the underconsumption**.

It is seen that the total consumption of the C10AA group for 2011-2013 in Kosovo is 18. 02 DID –table 3 or 12. 42 DID in 2013, compared in 2015 to Serbia with 34. 29 DID, Croatia 59 DID, for 2015 in Norway 122. 09 DID, Estonia 38. 8 DID, Latvia 40. 97 DID and Lithuania 12. 86 DID, these results show that Kosovo has the lowest consumption which is with most countries significantly lower or just slightly lower compared to Lithuania.

Atorvastatin is the most used medicine of the C10AA subgroup also in the compared countries as in Kosovo with 7. 56 DID in 2013 compared to Serbia with 20. 94 DID (the most consumed), Croatia with 32. 17 DID (same the most consumed) and Norway with 70. 43 DID (same the most consumed), in Estonia with 10. 33 DID, in Latvia with 30. 31, and in Lithuania with 10. 83 DID. but the differences in DID is significant as this is a proportion of the drug use for 1000 inhabitants showing that in Kosovo the use of this drug and this group is significantly lower than in compared countries or close just to Lithuania.

Bearing in mind that cardiovascular diseases are the mostly numbered as a cause of death and cardiovascular medicines are significantly lower consumed than in other countries it is strongly recommended that there should be further studies about morbidity and drug utilization in hospitals and other health care settings in order to have the more accurate data about the diagnostics and treatment/prevention options.

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## Exploring Project Management Education

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### Abstract

The object of this paper is to explore the actual practice in project management education in the Netherlands and compare it to reference institutions and recent literature. A little over 40% of the Higher Education institutions in the Netherlands mentions PM education in programs and/or courses. A total of 264 courses, minors and programs in the Netherlands found. In reference institutions 33 courses and programs are found and 36 publications deal with actual teaching of project management in Higher Education. Comparing these sources finds traditional methods of teaching and testing, a roughly comparable focus on subjects and an unsupported high claim of learning level, while the number of credits assigned to project management is relatively small. There is a strong focus on planning without execution, which is critiqued as is the promoted Project Based Learning.

**Keywords:** Exploring, Project, Management, Education

### Introduction

Project management education is not without critique (Ramazani & Jergeas, 2015). Since adaptation of the subject in Higher Education curricula, progress has been made, but challenges still remain (Söderlund & Maylor, 2012). This paper explores the current offerings of project management in Higher Education in Netherlands. Project management education in Higher Education has been the focal point of research before in Pakistan (Arain & Tipu, 2009) and in Central and East Europe (Obradovic, 2015), without elaborating on the actual practice as this paper will: an in depth look at project management education in Higher Education in the whole of Netherlands is presented. Although there are several publications on teaching project management, a syntheses has not been made. The practice of teaching at six reference institutions, the Dutch institutions, literature and the results of a workshop with 33 participants are compared on methods of teaching, testing, subjects incorporated, intended learning outcomes, credits assigned and whether added value is measured.

Project management education is defined here as education aiming to (better) prepare students for the role of project manager. Project management methods and/or skills are specifically identified as learning outcomes. It can have different forms: a specific part of the curriculum is designed for project management (like a specific course), but project management could also be one of multiple learning outcomes in a course. It could have the form of a theoretical exploration of the subject, research into specific parts or even a specific exercise aimed at a specific skill. This definition allows all these kind of forms, with one exception: it has to be more than just a claim of project management in the learning outcomes without specific attention. Simply assembling students into a group and giving them a group assignment without specific attention on project management issues is not considered to be project management education.

First the data collection is described: literature, the practice of teaching project management in the Netherlands and in reference institutions and the workshop with practitioners. Next the results are compared on several focus areas: teaching methods, testing methods, learning outcomes both in subjects as in promised level, allotted study time and whether progress is measured. Each focus area will describe the data and present a short discussion on the findings within that area. An overall discussion on results and generalization precedes the conclusions.

Literature on project management education

The subject of teaching project management has been addressed numerous times. For this paper the interest is on publications that deal with actual teaching practice in project management. Since project management is a relatively new field of study, views on project management success change over time (Jugdev & Müller, 2005) and in Higher Education

new forms of study like project based learning (PBL) have recently taken ground (Graaf & Kolmos, 2003), the focus is on relatively new publications, published after 2000.

An initial search revealed that a majority of results reported on some form of educational project and the management of these, usually reporting on the apparent success or even on challenges in the application of project management in Higher Education projects (Austin, Browne, Haas, Kenyatta, & Zulueta, 2013). The search effort was adjusted to remove most of those results. Six searches were performed using EBSCO-host in September 2016, as specified in table 1. Publications without an abstract were discounted. If the abstract suggested potential, the publication was read. If the publication fitted the criteria it was used.

Search	Search terms	Found	Double	Potential	Match
1	Abstract containing sentence 'learning project management'	19	1	9	4
2	Abstract containing sentence 'project management education'	52	1	25	12
3	Abstract containing all terms 'project', 'management' and 'education', subject restricted to higher education	42	4	2	1
4	Abstract containing all terms 'learning', 'project' and 'management', subject restricted to higher education	59	6	19	8
5	Journal name containing project management, abstract containing 'education'	45	12	5	1
6	Journal name containing project management, abstract containing 'learning'	20	6	8	2

Table 4. Literature searches performed

The searches yielded 237 publications of which the abstracts of 68 showed potential. After reading the publication, 28 remained that matched the criteria. In case several publications were based on the same and supplying the same information, the best – offering the most information – was selected. Although Alam et al. supplied two which seem to be based on the same master, the information was complementary and the research question different, so both are included (Alam, Gale, Brown, & Khan, 2010; Alam, Gale, Brown, & Kidd, 2008). The first four searches revealed 25 matches, the last two searches revealed 3 more. Eight more publications were found by going through the references of the found publications and searching for publications that referenced one or more of them, making a total of 36 publications.

From each of the publications the following information was extracted: (curriculum) context, region, teaching method, intended learning outcomes, testing method, study time involved and whether added value was measured. A special note is taken that not all these publications are specifically submitted to explain in depth the PM course or curriculum, not all reveal all information. Table 2 lists the overall results.

The diversity of the publications is illustrated in table 2, column context. About half are part of a specific curriculum like Engineering, MBA or ICT, the rest are elective, specifically designed for industry, part of a leadership course etc. The publications are somewhat spread over the globe. Asia and South America are not represented, Africa is underrepresented with one publication, Europe, North-America and Australia make up the bulk of the publications. Almost all specify the teaching method and the majority specifies intended learning outcomes. Around half specify the test method at the end in order to let the students 'pass'. Most do not specify the involved study time or credits. Around two thirds of the publications incorporated measure whether value has been added: whether students gained competences.

An important work on project management Education is the "Project Management Curriculum and Resources" (PMI, 2015), outlining possible subjects and combinations to incorporate in a curriculum. The scope encompasses the deliverance of the core skill set a student must possess (page 1-14). Defining a minor or specialization as the minimal core for project management underlines the ambition of the document, aiming at a curriculum that allots a considerable amount of space for project management.

The amount of space in curricula is usually limited, and project management is not an easy subject to teach (R. Ellis, Thorpe, & Wood, 2003). These limits are acknowledged by the project management Curriculum and Resources (page 1-20) underlining the complexity by the big number of skills incorporated (pages 1-16 & 1-17). The foundation course specified in part II will be used as comparison material in the remainder of the paper.

ref	Author (first only)	Context	Region	Teaching specified	LO specified	Test specified	Credits	Added value
1	Fish (2005)	Elective	USA	Yes	Yes	Yes	unknown	SALG post
2	Ojiako (2011)	unspecified	UK - Europe	No	Some clues in questionnaire	unclear	unknown	SALG post
3	Mengel (2008)	Leadership course	Canada	Yes	Yes	unclear	unknown	Comparing products
4	Townsend (2014)	industrial and mechanical engineering	Canada	Yes	Yes	unclear	4 hrs?	Student statements
5	Flores (2016)	Software Engineering	Portugal - Europe	Yes	No	Yes	1 hr	Comparing test with other track
6	González-Marcos (2016)	ICT	Spain - Europe	Yes	Yes	Yes	Max 15	Pre- and post test
7	Córdoba (2012)	Business / Business Information	UK - Europe	Yes	No	Yes	unknown	SALG post
8	Bergman (2014)	Overall (international project management)	Sweden - UK - Europe	Yes	Yes	Yes	unknown	none
9	Hartman (2005)	unspecified	Canada	Yes	Yes	unclear	unknown	enhanced ability
10	Alam (2008)	Industry	UK - Europe	Yes	Yes	Yes	probably 60	Comparing graduates with non participants
11	Shelley (2015)	Unspecified	Australia - Asia	Yes	No	Yes	unknown	none
12	Pagano (2014)	Unspecified	UK - Europe	Yes	Yes	unclear	one or two days	SALG Pre and post on perceived ability
13	Zwikael (2015)	Engineering	Australia & USA	Yes	No	unclear	unknown	3 Pre and post tests: knowledge, energy and attitude
14	Brown (2000)	MBA	USA	Yes	Yes	unclear	unknown	Student statements
15	Martin (2000)	MBA	UK - Europe	Yes	Yes	unclear	unknown	none
16	Alam (2010)	Industry	UK-Europe	No	No	unclear	probably 60	Comparing graduates with non participants
17	De Los Rios (2015)	Engineering	Europe	Yes	Yes	unclear	Unclear	SALG pre and post on perceived ability & SALG Post
18	Pollard (2012)	ICT?	USA	Yes	Yes	unclear	unknown	Student statements
19	Chen (2009)	unspecified	USA	Yes	No	Yes	unknown	none
20	Larson (2010)	MBA?	USA	Yes	Yes	Yes	Max 15	none
21	Van Rooij (2009)	Information Technology	USA	Yes	Sort of specified by the processes	Partly	unknown	SALG post

ref	Author (first only)	Context	Region	Teaching specified	LO specified	Test specified	Credits	Added value
22	Tatnall (2005)	IT	Australia	Yes	No	Partly	unknown	SALG
23	Noorifshar (2004)	unspecified	Australia	Yes	Yes	unclear	unknown	none
24	Saungweme (2015)	Unspecified	South-Africa	Yes	Yes	Yes	unknown	none
25	Walker II (2004)	unspecified	USA	Yes	Yes	unclear	4hrs	none
26	Walker (2008)	project management	Australia	No	Yes	unclear	probably 60	none
27	Stoyan (2008)	Divers	Swiss - Europe	Yes	Yes	unclear	3	none
28	Divjak (2008)	unspecified	Croatia - Europe	Yes	Yes	Yes	9	none
29	Fernández (2010)	Engineering	Spain - Europe	Yes	Yes	unclear	6	none
30	Kloppenborg (2004)	unspecified	USA?	Yes	Yes	Yes	unknown	none
31	Davidovitch (2006)	Engineering	unspecified	Yes	Yes	unclear	3, 5	Measured objectives, comparing 1st, 2nd and 3rd run
32	Jewels (2004)	ICT	Australia	Yes	Yes	unclear	unknown	One test question and one SALG question
33	Misfeldt (2015)	Construction	Denmark Europe	Yes	No	unclear	unknown	none
34	Car (2007)	Telecommunications +	Zagreb, Europe	Yes	Yes	Yes	unknown	SALG
35	Jugdev (2007)	Executive MBA	Canada	Yes	Yes	Yes	Unknown	None
36	Sankaran (2005)	Business and technology	Australia	Yes	Yes	Yes	Unknown	None

Table 5. Literature on project management education

### Practice in the Netherlands and at reference institutions

Learning project management is an integral part of several higher education curricula. The Dutch Higher Education system hosts two types of institutions: Universities where the emphasis is on Masters as an end-degree and Universities of Applied Science (UAS) where the emphasis is on Bachelor as an end-degree – although these institutions also host Professional Masters. The UAS represent a large portion of the Higher Educational landscape in the Netherlands.

Data collection is done between January 2016 and May 2016. All institutions on the website <http://www.kiesjstudie.nl/>, listing all possible higher education curricula and institutions, are scrutinized. Of every institution the website is visited and the keywords 'project management' are sought using the search engine duckduckgo and the search engine(s) supplied by the institute including available course databases of the institute. Not all institutes allow searching through the course database. Results like commercial training and collaboration projects are discounted, leaving courses and programs aimed at higher education students.

The dataset consists of 127 institutions: 98 UAS and 29 Universities. A total of 72 do not show any positive search results: project management is not a (mentioned) part of any of their curricula. The other 55 institutions (38 UAS and 17) show positive search results: courses and/or programs with project management as a (partial) learning outcome.

As a reference, 6 higher education institutions recently mentioned as frontrunners on project management education (Söderlund & Maylor, 2012) are incorporated as well: Stanford in America and the Scandinavian Aalto, BI, KTH, Linköping and UMEA.

All positive search results are followed-up by looking into the descriptions, looking for as much details as possible like program descriptions with specified courses and course descriptions containing learning outcomes. In total 491 documents and web-pages are collected with program and/or course descriptions containing project management. In some cases this follow-up leads to a dead end: a course or program only claiming project management as a career option, discontinued courses or a commercial training.

Analyzing this data shows that there are more types to discern when it comes to project management education: next to courses and programs there are several minors (elective) and sets of compulsory courses. The latter are incorporated in the dataset both as semi-programs (all courses combined) and as courses (each course separately). UAS shows 61 courses, 19 minors, 101 programs and 6 semi programs. The 17 Universities together have 62 courses, 6 minors, 5 programs and 4 semi-programs in project management. No minors or semi programs are found at the reference institutions, amounting to a total of 297 descriptions. The results are shown in table 3.

	Courses	Minor	Program	Semi Programs
University	62 (3. 5 per institution)	6	5 (1 in 3 institutions)	4
UAS	61 (1. 5 per institution)	19	101 (3 per institution)	6
Benchmark	25 (3 per institution)		8 (1 per institution)	

Table 6. Project management education in Higher Education (Netherlands & Reference)

Relatively the same number of courses are found at the Dutch Universities that promote PM education as in the benchmark institutions as illustrated in table 3. UAS are clearly lagging. Dutch Universities are not promoting PM as a part of their curricula to the outside world, something that UAS show in abundance. The benchmark institutions are in between.

### Practitioners in the Netherlands

A workshop on the subject 'what do we teach and need to teach?' is held on the Dutch project management Parade (April 2016), with 33 practitioners attending. The object of the workshop is dual: collecting views and beliefs from practitioners on the subject en showing them results of a research among commercial offerings on project management education (Nijhuis, 2016). In order not to influence the practitioners, the results of the study were only discussed at the end. The practitioners have an average age of 46, 26 are male, 7 are female. A little over half (18) consider them to be project managers, the others are (project) consultants, program managers, managers, sponsors and educators. The project managers have an average budget of 5, 7 million Euro's and an average of 14, 5 years' experience as a project manager. At the start the group was randomly split in four groups, each dedicated to an open question: thoughts about training a starting project manager, subjects to incorporate, phases to incorporate and competences to address. After twenty minutes of discussion the whole group was allowed to mark on two structured questions the groups and competences to incorporate in training of starting project managers. The first uses the ISO matrix for project management (Normcommissie 381236 "Projectmanagement", 2012), the second the ICB4 Competences (IPMA, 2015).

Comparison between literature, practice and practitioners

### Teaching methods

Teaching has evolved through time, from the traditional methods where a teacher shares knowledge and/or hands out assignments in a classroom to a more elaborate construct with group work, individual research assignments, student presentations, project based learning (PBL) and even service learning. The distinctions between them are sometimes subtle. One of the publications calls an assignment for four students PBL, which is actually just group work. Another calls a service learning project – where a group of students performs a project beneficial to (a part of) the society – PBL.

PBL is the most mentioned teaching nontraditional method in literature with 9 instances (13 if service learning and group work are included). Simulation is 'trailing' with 6 and workshops with four, two courses are offered online. Nonetheless, exchanging knowledge in a traditional setting remains necessary, even in PBL where at least introductory lessons are scheduled.

The overall practice of teaching reveals a traditional approach. Lectures and seminars are the dominant teaching form mentioned. Group work (not PBL!) is the second most dominant form, closely followed by exercises/assignments/cases. Lagging but still noteworthy are self-study, project participation (including but not restricted to PBL) and workshops. Scoring less (especially because of a low frequency at UAS) is literature study. Hardly mentioned are managing a school project, excursions, simulations, class preparation, coaching, management games, computer laboratory and rotating management of a (school)project. The various forms and their frequencies are illustrated in figure 1.

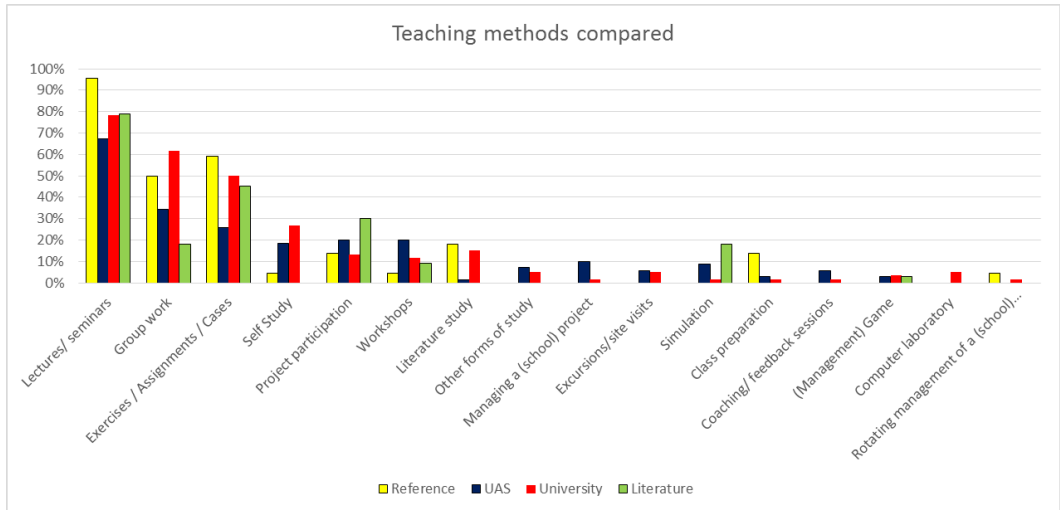


Figure 2. Comparison of teaching methods

As noted, the often mentioned PBL from literature is translated to project participation. The majority of students is not managing the group but participating in it. Only very few practices specifically mention the rotation of the management of the group. Apart from differences in group work, project participation and simulation the results of literature and practice are roughly comparable. Practice shows little differences between reference, UAS and universities, except on group work, exercises/assignments/cases and the previously mentioned literature study: all are mentioned less at UAS.

The foundation course (PMI, 2015) mentions and hints at several learning methods: lectures, assignments, homework and a final project. The latter is not a project that is undertaken by the student or student groups but a real life project that is analyzed by the student, to be categorized as either assignment or essay, especially since a case study is proposed as an alternative for this project.

## Discussion

Counting the mentioned teaching methods is not the same as the spread of learning time over the teaching methods. As shown, teaching involves a multitude of techniques and most do not rely on only one technique. That said, it is strange that project participation, managing a project or simulation are mentioned so little. It is claimed that a real world experience is required to teach project management (Chen & Chuang, 2009) and stated that application of the material learned will provide deeper learning (Kloppenborg & Baucus, 2004). A big portion of literature suggests that PBL or Service Learning is the preferred method of teaching project management, thereby ignoring critique on this method (Ashraf, 2004).

The evolution of PBL is described by De Graaf & Kolmos, (2003), describing several characteristics of PBL and the didactics. The complexity PBL and several important choices in designing PBL are illustrated by Volkema (2010). Both of them illustrate that PBL alone is not a guarantee for obtaining efficient learning, and risks are looming. Illustrative is the



incorporated study, where PBL results are found only in the third offering of the unit, and only in the student groups that really put an effort into it (Jewels & Ford, 2004). Would these groups have learnt less in a different form of study? This is supported by the findings of Jollands et. al. that found similar learning results between PBL and non PBL students (Jollands, Jolly, & Molyneaux, 2012). Incorporated in the list of literature is a specific exercise created because 'the project context often distracted students from the fundamental principles of project management' (Heineke, Meile, Liu, & Davies, 2010). To add to these concerns, PBL is sometimes even wrongly considered equivalent to a project management course (Strang, 2013).

It becomes apparent that using PBL is not a guarantee for learning project management, based on the previous paragraph. An important factor for learning project management through PBL is that the student is actually leading the project, which is usually not the case for all students. At the same time the project should be realistic, incorporating at least a possible exchange between time, money and quality, which is usually not the case in PBL since time is usually fixed and money is not incorporated, leaving only quality as a parameter (Nijhuis, 2012). Service Learning aims to fix those deficits but large scale project management education would require unrealistic amounts of those projects: more than 5000 in the Utrecht area alone when combining data from Saungweme (2015), the ambitions of the Higher Education institutions in that area for teaching project management and the number of students.

Some call the (academic) review of a real life project a project (Bergman & Gunnarson, 2014; PMI, 2015). As noted before (Larson & Drexler, 2010) some call the creation of a project plan a project (Kloppenborg & Baucus, 2004). Some call a theoretical case study or even the writing of an essay a project (quite often a 'capstone project'). This rather inflates the use of the term project especially in project based learning. The use of project based learning should be restricted to real projects that run from initiation to closing.

Simulation, although promoted less than PBL and hardly used in practice, looks to suffer less from all these concerns, but just running a simulation is no guarantee for learning project management (Zwikael et al., 2015). In a study of different modes of delivering Ellis et. al. found no significant differences (R. C. T. Ellis, Wood, & Thorpe, 2004), suggesting that the focus on delivery mode could be of lesser importance.

### **Methods of testing**

In Higher Education credits are given to students after they have proven a certain mastery or understanding of the elements of the course. The same applies to project management courses.

A little less than half of the publications specify what test the students have to take before credits are awarded. Assignments and examinations are quite common, with the project trailing somewhat. The project test is not an uniform one, with descriptions ranging from the project plan to deliverables to result and success. Only one of the publications really relies on the project for the test with a report on the project with self-reflection (Bergman & Gunnarson, 2014), but that 'project' is actually an assignment for a pair of students interviewing a company to find evidence for a project management maturity level.

In the practice of teaching, the testing methods show a very traditional approach. The results of assignments and group work are graded, multiple choice tests or written examinations are a close second. Presentations and essays are trailing and only fifth is the individual assessment. Barely mentioned are individual portfolio, individual projects, attendance, oral examination, peer evaluation, discussions and laboratory assignments, as illustrated in figure 2. Noteworthy is that the reference institutions appear to cling more to traditional ways of examination than the Dutch institutions. Class attendance and/or class participation scores relatively high in reference and universities. The tests methods mentioned in literature are projected on the same categories.

The first module as defined in the project management Curriculum and Resources (PMI, 2015) lists up till 21 assignments which together test whether the student has mastered the learning outcomes (page II-10), which are not specified in the remainder. The homework assignments and grading standards of a typical semester course (pages II-88 & 90) does give clues to the nature of these assignments like write a charter, a scope or develop a cost estimate. The suggested grading standards are very much in line with the practice of teaching: homework assignments, midterm examination, project and final examination. Please note again that the project in this foundation course is an analysis of a project and not a project managed by the student.

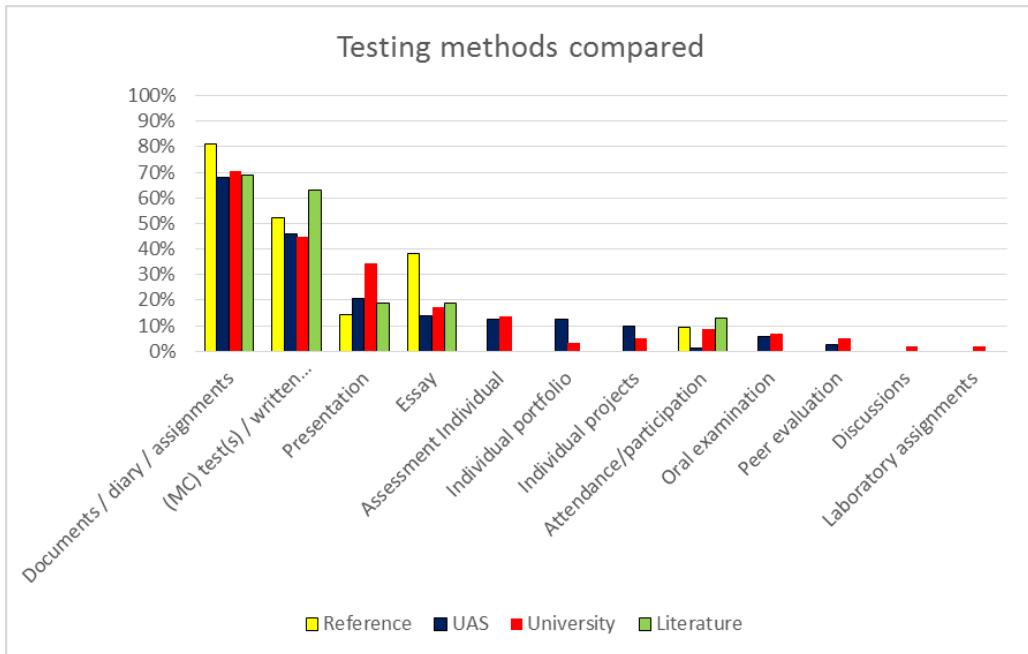


Figure 3. Testing methods compared

### Discussion

All data sources reveal a strong traditional method of testing, a small portion even including attendance and participation.

The testing methods suggest that the focus is on knowledge and insight. Whether students have developed or shown an ability in project management can hardly be tested by examining produced documents, written examinations or essays. Apart from presentation skills, the test method presentation is not fitting for testing developed or shown abilities either. Methods that could test those abilities are hardly mentioned like individual assessment or portfolio, oral examination and peer evaluation.

A hypothetical question concerning attendance/participation: do we really need this to motivate students to learn project management?

### Intended learning outcomes

On the open question 'share your thoughts on project management training for a starting project manager' on the workshop with practitioners, several highly differing answers are given, like the basics, looking from different perspective, behavior and culture, moral compass, risk management, team communications and best practices. A different group worked on the question 'which subjects – maximum of five – would you incorporate in such a training', leads to more agreement, but still a total of 17 subjects are mentioned, in descending order: team, planning, organizing, project methods, budget & cost management, reporting, stakeholder management, coaching, agile. Mentioned, but getting less than five votes: project approach, business case, sustainability, time management, contract management, project startup and procurement. Communication, scope and stakeholder management are favored by the practitioners as are initiating and planning, when the question is structured as described. In tables 4 and 5 these last results are shown as votes.

The intended learning outcomes are described by most of the publications. They all describe aspects of project management, some describe them in detail like the experiential learning project management workshop with 6 learning outcomes and stating that the main purpose is getting students acquainted with a beneficial attitude for their capstone project (Townsend & Urbanic, 2014). Some list a number of competences derived from Prince2 (González-Marcos et al., 2016) or point to the 46 competences of IPMA (De los Rios et al., 2015). Like in the practitioner workshop, there is not

much structure in the described learning outcomes in literature. This paper uses the ISO standard for project management (Normcommissie 381236 "Projectmanagement", 2012), specifying 10 subject groups and 5 process groups to categorize the learning outcomes. Discussions in focus groups about critical processes led to the addition of one subject group (Value management) and one process group (Accepting the project) (Nijhuis, Kessels, & Vrijhoef, 2015). The descriptions of the learning outcomes are scrutinized on whether these 17 groups are mentioned / incorporated.

A majority of the publications (21) supply learning outcomes of which some or all could be categorized to these 17 groups. Fifteen of them supply extra leaning outcomes. Seven supply learning outcomes that could not be categorized. The number of groups found varies per publication: 11 publications mention five or less groups, 4 more than ten groups.

Planning is mentioned by 17 publications. Time, Scope and Risk are the three highest mentioned in subjects. In processes Initiating and Controlling are both number two, trailing far behind Planning.

The same analysis is performed on the courses specified in the practice of teaching. To favor comparison a relative score is computed: the descriptions that mention a certain subject are counted and divided by the total number of descriptions that mention at least one subject. The same procedure is repeated for process groups. These percentages are listed in tables 4 and 5. There is some similarity between the four categories: literature, reference institutions, universities and UAS: the subjects Risk and Time are in the top three of all. The last item in the top 3 differs: Scope in literature, Resource at the reference institutions and Cost at universities and UAS. In almost all subjects large difference can be seen, the lowest differences are found in Procurement (generally low scoring) and Risk (generally high scoring). The highest difference is found in Scope (21% at the reference institutions, 67% in literature). The most disagreement between literature and practice can be found in Scope, Communication, Quality and Time, all these groups are mentioned much more often in literature than in the closest category in practice. Only the added subject Value/business case is mentioned less by the literature descriptions than in practice.

Subject group	Literature	Reference	University	UAS	Pract. Ws.
Communication	53%	21%	12%	25%	32 votes
Cost	40%	26%	49%	46%	9 votes
Integration	27%	0%	7%	2%	7 votes
Procurement	20%	21%	22%	5%	1 vote
Quality	53%	16%	27%	30%	11 votes
Resource	53%	32%	29%	30%	13 votes
Risk	73%	58%	63%	54%	10 votes
Scope	67%	21%	34%	39%	19 votes
Stakeholder	47%	21%	27%	40%	18 votes
Time	73%	42%	51%	44%	12 votes
Value/Business Case	7%	16%	15%	28%	Not inc.
Total number mentioning a subject	15 of 36	19 of 25	41 of 62	57 of 61	132 votes

Table 7. Subject groups as mentioned in the five categories, top 3 of each highlighted,

In the process groups there is also some similarity between the four categories. Highest scoring with all is Planning, second is Controlling (with Initiating tied second in literature and Implementing tied second at the reference institutions). Again some differences mostly in the Initiating and Closing process with university scoring lowest in both and literature scoring highest in both. Accepting the project is not a mentioned group in any of the categories.

Process group	Literature	Reference	University	UAS	Pract. Ws
Initiating	53%	29%	18%	38%	42 votes
Planning	89%	95%	77%	87%	38 votes

Implementing	42%	48%	36%	38%	18 votes
Controlling	53%	48%	54%	55%	26 votes
Closing	47%	14%	8%	25%	8 votes
Accepting the project	0%	0%	0%	0%	Not inc.
Total number mentioning a process	19 of 36	21 of 25	39 of 62	60 of 61	132 votes

Table 8. Process groups as mentioned in the five categories, top 2 of each highlighted.

The foundation course (PMI, 2015) lists the topics (page II-88). Of the process groups Planning and Control are specifically mentioned. Closing is specifically not incorporated (page II-8). All subjects are specifically mentioned, with an addition of Ethics.

## Discussion

The projection of learning outcomes onto the ISO matrix greatly reduces the information given in the text. A level of understanding of the group is not discerned. Is the course merely about knowledge of the process of planning or is the intended learning outcome that the student will be able to plan any project including time, budget, risk management strategies, communications management structures and quality control processes?

Projecting learning outcomes on ISO and classifying them in levels is a reduction of the data available, but does make them comparable. Not all mentioned learning outcomes could be classified onto the ISO groups, like teamwork or negotiation. Teamwork could be part of the resource management, but it is definitely not the same. Negotiation could be part of resource management, scope management, stakeholder management, initiating and planning. Classifying these would require a competence classification system like a taxonomy (Nijhuis, Vrijhoef, & Kessels, 2015b) which is beyond the scope of this paper.

Often mentioned competences in literature are negotiation, teamwork and –building, leadership and using computers. Especially the last one is intriguing, but is supported by the foundation course (PMI, 2015) spending lectures on automation tools (page II-88).

The results from literature and practice do not align with the votes practitioners give. Note that the practitioners answers are not completely congruent: while team scores highest in the open question, Resources (including project team) did not make it into the top 3 when ISO is used as structure.

Literature on average mentions more included topics than practice, suggesting a more complete overview of the playing field of project management. There is some but not complete focus in the mentioned subjects and processes. The commercial development courses in the Netherlands, mainly aimed students without experience, show a similar distribution as practice and literature (Nijhuis, 2016). The point of complete agreement, Planning, could be debated: it is not likely that an inexperienced project manager will get this task (Nijhuis, 2016).

## Intended level of learning outcomes

In the previous section a comparison is made on the groups mentioned in the text. As noted, this reduces the information given, especially the intended learning level. This section deals with the intended learning level of the learning outcomes. In this section the following levels will be used: knowledge, insight, experience, ability and unknown. These are explained in table 6. Appendix A lists some found examples of experience and ability.

Level	Learning outcomes promise that student
Knowledge	has knowledge of project management terms, processes and methods
Insight	shows insight in project management terms, processes and methods
Experience	has experience in applying (some) project management processes and methods
Ability	has the ability to successfully manage projects
Unknown	No information supplied or classification unclear

Table 9. Levels of learning outcomes

In some cases the information is not fit for classification with learning outcomes described like 'core subject', 'course including project management' or 'getting to know subjects that go beyond the daily routine of project management'. In this case the classification 'unknown' is given. A course that does not supply information is also classified as unknown (13 out of 34 unknown in practice). The 33 publications dealing with course material (3 describe a complete master program) are classified accordingly.

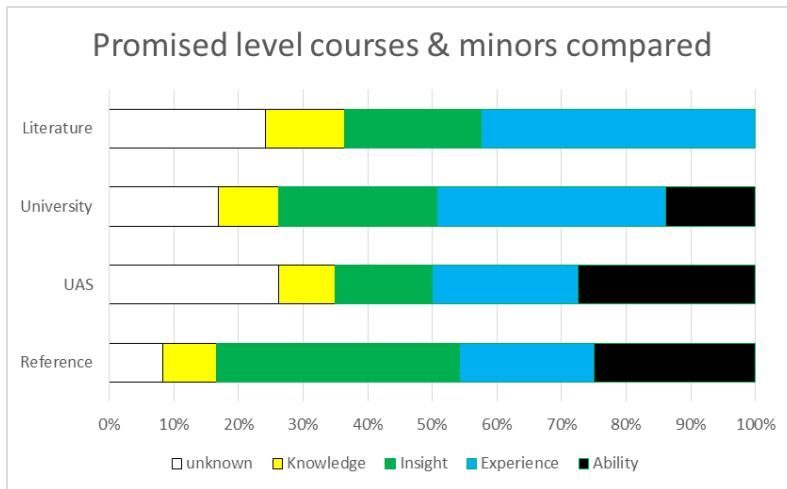


Figure 4. Levels of learning outcomes compared

As illustrated in figure 3 the Dutch Universities are holding back on claiming ability. Literature does not claim it at all in the courses described. The two highest categories (Experience and Ability) amount to 40 to 50% in all categories. The benchmark institutions have a large portion of courses that 'only' claim insight. A fairly large portion of courses and minors have descriptions that fall into the unknown category. The reference institutions perform better on that accord.

Then fundamentals in project management (PMI, 2015) shows several levels (page II-10). The advanced ability to create comprehensive project plan can be classified as ability. In contrast the fractional ability to plan and monitor project budget and schedule would be experience at most, more probably only insight, especially since the topic 'acquainted with the principles of identifying, developing and managing resources' is explicitly excluded. This is rather confusing, since a comprehensive plan contains a budget and schedule and does identify resources. The implementation schedule (page II-88) shows several homework assignments that should at least create insight and maybe experience. Since this involve the fundamentals, insight would be an appropriate level.

## Discussion

Even when restricting to courses, there is a considerable amount of courses found that do not describe learning outcomes in such detail that the level of the learning outcomes can be deduced. In literature that is expected, as explained before, the intention of some is not in the detail of the course itself. In course descriptions of universities, UAS and reference institutions this is not expected, especially since the course descriptions found are usually the official ones and not popular translations, like one is likely to find in brochures.

Looking at more brochure-like texts, the descriptions of programs, aimed at 'luring' students into the curriculum, confirms that those are less specific as illustrated in figure 4. Where they are specific, the average promise of learning outcomes is higher than of courses, almost completely losing the knowledge level.

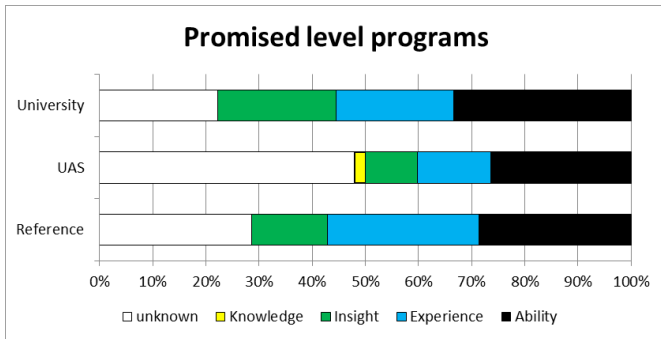


Figure 5. Comparing levels of learning outcomes in program information

### Credits involved

Although seldom specified, most of the publications deal with a course or workshop that is (considerably) less than 15 credits, which is comparable to a quarter of a study year. The foundation course (PMI, 2015) does not specify credits. The courses found in practice do specify in vast majority (>85%) the number of credits involved. The number of credits involved in a course does not always equal the number of credits for project management, since subjects are sometimes combined, quite often with the credit distribution specified. If not specified an equal distribution is assumed. The average PM load in a course which has PM as a learning outcome shows similarity, with an average of (around) 5 for UAS, (around) 6 for university and (around) 7 for the reference institutions.

The total credits in a program is interesting: the attention spend in a complete curriculum on PM. The view is restricted to compulsory PM attention, restricting to compulsory courses. More than half of the incorporated information in the dataset concerns compulsory courses: 186 or 63%. The others are unspecified (60) or elective (45), with 6 mixed or supplying conflicting information. The overlap between programs and courses is minimal: In total 13 of the compulsory courses overlap: 6 are part of a incorporated program and 7 are part of a compulsory set of multiple courses. These 13 are removed from the analysis of courses, since these are already analyzed as multiple courses or programs. In UAS there are three Professional Masters of project management. Those 60 credit programs commit the whole program on project management subjects. For comparison sake those are removed from the analysis as well.

The results vary greatly per category. In programs reference institutions dedicate 24 credits to project management, but the compulsory courses in other programs average 'only' 4, 9 credits. At Dutch Universities the same effect is visible: 9, 5 average compulsory credits in programs, 6, 8 in compulsory multiple courses and 6, 1 in compulsory courses. UAS shows a different pattern with 13, 6 credits in programs, 18, 3 in compulsory multiple courses and 5, 1 credits in compulsory courses.

Average credits dedicated to PM	Reference	UAS	University
Course (single course in a program)	4, 9	5, 1	6, 1
Multiple course (in a program)		18, 3	6, 8
Program (only program description)	24, 0	13, 6	9, 5
Overall average	14, 4	11, 5	6, 5

Table 10. average credits per category in compulsory courses without incorporating Professional Masters in PM

### Discussion

A note is given that program information is supplied to get students enthusiastic about a study, therefore possibly showing a more positive image than realized in reality.

Only the reference institutions come somewhat in the neighborhood of the specified minimum of 30 credits in the project management Curriculum and Resources (PMI, 2015). The rest is not even close to that target. One can debate whether 30 is a correct amount, given restrictions in a non PM-curriculum. Notwithstanding this debate, the averages overall and the

course information shows that in practice it is more likely that a student, in a curriculum that includes PM, receives between 5 and 10 credits in project management.

Students can do more, like following a minor, in theory adding considerable amount of time focused on PM. The amount of PM credits involved in those minors shows a large variety from 1 credit up till the maximum of 30.

### Measuring added value

Whether the course was sensible is the subject of many publications. Measurements are installed to support claims of enhanced abilities and or insight. Some publications do a comparison study. An often used method is that of Students Assessment of Learning Gains (SALG) (Seymour, Wiese, Hunter, & Daffinrud, 2000) although only one actually refers to this method (Rooij, 2009). SALG takes on several forms, the most notable are post assessment of students whether learning gains are achieved – with either a structured list or using open questions - and comparing pre- and post-self-assessments of students ability (or perceived ability). Most of the publications using SALG use a post assessment SALG, one uses a pre- and post-perceived ability and one combines both. Table 8 lists the found methods in literature.

Method	Used by
SALG	11
Pre- and post test	2
Student statements (comparison)	2
Comparing plan versus report	1
Enhanced ability	1
Measured objectives, comparing 1st, 2nd and 3rd run	1
One test question and one SALG question	1
Test (comparison)	1

Table 11. Found methods to measure added value in literature.

In the practice of teaching there is no reference to measurements found to test whether students gained in knowledge or ability. A pre-test is not mentioned either. The foundation course as specified in page II-88 does specifically mention the identification of projects in the students experience, but does not elaborate on that.

### Discussion

SALG relies heavily on student's self-assessment of learning gains. Self-assessment is not without problems as Symons et. al. conclude: 'Most studies of self-assessment are in areas of technical knowledge and ability. Even in concrete areas such as these, self-assessment has been found to be inaccurate' (Symons, Swanson, McGuigan, Orrange, & Akl, 2009). Asking students whether they learned something will trigger a positive answer (Pligt & Blankers, 2013), adding to the inaccuracy. To determine whether something is learned, a comparison of pre- and post is necessary (Kirkpatrick, 1959; Kirkpatrick, 1996), to avoid measuring satisfaction of the student on the course material, training facilities and teaching staff instead of actual learning. Several of the incorporated student statements in the literature illustrate student satisfaction. Even when pre and posttests are used, SALG has been proven to provide unrealistic results (Nijhuis, 2015; Nijhuis, Vrijhoef, & Kessels, 2015a).

Pre- and posttests are necessary to compensate for differences in entry level, and those differences are real (Passerni, 2007), especially when comparing two different methods of conveying. No proof is found that this is actually done, except in comparing a virtual training (González-Marcos et al., 2016).

Measuring the real added value of a course or specific method is difficult. SALG provide a quick, easy but unreliable tool, mostly measuring satisfaction of the students. Most of the literature incorporated tries to measure added value, but the supplied proof is can be questioned. This questioning is usually missing.

## Discussion

Data collection from institutions is based on publicly available information only. It is to be expected that more information is available, especially from those institutions that promise project management education in program descriptions where no course information is found. It is not expected including this data will lead to different conclusions.

Most of the comparison in this paper is facilitated by mapping text to teaching or testing methods, ISO or an intended learning level. In those interpretations errors can and will be made. The mapping is performed before analysis to avoid subjectivity in coding. Looking at the differences described, it is argued that these interpretation errors will not affect the conclusions.

The workshop used as a source of reflection is not a representative research into the real needs of practitioners. Especially since it involved on average very experienced project managers, and not juniors. It only provides some clues for educational needs and illustrates very nicely how much influence structure and questioning has on research results.

Teaching and testing methods for project management courses are fairly traditional. Literature promotes some less traditional approaches but one can doubt whether the most advertised method of project based learning actually leads to a better learning of project management. The incorporated subjects show several discussion points.

Considering traditional teaching and testing and restricting students projects to planning or to a theoretical exercise, the course materials examined show an unrealistic claim of learning level. Although spending on average more time on project management, the reference institutions show a lower claim on average than the institutions in the Netherlands.

Combining the critique on the use of 'project' in education and the (on average) unrealistic claims of learning level compared to teaching and testing methods, raises the question whether the examined institutions have a solid understanding of project management, what needs to be taught and how. Apparently the reference institutions have a slightly more realistic view of what can be achieved with the teaching methods used. The strong focus on the planning process, restricting most PBL and group work to the planning phase and therefore denying students the possibility of applying their planning leads to the speculation that project management subjects are merely fit into existing ways of teaching.

Presuming that the learning level found here are too optimistic, this offers an explanation why some authors find nearly no effect of a different mode of teaching (R. C. T. Ellis et al., 2004; Jollands et al., 2012). If the level is actually more knowledge or insight instead of the suggested experience and ability, project based learning and simulation could be really distracting the students from what is taught as suggested (Heineke et al., 2010).

Dutch universities are much more inclined to share the in depth descriptions of courses than UAS. The information found at UAS is much more focused on the broader perspective. The data of courses looks less flattered than of programs, programs appear to inflate the amount of time spend on project management and the level achieved by students. This seems to be true for all types of institutes examined.

Although project management education appears to be exaggerated, bear in mind that this paper deals with institutions that actually mention courses or programs with project management education. A majority of Dutch institutions does not. The comparison with reference institutions suggests that findings in this paper are fairly universal.

## Conclusions and further research

The object of this paper is to explore the actual practice in project management education in the Netherlands. A little over 40% of the institutions in the Netherlands mentions PM education in programs and/or courses. A total of 264 courses, minors and programs in the Netherlands are analyzed in teaching and testing methods, in learning outcomes and credits assigned. The data is compared to reference institutions, literature on teaching PM, thoughts of practitioners and the foundation course recommended (PMI, 2015).

This comparison uncovers several discussion points:

The on average claimed high learning levels are inconsistent with the teaching and testing methods reported.

The promoted teaching method from literature will most probably not elevate the learning level tot the claimed level.

The incorporated subjects show different preferences and do not align with a small study among practitioners.



Circumstantial evidence (SALG) is usually the proof of added value of teaching methods.

No easy solutions are found to resolve existing critique on project management education (o. a. Berggren & Söderlund, 2008; El-Sabaa, 2001; Pant & Baroudi, 2008). This paper finds extra grounds for critique. Although an impressive work, the project management curriculum and resources (PMI, 2015) does not provide solutions. Further research is necessary. First educational needs need to be researched (Kessels, 1993; Thiry, 2004), in subjects and in level, before a fitting educational model can be developed.

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### Appendix excerpts learning outcomes

Experience
Ability to - in an independent way - manage the project work using a project model with limited support in terms of supervision
Ability to (consistently) plan a project
Ability to collaborate in and manage project work
Ability to monitor project progress
Ability to perform project control on level 1
Ability to plan and execute a simple project
Ability to prepare and execute a PPC project
Ability to use a project management method
Ability to use scrum
Ability
Ability to be in control of integration, scope, time, costs, quality, HR, communication and risks
Ability to better plan, monitor and manage your projects
Ability to create a realistic budget and planning
Ability to organize a startup, write a project contract, make a planning and a project evaluation
Ability to prepare and execute a project
Able to hold responsibility for your project
Able to manage and implement projects
Adopt new attitudes and working strategies to get successful software projects
Getting sustainable results on time and within budget
Getting your project to the best result
Has all the professional skills of an IT project leader

## Poverty and Migration in Western Balkan Countries

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### Abstract

According to Lee (1966), the number of immigrants in a specific country is positively related with the level of the corresponding diversity of areas and people. Negative economic conditions in origin countries lead to the increase of migration flows; as a consequence, we find high immigrant volumes in wealthier countries and a significant level of mobility in least developed countries. Every stream provokes a counterstream: a relevant part of immigrants return to their home country, due to possible future economic recessions or to the learning or developing particular skills. Dissimilarity between countries and strong immigration barriers reinforce the counterstream effect. We analyze in this paper the link between poverty and migration in Western Balkan countries, and the respective implications for reforms and policies. The number of Western Balkan citizens who emigrate to developed European countries has dramatically increased over the past years. This is a consequence of increasing unemployment, poverty and social inequality. We also estimate a particular econometric model, including different experimental variables, related with migration and poverty.

**Keywords:** poverty, migration, Western Balkans.

### Introduction

#### 1. Facts and figures

Western Balkan (WB) region includes Kosovo, Albania, Croatia, Montenegro, Serbia, Bosnia and Herzegovina and Macedonia. Croatia is not included in this group in the recent scientific studies and reports, mainly due to the economic gap with the other countries. Croatia is the only WB country which is actually part of the European Union (EU), since July 2013. The number of WB emigrant has dramatically increased over the past years. The largest groups originate from Albania, Kosovo and Serbia. This phenomenon is a consequence of increasing social inequality and poverty. Table 1 shows the population living below income poverty line and percentage of the population living below the international poverty line \$1. 25 a day for five WB countries.

Population living below income poverty line(%)	National poverty line	PPP \$1. 25 a day
Country	2004–2014	2002–2012
<i>Albania</i>	14, 3	0, 5
<i>Bosnia and Herzegovina</i>	17, 9	0, 0
<i>Montenegro</i>	11, 3	0, 2
<i>Serbia</i>	24, 6	0, 1
<i>FYROM</i>	27, 1	0, 3

Table 1. Population living below income poverty line and percentage of the population living below the international poverty line \$1. 25 (in purchasing power parity terms) a day for five Western Balkan countries. Source: Authors' Elaboration on United Nations Data.

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Albania signed the Stabilisation and Association Agreement (SAA) with the EU in June 2006, which entered into force in April 2009. Albanian citizens can travel without a visa to the Euro area since December 2010. In June 2016, the EU countries granted Albania the candidate status. The most important European destinations for Albanian migrants are Italy, Greece and Germany. The number of Albanian nationals who resided in Germany was 24. 00010 in 2014. In 2013, there were 465. 000 Albanian nationals who resided in Italy<sup>12</sup>. The total number of Albanian nationals who reside in Greece is more than 600. 000.

In November 2007, the Serbian government signed the SAA with the EU, which entered into force in September 2013. Serbian citizens can travel without the need for visas to the Euro area since December 2009. In March 2012, Serbia obtained the candidate status and in January 2014, the European Council initiated the official accession negotiations. The recognition of the independence of Kosovo is an unsolved problem for Serbia an important obstacle to the EU membership. Germany and Austria are the countries with the greatest number of Serbians in Europe. The German residents with Serbian background were about 305. 000 in 2014. In 2015, the number of Serbian nationals who reside in Austria was about 114. 000.

In 2004, the SAA between EU and the Former Yugoslav Republic of Macedonia entered in force. In 2005, the European Commission accorded the candidate status to Macedonia, fourteen years after the declaration of independence from Ex-Yugoslavia. In 2009, Macedonians obtained the right to travel without the need for visas to the Euro area. In 2012, the European Commission initiated a High-Level Accession Dialogue with the Macedonian authorities in 2012, a contribution to the acceleration of public administration and electoral reforms, the protection of minorities' rights, the promotion of market competition and economic growth. The naming disagreement with Greece is an important obstacle for the accession of Macedonia to the EU. Greek authorities consider 'Macedonia' a Greek term, connected with an ancient Greek region. Greece would exercise its veto right to obstruct the Macedonia's membership to the EU, if this problem remains unresolved. Macedonian road to EU is also conditioned on the difficult relations with Bulgarian authorities, who have expressed their indignation against the distortion of history between the two countries. The protection of Albanian minority rights is another problem, correlated with the accession of Macedonia to the EU. Albanians should enjoy equal rights and equal opportunities as Macedonians. The largest communities of Macedonians live in Germany, Italy and Switzerland. There were 77. 000 Macedonian citizens living in Italy in 2013. The number of Macedonian citizens in Germany was 83. 00010 in 2014. There were 63. 000 Macedonian citizens living in Switzerland in 2013.

Bosnian citizens can travel to the Euro area without a visa since December 2010. EU and Bosnia and Herzegovina started the High-Level Dialogue on the Accession Process in 2012. The SAA between Bosnia and Herzegovina and the EU entered into force in 2015. Germany and Austria are two of the most important destinations for the emigrants of Bosnia and Herzegovina. There were 164. 000 Bosnian nationals who resided in Germany in 2014<sup>10</sup>. The number of Bosnian nationals who resided in Austria was 93. 000 in 2015<sup>11</sup>.

Montenegro is an independent state since the dissolution of the Union of Serbia and Montenegro after the referendum of May 2006. Montenegro reopened new accession negotiations with the EU and signed the SAA in 2007, which entered into force in May 2010. Montenegrins can travel without visa to the Euro area since December 2009. After the 2010 favourable opinion of the European Commission regarding the application for EU membership, Montenegro initiated the accession negotiations in 2012. Germany and Switzerland are the most important West European destinations for Montenegrin emigrants. In 2014, there were 2. 500 Montenegrins who resided in Switzerland in 2014<sup>13</sup>. The number of Montenegrin migrants for the this year in Germany was 20. 00010.

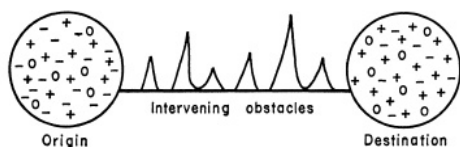
Kosovo is a potential candidate for the accession to the EU. The Assembly of Kosovo declared independence in an extraordinary session in 2008. The number of United Nations member states which have already recognized Kosovo's independence was 113 in November 2016; of these, 23 countries are members of the EU. The USA and the EU have assisted Kosovo and its authorities in the road to the economic progress and in the consolidation of the rule of law. Most of the EU countries have their diplomatic offices and embassies in Kosovo. In 2015, Kosovo signed the SAA with the EU, an important incentive for the implementation of reforms. In Germany and Switzerland, we can find the largest communities of Kosovars. In 2014, the number of Kosovar citizens who resided in Germany and in Switzerland was respectively, 185. 00010 and 100. 00013.

## 2. Literature review

According to Lee (1966), factors which help or obstruct migration can be marked with respectively, positive and negative signs. For example, a better climate affect positively migration into a certain country and vice versa. Negative economic



conditions in origin countries lead to the increase of migration flows; as a consequence, we find high immigrant volumes in wealthier countries and a significant level of mobility in least developed countries. According to Lee (1966), migrants move generally through known bilateral routes, such as the movement of Sicilian immigrants to the Northern United States cities. Every stream provokes a counterstream: a relevant part of immigrants return to their home country, due to possible future economic recessions or to the learning or developing particular skills. Dissimilarity between countries and strong immigration barriers reinforce the counterstream effect.



**Figure 1. The migration process. Source: Lee, 1966.**

The author also focused on migrants characteristics. Migrants from a specific origin country are not a good sample of the corresponding population, due to different ways of adaption to host countries factors. Successful people in origin countries are more likely to respond positively to destination country factors and vice versa. Other relevant individual variables like sex, age, education, profession, size of family and marital status can stimulate or prevent migration. Lewis (1954) developed for the first time a model for forecasting migration flows, based on a neoclassical macroeconomic approach. This is known as the dual-sector model and consists of two sectors, an urban sector that is public or private, and characterized by a high marginal productivity of labour, and a rural or subsistence sector, with very low marginal productivity of labour. The rural, less developed sector is made up of self-employed and informal jobs, where wages and productivity are low, while the urban and developed sector is governed by the industrialists who offer jobs in factories, plantations, etc., that provide high wages. Wages and income differences, and the enlargement of the developed sector stimulate the emigration from the rural sector. Workers migration will continue as long as the difference in labour demand is zero, and as a consequence, total labour productivity will increase. Ranis and Fei (1961) extended Lewis (1954) model for developing countries, and took into account the Rostow (1960) stages of economic growth, particularly the 'take-off' period, which lasts 20 or 30 years and it is characterized by an increase of urban population and industrial progress, mainly caused by workforce growth. They evaluated the effects of emigration from the rural (agricultural) areas to the fast growing urban (industrial) sector on wages and total production. The authors argued that these sectors are particularly related to each other. The immigrants employment will encourage productivity and investments in the urban (developed) sector. The 'gap' created by the movement of people may be exploited to help the progress of the rural (less developed) sector, so as a consequence, future policies should encourage investments and economic growth in both economic sectors. According to Harris and Todaro (1970), earning differences and urban unemployment are two relevant factors of movement from rural to urban areas. People will migrate only if the expected urban income is significantly greater than the rural (agricultural) product. The variables of employment and wages in the developed sector are positively related with the urban income. Labour productivity in the less developed sector and the corresponding wages and income are also in a direct relation. Individuals will migrate from one sector to the other until equilibrium between expected real wage in the developed sector and agricultural real wage is reached. A rural income growth will stimulate backward migration. This means that labour opportunity cost in the developed sector is higher than in the rural sector. Harris and Todaro (1970) argued that policies oriented towards wage subsidies and barriers to migration will contribute to the economic growth of both sectors. According to Piore (1979), international labour migration is generally affected by pull factors. Developed countries are characterized by a dual labour market: a principal market that is composed of stable and lucrative jobs for domestic workers, and a less developed market of precarious and unqualified jobs that are carried out by immigrants. Both the low wages and the existence of a considerable number of immigrants, lead to the refusal of these jobs from domestic workers. They are attracted by a better prospective and higher wages, which are achievable in the principal market. This approach is rather superficial for the reason that it considers a single pull variable and do not include other possible factors of migrant flows. Mabogunje (1970) developed the General Systems approach to analyze migration. In this analysis, migration is considered as a dynamic process, characterized by continuous changes over an infinite period of time. The author also took into account the spatial aspect of migration: rural-urban movements may alter significantly the society composition. People often migrate from less developed areas to big industrialized cities. According to this model, the decision to migrate in developed areas is largely influenced by the institutions, the so-called sub-systems, and other different factors.

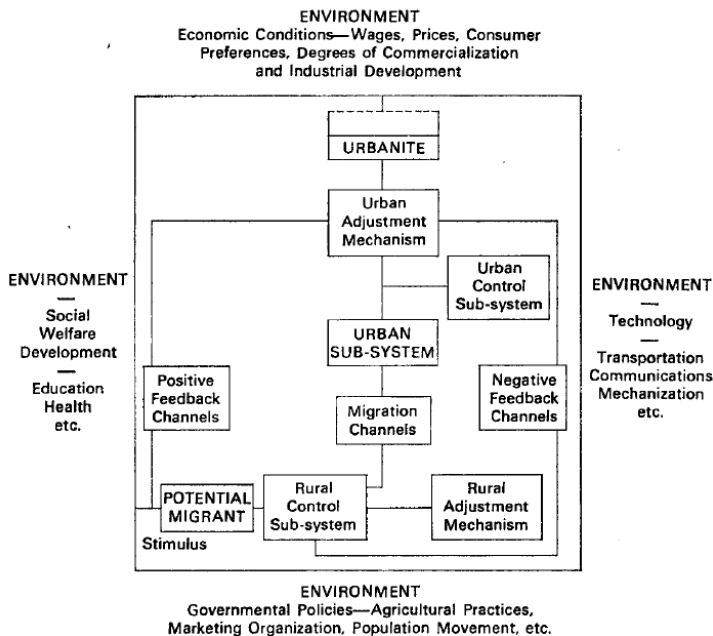


Figure 2. Theory of rural-urban migration. Source: Mabogunje, 1970.

The most important rural sub-system is the family and the society. Urban sub-systems (agencies and government) can help or obstruct people movement. The model includes other possible factors that affect the decision of a potential migrant such as the environment (which can transmit negative or positive signals), and the information from existing immigrants. Borjas (1994) analyzed the contribution of immigrants to countries economy and on the efficiency of immigration policies. Highly skilled foreign immigrants, and well-integrated into the labour market, have a positive impact on economic growth and contribute to the reduction of wage differences between foreign and domestic workers. Foreigners that have been living in the U. S. for over 20 years earn more than natives, despite the modest influence of immigrants on wages of native workers. Goss and Lindquist (1995) considered different approaches for the study of labour migration, focusing on the network theory. The authors took into account a vast network of mediators, which objective is to maximize their individual profit. They also operate as institutional agents helping in the implementation of regulations and in the achievement of certain balances. Regardless of this contribute, mediators can often affect negatively migrant selection.

Guilmoto and Sandron (2001) analyzed rural-urban labour migration in developing countries. They considered migration as an institution, in order to identify the routes and networks that contribute in people movements. The authors included in their analysis some particular aspects of the society such as regulations, traditions, values and principles. Networks are infrastructures that encourage migration and help to determinate the potential destinations and intervals of stay. They also decrease transaction costs and facilitate the integration in the destination country. The endogenous features of networks can also inhibit people movements. Hatton and Williamson (2011) considered the life cycle of emigration to the U. S. from five major areas: Asia, Latin America, North Africa, Middle East, Sub-Saharan Africa. The authors tested some supply and demand side variables, and confirmed the significant correlation between the decision to migrate and poverty, education, demographic transition and migration stock.

### 3. Empirical results

We analyze some of the WB migration factors, considered in micro and macro theories of migration in an extended gravity model. We estimate two different equation, basic and experimental. The basic equation includes the populations of origin and destination countries, and the corresponding distances. The experimental equation also includes the GDPs per capita and the unemployment rates of both home and host countries. The following table shows the definition and the expected signs for the considered variables.



Variable	Definition	Expected sign
mig_odt	Migration stock in destination d from origin o at year t	Dependent variable
gdpcap_ot	GDP per capita in origin o at year t	-
pop_ot	Population in origin o at year t	+
gdpcap_dt	GDP per capita in destination d at year t	+
pop_dt	Population in destination d at year t	+
dist_od	Bilateral distance	-
unemp_diff_odt	Difference between unemployment rates in origin o and destination d	+

**Table 2. Definition and expected sign of considered variables.**

We have estimated the equations for a specific dataset which includes WB migration stock in the principal European destinations for the time period 2010-2015. Eurostat and OECD (Organisation for Economic Co-operation and Development) were our main sources for migration data. GDPs and the respective populations were obtained from the World Bank database. Bilateral distances were sourced from the CEPII GeoDist database (Mayer dhe Zignago, 2011). Unemployment rates data were obtained from Eurostat and the World Bank.

Random effects resulted the most appropriate estimation method. This is a particular case of the fixed effects model, where we assume that the unobserved heterogeneity is stable over time and correlated with the explanators. The following table shows the estimation results for the formulated equations. Variables are expressed in the natural logarithmic form. Coefficients signs are always according to the initial expectations. Parameters are statistically significant, so we confirm the relevance of the considered variables for migration stocks. The adjusted R-squared are relatively high, so our factors explain a relevant proportion of the variability of the dependent variable. The coefficient values are comparable to past similar studies (e. g. Pedersen, Pytlikova and Smith, 2008; Ortega and Peri, 2013).

Independent variable	Basic equation	Extended equation
Intercept	6, 451(0, 0011)	4, 943(0, 0038)
gdpcap_o		-1, 351(0)
pop_o	1, 093(0)	1, 853(0)
gdpcap_d		1, 285(0, 009)
pop_d	1, 013(0, 004)	1, 17(0, 002)
Dist	-2, 284(0)	-2, 352(0)
unemp_diff		0, 704(0)
Adjusted R-squared	0, 616	0, 657

**Table 3. Estimation results (coefficients and the corresponding p-values).**

#### 4. Concluding remarks

Migration is considered as a dynamic process, characterized by continuous changes over an infinite period of time. Wages and income differences, and the enlargement of the developed areas stimulate the emigration from the less developed countries. Negative economic conditions in origin countries lead to the increase of migration flows from the WB to developed European countries. Other relevant individual variables like sex, age, education, profession, size of family and marital status can stimulate or prevent migration. We estimated in this paper two particular equations for WB migration stocks. According to the results, poverty and unemployment also stimulate emigration from WB countries.

The immigrant's employment will encourage productivity and investments in the developed countries. The 'gap' created by the movement of people may be exploited to help the progress of the less developed countries, so as a consequence, future policies should encourage investments and economic growth in both countries. Developed countries are characterized by a dual labour market: a principal market that is composed of stable and lucrative jobs for domestic workers, and a less developed market of precarious and unqualified jobs that are carried out by immigrants. Both the low wages and the existence of a considerable number of immigrants, lead to the refusal of these jobs from domestic workers. They are attracted by a better prospective and higher wages, which are achievable in the principal market. Highly skilled foreign immigrants, and well-integrated into the labour market, have a positive impact on economic growth and contribute to the reduction of wage differences between foreign and domestic workers.

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## Remittance Inflows, Real Exchange Rate Movements and Sectoral Performance in Nigeria

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### Abstract

The impact of remittance on international trade is often comparable to tariff changes—since exchange rate represents price of tradable goods. The appreciation of real exchange rate brings about increase in relative demand for competing importing tradable goods above domestic tradable goods given demand for non-tradable, since foreign goods are now cheaper in terms of domestic currency and there is high purchasing ability to do so. Resources re-allocation between tradable and non-tradable sector has been significant in Nigeria. Contribution of the agricultural sector to Nigeria's GDP has shrunk over the years with the attendant threat to food production and loss of employment opportunities. This study investigates the linear relationship between remittances and real effective exchange rate on one hand and the impact of remittances and exchange rate on tradable and non-tradable sector in Nigeria. Employing DOLS regression technique on annual data ranging from 1981 and 2013, The study found that remittances influence performance of tradable agriculture, manufacturing sector and merchandise export sector in line with Dutch disease idea. Also, we found evidence that changes in exchange rate act as a channel of impact of Dutch disease on all sectors.

**Keywords:** Dutch disease, Remittances, Exchange rate,

**JEL Classification:** F40, F41, O10

### Introduction

Remittance inflows and movements in exchange rate across countries is of interest to policy makers, scholars and researchers. The impact of remittance on international trade is often comparable to tariff changes—since exchange rate represents price of tradable goods. Hence both remittances and exchange resources re-allocation effects between tradable and non-tradable sector. Exchange rate movements are a common phenomenon to both developing and developed countries, especially those operating floating exchange rate (to a large extent) and to those operating managed floating exchange rate (to some extent).

However, while developed countries may not exhibit trend appreciation of exchange rate, the same could not be established of developing countries. This argument is particularly relevant in the case of inflows such as remittances to most developing countries. For instance, increase in remittance inflows increases the supply of dollars in the foreign exchange market leading directly to appreciation of exchange rate and increase in income of the recipient countries. The appreciation of real exchange rate in turn brings about increase in relative demand for competing importing tradable goods above domestic tradable goods given demand for non-tradable, since foreign goods are now cheaper in terms of domestic currency and there is high purchasing ability to do so.

Furthermore, assuming that dollar supply in the foreign exchange market is not for its sake but to purchase domestic goods and services. Also, assuming households consume a basket of commodities covering both tradable and non-tradable goods, it is expected that increase in aggregate demand will increase the price (wage and marginal productivity) of non-tradable goods relative to import competing tradable sector and since there is a limit to which price of tradable sector can rise because its price is determined internationally. This implies shrinking of tradable goods sector because resources will mobilize to the sector paying higher returns. This is a supply channel.

Also, increased remittance implies appreciation of exchange rate. This generates a spending effect. In other words, foreign goods are cheaper in terms of domestic currency and domestic goods are expensive in terms of foreign currency leading

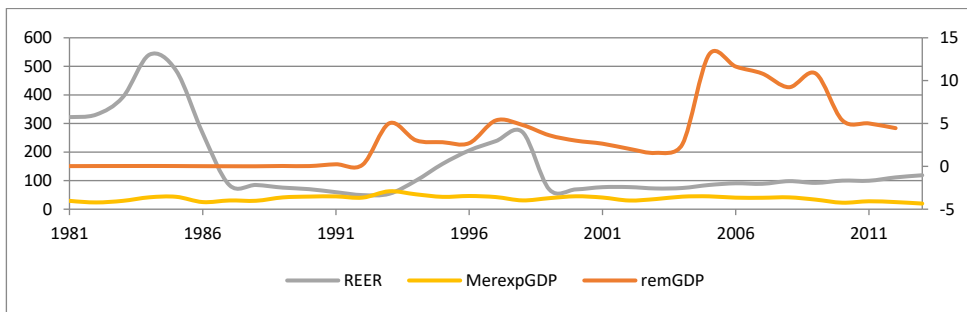
to increase in demand for imported tradable goods. The imported tradable goods therefore compete with infant domestic tradable goods sector leading reduction in the tradable sector. This is the demand channel.

The case of Nigeria presents an interesting case study. There have been significant increase (though with some inconsistencies) in remittances in Nigeria, especially between 1993 and 2012 (Figure 1). The real effective exchange rate has experienced a combination of appreciation and depreciation. In terms of sectoral performance, the performance of tradable manufacturing sector is far less that the performance of less tradable services sector in terms of their contribution to gross output. Also, measuring performance in terms of sectoral growth rate, there have been inconsistencies. The question that comes to mind is whether there is enough evidence to conclude that Nigeria has symptoms of Dutch disease or not.

Following from the above, this study seeks to answer the following questions: What is the impact of exchange rates and remittances on tradable and non-tradable sectors in Nigeria? Hence, the objective of this paper is to investigate the evidence for Dutch disease in Nigeria.

This paper is organized into five sections. Section two presents the stylized facts about remittances, real effective exchange rate and performance of tradable (manufacturing) and non-tradable sector (services) sectors in Nigeria. Section three presents the literature review, analytical framework and methodology, while section four deals with the empirical results. Section five concludes the study.

**Figure 1: Trend in remittance as a percentage of GDP, REER and Merchandise export as a percentage of GDP in Nigeria.**



Source: Author's computation based on World Bank (2014)

Note: REER is in the primary y-axis.

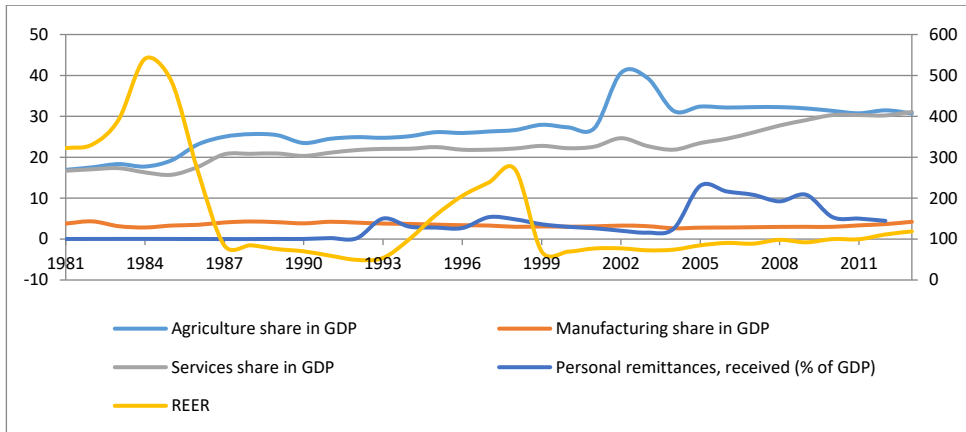
### Remittances, Real Exchange Effective Rate and Sectoral Performance in Nigeria: Stylized Facts

Figure 2 shows the trends of personal remittance inflows, exchange rate and sectoral performance in terms of their contribution to GDP in Nigeria. Given the discussion of Dutch disease, it is realised that real effective exchange rate (REER) has been characterised with appreciation and depreciation, and remittances have also experienced considerable upswings and downswings.

The contribution of agricultural and services sector in Nigeria is huge with agriculture sector contributing about 27. 15% between 1981 and 2013, while services sector contributed about 22. 69% to GDP within the same periods (Figure 2). However, services sector is catching up with agricultural sector and this became noticeable in the year 2013. The best performing time for the agricultural sector was in 2002. Improved performance of services sector was also noticed at this time. While the agriculture and services sectors have improved over time, the performance of the manufacturing sector has been poor. If we examine the trends of real effective exchange rate (REER) and remittance, little connection could be established. This is because some of the periods of appreciation and depreciation of REER were not really associated with periods of decline in tradable sectors (agricultural and manufacturing sector) and improvement in services sector, respectively. However, services sector has been increasing which is line with the expectation in the discussion of Dutch disease.

Also, the relationship in the trend movement of remittances as a percentage of GDP and REER seems not to be in line with expectation of Dutch disease.

**Figure 2: Remittance, exchange rate and sectoral performance in Nigeria**



Source: World Bank's *World Development Indicators* (2014)

Note: REER is in secondary y-axis.

## Literature Review

Remittance inflows in many developing countries must have impacted positively on absolute poverty reduction, improve human capital indicators, and reduce inequality (Fajnzylber and López, 2008). However, their magnitude has raised a fundamental question about their undesirable effects on the recipient economies. This undesirable impact is referred to as Dutch disease, depicting the problems that emerged during periods of massive capital inflows accruing from discovery of natural resources. This was based on the experience of the Netherlands in the 1960's and this led to the development of the literature on Dutch disease in the early 1980s. In other words, it relates to the negative impact on an economy of anything (large oil reserves or remittances) that gives rise to a sharp inflow of foreign currency, leading to currency appreciation, thereby making the country's other products less price competitive on the export market. This, in turn, could lead to a decline in the production of manufactured and other tradable goods. Hence, there is a concern about whether remittances could cause Dutch disease effects.

The link between remittances and sectoral performance is through the exchange rate. This is because it is price of traded goods which could also have effect on the non-traded goods sector through resources re-allocation. There have been several models to explain these links between remittances, sectoral performance and exchange rate. Using conventional models, it was straightforward to show that shocks (be it in the form of inflows of remittances or new discoveries) resulted in an appreciation of the real exchange rate. According to Magud and Sosa (2010), assuming there is a relative price change and a capital-intensive manufacturing tradable sector—as opposed to a labor-intensive non-tradable sector—this relative price change triggers factor reallocation—out of manufacturing—and the appreciation of the real exchange rate, decreasing the competitiveness of manufacturing tradable goods.

While an increase in foreign exchange inflows (through remittance for instance) is in principle a positive development due to wealth effects, there have been concerns about the potential negative impact on long-run growth. Recently, a new literature focusing on the relationship between the real exchange rate and growth has surged, in some cases proposing new channels (Magud and Sosa, 2010). For instance, motivated by the successful experiences of China and other east-Asian countries, the view that maintaining an undervalued or "competitive" real exchange rate may foster economic growth has been attracting adherents, which is an export-led growth strategy emerged, as a response to the failure of the import substitution growth strategy that started around the 1950s (Magud and Sosa, 2010).

More recently, other channels have emerged. For instance, Dooley et al. (2004), argue that an overvalued real exchange rate tends to shift demand away from tradable into non-tradable goods, leading to increase in the real interest rate to

maintain internal equilibrium, increasing domestic saving rates. Also, Levy-Yeyati and Sturzenegger (2007) proposed alternative channel: an undervalued real exchange rate is associated with lower real wages, leading firms to higher investment, and to higher saving rates to finance them.

The above suggests that, while real exchange rate overvaluations hurt growth, undervaluations foster it. This is in contrast with another position, linked to the Washington Consensus view, which argues that any real exchange rate misalignment implies a sort of disequilibrium that could affect the growth process (Magud and Sosa, 2010). This view could be summarised as follows: any changes that lead to disequilibrium in the foreign exchange market will generate welfare loss. That is both over valuation and devaluation of exchange rate is injurious to the economic growth. This is against the export-led growth hypothesis that only overvaluation decreases growth, but undervaluation increases it.

Several empirical studies have studied Dutch disease. Gylfason et al (1997) focus on the relationship between Dutch disease and volatility of the real exchange rate, which further lowers productivity and investment in the tradable goods sector. Using cross-sectional and panel regressions based on data for 125 countries over the period 1960–1992. The study found significant inverse relationship between the size of primary sector and economic growth, but not between the volatility of the real exchange rate and growth. In addition, Amuedo-Dorantes and Pozo (2004) assess the impact of workers' remittances on the real exchange rate using a panel of 13 Latin American and Caribbean countries. The basic finding is that an increase in remittances leads to a real exchange rate appreciation. However, doubling remittances appreciates the real exchange rate by 23%. This shows that increased remittance has a decreasing effect on exchange rate appreciation. Also, Arellano et al (2005) studied the dynamics of foreign aid-induced Dutch disease in 73 open economies. The paper presents the relationship between foreign aid and the production of goods for export. Cross-country regressions for 73 aid-dependent countries indicate that manufactured good exports, as predicted by the theoretical model, are negatively related to the level of aid. The results are significant after controlling other variables such as initial endowments, transaction costs and the level of development.

Further, Lama and Medina (2010) analyze the welfare effects of stabilizing the exchange rate by appreciation. Using a stochastic dynamic general equilibrium model with learning by doing and nominal rigidities, they show that although exchange rate stabilization sustains tradable goods production, it contributes to misallocate resources and it increases the economy's volatility. Thus, welfare decreases in the case of exchange rate intervention. Meanwhile, Rabbi (2011) using Johansen cointegration and Vector Error Correction models, found that the flow of remittances leads to appreciation of the real exchange rate and decreases the external trade competitiveness of Bangladesh.

Moreover, Owusu-Sekyere et al. (2013) investigates the effect of remittance inflows on real exchange rates in sub-Saharan Africa (SSA) using annual data from 1980 to 2008 for 34 countries. The method of moments estimator developed by Arellano and Bover (1995) and the feasible generalized least squares estimator was utilized. The basic finding, controlling for cross-sectional dependence and individual effects, is that remittances to sub-Saharan Africa as a whole increase the underlying real exchange rates of recipient countries. Hence, the study concludes that the real exchange rate appreciation does not lead to the loss of export competitiveness or a worsening of the trade deficit in the countries in the panel.

Nnikas and Blouchoutzi (2014) test the applicability of the "Dutch Disease" for two small transition economies under a free-floating exchange rate regime namely, Albania and Moldova between 1992 and 2010. The results, based on the ordinary least squares fixed effects, show that the impact of the workers' remittances on the real exchange rate varies among the countries examined.

The existing research on Dutch disease has not only been characterised with mixed results but has also predominantly focused on using the real exchange rate to connect tradable and non-tradable sector performance without considering that remittances come from several countries and countries also trade with different countries. This study uses real effective exchange rate which is a measure of exchange rate across the baskets of commodities being traded.

## **Analytical Framework and Methodology**

### **Analytical Framework**

In this section, a simple framework for the analysis of the relationship between remittance, exchange rate and output was developed. It is a variant of the model adopted by Folawewo and Olakojo (2012), as described by Dornbusch (1982) and Sodersten and Reed (1994). The framework assumes two things: stable money demand function and that the Purchasing Power Parity (PPP) holds in the long run. The reason is that monetary policy has an influence on exchange rate through

the monetary policy instruments. Hence, monetary policy can serve as a moderating variable between remittances and exchange rates. It is also assumed that the money supply is exogenous and that the money market is at equilibrium such that:

$$\frac{M}{P} = f(y, r), \text{ with } \frac{\partial f}{\partial y} > 0, \frac{\partial f}{\partial r} < 0 \quad (1)$$

where  $M$  is nominal money stock,  $P$  is the relative price of non-tradable to tradable,  $y$  is real relative output of tradable to non-tradable (given that inverse relationship already exist between  $y$  and relative price of non-tradable to tradable) and  $r$  is domestic real interest rate, given that only one interest rate rules in an economy.

The demand for real money balance is assumed to depend on domestic interest rate and real income and in equilibrium equals the real money supply. If we express equation (1) in logarithm form this yields

$$-\lambda r + \theta y = M - P \quad (2)$$

It should be noted that the nominal quantity of money and the real money income are taken as given. Rearranging equation (2) gives

$$P = M + \lambda r - \theta y \quad (3)$$

The simple form of PPP assumption is that the exchange rate,  $e$ , adjust to the ratio of the domestic price level,  $p$ , and foreign price level  $p^*$ . Also, interaction of remittance with relative prices increases the price of domestic non-tradable relative to tradable. Hence,

$$e = \frac{1}{rem} \frac{p}{p^*} = \frac{1}{rem} \frac{pnt / pt}{pnt^* / pt^*} \quad (4)$$

where  $e$  is the price in domestic currency of one unit of foreign currency. The price levels are assumed to be defined over the same basket of goods (tradable and non-tradable), and the PPP theory may be justified by assuming that arbitrage would equalize the price of goods across countries.

Taking the logarithm of equation (4) gives:

$$e = -rem + p - p^* \quad (5)$$

where  $p$ ,  $e$ ,  $p^*$  and  $rem$  are logged transformation of domestic relative price level, exchange rate, foreign relative price level and remittances. A combination of equations (2) and (5) and some re-arrangement results in a relationship of interest as given by:

$$y = -\alpha rem + \alpha M + \lambda \alpha r - \alpha e - \alpha p^* \quad (6)$$

Where  $\alpha = 1 / \theta$

Equation (6) implies that increase in remittances reduces the output performance of tradable relative to non-tradable sector increase, monetary intervention increases survival of tradable and non-tradable sector, increase in return on investment increases performance of tradable and non-tradable sector and exchange rate appreciation generates reduction in performance of tradable relative to non-tradable. Finally, increase in foreign relative price of non-tradable to tradable reduces the performance of home tradable. This implies appreciation of exchange rate as given equation (4) and less competitiveness of home tradable.

## Methodology.

### Empirical Model

The empirical model, based on equation (6) is specified as follows;

$$y_{jt} = \beta_0 + \beta_1 rem_{jt} + \beta_2 M_{jt} + \beta_3 r_{jt} + \beta_4 e_{jt} + \varepsilon_{jt} \quad (7)$$



$y$ ,  $rem$ ,  $M$ ,  $r$ , and  $e$  are as defined previously (except  $e$  is REER) and  $\varepsilon$  is the residual term.  $j$  equals any of the two sectors of interest (tradable and non-tradable) and  $t$  is the time (1975-2013). It is important to note that the foreign prices are excluded because it is already included in REER computation and also because it is not a policy variable endogenous to both selected countries.

### Estimation Procedures and Technique.

The study first tests for stationarity of variables given the relatively long time series, after which multicollinearity test was performed. These are necessary to guide against misspecification of the estimated models. The study's models were estimated using dynamic ordinary least squares technique (DOLS).

#### 4. 2. 5 Dynamic OLS

Our econometric methodology in this paper follows the common established practice in time series econometrics as outlined above. Thus, we first test for the properties of the variables using unit root tests. We make use of 3 unit root tests: the Augmented Dickey-Fuller test (ADF), the Phillips-Perron test (PP) and the Kwiatkowski et al. test (KPSS). Following the unit root tests, we conduct cointegration tests to examine if a stable long-run relationship exists amongst the variables of interest. We make use of the Johansen cointegration (1988) test which involves estimation in a vector error correction modelling framework. The Johansen cointegration test involves using the trace and maximum eigenvalue statistics to identify the number of cointegrating vectors of the model.

After the cointegration tests, we make use of the Dynamic Ordinary Least Square (DOLS) of Stock and Watson (1993) to determine the long-run effect/coefficients of remittances and other variables on economic development. The DOLS is used because it is capable of dealing with the potential endogeneity problem of explanatory variables. Specifically, studying the nature of the variables, there is possibility of reverse-causality running between the exchange rate and remittance, foreign direct investment. This situation therefore can raise the possibility of endogeneity as alluded to by Loayza et al. (2007).

Cointegration methods are widely used in empirical macroeconomics and empirical finance. It is well known that in a cointegration regression, the ordinary least squares (OLS) estimation of the parameters is super consistent (Vogelsang and Wagner, 2011). When the regressors are endogenous, the limiting distribution of the OLS estimator is contaminated by so-called second order bias term (Phillips and Hansen, 1990). The presence of these bias terms renders inference difficult. Consequently, several modifications to OLS have been proposed which lead to zero mean Gaussian mixture limiting distribution. This in turn makes standard asymptotic inference feasible. These methods are however found in the Fully Modified OLS (FM-OLS) and Dynamic OLS (DOLS).

The DOLS is an alternative approach which has certain advantages over both the OLS and the maximum likelihood procedure. The method was proposed by Stock and Watson (1993). It improves on OLS by coping with small sample and dynamic sources of bias (Al-Azzam and Hawdon, 1999). The Johansen method, being a full information techniques is exposed to problem that parameter estimates in one equation are affected by any misspecification other equations. The Stock and Watson method is by any contrast a robust single equation approach which correct for regressors and for serially correlated errors by a GLS procedure.

In addition, it has the same asymptotic optimality properties as the Johansen distribution. Stock and Watson suggests a parametric approach for estimating long run equilibria in systems which may involve variables integrated of different orders but still cointegrated. The potential of simultaneity bias, small sample bias and endogeneity among the regressors is dealt with by the inclusion of lagged and lead value of first differences of the regressors (Masih and Masih, 1996). In this design, the dynamic OLS estimator performed well relative to other asymptotically efficient estimators (Stock and Watson, 1993).

#### 4. 2. 3. Cointegration Test

Once variable has been classified as integrated of order  $I(0)$ ,  $I(1)$ ,  $I(2)$  etc., it is possible to set up model that lead to stationary relation among the variables where standard inference is possible. The necessary criteria for stationarity among nonstationary variable is called cointegration. Testing for cointegration is a necessary step to check if a model has empirically meaningful relationships. If variables have different trends processes, they cannot stay in fixed long run relationship to each other. This implies that there is no valid base for inference based on standard distributions. If no cointegration can be found, it is necessary to work with variables in differences instead.



The tests of cointegration include the Durbin-Watson statistic test, Engle and Granger's two step procedure, Johansen test of cointegration, etc. DW test statistics as a test of cointegration is carried out by calculating the DW test statistics for the first order autocorrelation under the null hypothesis that the series is a random walk and the parameters are equal to zero, so there is no cointegration. The errors term becomes a random walk with theoretical first order autocorrelation equal unity. Under the null of no cointegration, the DW value will not be significantly different from zero. This test however suffer from two major problems. First, it is extremely sensitive to the assumption of the series being a true random walk and the critical values of the test statistics are not consistent as the number of regressors increases over the sample size. The practical use of this test is therefore limited.

Engle and Granger (1997), however formulated one of the foremost test of cointegration. This test has the advantage that it is intuitive and easy to perform. The test proceeds in two steps and the first step start by estimating the so called cointegrating regression where all variables must be of the same order of integration. This equation represents an economically meaningful steady state or equilibrium relationship among the variables. If the variables are cointegrating, they will share a common trend and form a stationary relationship in the long run.

The second step is to test for a unit root in the residual process of the cointegrating regression. ADF can be performed and under the null of no cointegration. However, finding the lag length so that the residual process becomes white noise is extremely important. The empirical t-distribution is not identical to the Dickey-Fuller, though the tests are similar. The reason is that the unit root test is now applied to a derived variable and the estimated residual from a regression. Asymptotically, the test is independent of which variable occurs in the left hand side of the cointegrating regression.

There are three main problems with the two-step procedure. First, since the test involves an ADF test in the second step, all problem of ADF tests are valid here as well. Second, the test is based on the assumption of one cointegrating vector captured by the cointegrating regression. Thus, care must be taken when applying the test to model with more than two variables. Third, the test assumes a common factor in dynamics of the system.

The superior test for cointegration is the Johansen's test. This is a test which has all desirable statistical properties. The weakness of the test is that it relies on asymptotic properties and is therefore sensitive to specification errors in limited samples. In the end, some judgment in combination with economic and statistical model building is unavoidable. The empirical VAR is formulated with lags and dummy variables so that the residuals become a white noise process. The demand for well specified model is higher than the ARIMA model.

Typically, the system must be integrated of order one and if there are signs of  $I(2)$  variables, it must be transformed to  $I(1)$  before setting up the VAR. The number of cointegrating vectors, are identical to the number of stationary relationship in the matrix. There are two main tests in the Johansen' test, namely the max Eigenvalue test and trace test. The null hypothesis is that there exists  $r$  cointegrating vector against the alternative of  $r+1$  vector. Once the basic tests have been performed, conclusion can now be made on the number of cointegrating equation based on the two main tests. Conclusively, the trace test is considered to be superior to the max eigenvalue because of its robustness to skewness and excess kurtosis (Sjo, 2008).

## Empirical Analysis

### 5. 1 Descriptive Statistics

The descriptive statistics presented in Table 1 reveals basic characteristics of variables used. For instance, the average remittance as a percentage of GDP was 3. 5% in Nigeria. This implies that remittances account for considerable proportion of gross output in Nigeria. The table shows that sectoral performance also varied across the country. The return on investment is very low which in Nigeria with its average value recording -1. 43%.

In addition, the coefficient of variation (CV) shows the extent tiltedness of the variables as also indicated by skewness and kurtoses. The tiltedness of remittances in Nigeria is high, indicating that increasing remittance is a recent phenomenon in Nigeria. Hence, the remittance is tilted towards last decade.

**Table 1. Descriptive Statistics**

stats	remgdp	Reer	Merexpgdp	Agrigdp	mangdp	Sergdp	m2gdp	Rir
mean	3. 45	156. 03	37. 83	27. 04	3. 41	22. 42	24. 54	-1. 43

<b>Sd</b>	3.86	131.21	9.05	5.72	0.49	3.98	6.85	17.14
<b>skewness</b>	1.12	1.58	0.28	0.24	0.44	0.44	0.69	-0.76
<b>kurtosis</b>	3.24	4.46	3.12	3.04	2.02	2.80	3.17	3.46
<b>Cv</b>	1.12	0.84	0.24	0.21	0.14	0.18	0.28	-12.00

Source: Computed

## 5. 2. Multicollinearity Test

The multicollinearity test is presented in Table 2. The Table shows the strength of relationship between any pair of variable used in the study. In this case only the exogenous variables were considered. The result shows that the extent of high positive correlation between any pair of explanatory variable is weak. Although the expected sign is noticed between remittances and REER, but the relationship is not significant indicating unlikeliness of remittances to generate appreciation of exchange rate. The implication of this test is that the explanatory variables as identified can be together included as exogenous variables in a single model without running into serious multicollinearity problem.

**Table 2. Correlation among explanatory variables**

	Nigeria			
	REMGDP	REER	M2GDP	RIR
REMGDP	1.0	-0.3	0.0	0.2
REER	-0.3	1.0	0.3	0.1
M2GDP	0.0	0.3	1.0	0.2
RIR	0.2	0.1	0.2	1.0

Source: Computed

## 5. 3. Unit Root Test

The essence of the unit root test is not only because the data is characterized with fairly long time series, creating potential for non-stationarity of the time series data across the cross-sectional observations, but also because having knowledge of the order of integration of guides against miss-specification of the estimated models. The variables to be used across models to be estimated are tested for the unit roots. Given the results in Table 3, it could be concluded that all variables, except real interest rate.

**Table 3. Unit root tests**

Intermediate ADF test results at Level					Intermediate ADF test results at First Difference				
Series	Prob.	Lag	Max Lag	Max Lag	Series	Prob.	Lag	Max Lag	Obs
REMGDP	0.3204	0	7	6	D(REMGDP)	0.0000	0	6	30
REER	0.3482	0	7	7	D(REER)	0.0073	0	7	31
MEREXPGDP	0.0641	0	9	9	D(MEREXPGDP)	0.0000	1	9	36
AGRIGDP	0.2669	0	7	7	D(AGRIGDP)	0.0000	1	7	30
MANGDP	0.3710	0	7	7	D(MANGDP)	0.0002	0	7	31
SERGDP	0.9570	0	7	7	D(SERGDP)	0.0012	0	7	31
M2GDP	0.0521	0	9	9	D(M2GDP)	0.0000	0	9	37
RIR	0.0000	0	9	9	D(RIR)	0.0000	1	9	36

Source: Computed

## 5. 4 Impact of Remittance and Exchange rate on Tradable and Non-tradable sector in Nigeria

### 5. 4. 1 Agricultural Sector (Tradable sector)

The results presented in Table 4 revealed that Nigeria agricultural sector, measured as agricultural output as share of GDP, which is a tradable sector is negatively influenced by increase in remittance inflow and the depreciation of the real effective exchange rate. Such that an increase in remittance inflow, measured as remittance as share of GPS, by 1% leads to reduction in the agricultural sector output by 0. 8%. While the depreciation of real effective exchange rate by 1 basis point reduces the share of agricultural output in Nigeria GDP by 0. 04%. The effect of remittance on agricultural output is expected. In Nigeria, remittance serves as additional source of income to those engaging in agricultural activities, which comes with little or no stress. As a result the flow of extra income to those engaging in agricultural activities through remittance might serve as disincentive to them to intensive their effort while working on their farm. Thereby reducing the sector output as a share of GDP. In addition, depreciation of exchange rate is observed to reduce the share of agricultural sector output to Nigeria GDP, this might be as a result of uncompetitive nature of the Nigeria agricultural product in the world commodity market.

Furthermore, increase in money stock as share of GDP and real interest rate contribute positively to Nigeria agricultural sector. The observed effect is because the agricultural sector is less capital intensive like other sector such as manufacturing, thus, increase in interest rate stimulating agricultural sector performance.

### 5. 4. 2 Manufacturing Sector (Tradable Sector)

Another tradable sector considered in the study is the manufacturing sector, the result obtained as presented in Table 4, shows that remittance as well as appreciation of the real effective exchange rate has negative and significant effect on the Nigerian manufacturing sector performance. Furthermore, the study shows that expansionary monetary policy in the form of increase in money stock (measured as broad money as share of GDP) and reduction in real interest rate enhance manufacturing sector performance. Manufacturing sector is a capital intensive sector, an increase in real interest rate increases firm's cost of borrowing, which in turn increases their cost of operation, thereby impacting negatively on their performance.

**Table 4. DOLS Estimations**

	Agriculture		Manufacture		Services		Merchandise export	
	Coef.	t-stat	Coef.	t-stat	Coef.	t-stat	Coef.	t-stat
<b>Constant</b>	35. 261	9. 172***	-3. 005	-1. 342	-30. 186	-1. 927	122. 835	10. 671***
<b>remgdp</b>	-0. 778	-2. 416*	-0. 830	-4. 442***	-2. 215	-1. 688	3. 727	3. 865**
<b>reer</b>	-0. 044	-6. 184***	0. 016	4. 125***	0. 091	3. 136**	-0. 071	-3. 335**
<b>m2gdp</b>	0. 641	9. 129***	0. 149	1. 979*	0. 670	2. 340*	-1. 746	-8. 304***
<b>Rir</b>	1. 193	7. 962***	-0. 171	-2. 725**	-1. 056	-1. 728	0. 700	1. 559
<b>Statistics</b>								
<b>R<sup>2</sup></b>	0. 950		0. 723		0. 708		0. 732	

### 5. 4. 3 Services Sector

Service sector is a non-tradable sector, the effect of remittance on this sector is negative, although insignificant at 10% significant level. This suggest that the impact of additional income through remittance has less influence on the performance of the service sector compared to agricultural sector and the manufacturing sector in Nigeria. Also, the study findings revealed that depreciation of real effective exchange rate leads to improvement in service sector performance. In addition, the study revealed that an increase in money stock contributes significantly to service sector performance. This might be as a result of availability of money in circulation, which serves as medium of exchange. Hence, as more currency is in

circulation, it facilitates business transaction, thereby increasing the demand for service sector activities, and as such stimulating the sector performance. On the contrary, increase in real interest rate lowers service sector output as it increase the cost of operation. Thereby lowering the sector scale of operation, indirectly reducing the sector overall output.

#### 5. 4. 4 Merchandise Exports

The last sector to be considered is the merchandise export, which entails Nigeria export performance. The study results point out that remittance aid merchandise export. An increase in remittance by 1% contributes to increase in merchandise export by 3. 7%. Depreciation of the real exchange rate and money stock were observed to contribute to reduction in merchandise export and the effect is statistically significant at 5%. However, real interest rate had a positive effect on merchandise export, the observed effect is statistically insignificant.

#### Conclusion

This study investigates the linear relationship between remittances and real effective exchange rate on one hand and the impact of remittances and exchange rate on tradable and non-tradable sector in Nigeria. Employing DOLS regression technique on annual data ranging from 1981 and 2013, the basic result is that remittances influence performance of tradable agriculture, manufacturing sector and merchandise export sector in line with Dutch disease idea. Also, we found evidence that changes in exchange rate act as a channel of impact of Dutch disease on all sectors. Therefore, it can be deduced that real exchange rate appreciation leads to the loss of merchandise export competitiveness in Nigeria. Hence, since remittances influence agriculture and manufacturing sectors in an undesired manner in Nigeria, there should be conscious effort at encouraging agriculture and manufacturing investment remittance spending rather than spending those remittances on consumption.

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## Leadership as Important Factor for Agricultural Development in Albania

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### Abstract

An important challenge for the development of the Albanian agriculture remains the small surface and farm fragmentation. A chance for enhance with a sustainable impact is the agriculture development based on the principles of collective action. The objective of the study is measurement of the importance of leadership perceived by farmers and farmers' willingness to cooperate among main agricultural activities in Albania. The study will investigate farmers in two important agricultural sectors – vegetable production in greenhouses and apple production. Study measures the impact of leadership as a factor which increases farmers' potential for collective action, illustrated by vegetable producers in greenhouses and apple producers. Results of the research show that leadership is an important factor for development of collective action in Albanian agriculture. The results are especially important for agricultural sectors of vegetable production in greenhouses and apple production, but they can also be useful for undeveloped agricultural regions. Promotion of leadership in farming communities will have benefits beyond agriculture by promoting good management and maintenance of common resources.

**Keywords:** collective action, greenhouse vegetable producers, apple producers, community

### Introduction

During the past 20 years, Albania has transformed from an agricultural oriented economy to a service oriented economy. However, the high mobility of workforce within and outside the country has created a number of issues in the area of employment, land and capital associated with the use of resources. Due to these developments new urban centres have developed. However, the national fund of farmland has been reduced and irrigation and drainage canals were damaged, hence hampering even more the farming activities. Consequently, in some rural areas with deteriorating features and lack of resources, the unemployment and the overall migration indicators has been increased. The development of agriculture would reduce these effects and it would have sustainable impact. But the development of agriculture in Albania faces the problem of consolidation of agricultural farms. The consolidation would be an opportunity to simultaneously increase agricultural production and access to the market, which would fulfil the main objective of the farmers - maximization of the profit. Given the small size of the farms this is still a challenge. Albania has approximately 350 000 farms, with size ranges between 1 and 1.2 ha. Structurally, the farms are quite fragmented as the pieces of land, even of the same family members, are not connected to each other.

Farm size has grown very slowly from 1.04 ha to 1.2 ha in year 2000. Land fragmentation combined with small farm size represents the structural problem which is resulting in low competitiveness of the sector (Skreli and McCalla 2013) (Skreli et al. 2011). Important alternative for overcoming this structural problem is cooperation among farmers based on principles of collective action (Kola et al. 2014). Interdisciplinarity of the collective action is represented in an extensive literature sources (Olson 2002, Agrawal et al. 2009; Ostrom and Ahn 2007; Kurosaki 2005; Ostrom 2003; McCarthy et al. 2002; Meinzen–Dick et al. 2002; Johnson 2000; Baland and Platteau 1997; White and Runge 1994).

Olson believes that the development of relations at individual level or on a group basis simply by following the general theory upon which the logic of collective action is based including factors such as the personal and public interests, the leadership from rationality or the impact of emotional nature, not only cannot be too simple – but in special cases can perhaps be even completely impossible (Olson 2002). Ostrom and Ahn have an opinion that political and economic performance of companies based in rural areas depends critically on the way how the community members are solving the problem of collective action (Ostrom and Ahn 2007).

Moreover, the issues of collective action and cooperative agriculture face a particularly complicated problem in Albania. However, because of the small farm size and land fragmentation, farmers encounter many difficulties while improving technology at the farm level, providing inputs, selling their farm products and facing unfair competition from input suppliers and traders. Hence, there is no better alternative than cooperation among farmers (Skreli et al. 2011).

The asymmetry of information, limited sanctions, enforcement mechanisms and lack of monitoring create conditions through which the opportunistic behavior can dominate. Banaszak explained that the same forms of cooperation in collective action in the similar environment can bring different results (Banaszak 2008). The question is why certain cooperation agreements on agricultural markets are successful, while others are not. The main purpose of these agreements is to organize joint sale of products that were individually produced by the members of the agreement. Some of the groups of producers are effective, while others are not. Banaszak states that variables such as the strength of leadership, previous knowledge in the field of business, the initial selection of members and the number of members have a significant positive impact on the chances of success in the analyzed groups of producers (Banaszak 2008).

For the promotion and the development of collective action economic and social factors, such as the level of wealth or farmland size, income and employment, as well as human and social capital, are crucial. Krishna says that there are communities that are more cooperative, where members care for each other and are prepared to act collectively for a common purpose, while in other communities there is internal war, disagreements, jealousy and selfishness (Krishna 2004). The concept of social capital has the focus on these differences in groups as they influence the results that the group can achieve in practice. Krishna raises the logical question, which is why a certain community has a higher profit when it has the same program as the other, especially when the two communities receive the same overall level of resources (Krishna 2004). A number of different reasons, such as quality of leadership and effectiveness of the human resources, can explain the observed differences. Leadership in this context represents a defining factor that goes beyond agriculture. The quality of decision making in farming communities is directly related to the use of resources in rural areas.

This study will examine importance of leadership as a determining factor for stimulation of collective action for farmers in two important and growing agricultural sectors in Albania - vegetables production in greenhouses and apple production.

## MATERIALS AND METHODS

### Vegetables producers in greenhouses — case study I

Vegetable production in greenhouses has become one of the most important export activities for Albanian agriculture. The export of vegetables from greenhouses has increased 9 times between the year 2001 and 2011 (UN ComTrade, 2013). With a rather high labor to land ratio of Albanian agriculture, labor intensive industries are economically justified alternative (Skreli and McCalla 2013). Leadership is an important determinant for cooperation. Banaszak (2008) summarizes the relevant studies with regards to the role of leadership for cooperation from the perspective of game theory and states that in coordinated games, leaders economize the choice by one of multiple balances and in social dilemma games the leadership increases the levels of individual contributions giving an example to the other players and changing the profit structure by introducing penalties for free-riding (Banaszak 2008). The determinants of collective action are grouped into players' and environmental characteristics. Environmental characteristics are measured as perceived by individual producers, which are farmers represented as players. Socio-demographic profile of the sample is given in the Table 1.

Table 1. Socio-demographic profile of the sample (N=200, frequency, percentage in brackets)

Country	N (%)	Gender		Age (years)				
		Female	Male	≤24	25-34	35-49	50-64	≥65
Albania	200 (100)	15	185 (92.5)	0 (0)	5 (2.5)	130 (65)	64 (32)	1 (0.5)

(7. 5)

Source: Own calculations

Hypothesis: *Farmers' perception over leadership presence increases the chances over collaborative actions.*

The questionnaire is constructed to measure several variables. The data are collected through a survey of 200 questionnaires. The choice method is based on random selection. The sample of 200 respondents is considered sufficient to ensure a precision level of 7% and a confidence level of 95% (Israel 2012).

Perception on leadership is measured by the dummy variable.

Given the fact that the dependent variable is a quality variable dummy, to assess the determinants of collective actions in the case of the vegetables producers in greenhouses the binary logistic model is used. This model uses the maximum likelihood estimation for assessing the parameters of the regression equation.

Binary logistic model can be described by the following equation:

$$\ln\left(\frac{P}{1-P}\right) = a + b_i x_i + c_i z_i + e$$

Where  $P_i$  is the probability that a person participates in a collective action;  $1-P_i$  is the probability that a person does not participate in a collective action;  $a$  is a constant;  $x_i$  and  $z_i$  are respectively the variables that represent the characteristics of individual players and the perception of players for the environment and  $b_i$  and  $c_i$  are vector parameters to be measured. The equation is:

$$\frac{P}{1-P} = e^{a+b_i x_i + c_i z_i}$$

The change of one unit in the stock of social capital leads to an increase  $e^{b1}$  of the chances that the farmer will participate in collective action, against the probability that the farmer won't participate. Binary logistic regressive model is preferred against the linear probability model, binomial or multinomial. Other regression models assume that the marginal effect of independent variables over the dependent variables is constant for different levels of the independent variables. Since we have no evidence that this may be a case, the regressive logistic model comes as a solution, because it does not include this assumption. Regarding the possible marginal effects, we may say that linear regressive model is just a special case of the logistic model.

Based on the model results, leader has a strong influence on farmers to undertake collective actions in greenhouses in Albania. Leadership ratio (4, 166) shows that farmers are 4 times more likely to cooperate than not to cooperate if there is a reliable and competent leader among them.

### Apple producers — case study II

The apple production is important for Albanian agriculture. The production of apples in Albania has grown from 12. 000 to 54. 000 tons from the year 2000 to 2010 (FAOSTAT 2010) and from the demand point of view, the expenses for apple consumption are the highest (FAOSTAT 2010). A number of studies (Meinzen Dick-et al. 2002; Kurosaki, 2005; Banaszak 2008) identify leadership as an influential factor in the decision-making connected to collective action in farming community. Other authors (Skreli et al. 2011) have found a positive impact of leadership on the collective action in Albania. In the last two decades farmers have experienced role of leadership and learned whom to trust and whom not. Determinants of collective action are grouped to measure factors connected to farmer's perception. There are individual and environmental characteristics. The leadership is measured as part of environmental characteristics. Leadership is a dummy variable and it is taking the value 1 for farmer's perception on the presence of leadership and value 0 for farmer's perception that there is lack of leadership. Socio-demographic profile of the sample is given in the Table 2.

Table 2. Socio-demographic profile of the sample (N=220, frequency, percentage in brackets)

Country	Gender	Age (years)
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	N (%)	Female	Male	≤24	25-34	35-49	50-64	≥65
Albania	220 (100)	20 (9.1)	200 (90.9)	0 (0)	7 (3.2)	141 (64.1)	69 (31.4)	3 (1.4)

Source: Own calculations

Hypothesis: *The perception of farmers on the presence of leadership increases the opportunities for collective action.*

The questionnaire was constructed in order to measure the factors and the leadership variable. The data are collected through a survey of 220 questionnaires. The choice method is based on random selection.

The econometric model that was build was the linear probability model, which transformed the average in a qualitative binary variable (dummy). The linear probability model, known as the method of least squares, is presented as follows:

$$Y_i = a_i X_i + b_i Z_i + e$$

Thus, the probability ( $Y_i$ ) is equal to the sum of two systematic factors  $a_i X_i + b_i Z_i$  and  $e$  is the error term. Moreover,  $a_i$  is the coefficient before the individual's features  $X_i$  that represents a partial probability, while  $b_i$  is the coefficient before the environmental features  $Z_i$ . Thus, summarizing,  $a_i X_i$  include the individual characteristics and  $b_i Z_i$  the environmental features.

#### Results interpretation

Based on the model results, leader has a strong influence on farmers involved in apple production in Albania to undertake collective actions. With the presence of capable leader there is increase of approximately 19, 3% of a possibility that farmers will participate in collective action.

### CONCLUSION

In the both cases results show that variable leadership is a determinant factor for participation in collective action of farmers who are involved in vegetables production in greenhouses and farmers who are apple producers. Results for both case studies are also clear evidence that farmers' perception of good leadership in rural community increases the possibility of involving in collective action. The results are very important for production in greenhouses and production of apples, but also for other agricultural activities in terms of their development potential in the future.

The statistical significance of leadership suggests that development of economic factors and rapid growth, as illustrated in two case studies, can overcome the lack of confidence from the past between the members in the community, and provide opportunities. On the other hand, it can also contribute to the agricultural regions with lower index of development, encouraging and promoting a credible and competent leadership as a new option to improve the conditions for common actions while increasing initial forms of cooperation with reciprocal interest between members. This would help policymakers and public bodies, as well as agricultural business operators to better understand and address further investments.

The growth and strengthening of the role of leadership in the farming communities would also be useful for the promotion and development of agriculture. Furthermore, it would bring positive effects, such as raising awareness for degree of competence and quality of decision-making concerning the use of resources and rural development. The scale and intensity of the use of resources, such as land, forests and rivers for economic development and growth, implicates costs and requires quality of agricultural products.

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## The Challenges of Collective Action for Olive Growers in Albania

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### Abstract

Despite a considerable increase of surfaces with new olive cultivars during last two decades in Albania, the yields have not followed the expected trend. Participation of farmers in common activities would have benefits for costs cutting and efficiency as well as for the commons in a broader economic and social aspect. An opportunity for reducing costs and increasing farmers' income is the organization of farmer's production by the principles of collective action. The research objective is to find factors affecting the olive growers (farmers) participation in collective actions in Berat area, the second largest olive production area in Albania. A questionnaire was designed in order to measure several variables. Interviewing took place from October 2015 to February 2016. Education, access to markets, income and leadership have statistical significance and influence olive producer's participation in activities based on collective action. The research results can be useful to policymakers, public bodies and researchers. The fact that with farm size increase, decrease the possibility of farmer's participation in collective action activities is important finding that helps in understanding the critical financing limits and optimization of the public funds used in creation of public policies.

**Keywords:** agriculture, farmers, Berat, participation

### Introduction

The olive cultivation represents an important traditional agricultural activity in the rural area of Albania concerning the economic, social and environmental impact. This is particularly evident in hilly and mountain areas, where horticulture in general and olive production are among the major agricultural activities. The fact that Albania has about 300 sunny days and abundant hydropower potential provides another argument that meets typology of this agricultural crop. Olives and derivate products, especially olive oil, represents important category of food products for the diet of Albanian families in terms of nutritious food with significant energy value. On the other hand, the production of olives represents a vital activity with economic interest for farmers involved in growing olives. Olive cultivation is related to the tradition and knowledge of farmers in many agricultural areas. One of the most important areas for olive production in Albania is Berat (Table 1). Farmers in this area are among the most important olive growers on national level. Berat area, which is located in southwest Albania and known for centuries for the traditional olive production, is on second place for the number of cultivars on national level (INSTAT 2015).

Table 1. The number of olive trees by prefectures in Albania, thousand trees

Prefectures	Olives
Berat	1. 679
Fier	2. 193
Vlore	1. 548

Source: INSTAT 2015

During the last 2 decades, olive cultivation has expanded as the number of planted trees and yields increased (Table 2). Between 1998 and 2014 the number of planted cultivars has been between 3. 468 million and 8. 620 million trees, while production was between 46 800 tones and 98 000 tones (INSTAT 2015).

Table 2. Number of trees, production and yield of the olive culture over the years in Albania

Olives	1998	2000	2002	2004	2006	2008	2010	2012	2014
Totally (thousand trees)	3. 468	3. 611	3. 809	4. 092	4. 497	5. 011	6. 255	8. 000	8. 994
Production (thousand tonnes)	46. 8	36. 2	27. 3	58. 7	40. 2	56. 2	70	108	98
Yield (kg/plant)	14. 6	11. 1	8. 3	17. 1	11. 2	15. 8	16. 3	25. 9	16. 9

Source: INSTAT 2015

Despite the above indicators yields during the same period were more stable - between 14. 6 kg/trees and 16. 9 kg/trees. A similar trend represents the production of olive oil. Olive production indicators can be justified by the fact that a large proportion of planted young trees have not yet entered the production phase. On the other hand this is explained by rising costs, including input prices over the years, affecting the level and quality of their use by farmers, including agro technical efficiency of operations. A number of chemicals that are used for olive cultivation oblige organization at level group farmers to spray large surfaces for effective protection against diseases and pests. Reducing costs and encouraging positive impact in terms of farmers participation in activities based on the principles of collective action would be a way to overcome this problem. Participation of farmers in common activities would have benefits for costs cutting and efficiency as well as for the commons in a broader economic and social aspect. Organization of farmer's production by the principles of collective action would be an opportunity for reducing costs and increasing farmers' income. Spraying with insecticides and chemicals is important for pest's protection, but marketing, selling of production and the organization at the level of producers is crucial, especially since it is represented in the framework of future integration in the European Union. Structuring based on the functional organization of agricultural producers can serve for buying inputs at low prices as it could give opportunity to use benefits of subsidies, training, new technologies in order to increase production and efficiency in the cultivation of olive trees, all of which in the aim of creating conditions for the increase of farmers income.

A broad framework of the theory of collective action is developed. The first critics of the theory were Bentley and Truman. They believed that individuals with common interests will act voluntarily to achieve these interests (Bentley 1949; Truman 1958). Olson substantially transformed the debate with his new approach that groups will aim to be involved in collective action whenever individuals see benefits (Olson 2002). Moreover, whether appropriate instruments will enable the individuals to manage resources, they will tend to respect and follow the rules (Larson and Ribot 2004). Researchers have agreed that the characteristics of resources are affecting tendencies of individuals to participate in the organizations (Ostrom et al. 1994; Araral 2009). Ostrom and Ahn believe that economic performance in rural communities critically depends on how community members solve problems of collective action. The approach to social capital links the causes and results of collective social behavior (Ostrom and Ahn 2007). Krishna supports the view that in groups of producers there is more disagreement with increasing and strengthening of social capital and that this can contribute to formalize solutions and overcoming differences between members (Krishna 2004).

Banaszak investigates determinants of successful cooperation in agricultural markets and finds that variables such as social capital, power of leadership and previous knowledge in the field of business are crucial regarding the opportunities for success in organizations included in the study (Banaszak 2008). Meinzen-Dick, Raju and Gulati found that organizations with highly educated and influential leaders are more likely to be formed faster and to have more significance (Meinzen-Dick et al. 2002). Krishna believes that the quality of leadership influence the effectiveness of employees to the degree to which members can be involved in collective actions (Krishna 2004).

Considering the discouraging experience of the models of cooperation during communism period and the lack of incentive programs for collective action in the post-communist period, the farmer community in Albania still has a tendency for the relatively low participation in collective actions. There is empirical evidence concerning the lack of collective action in Albania. Leonetti was expressing skepticism if Albania can have farmers organizations formalized as functional level

farmers groups (Leonetti 2009). Situation has changed due to increased production and access to the markets through the years. Skreli and Musabelliu have researched the problem of collective action in Albania (Skreli 1994; Musabelliu 1997). Skreli, Kola and Osmani (2011) were evidencing the importance of leadership and found that the perception of a capable and credible leader particularly affects opportunities of farmers who are apple producers to participate in collective action (Skreli et al 2011). Kola, Skreli, Osmani and Tanku found that there is strong influence of social capital (trainings), human capital, leadership and supply of inputs on collective action (Kola et al. 2014).

## MATERIALS AND METHODS

The study has objective to investigate determinants that affect the opportunities for collective action of olive producers (farmers) in one of the main agricultural production areas in Berat in southwest of Albania. In order to achieve the goal hypotheses have been designed (Table 3). Determinants shown in the table (Table 3) will be measured by the perception of farmers.

Table 3. Determinants of collective action

Determinants of collective action	Hypotheses
Social Capital	With increase of social capital stock the possibilities for collective action are increasing
Wealth	With increase of wealth the possibilities for collective action are increasing
Education	With increase of level of education the possibilities for collective action are increasing
Leadership	With increase of farmers perception for leadership the possibilities for collective action are increasing

Source: Own elaboration

The questionnaire has been created to provide the data and measure a number of variables. Data were collected through a survey that included separate interviews with 220 farmers (Table 4), which was sufficient to provide a confidence level of 95% (Israel 2012). The method of choice is based on a random choice. The data has been subjected to the verification of preciseness.

Table 4. Socio-demographic profile of the sample (N=220, frequency, percentage in brackets)

Country	N (%)	Gender		Age (years)				
		Female	Male	≤24	25-34	35-49	50-64	≥65
Albania	220 (100)	13 (5.9)	207 (94.1)	1 (0.5)	10 (4.5)	80 (36.4)	113 (51.4)	16 (7.3)

Source: Own calculations

Model was determined after the data were collected and measured. In order to measure hypotheses determinants, method of measurement and the respective symbols are presented:

Y = whenever people have collaborated (channel maintenance, livestock preservation, road construction) they have come up with benefit (binary variable; No = 0, Yes = 1);

X1 = education (categorical variable measured by scale of 1 = no elementary school, 9 = higher education);

X2 = wealth based on the number of olives (quantitative variable);

X3 = training for cooperation (binary variable; No = 0, Yes = 1);

X4 = institutions as perceived by the farmer concerning functioning of the market (categorical variable measured with scale from 1 to 5: 1 = totally disagree, 5 = strongly agree);

X5 = the level of income (quantitative variable);

X6 = leadership (binary variable; No = 0, Yes = 1);

X7 = participation in activities (social capital).

In order to measure the degree of participation in social activities the data were organized as follows:

1 = None;

2 = (Group of parents, school committee, sports groups, other);

3 = (Religious group, cultural association, political group, youth group, women's group);

4 = (Savings and credit association, irrigation association, informal quarter union (or village), civil association – free engagement, non-governmental association);

5 = (Farmer group, trade associations, group of businesses, professional associations, syndicates).

Since the dependent variable is a dummy qualitative variable, for evaluation of the determinants the binary logistic regression model was used. Binary logistic model has the following form:

$$\ln\left(\frac{P_i}{1-P_i}\right) = \beta_0 + \beta_1 \cdot x_{i1} + \beta_2 \cdot x_{i2} + \dots + \beta_k \cdot x_{ik} + e$$

Where  $P_i$  is the probability that farmer  $i$  finds interest in participation in collective action as a profit opportunity;  $1 - P_i$  represents probability that the farmer does not find interest in participation in a collective action as a profit opportunity;  $x_i$  represents respective variables concerning the characteristics of the individual players and their perception; and  $\beta_i$  represents parameters that are going to be measured. Equation is given in the form:

$$\frac{P_i}{1 - P_i} = e^{\beta_0 + \beta_1 \cdot x_{i1} + \beta_2 \cdot x_{i2} + \dots + \beta_k \cdot x_{ik} + e}$$

And the probability is:

$$P_i = \frac{e^{\beta_0 + \beta_1 \cdot x_{i1} + \dots + \beta_k \cdot x_{ik} + e}}{1 + e^{\beta_0 + \beta_1 \cdot x_{i1} + \dots + \beta_k \cdot x_{ik} + e}}$$

## RESULTS AND DISCUSSION

For obtaining the results SPSS program was used and forward Wald method was chosen because more variables were included in the model. The program stopped in the step number 7 (Table 5) and the variables that had significant results by a level of importance 10% are shown in Table 6.

Table 5. Model indicators

Model Summary			
Step	-2 Log likelihood	Cox & Snell R Square	Nagelkerke R Square
7	102.853 <sup>b</sup>	.541	.725

Source: Own calculations

Table 6. Statistically significant variables

Variables in the Equation							
	B	S. E.	Wald	df	Sig.	Exp(B)	
	Educ.	.299	.144	4.310	1	.038**	1.349
	Nr_olives	-.004	.002	3.023	1	.082*	.996
	Training_coop.	1.918	1.013	3.585	1	.058*	6.809
Step 7g	Market_funct.	1.116	.286	15.248	1	.000***	3.052
	Incomes	.502	.140	12.868	1	.000***	1.653
	Group_leader	4.266	.816	27.317	1	.000***	71.213
	Particip. in activities	.297	.173	2.960	1	.085*	1.346
	Constant	-10.970	2.675	16.812	1	.000***	.000

\* significant for the level of importance 0.10

\*\* significant for the level of importance 0.05

\*\*\* significant for the level of importance 0.001

Source: Own calculations

Model results show that the measured variables have a positive impact for increasing the possibilities for cooperation as an instrument that increase farmer profits. In the case of farm size this impact is negative, meaning that with increase of farm size decreases the possibility that cooperation would be used as a tool for profit increasing. This finding represents an important element in the research concerning the large farms, because farmers do not see the cooperation as an opportunity they could benefit from. Another crucial result of the research is very high impact that leadership (measured as Group\_leader) has as an opportunity for participation of farmers who are olive growers in co-organizations based on the principles of collective action. In this case, the farmer's possibility to see it as an opportunity for cooperation is 71. 213 times higher than not to see it as such opportunity.

## Conclusion

The research has achieved the goal by enabling an analytical presentation of the factors that affect the opportunities for increasing the cooperation between farmers who are olive growers in Berat area in the southwest of Albania. The findings of the research are confirming hypothesis and they are in line with previous studies. The results can be useful to interested policymakers, public bodies and researchers who are offering a framework of knowledge concerning opportunities for reducing costs and increasing income for farmers who are olive growers as well for the general agricultural and regional development. From a theoretical perspective the study supports findings that the size of the farm and trust in leadership affect the farmers' perception and their behavior to participate in the collective action activities. The results can serve as a theoretical basis for future research in this area.

The impact of education (measured as educ. ) is important for the participation of farmers in functional activities according to the principles of collective action. This finding supports a broad theoretical framework. The negative impact of farm wealth (measured as nr\_olives), also represents an important finding. The fact that with increase of farm size decreases the potential for collective action is not a surprise. In previous studies on collective action similar evidences have indicated that the readiness of farmers for collective action differ not only for different activities (apple growers, vegetable growers in greenhouses), but it can also differ within the same activity concerning the size of the farm (Skreli et al. 2011; Kola et al. 2014). This evidence requires attention, especially from policymakers and public bodies that finance agriculture, in order to understand the limits of financing and for finding the balance that optimize the efficiency of public funds used in the case of policies or increasing incentives efficiency. Meanwhile, increased importance of the leadership role represents a crucial factor for farmers. The role of competent leadership concerning complicated agricultural issues of production and marketing is very important for increasing of trust and cooperation between stakeholders in rural community.

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## The Importance of Communication, Cooperation of the Leader in the Process of Leadership in Education

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### Abstract

Communication is a complex process and an important element of human activity. Communication is an act of transferring data and information from one person to another person and also a skill that is learned through life. By different authors there are different definitions and descriptions of the communication process. Presented in this paper is the importance of the communication process leader during leadership, effective communication factors, ineffective and communication. Leader during the leadership uses different ways of communication are covered: Interviews, communication with two or more people, meetings, meetings, masiv- media communication, public communication, etc. Organizing meetings during the show director community must correctly, be prepared and be a good example for others.

**Keywords:** Leader, communication, efectiv, skills, good organization, information

### Introduction

The art of communication and speech is a born master of unique and strong weapon which distinguishes a leader from another. Effective communication is an important part of the culture of communication, it is the basic tool for determining the trust and relationships with others, where its positive impact depends on how we are able to use, or to transmit the information to others. It's clearly expressing an opinion in speech or in writing is a factor which eliminates the communication problems. Misunderstandings are some of the problems that often occur in the process of leadership to the leaders, so great care should be taken in this regard.

A director of an institution or can not achieve anything only if it does not cooperate with the manager or other employees and, if action has not the support of other people, this is an issue very hard that the share of management and leadership. The report is a replacement director of the school with the teachers, relationships, communication and collaboration are key to the efficient functioning of the school. Communication and its mode of use with others is a tool for creating strong relationships that enable proper cooperation and support from other schools. Creating new connections with institutions and the establishment of collaborations is part of the success of the work. Organize good time director, organizing meetings, activities, meeting with people, communication mode of communication, and relationship management activities and meetings are important for the functioning of the school.

### Communication

Communication is a key element in any human activity. Communication is a learned skill.

However, while most people are born with the physical ability to talk, not all can communicate well unless they make special efforts to develop and refine this communication skill (Juliana, 2016:2).

Communication is a word derived from the Latin word *communis* or *commūnicāre*, which means 'to make common' or 'to share'. Communication is the act of conveying intended meaning to another person through the use of mutually understood signs and language (Juliana, 2016:2).

The process of speech and means of communication is a special quality of school leaders. One of the unique basic features which distinguishes man from other living beings is the ability of the communication process, the expression of feelings, emotions, thoughts, etc.



Usually when we want a leader to guide us in the work we want to choose the person who has good skills of leadership is motivational, also one person that can be communicative and could have a good language communication which he use.

Some people seem to be born with a natural energy and confidence. Others must work at it. For all of us, the qualities of those who lead and succeed can be learned and strengthened. All it takes is a conscious effort to learn and apply personal communication skills on a consistent basis with the help of some honest feedback (Decker:7). Also, Bernard Baruch said that "The ability to express an idea is well high as important as the idea itself".

There are various descriptions and definitions for the communication process. Communication is a tool which makes information transfer from the donor to the recipient provided that makes to understand that, while the organization or institution is a means of communication that connects people to the realization of a common goal.

Effective communication is heavily dependent on effective listening, something many of us may not be fully proficient at. An additional purpose of effective listening is to convey interest and respect for the other person (Dixon:11).

"Communication is defined as the process by which ideas, information, opinions, attitudes and feelings are carried from one person to another. Human communication is the process of understanding between two or more people. What makes human communication unique is its superior ability to create and use symbols, because this is the skill that enables you to share the experience people (Morina, 2012: 7)."

Communication is the process by which information, knowledge and understanding are transferred from one person to another person, and a good opportunity to express attitude, opinion. Pleasures and discontent on a particular issue. A leader, a leader or manager of an institution most of the time spends communicating.

Communication between supervisors and staff is essential on many levels, from the top down, laterally or from the bottom up. Communication can effectively increase morale in the workplace but it can also increase dissention and worker dissatisfaction (Duncan, 2009:1).

According to the authors Scheiring and Mattheis et al, in research conducted in the education sector, they describe that communication is multi-dimensional, it is extremely important for the welfare of the school and practiced by all stakeholders in the school. The school director presents the model for effective communication (Scheiring, 2012: 9).

Communication is perhaps the most important part of the school, because if fighting all groups of stakeholders in a school are well informed and know how to communicate with each other, they are all the more motivated to achieve quality in school and working together in so intense in various fields (Mattheis, et al., 2012: 6). Communication is a priority which impacts positively on the management of a school or institution and a tool which creates the opportunity to increase the quality of work by the school. The best option school director tells a confident, effective and lasting respect from others, he should use a regular communication with teachers, parents, school leaders. The key to solving any problem, within and outside the school is good communication. Good communication by the school principal means cooperation, information, being involved and respect for ideas or suggestions from others about a particular activity. According to the authors Scheiring, H., Mattheis, C., et al, and research carried out in the education sector, they describe the causes of effective and ineffective communication (Mattheis & al, 2012: 10):

Effective communication versus bad communication	
What disrupts communication	What helps communication
<ul style="list-style-type: none"> <li>• Have attitude - "I know!"</li> <li>• Not Listening</li> <li>• Being judgmental</li> <li>• Focus on 'who' rather than the 'what'</li> <li>• Blaming</li> <li>• Standing behind a single personal agenda</li> <li>• Misrepresentation or withholding information</li> <li>• Being argumentative</li> <li>• Being justifying</li> </ul>	<ul style="list-style-type: none"> <li>• Look instead to tell</li> <li>• Listen actively</li> <li>• Push trial</li> <li>• Focus on 'what,' stand on the issue!</li> <li>• Troubleshooting - appropriate allocation of responsibilities for action</li> <li>• Understand your interests and those of others and seek common ground</li> <li>• Share information</li> </ul>

Table 1. Poor communication towards effective communication (Mattheis & al, 2012:10)

The table presented above on the causes of effective and ineffective communication that are due to bad communication towards effective communication along with factors that disrupt communication and factors that help the communication

process.

Since communication is a process of exchange of information that takes place every day and he is considered to be the art of the success of a school principal, through speech director of transmitting information, knowledge, experiences, opportunities to teachers, students, staff working or to others. Its communication during working hours with others represents success in career and professional level, because it does not matter how long talks like the director of a school but "what speaks". According to some studies indicated that women speak more leaders than male leaders, while some other authors show otherwise, but as long as there are characters, traits and personalities of different women and men can not judge in this case.

By Paul Waltzawick people can not communicate and the ability to formulate and transmit thoughts in verbal terms is mandatory for the human being. For the dog a successful and effective communication by the director of the school, the process of transmission of information must be:

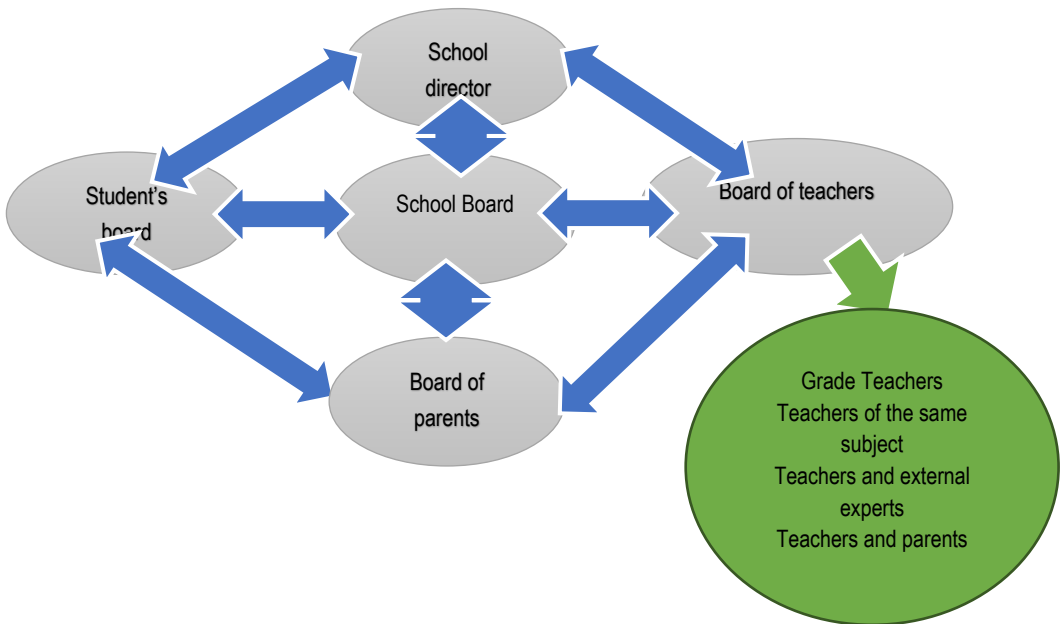


Figure. 1 method of communication within the school (Mattheis & al, 2012, p. 7)

The chart below attempts to show different groups and structures of communication between them, for example, teachers should regularly communicate internally about teaching, learning, students, projects, etc. (Mattheis & al, 2012, p. 7)

### Forms of Communication

The author Bert Decker describes that vocal delivery and the visual elements, as well as personality, likeability, and openness are the primary ingredients of high-level interpersonal communications. But what specific behavioral characteristics and traits make up these important ingredients and behavioral skills are (Decker:13):

- Eye Communication
- Posture and Movement
- Gestures and Facial Expressions
- Dress and Appearance
- Voice and Vocal Variety
- Language, Non-words, and Pauses
- Listener Involvement
- Humor
- The Natural Self

Director of communications process with others may be in various forms and ways such as: interviews, communicating with two or more people, meetings, meetings, masiv- media communication, public communication, etc.

### **Interviews**

During the working career as director of the school will definitely ket numerous occasions the interview by different persons, research, student, students, teachers, etc., on various issues about the profession, how to manage the school, successes and achievements It is shown in leadership activities or other professional topics. Director must always be ready to give correct answers, the cautions, provide accurate information, etc.

The interview is a process of communication that takes place between two persoanve called interviewer and interviewee. in this case the interviewer is the person who asks questions and the interviewee is the director of the school.

According to the authors Morina and develop interview Asllani with higher mental processes. Through mergers and sharing of information in the interview situation or by participation in various interviews, we gain insight into the decision making and problem solving as well as the growth of our intellectual capacity (Morina, 2012:20).

### **Meetings and appointments**

Meetings and appointments organized by the director to be more successful and effective, they must first be well planned and teachers need to be informed on the topic that will be discussed at meeting. The author David E. Hartl sayed that "Meetings are a primary process for organizational life". Meetings are a form of organizing a group of people on getting any vention, discussing an issue, problem, planning. The meetings are part of the daily work of the director, which are organized within the school in order to discuss an event which has occurred or about what might happen in certain circumstances. Any decision taken by the school director should be based on facts and data, to be convincingly sober and reasonable.

"Meetings can often be" cabinet "of professionalism of employees and assist in career development, because employees better understand the nature of colleagues. Office meetings are not fun, but you should take part in them and to display more professionalism and respectful behavior to your colleagues " (Differnt authors, 2015). Usually held meetings with teachers several times during the first semester and second, depending on the cases and problems that occur in school. The meetings are organized at the beginning of the school year with teachers always have to present ourselves as a director before the session starts and should continue with presentations by the Deputy Director, the teachers new if there and then have begun to point mentioned, problems that must reviewed during the meeting.

Before the session starts a very important feature which characterizes the accuracy, reliability and professionalism of the director is that meetings are set schedule and you do not waste time to others. Coating which keeps the director before entering the meeting should jet in accordance with the code of professional ethics, in order to show credibility in front of others. Another feature of the gold and very important which makes the director to tell a good impression at the meeting is the way of speech, expression of opinions and the appropriate use of intonation of the voice in order to be sufficient and clear all teachers who are participating in the meeting. Also before the session starts director should be prepared what will be discussed at the meeting, create an agenda with the main points or topics that will be discussed, choose the manner or method appropriate moderation and also is very important to know to ask questions about the topic that has been discussed. It should also be provided and the fact that the director of the school should be able to answer questions or uncertainties that may have teachers during the discussion at the meeting. During the meeting, the Director should express his opinion about the extent information is required and you must involve all participants in the discussion, because meetings are not effective monologue. Usually it is not polite to interrupt others if they speak, but as the case may happen to be required to terminate any of the conversations of the participants in the meeting.

Depending on the topic, case, issue or problem to be treated for the duration of the meetings can be short or long. If meetings are long, preferably served something to drink in a meeting to be more entertaining for the participants because the place irrespective of time than would stay minutes will pass quickly, and at the same time leave the monotony of staying passive on the chair. In private schools in Kosovo during the meetings organized by the school with teaching participants usually served: tea, coffee, fruit juice, etc.

Meetings as a form of organization of work by the school also have weaknesses in the planning or the organization of the meeting and has many advantages and benefits of these meetings.

Strengths and weaknesses of meetings

Advantages / benefits of meetings	Weaknesses of meetings
<ul style="list-style-type: none"> <li>• Measurable progress,</li> <li>• Planning of next steps,</li> <li>• Assistance for communication,</li> <li>• Exchange ideas,</li> <li>• Exchange of pedagogical questions,</li> <li>• Support for students or teachers,</li> <li>• Involvement of people in activities, projects, processes</li> <li>• Learning from each other,</li> <li>• Develop the capacity working each other,</li> <li>• Encourage commitments and ideas action,</li> <li>• Support the skills to identify the best results,</li> <li>• Mutual cooperation in conducting actions.</li> </ul>	<ul style="list-style-type: none"> <li>• Sending invitations late,</li> <li>• Invitations without time members, and points for discussion (content)</li> <li>• Use a room that is too small or too noisy,</li> <li>• If not seen the agenda before the meeting,</li> <li>• Meeting without purpose or agenda,</li> <li>• Preparation weak or insufficient, distribution of documents at the meeting,</li> <li>• chairmanship ineffective / lack of control,</li> <li>• Discussion of irrelevant information,</li> <li>• Moderation ineffective</li> <li>• 'speech' as head by excluding other participants</li> <li>• Failure of the meeting time,</li> <li>• Non-implementation of the agenda,</li> <li>• Failure to peer discussions in meeting,</li> <li>• The use of mobile phones in the meeting,</li> <li>• Lack of record keeping and its split with participants, etc.</li> </ul>

Table 2. Strengths and weaknesses of meetings (*Mattheis & al, 2012:27*)

In this table are presented meetings strengths and weaknesses facing the school principal together with the advantages / benefits of meetings and meetings weaknesses.

### Communication problems

Some of the numerous problems faced by school directors are misunderstandings in communication with others. During communication, it is very important that school principals and send a clear message to accept. The message communicated by the school should be recognized as thought because something probably very small tone of voice as much as possible to transmit error message and cause misunderstanding of the purpose and meaning of the message. During communication with other school principal care must be taken:

- Have a clear purpose and opinion
- The chooses his words carefully when communicating
- The content is to be short and be understood
- Ensure that everyone should have received such information

### Levels of communication

There are different types and ways of communication which can use a leading - the director of an educational institution such as: verbal and nonverbal communication, verbal, written, etc. Verbal communication is a communication process very important man and the golden key of a leader is a special quality and distinct innate in humans. This type of communication and transmission of messages encryption is done through words and speech. Verbal communication involves using speech to exchange information ãith others. We usually communicate verbally in face-to-face conversations such as; meetings, interviews, conferences, speeches, phone calls e. t. c. Much of the communication that takes place between people is both verbal and non-verbal; that is, it is based on language and gestures (Juliana, 2016:4).

**Nonverbal communication** - On the basis of that communication is carried with the use of any technical device which addresses a large number of people, this communication is directly related to mass communication and media. Such communication is not easy and is often referred to as "the language of communication of feelings" because during the presentation to the media except express opinions at the same time can express emotions, attitude, style attitude, tone of voice, orientation, etc.

**Communication is the transfer or forwards written-** information and messages through the writing process. Messages can be sent through Viber, email or official letter, invitation or similar forms tjeravtã. The process of communication via email or other formve messaging, today is an indispensable part of the director's work. During the process of writing the email and sending it should be careful to show professionalism and sportsmanship, ways of writing is clear and easy to understand or easy to read should use an e professional who fits the position of the person who sent the email. Before you write a letter, as director of the school should always be careful in the way of writing, not ket errors script, use a professional

greetings official and also as part of very important professional ethics is we are correct and return to answer all e-mails, calls, messages that we have received. How good working principle considered if we read an article some time before you send. For all meetings, communications, events, plans, qartèsitè without qartèsitè that occur during the day, etc. All these need to keep a notebook - block notes every day, except plans, formal concepts that keep on file.

### Formal non-verbal communication

According to the decision of MEST Strategy developed communication in the education sector (Kasneci, 2011:8)

Oral communication	Written communication
Oral communication is more open to misunderstanding than that in writing <ul style="list-style-type: none"> <li>• There is a preference for a style more oral communication than personal a written communication</li> </ul> It can be traced.	<ul style="list-style-type: none"> <li>• Communication in writing is more efficient and effective to ensure that all relevant stakeholders receive the same message, and saves labor and time to contact people one by one separately.</li> <li>• Increases consistency and because communication is documented and can be traced.</li> </ul>

### Cooperation

Cooperation is a very important process and is the most powerful weapon of the success of a leader, business, organization, institution or country. In qof be that all staff within the school have a good cooperation between themselves and between them resulting in a positive working climate. Working in collaboration with school staff and school relationship with more partners from abroad is necessary and inevitable which also turns out to be the stimulating factor which influences the quality of the school. At school the opportunity to cooperate and communicate with various factors and external partner is quite large.

To realize a twinning with an institution, the school must develop a project which will be supported in developing a comprehensive strategy to ensure quality in the school. From such cooperation benefit students, teachers and schools. The school as an institution can establish cooperation with:

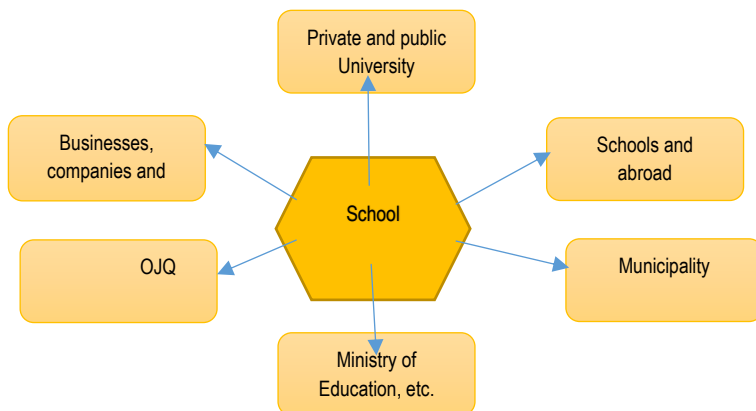


Figure. 2 collaborations between schools and external partners

Through this figure is presented the possibility of cooperation - cooperation between schools and external partners and stakeholders.

School cooperation with different universities enables students an easier orientation in career towards their chosen profession. Through the cooperation of the school with other schools within or outside the country, they can exchange goods, activities or competitions in the various subjects, work experience, temporary visits of students and teachers, etc.

Through various NGOs inside and outside the country in which schools can establish cooperative links, school as an institution can have much better material benefits from the organization. For example:

Currently there are available these Non-Governmental Organizations: Beep, DAAD, GIZ, USAID Basic Education Program, I love Kosovo, Caritas, Terre des Homes (Swiss NGO), etc.

If it comes to a vocational school then it is good that schools let connections with as many businesses, hotels and organizations in order to enable students performing work practice and prepare their professional training. In secondary school student's internship takes longer than necessary and is completing the theory learned in school and as a positive result by the students is to link the theoretical with the practical.

Currently, Kosovo student practice this direction become makeshift classrooms in these schools, and students in a visit organized on their own businesses the most. The possibility that students perform best practice depends on the personnel working in these schools. (Shala, October 2015, p. 10)

For example, if a school in Kosovo's leadership "Hospitality and Tourism creates connections with a restaurant or hotel in a seaside location in Albania, it would be good for the students of the direction of practical work in coastal areas during holidays summer, so that students become more familiar with the products of the sea, their importance and preparation, hotel and restaurant management, tourism and requirements of tourists, etc.

School of Economics would be best to create as many links with various businesses in order to enable the creation of an effective system of professional practices that high school students to obtain practical skills by drejtimeve- different profiles.

A good cooperation: (Mattheis & al, 2012, p. 12)

- The increased power to support teachers and students through teaching and learning,
- support the principal and school staff to achieve a higher quality school,
- creates opportunities for new teaching and learning, for example in practice firms and institutions,
- helps, for example, in financing and organizing excursions or development teaching and learning materials,
- creates a new kind of school culture and school profile,
- gives students the opportunity to learn more about their capabilities and They are planning their professional career,
- meets the requirements of the education legislation

## Conclusions

A leader of the market, as crucial to success in leadership in his career he uses various forms of persuasive communication to express opinions to others, successes, problems, joys and grievances. Lidërit care, fairness, respect his schedule and professional preparation before meetings makes it strong person, ambitious and serious work ethic. Always before using any form of communication we need to have a goal which we intend to achieve, if it comes to meeting or meetings we should draw attention to others through speech and to achieve the intended purpose. Sending messages, emails, formal letters, or invitations to others is a process that should be taken very carefully lest there be any mistake in writing the show as much professionalism, we have clarity in expressing thoughts and not use humor if missive. A leader who plans good things should never make promises you can not fulfill, because it can affect the loss of trust for others. Good communication is a key to solving the problems and is a unique qualities of a strong leader.

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## Causal Connectors in Albanian Language - Causal Conjunctions

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### Abstract

This paper discusses connectors, the connectors will be analyzed within their causal relationship, reasons and motives. The Albanian scholar Floqi determines the known and unknown reasons of the usage of the conjunctions and the position of these casuals, before the main clause or after the main clause. On the other hand, the scholar Mirna analysis the conjunction because as a subordinate conjunction, some of which are in the subordinate clause and in other cases followed by the main clause. The connection between these two cases manifest themselves in a linear way, it is typical of subordinate conjunctions that may even be at the beginning or after the main clause. In addition, the coordination conjunction gives the clause after the main one.

**Keywords:** Albanian language, cause-effect, conjunction, subordinate, main clause, because, that, position.

### Introduction

When it comes to analyzing the causal relationship, we analyze the causes, reasons and motives. In order to realize the causal relationships, we have presence of the connectors, adverbs and prepositions. In the structure of the causal relationships built with prepositions there is the companionship of a group that follows:

Preposition nominal group plays the role of the cause

Për shakak + grup emëror

Floqi <sup>1</sup>analyzes in details the subordinate connectors and causal relationships, so in this paper we will focus on the characteristics and their usage.

#### Because

The conjunction because grouped as a proposition, it is used for an unknown reason, because it is not known or can not be determined. <sup>2</sup>

Because he loved her.

(Sepse e donte. )

Because I can not stand this.

(Sepse nuk duroj dot. )

Because is given as a causal conjunction, placed at the beginning of the subordinate sentence to show causal reason or cause of something like: because, for the reason, as.

She didn't speak, because she was tired.

(Nuk foli, sepse ishte i lodhur. )

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<sup>1</sup> Floqi, S. (1996). Periudhë me fjali të varur shkakore. Studime Filologjike N.2, Page 4

<sup>2</sup> Akademia e Shkencave të Shqipërisë. Fjalori i Gjuhës Shqipe . Tiranë, (2006). Page 1742



*No one could hear him, because he was away.*

*(Nuk e dëgjoj njëri, sepse ishte larg. )*

If we analyze attentively the adverb that in the case of using the "Albanian Language dictionary". Because I do not know. Because it can be replaced with: which is the reason / for what reason and in this case it is shown as a conjunction exp; I do not know the reason.

Furthermore, it is evident that because it is a causal connector and frequent use at the beginning of the sentence indicates text as a function connector. Because it is placed at the beginning of a sentence after a question.

*Why should I forget, what in the day is done? - Said the priest.*

*( Përse duhet të harroj, atë që shkoj ditën?- tha prifti. )*

*Because we have a home with these miserable. <sup>1</sup>*

*(Sepse ne kemi një atdhe me këta të mjerë. )*

*The conjunction because can be placed after a pause, (comma) or after a point. <sup>2</sup>*

*Perhaps, because they just came out of the clash and they were wounded.*

*(Ndoshta, sepse ato porsa kishin dalë nga përleshja dhe ishin të plagosur. )*

Pitt Mirna<sup>3</sup> analysis the conjunction because as a subordinate conjunction, some of which are in the subordinate clause and in other cases followed by the main clause. The connection between these two cases manifest themselves in a linear way, it is typical of subordinate conjunctions that may even be at the beginning or after the main clause. On the other hand, the coordination conjunction gives the clause after the main one.

*Because there was frost last night, the tomato plants have died.*

*(Sepse ishte ngricë mbrëmë, bimët e domates u thanë. )*

*The tomato plants have died because there was frost last night.*

*(Bimët e domates u thanë sepse ishte ngricë mbrëmë. )*

The sentence begins with the subordinate conjunction and accompanied by commas before the main sentence, whereas in the second case because the subordinate sentence is set after the main one, even when it is accompanied by commas.

*Because the weather is nice, I go out.*

*(Sepse është kohë e mirë, unë dal. )*

*I go out, because the weather is nice.*

*(Unë dal, sepse koha është e mirë. )*

A distinction between coordination and subordinate conjunction with the articles is that the subordinate can be in the coordination one and the subordinate cannot.

One should ask his opinion first, because he is the oldest member of the club and because he is also one of its founders.

*(Pikë së pari One duhet të kërkojë opinionin e tij, sepse ai është pjestari më i vjetër i grupit dhe sepse ai është gjithashtu një nga themeluesit e tij. )*

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<sup>1</sup> Kadare, I "The General of the Dead Army" Page 39

<sup>2</sup> Akademia e Shkencave të Shqipërisë " Garamtika e Gjuhës Shqipe 2" , Tiranë (2002). Page 571

<sup>3</sup> Pitt, M.. (2003) " How to express yourself with a causal connective: subjectivity and causal. Connectives in Dutch, German and French. Amsterdam: New York. Rodopi. Page15

*The tomato plants have died because it has been freezing, and because they were in the wind.*

*(Bimët e domates u thanë sepse ka qenë ngricë, dhe sepse bimët ishin në erë. )*

*I will not go out, because I am ill and because I am still feverish.*

*(Unë nuk do të dal, sepse jam sëmurë dhe ende me ethe. )*

*She did not come, because she had no time, and because she is not interested in it anyway.*

*(Ajo nuk erdhi, sepse nuk pati kohë, dhe sepse nuk i interson aspak. )*

Structural differences can be given in the clauses that are linked with subordinate conjunctions and that, and are seem as the coordinative conjunction.

Pitt<sup>1</sup> calls subordinate conjunction "hybrid" and "pur sang" "Cleft" extra can be applied to subordinate conjunctions "genuine".<sup>2</sup>

*It is because he is fat that he is short of breath.*

*(Sepse është i shendoshë ka frymarrje të shkurtër. )*

*Ngaqë është i shendoshë ka frymarrje të shkurtër.*

*It is because he was eaten too much that he is sick.*

*(Për shkak se ka ngrënë shumë është sëmurë. )*

Consider the case of an adverb, from it we can apply the case "genuine" "real".

*He has searched a new job, particularly because he thought he was not paid enough.*

*(Ai ka kërkuar për një punë të re, veçanërisht sepse mendonte se nuk paguhej mjaftueshëm. )*

*He went out, just because the doctor told him.*

*(Ai doli, vetëm sepse doktori i tha atij. )*

These kinds of relationships listed above can give denial, the question the compound operator of quantitative and a sustainable word.

The usage of the connector because in its initial position, we note in response after a question in a conversation, when it is requested more clarification and in this structure, can be found in cases of the questions adverb why. In addition, this connector can also be found at the beginning of the sentence and this Ismail Kadare, has used it as a styling feature.

*-Why they say "emerged partisan" Because... because it has gone out of the city.<sup>3</sup>*

*(-Pse thonë "ka dalë partisan" Sepse...sepse ka dalë nga qyteti. )*

*- Why I must get bored for those that went? - the priest said.*

*(- Përse duhet të harroj atë që shkoj ditën? – tha prifti. )*

*Because we have a home with these miserable.*

*(Sepse ne kemi një atdhe me këta të mjerë.<sup>4</sup>)*

<sup>1</sup> Pitt, M .How to express yourself with a causal connective: subjectivity and causal. Connectives in Dutch, German and French. Amsterdam: Neë York. Rodo pi, 2003. Page 17

<sup>2</sup> This is a complex sentence in English its structure It +to be + the subordinate clause exp: It's money that I love. (Janë paratë ato që dua).

<sup>3</sup> Kadare, I .The General of the Dead Army. Page 175

<sup>4</sup> Kadare, I .The General of the Dead Army. Page 39

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*She plucked hardly a handful of mud and said to herself: Ah, if I had been in army troops who had with him a shovel and dig fast, fast, fast.*

*Because there with feet hanging with a water mill, in there was laid down my close friend. <sup>1</sup>*

*(Ajo shkulte me zor një grusht baltë dhe thoshte me vete: Ah, sikur të kisha qenë në trupat e xheniervë që të kisha me vete një lopatë dhe të germoja shpejt, shpejt, shpejt. Sepse atje pranë me këmbë të varura me një mulli me ujë, ishtë shtrirë përmbys shoku im i ngushtë. )*

The connector because, as it found in the communication process as explained above but not always associated with an interrogative adverb with the progressive statements.

*-Tak, Tak, tak: And when I returned, barely step off.*

*-Because it was the first time that I was opening the door with one hand - continued with a hidden ton of. <sup>2</sup>*

*(-Tak, tak, tak: Pastaj kur u ktheva, mezi hapa portën.*

*-Sepse ishte hera e parë që e hapja portën me një dorë,- vazhdoi me një ton të fshehtë. )*

In Sweester studies we also look cases when adjectival uses of particles or correlative conjunction in sentences with the taking the record articles where by which a fact can be emphasized as the only factor can stand out among other possible causes. <sup>3</sup>

*Reinforcing particles precisely located before causal conjunction because it highlights a due fact.*

*I carried everything with great pleasure, just because I kept my interest secret.*

*(E kryeja çdo gjë me kënaqësi të madhe, pikërisht sepse e mbajta të fshehtë interesin tim. )*

*But the particles only or solely (supposedly) emphasizes the assertion of a fact due only to what is stated in the foremost.*

*He didn't like her only because she had not finished the studies.*

*(Nuk e pëlqente vetëm sepse nuk kishte mbaruar studimet. )*

On the other hand, the word maybe or supposedly give uncertainty or suspicion of a fact.

*Ben Affleck is very serious these days. Speaks little heavier, the old jokes are missing.*

*Maybe he because just turned 40 and admits that he has been facing the fear of bad ideas, things that did not exist before in him. <sup>4</sup>*

*(Ben Affleck është shumë serioz këto ditë. Të flet pak rëndë, janë zhdukur batutat dhe shakatë e dikurshme. Ndoshta, sepse sapo ka mbushur 40 vjeç dhe pranon se kjo e ka vënë përballë ideve të këqija të frikës, gjëra që më parë që nuk ekzistonin tek ai. )*

The connector because is used on structures seen in elliptical sentences after the demonstrative adjective this.

*It came with no expectations. That's because they had not explained the situation here.*

*(I erdhi pa pritur. Kjo sepse nuk ja kishin shpjeguar situatën. )*

*I can say that we have cooperated very well in team and we have realized a toned video.*

*I say this not because of me, but anyone who has seen it was wonderfully. <sup>5</sup>*

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<sup>1</sup> Kadare, I .The General of the Dead Army. Page 28

<sup>2</sup> Kadare, I .The General of the Dead Army. Page 269

<sup>3</sup> Sweester, E. (1990). From etymology to pragmatics metaphorical and cultural aspects of semantics structure, Cambridge. University Press,. Page 76

<sup>4</sup> "Shqip" newspaper 15.10.2012

<sup>5</sup> "Telegraf" newspaper 09.12.2012

*(Mund të them se kemi bashkëpunuar në ekip shumë të mirë dhe kemi realizuar një klip dinjitoz. Kjo jo sepse e them unë, po kushdo që e ka parë është mrekulluar. )*

The connector because can be separated from causal sentence by sentence fixer:

*When the boss rang frantically begin to fall, because we have to know, in our office there is a whole system of ringtones.*

*(Kur zija e shefit filloj të bjerë me furi, sepse duhet ta dini, në zyrën tonë është një system i tërë zillesh. )<sup>1</sup>*

A new information or based information that is known to the receiver of the text can be shown via connector because, for. Thus, in the following case, it is shown how the information about cause and effect are both new to the receiver of the text.

*2011 is a special year for the Albanian Red Cross, because it marks the 90th anniversary of its creation.*

*Viti 2011 është një vit i veçantë për Kryqin e Kuq Shqipëtar, sepse shënon 90-vjetorin e krijimit të tij. <sup>2</sup>*

The following example will analyze at the known consequences but not the cause. Due to information obtained from the first connector viewed the information is known but previously issued a new information related cause that is for concern, about the fact that students will not have access to university education.

*The Ministry of Education communicates the issue of free quotas for universities will accept students who are 20000 by 40000. For the opposition, it is worrisome because it can bully students apply abroad or remain without education.*

*(Ministria e Arsimit komunikon çështjen e kuotave të lira për universitetet studentët që do të pranohen janë 20000 nga 40000. Për opozitën kjo është shqetësuese sepse mund t'i detyroj studentët të aplikojnë jashtë vendit ose të mbeten pa shkollim. )<sup>3</sup>*

That

Subordinate causal connector that is one of the most used one and expresses: a close cause, direct cause, or can be motivated an end or a supposition, a question, a claim conditional, it can justify the mention of any word or the other expression. <sup>4</sup>

*They didn't go to the movies that they expect Tana's phone call.*

*(Nuk shkuan në kinema se prisnin të telefononte Tana. )*

This conjunction in terms of cause and effect is identical with the connector because and can be substituted for it.

This connector is ambiguous two ways of reading;

focus on the whole relationship falls

By way of reading is achieved by "hybrid" connectors

*He didn't go that sought. (But that was bothering)*

*Nuk iku se e kërkuan. ( Por se u mërziit)*

*He didn't go that sought. (He doesn't go if required)*

*Nuk iku se e kërkuan. (Nuk ikën nëse e kërkojnë)*

Moreover, the structure when the answer why:

*Why did it happen? –That I do not know.*

*(-Pse ndodhi? -Se nuk e di. )*

<sup>1</sup> Floqi, S.(1966) Periudhë me fjali të varur shkakore. Studime Filologjike N.2, 1966. Page 4

<sup>2</sup> <http://www.kksh.org.al>

<sup>3</sup> [www.top-channel.al](http://www.top-channel.al)

<sup>4</sup> Akademia e Shkencave e Shqipërisë, Gramatika e Gjuhës Shqipe2. (2012). Tiranë. Page 564

*This use at the beginning of the sentence that is more usable in speaking.*

The example where the connector is placed on top of the sentence and realized with long pauses between sentences is given in the following sentence.

*I do not talk to her anymore. That she offended me.*

*(Nuk i flas më. Se më ofendoj. )*

*They will hang out, that the rain stopped.*

*(Ato do të dalin, se shiu ndaloj. )*

The realization of reading these statements is made in the following ways:

- a) They shall hang out, and the reason for this is that the rain stopped.
- b) I am convinced that emerge to hang out, and the reason for this is that the rain stopped.
- c) I suppose that they go to a picnic, for the day is beautiful.

But if the causal vibrating positions changes and the causal relationship at the outset can not be read in this way.

*That the rain stopped, they will hang out.*

*(Se shiu ndaloj, ato do të dalin. )*

As explained this connector is not used in causal sentences, if the subordinate sentence is placed before the main one, but can establish another causal connector because.

*\* That he later apologized.*

*(\*Se vonë ai kërkoi ndjesë. )*

*Because of the free order, that is placed before the verb which is the most used position.*

*He apologized that he was late.*

*Ai kërkoi ndjesë se ishte vonë.*

*He apologized that he was late.*

*(Ai kërkoi ndjesë se vonë ishte. )*

The conjunction that can be used after a particle as what, supposedly, perhaps.

*Exactly that it is scandalous, Trump policy is working.*

*(Pikërisht se skandaloz, politika e Trump po funksionon. )<sup>1</sup>*

*The United States alleged to have begun to transfer nuclear weapons from Turkey to Romania due to worsening relations between Ankara with Washington...*

*(Shtetet e Bashkuara të Amerikës gjoja se kanë filluar të transferojnë armët atomike nga Turqija në Rumani për shkak të keqësimit të marrëdhënieve ndërmjet Washingtonit e Ankarasë...)<sup>2</sup>*

*Maybe that you know, but today is the richest footballer in the world.*

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<sup>1</sup> Tema 10.12.2015

<sup>2</sup> Dritaria. Net 19.08.2016

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*(Ndoshta se njihni, por sot është futbollisti më i pasur në botë. )<sup>1</sup>*

The connector that can be shown that the cause and effect are both new to the recipient in case the text below is provided in the foreground as new information why the Albanian society is in the grip of a strong crisis of confidence.

*In fact it is very upsetting, are unthinkable the measures of such crime..... These show that the Albanian society is in the grip of a strong crisis of mistrust, support and security.*

*(Në fakt është shumë tronditëse, janë të paimagjinueshme për masat e këtij lloj krimi..... Këto tregojnë se shoqëria shqiptare është e mbërthyer nga një krizë e fortë mungese besimi, mbështetje dhe sigurie. )<sup>2</sup>*

*Obviously not a diary, that as I said earlier, I would write something else.....*

*(Natyrisht jo një ditar se sic e thashë më parë, diçka tjetër do të shkruaja..... )*

*I asked for Vera, that she is not related to her....*

*(Për Verën të kam pyetur, se nuk e ka gjë ajo.... )<sup>3</sup>*

In this case the information provided above sentences tied to the connector that is known by the receiver of the text. Warnings by using the expression as I said that the treated information is considered as known by the speaker.

### Conclusions

According to the analysis conducted in connection with the relation to the structure of information, it may be seen the connector because, for with high flexibility connector, after realizes expressed various relations known and unknown cause-effect.

The connector because there is a high usage compared to other connectors, in answer to questions with the interrogative adverb why though it seems clear that the recipient source wants to know more information to the cause, which may be related with morphological construction of this connector (that+ though ) though - it is an integral part for adverb.

In the second part of the paper, the connector that regarding to the relationship of the structure of the information realizes the expression of different relationships, known and unknown causal. According to the sentence given note the use of this connector at the beginning of the sentence and the sentence topic.

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## Functioning of Angel Investor Ecosystem in Turkey: A Study on Aegean Region Angel Investors

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### Abstract

Turkey is at its infancy regarding the Angel Investment Ecosystem although it has a huge potential of Entrepreneurial Activities. There exist various alternatives for promoting start-ups or individual entrepreneurs such as KOSGEB, TOBB, bank loans, Incentives of Ministry of Economics, etc. However, those also come with strict procedures and bureaucracy which discourage the entrepreneurs having creative ideas. In this regard, angel investors are seemed to be the shortcuts to the actualization of the idea and the achievement eventually. Angel Investment Ecosystem in Turkey is also advantageous because it is backed up by Regulations published in 2013 (Individual Participation Capital Legislation published on 15 February 2013, in official newspaper of Turkish Republic). In this study, a broad history of Angel Investment Ecosystem in Turkey is analysed to form a pattern on Angel Investors' decision making process and angels' role on the actualization of entrepreneurial idea. We use samples from Aegean Region in which contains high potential of improvement in this Ecosystem. Angel Investors from Aegean Region and the entrepreneurs they have invested on are interviewed to gather information for understanding of how the angels decide and how the Ecosystem functions. Comments on findings and foresights for the future of angel investing in Turkey are presented as the conclusion.

**Keywords:** Angel Investment Ecosystem, Angel Investors, Decision Making Process of Angels, Entrepreneurship

### INTRODUCTION

Entrepreneurship as an important fact for the welfare of economies has various challenges while starting up. One of the main challenges for the new entrepreneurs is finding financial resources. There exist different financing alternatives available to the start-ups, which could be grouped as formal (government related) and informal financing (mainly angel investors). Although the government tries to provide financial resources, this is not enough for new entrepreneurs. According to the previous researches, formal financing is much harder than the informal due to the fact that they require more bureaucracy, thus making it less preferable. Other issues are, formal financial resources cannot be provided to every sector, and the people who will evaluate it might not have the required qualifications to understand it although the business idea is very innovative and inspiring. At this point, the importance of angel investors emerges. Providing unique evaluation standards and their distance to bureaucratic procedures make angel investors very popular today. Angel investors generally invest in businesses that are new and, they look for value added products and services (Uckun, 2009).

Finding accurate data on angel investors is hard since it is quite private and not preferred to be released resulting from its personal nature of angel investors. Most of the data released in this area consist of estimations or derived from samples of previous studies of consulting firms. Pool of potential angel investors is 3-6 million individuals with net worth above \$1 million and it is reported that 25% of high net worth individuals are angels (Morrissette, 2007). According to Mason (2005), some 3.4% of the adult population in the 18 countries where information is available meet the definition of being an informal investor. They provide \$196m per year to new and growing companies, equivalent to 1.1% of the GDP of these countries, and accounting for between 60% and 90% of total venture capital, including institutional sources.



The angel market appears to be very heterogeneous and localized (Prowse, 1998). Therefore, generalizing the findings becomes harder as they differ in terms of demographics, experiences, psychological motivators, networks, and so on. With the diverse advantages, which angels provide for entrepreneurs, angels seem to be the best financing option for beginning stage of firms. There are many good examples of firms that are supported by angels as they start. Google, Apple, Amazon.com (Ibrahim, 2007), and Henry Ford (Morrisette, 2007) are among those examples.

In Turkey, business angels are very rare, and the history of angel investing does not go much back, which nearly has 12-year life-time till now. There are many alternative sources of finance for new entrepreneurs in Turkey such as KOSGEB, TOBB, bank loans, Incentives of Ministry of Economics, etc. However, those also come with strict procedures and bureaucracy which discourage the entrepreneurs having creative ideas. Therefore, Turkish entrepreneurs apply to the informal ways including family, relatives, friends, or business angel investors to start their business. Angel investors that will support the entrepreneur might be from the neighbourhood of entrepreneur as well as an unknown angel who is willing to invest. Turkey has a recently growing ecosystem of business angel network, and the characteristics of this ecosystem is a subject that needs to be researched for providing useful information to the future entrepreneurs and investors.

Therefore, this study aims to analyse Turkish business angel ecosystem to form a pattern on angel investors' decision making process, and to understand angels' role on the actualization of entrepreneurial ideas. Our paper consists of 3 Sections. In Section 1, we provide an overview of the literature including definition of business angels and the history of business angel ecosystem in Turkey. In Section 2, we explain our methodology, and release our findings. In Section 3, we provide our final comments on the findings by evaluating them within our literature review framework.

## LITERATURE REVIEW

### Definition of Angel Investor

The term angel investor originally referred to wealthy people who invested in Broadway productions. Today, however, angel investors do much more. "An angel investor is a person who provides capital, in the form of debt or equity, from his own funds to a private business, which is often an early-stage company but not exclusively, owned and operated by someone else, who is neither a friend nor family member" (Rodriguez, 2011).

Angel Investors are generally wealthy individuals, typically fellow entrepreneurs, willing to invest in the very early stages of a venture's development (Morrisette, 2007). Business angels are conventionally defined as *high net worth individuals who invest their own money, along with their time and expertise, directly in unquoted companies in which they have no family connection, in the hope of financial gain* (Mason, 2005).

According to another definition by PWC (2013), business angels are defined as affluent individual investors who invest their personal assets and/or experience and know-how to innovative, high-growth potential companies in need of seeding, start-up or growth capital.

Typically, angel investors have the following characteristics in common (Uckun, 2009);

Those who earn more than 100,000 dollars,

40-60 years old,

Whose assets are more than \$ 1,000,000,

Have previous successful entrepreneurship experience,

Await return from the investment after 5-7 years - but some wants cash return within a couple of years after investment,

Prefer to invest in nearby locations. The travel time should not exceed the half of a day,

Enjoy mentoring and being a part of it

Invest over \$150,000, but this amount can also be the sum of the personal investments made by groups of other angel investors.

Are willing to invest in industries they are familiar/experienced with/in,

Give importance to cash inflow and revenue,

Know the market and technology dynamics very well,

Are qualified as investors who provide added value and consultancy of money.

### **Business Angel Investment Ecosystem in Turkey**

History of business angel investment in Turkey consists of a short period when compared to developed countries. This is due to the fact that Turkey has had long-lasting economic and financial crisis, instability of economy, and huge potential of risk for enterprises before the 2000s. Angel financing has emerged as an alternative tool to support start-ups when the economy has finally stabilized after 2000 (Bayar, 2012).

Angel investment has been brought into Turkey by LabX that has been established within Helix Yönetim Danışmanlık in 2006. It is established to serve as a bridge between angels and the entrepreneurs who do not have enough capital to actualize their business idea. As valid for the world, for Turkey also the actual data of angel investors and angel investment capital is not known precisely. The system of angel networks are recently transforming into institutionalized ecosystems, and various institutions has been performing as supportive organs for those angel networks/angels TUSIAD, Sabanci University, ODTU, etc. (Uluyol, 2008).

Within the fast growing younger population, Turkey carries high rate of entrepreneurial potential (nearly 60%) and positive attitudes (nearly 70%) towards entrepreneurship according to the results of Amway Global Entrepreneurship Report 2014. However, those rates decreased in 2016 report as 42% and 33%. Also, according to another report from Oracle Capital Group (2014), Turkey is the second entrepreneurial country among 33 countries. Report also shows that Turkish entrepreneurs have low rate of fear to fail, they are risk takers, and attempted to self-fund.

Those aspects of entrepreneurs reveal reasons for emergence of business angels and they have an important role in supporting for pre-set stage of entrepreneurial activities. According to EBAN's European Early Stage Market Statistics 2015, Turkey has grown at 38% rate between 2014 and 2015 in terms of total business angel investment, and has 15 business angel networks as of 2015. Report also displays a growing performance of angel investment networks. Active angel groups include (Altuntas, 2015):

Links Angel BAN

Galata BAN

Metutech BAN

Sirketortagim BAN

BUBA BAN

EGIAD BAN

Lab X

Keiretsu Forum Istanbul

E-Tohum

BIC Angels

Within this framework, there have been four major developments in the Turkish angel ecosystem (Altuntas, 2016):

A new Angel Investment Law

A fast-developing angel investment community

Turkish Business Angel Association's (TBAA) global performance

Attempts by Borsa Istanbul to create more liquidity for start-ups.

Government also supported those who support entrepreneurial activities to foster growth in this area and released Angel Investment Law in 2013. Article 1-(1) indicates the purpose of this law clearly as *"The purpose of this regulation is to determine procedures and principles regarding the support for Business Angel Capital, a financial instrument for start-ups*

and early stage enterprises experiencing difficulties in access to finance due to high risk they have...” (Angel Investment Law, 2013).

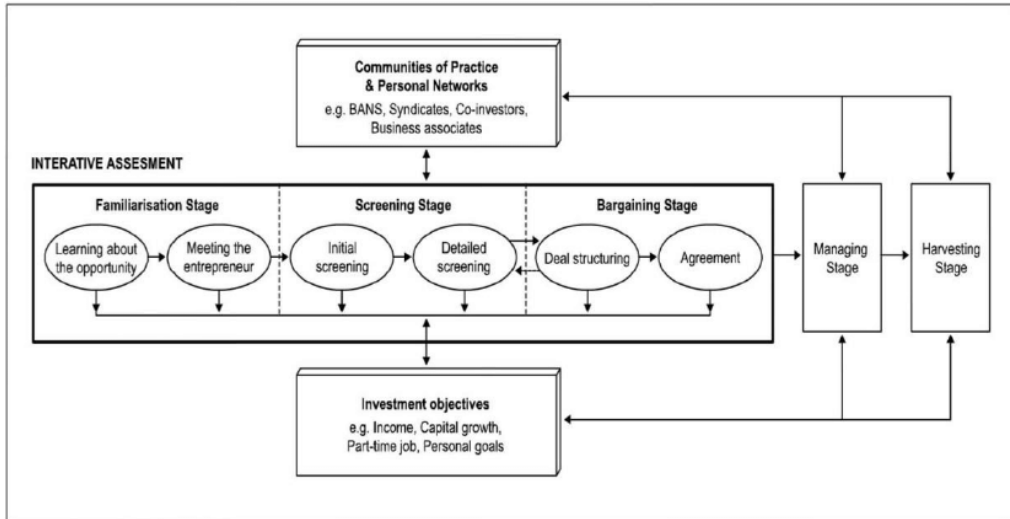
The law aims to increase professionalism and ethics among angel investors, make angel investments more attractive through state support, and ultimately make angel capital an institutionalized and trustworthy source of finance. Under the law, the Turkish Treasury licenses business angels who want to benefit from tax incentives for their investments (Accredited angel networks can provide the license applications. ). Accordingly, 75% of the participation shares of qualifying Turkish resident joint-stock companies held by angels can be deducted from the angel's annual income tax base in the calendar year the shares are held (Altuntas, 2015).

Following qualifications are required for being accredited as a business angel (PWC, 2013): (1) Having high income or wealth (An annual gross income above TL200,000, or net assets above TL1 million), (2) Having experience (Two years of experience as a manager/director in a financial institution or a company with a TL25 million turnover, have one year of membership in a local business angel network with shares in three SMEs, or have TL20,000-plus investments in three technology companies supported by an incubator).

### METHODOLOGY AND FINDINGS

In this research, a qualitative study has been carried out to form a pattern on how angel investors decide, how they help entrepreneurs to actualize their creative and innovative ideas, and how the ecosystem of business angels in Turkey functions. For this reason, we tried to unleash some specific characteristics of business angels first, and then analysed their decision processes. While analysing their investment decision processes, we have utilized from the Model of Angel Investment Process displayed in Exhibit 1. Due to the nature of subject, we conducted a qualitative research method. Our findings are derived from the in-depth interviews that we conduct with limited number of angel investors in Aegean Region. Also from our literature review, we could realize that previous researches' findings depend on qualitative research techniques to better understand the characteristics of angels.

Exhibit 1: A Model of Angel Investment Process



Source: Paul, Whittam, & Wyper, 2007

Major limitations to our study could be listed as (1) limited data and information about business angels released to the public, (2) unwillingness of business angels to be known or found by others, (3) investments done by angels are generally not recorded or not wanted to be recorded, (4) limited availability of contacts of business angels reached, (5) short time of business angel history in Turkey, and (6) limited number of formal angel networks in Turkey.

## **Our Findings**

### ***How Angel Investors Decide?***

One of the main reasons triggering angels to invest is the return on investment they make. However, this is not the only motivation to get them invest on new entrepreneurs. As a result of our interviews with business angels, other factors motivating them to support entrepreneurial activities could be listed as followings:

Fostering entrepreneurship in Turkey to develop employment opportunities for the new generations. Cardon (2009) explains this as "the passion of entrepreneurship".

Fostering innovation and creativeness to enable sustainability in Turkish economy.

Being in a dynamic, energetic, and exciting atmosphere to enhance life experiences.

Being in an atmosphere where mutual learning – angel mentors entrepreneur, while entrepreneur provides innovative and creative ideas - occurs.

Supporting social entrepreneurship to provide benefits for the society.

Those projects that are nationally and internationally differentiate themselves attract the motivation of angels.

Developing more on their own business.

Fostering technological developments in Turkey to be able to produce our own high-tech products.

The stage of entrepreneurship (mostly the beginning stage or start-ups are supported) and the sector (those sectors the angel has experience mostly preferred to be invested) where it relates.

As Van Onasbrugge and Robinson (2000) evaluated the factors affecting investment decisions of angel investors in three categories, our findings show that angels have economic, social, and personal motivators while deciding on investments. Vance (2005) says that there are 4 basic factors that angels consider while investing, (1) Characteristics of entrepreneur, (2) Features of project, (3) Content of deal they make with entrepreneur and (4) Individual expectations of angels from both entrepreneur and project. When we review other findings of researches done on this subject, we see that personal motivators also have an important role on decision making process (Wetzel, 1982; 1983). Etziolini (1988) in his study pointed out that angels are driven by others' pain/hardships as much as their own interests while investing on a projects. Wiltbank, et al. (2009), has found out that angels take important roles on management, marketing, and decision processes along with financial supports. They also support the entrepreneur within the borders of their experiences and know-how. Sudek (2007) in his study, states that angels also act as full or part-time consultant.

### ***How Angel Investors Help Entrepreneurs to Actualize Their Idea?***

Angels' main role could be identified as, to decide how much to invest, how much to own in the investment return/management, and how much funding and what kind of sourcing to obtain in later stages of invested projects (Elitzur & Gavious, 2003). However, they might have different roles further than those.

Especially those angels, who would prefer to be actively engaged in the project, help entrepreneurs to bring their projects into action from different aspects other than financial funding only. Our findings about the subjects they help are as the followings:

Our first observation gathers around managerial and mentoring activities that angels provide.

At the beginning stages, one of the investors state that they were engaged in daily managerial activities but as the business grows, angel could only act within managerial boards as mentor and controller.

Another angel states that, he helps preparing business plans, tracking of processes, internal auditing, and management issues.

Another says, "rather than daily activities, I play at the backstage as a mentor on business strategies and managerial issues, but this also depends on capabilities of entrepreneur. Watching from behind and mentoring accordingly is my major role."

Our second observation gathers around the benefit angels provide on marketing & sales activities.

Most of the angels have commented on this subject as they mainly help with strategic decisions of marketing activities, preparing marketing strategies & marketing plans, conducting PR activities, and finally they allow entrepreneurs to benefit from their network.

Our third observation is on business knowledge, expertise, and network of angels. Angels mostly prefer to invest on sectors that they have previous experience, they are familiar with. Therefore, they do not hesitate to share their know-how with entrepreneur to better develop and have positive returns on investments they make.

Our fourth observation shows that angels also consider later stages & sustainability of projects, and make effort to help entrepreneurs reaching proper sources of funding, financial help, incentives, and other supports provided for start-ups such as KOSGEB incentives etc. Most of the angels state that they actively follow news on incentives and different kinds of financing alternatives available on the sectors, and then inform entrepreneurs to benefit from those alternatives.

Our last observation is about the human resource of projects. As we state in our third observation, angels make available their networks to the entrepreneurs. These networks are also useful in terms of HR perspective of start-ups. Angels are also providing proper employment of key people to the required positions. One of the angels says, he especially acknowledges that a strong team would overcome many difficulties and uncertainties, therefore he proposes possible candidates to the key positions. Another angel goes a bit further and says that they have active role on employment processes such as review of resumes, interviewing the candidates, and giving orientations to the filled positions. However, some angels prefer not to intervene with this issue a lot, and leave the team building to the entrepreneur.

Our findings are also supported by other research findings. Angel investors, are not only provider of financial resources, but also they share the information necessary for the entrepreneurs (Kuratko, 2009). Angel investors act as management support and trainer, and are also effective in decisions taken on important issues (Sakaryali, 2014). Angel investors provide benefits to entrepreneurs from their own network, take part in management, recruitment and training and actively involved in the supply of resources (Karabayir, et al. 2012). Angel investors are successful entrepreneurs who are looking for different investing fields, and business ideas (Osnabrugge, 2000). They are also considering the personal qualities and characteristics of the entrepreneur (Harrison and Mason, 2002). Angels also may help solve major operational problems, evaluate capital expenditures, and develop the company's long-term strategy. They may often take a formal position as a paid part-time or full-time consultant to the firm (Prowse, 1998).

### ***Main Findings on Characteristics of Angels***

From our findings we could define different profiles of angel investors:

One of the profiles would be profit seeking angels who actually consider the return on investment more than any other motivating factors to invest. They pay more attention on financial return in short term (1 or 2 year) or growing their own businesses. Their first concern would be the break-even point in assessment process of project rather than other benefits to the society or economy. They take no chance on risky projects, and they do act according to concrete pictures. If they realize that the project will be profitable in the long run, they prefer to hold major ownership and control of project, thus take most of the profit.

Second profile would be opportunistic angels who always seek out different and innovative ideas/projects to invest on. Those angels generally follow trends and dynamics of market, and search for entrepreneurs that make themselves remarkable on this market. While doing this, angels use different kinds of channels such as national/international entrepreneurship resources such as Wall Street Journals, etc., news from pioneer schools and universities on this subject, websites, blogs, conferences, fairs, etc.

Third profile would be active angels who take part in the organization as if they are the entrepreneur. Those angels help entrepreneurs at almost every issue from management to the marketing, recruitment, PR, accounting/financing, and consultancy. They become simply a part of project and try to enhance it further as well as sustainability. However, we could not define an opposite of this term for angels as passive in Turkey because, this term could be confused with sponsorship. Prowse (1998) defines passive angels as those who provide only money and rarely monitor the firm closely. For Turkey, this is very rare that we could say even do not exist, because most of the angels wants to be informed and aware of current position of their investment. Therefore, they actively take part in at least management. Passive angel definition could be match with sponsorship term in Turkey, because sponsorship organizations or bodies do not take part in any activity after they give financial support to the start-ups.

Our last profile would be risk taker angels who invest on new/untried ideas. Angels state that they find exciting to give chance for untried ideas, which they also think it would survive in the market. Angels are also aware that those ideas that have been tried before have low margins, low return, strict entry rules, and low share among market. Therefore, taking their chance on new start-ups is most preferred by angel investors. Also the statistics of fear of failure, and risk taking from Oracle Capital Group's 2014 report supports that both angels and entrepreneurs are generally fit into this profile.

## CONCLUSION AND COMMENTS

From our literature review and findings, we see that angel investment ecosystem is recently developing in Turkey, and more effort on this area is needed to catch up with developed countries. There are various advantages of angel investing for the economy and entrepreneurs such as providing added value and providing mentorship to the start-ups as well as financing. On the other hand, it might also be disadvantageous if the angel is to be profiteer, harming the creativeness and sustainability of projects along with discouraging entrepreneurs.

We see that there are different profiles of angels in business angel ecosystem in Turkey. This is could also be harmful and confusing for the entrepreneurs to find the right angel investor for actualization of their projects in a way that they missioned. For example, the social entrepreneurs would be taken to different points if they could not match with the correct angel profile, when as those projects could be beneficial for the angel, the entrepreneur, and the society.

Other important issue is the sectors that angels focus on. We see that angels follow the investment and entrepreneurship trends nationally and internationally. This is very advantageous for the entrepreneurs to be more creative and different from others. However, here there exist some ignored areas such as environmental issues. Most of the angels focus on technology investments but ignore agricultural and environmental issues of future. When we consider that there will be extinction of species, limited resources, and environmental problems, angels should also direct their investments on those kinds of entrepreneurial projects.

According to our findings, angels have active roles on helping entrepreneurs to make their projects actual and profitable. There are different areas they help such as management, marketing, mentoring, and so on. Those are important for the entrepreneurs because they will be like a child in a sea for the first time when they enter into the market with their projects. Angels are like swimming trainers for those entrepreneurs. Therefore, those benefits provided by angels are very essential to the survival & sustainability of projects. If those benefits are properly utilized by entrepreneurs, it will probably double the return of investment and satisfy expectations of both parties.

Today, it is easier to reach investors or entrepreneurs since the networks and contact channels are very developed with the technology. There are different platforms that make it available to meet with angel investors and entrepreneurs. Some of those platforms are e. g. conferences, competition events, fairs, web sites of angel networks. Therefore, angels and entrepreneurs should follow those kinds of meeting points for correct matching.

As Exhibit 1 display, there are different stages that entrepreneurs and angels pass through. However, this process is more informal in Turkey. Those stages are not exact and lived during the actualization of projects. Also those stages would have different life-time according to the matching of parties. If entrepreneur is matched with the appropriate angel, this stages and time would be lessened. Therefore, entrepreneurs should be careful while selecting their angels or vice versa.

Our suggestions for the entrepreneurs would be to carefully analyse expectations and capabilities of angels. They should be demanding and aware of their own competitive advantages when compared to their rivals. They should prepare realistic business plans that clearly present future of project to convince angels for investment decision. They should carefully consider motivating factors for angel investors as we state in our findings.

This study is an escalator to form a proper model of angel investors decision processes in Turkey because the ecosystem of angels differ from other countries in terms of cultural aspects. Therefore, these aspects are important to be studied for a better understanding of this ecosystem. This subject is important to be understood because it carries huge importance for the welfare of country as well as society in terms of fostering employment and innovative entrepreneurial ideas that would reveal societal benefits.

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## The Concept of Moderation within the Context of Leadership in Malaysia

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### Abstract

Leadership is an important aspect in a country's development and shaping of its society. The advancement of a nation is dependent on its leadership. With that in mind, this article aims to shed light on the concept of moderation from the perspective of the leadership of Malaysia's Prime Ministers. The main focus of this study is the concept of moderation utilised by Dato' Seri Mohd Najib Tun Razak's leadership through aspects such as politics, economy and social. The methodology used in this study is document analysis and historical research, which enabled us to obtain complete data. The results of this study show that the concept of moderation does indeed exist in his leadership, in his quest to bring the nation on par with other developed countries.

**Keywords:** *moderation, leadership, Malaysia, Prime Ministers*

### Introduction

The ultimate mandate of a leader is to provide an environment conducive for his people in a fair and just manner, preventing any untoward circumstances so that the nation and its people will remain in a state of well-being. Malaysia is a multi-racial country with over 200 ethnicities; with Malays, Chinese and Indians being the majority of the country's population (Abdul Rahman, 2010). With that said, each leader has his own way of propelling the country towards achievements on the political, economic, social, education and safety front; and this indirectly harmonizes racial relations through the concept of moderation. This is down to the fact that the concept of moderation is responsible for providing balance in all aspects of human life and can be implemented in activities of daily living for the betterment of the nation's development.

Good leadership is one which is thorough and intelligent in carrying out responsibilities especially with regards to racial sensitivities. Otherwise, disunity will occur and tarnish the nation's reputation. Leadership and management responsibilities at the individual, family, society and national level are all borne by the leaders. The success and advancement of a nation relies heavily on its leadership style (Abd Ghani, 2011). Successful leadership has the ability to influence an individual's behaviour; with the purpose of giving out orders, providing guidance, and maintaining the strength and unity of an organization with solid competency.

### Definition of Leadership

Leadership is a vital aspect in the development of a nation and is given great value, both by the Islamic and Western communities alike. Muslim scholars agree that leadership is one of the pillars of religion. A task is deemed as incomplete without the presence of leadership (Hamzah, 2010). So much so, that the Prophet Muhammad PBUH has urged that a leader be appointed even in a group of few persons, as evident in his Hadith: *When three persons set out on a journey, they should appoint one of them as their leader*. Apart from that, Islam also lays out a leadership hierarchy and mandate as follows:

*Surely! Every one of you is a guardian and is responsible for his charges: The Imam (ruler) of the people is a guardian and is responsible for his subjects; a man is the guardian of his family (household) and is responsible for his subjects; a woman is the guardian of her husband's home and of his children and is responsible for them; and the slave of a man is a guardian of his master's property and is responsible for it. Surely, every one of you is a guardian and responsible for his charges.*

In Islam, leadership is a mandate given to an individual to manage a group or an organization (Haddara & Enanny, 2009). A leader neglecting that responsibility will ultimately have a negative impact towards the governing of his nation. With that

being said, leadership is not something special that should be fought over because it is in its essence, a mandate. The Prophet Muhammad PBUH once reminded Abu Dhar al-Ghifari (whom had asked for a position of leadership), which translates to:

*Abu Dhar, thou art weak and authority is a trust. And on the Day of Judgment it is a cause of humiliation and repentance except for one who fulfils its obligations and (properly) discharges the duties attendant thereon* (Muhamat, 2010).

Leadership is not something to take lightly because it involves an enormous responsibility put by the people on an individual's shoulder to govern the country towards becoming a developed Muslim nation. Islam outlines 5 major responsibilities in leadership which are: upholding Islamic principles, protecting the *Karamat al-Insan* (human dignity), prospering the earth, upholding justice and *Islah* (reform) which is essentially the improvement of society via appropriate means.

According to *Kamus Dewan* (the official Malaysian authorized dictionary for the Malay language), the meaning behind leadership is *the ability to lead*, where the term 'lead' is synonymous with 'guide', 'direct', and 'propel'. Meanwhile, the term 'leading' is synonymous with 'guiding', 'captaining', 'heading' and 'propelling' (Baharom, 2007).

On the other hand, the Western world defines leadership as the process by which an individual influences a group of people to achieve a common objective (Northouse, 2011). There are a number of scholars whom shed light on the meaning of leadership, including Charles Handy. He defines leadership as having vision and mission, and awards points for the tasks accomplished (Karimi, 2007). Furthermore, quoting Joanne Ciulla (2004), leadership is not actually a person or a position, but rather a complex moral relationship amongst humans based on shared trust, commitment, emotions and vision.

Leadership can be further defined as follows:

The effort of influencing an individual or a group of individuals to complete a task in order to achieve a certain objective.

An individual's behaviour when he is instructing a group activity towards a common aim.

The art of forming relationships between individuals with multiple groups of people which directs them towards a planned objective.

An effective and influential leadership style (al-Qiyadah al-Mu'assirah) is shown through its leader's actions. Its effect and influence is not prominent through debates and discussions, but rather through the behaviour and attitude of the leader themselves. The end result is an accomplished endeavour which leads to productivity that is worthwhile.

### **The Concept of Moderation in Each of the Nation's Leaders' Approach**

The advancement of a nation is dependent on the leadership style of its head of state. Only the best policies and agendas are handpicked by the leaders to allow the country to continue prospering without conflict. The best approach is utilized to ensure that the citizens' rights are protected, in accordance with evolving circumstances. Such is the approach taken by the first Prime Minister of Malaysia, Tunku Abdul Rahman Putera Al-Haj, to realize the dream of turning Malaysia into a developed nation that is able to keep up with the times. The affectionate nickname 'Father of Independence' is more than relevant considering the undertaking that he spearheaded which earned Malaysia's freedom as an independent and sovereign nation. The talks which he participated in spared any bloodshed. Truce was achieved with the British, and Malaysia gained its independence on 31<sup>st</sup> August 1957. As the Prime Minister, his hope for the people in preserving of the nation's independence is captivated as follows:

*All people must feel that there is room for them in our country and that we can all live in peace with one another, provided of course that we respect one another's rights, and provided, too, that we realize we owe duties to one another for the good and well-being, the progress and happiness of our country, Malaysia.*

That speech given by him shows how much he valued peace and harmony. He urged the Malaysian people to always work together and help each other despite contrasting backgrounds. Furthermore, he emphasized tolerance and respect to encourage harmony within a multi-ethnic community (Abdul Rahman, 2010). Racial relations became the core of all his future undertakings where the nation's growth and development were concerned.

After achieving independence on 31<sup>st</sup> August 1957, racial unity was stronger than ever. Needless to say, it is evident that Tunku Abdul Rahman, the nation's highest ranking leader at the time, played a key role in terms of racial unity. This is echoed by Tan Cheng Lock whom commended Tunku as being 'a leader of the people' despite his royal heritage. As the

nation's leader, Tunku realized that independence could only be achieved through cooperation between all the races in Malaysia. Hence, he formed a political party known as the Alliance Party which comprised UMNO, MIC and MCA. The alliance of these 3 political parties convinced the British to end its colonization of the Malayan Union. This early racial unity initiated by Tunku became the basis for future post-independence racial relations in Malaysia. This would later on become the core of the leadership of his predecessors (Hussin, 2009).

The tenure of the second Prime Minister, Tun Abdul Razak Hussein who was in office from 1970 until 1976, brought forth many developments for the nation, especially with regards to education. <sup>1</sup> He was a leader willing to serve the people and his nation with a lifetime of servitude. This was evident in his life principle to 'serve the people and country at all times.' From those words alone we can conclude that he was a leader who always put the people first, and his decisions always took into account their interests without jeopardizing their rights.

In the years leading up to independence, a consensus arose amongst all the nation's leaders that a comprehensive national education system was necessary to fulfil the needs of the country. Thus, the National Education Policy was born through the 1956 Razak Report and was made a part of the 1957 Education Ordinance. <sup>2</sup> Then, a committee was appointed to study the policy to ensure that it was adequate enough to nurture a united and disciplined people; so that skilled manpower would be available to enhance the nation's development. It was also a means of inculcating national unity and integration (Abdullah, 2008).

Apart from prioritizing education, Tun Abdul Razak also put great emphasis on racial relations due to the nature of the nation's demographics. To maintain harmony and peace within the country, especially after the May 13<sup>th</sup> 1969 incident,<sup>3</sup> he took drastic action such as suspending Parliament, declaring a state of emergency and founding MAGERAN to govern the nation on a temporary basis. He also introduced policies which strengthened ethnic relations such as the New Economic Policy, the mandatory use of Bahasa Malaysia in the education system and the National Principles (Rukun Negara), among others. All those policies had one common goal: to protect the racial sensitivities of the citizens so that such an incident will not repeat itself.

After Tun Abdul Razak's term in office ended, he was replaced by Tun Hussein Onn. <sup>4</sup> He was a strict but fair leader, and continued to implement Tun Abdul Razak's policies starting from 1976. He was also the brainchild of a number of important changes that helped shape the nation's development and protected the people's interests. In a speech he said, *I am not necessarily an important person for the country, but what is important is what I do for the country*. This clearly proves how highly he values the people and country which he serves, and he always took into consideration the input of others before finalizing a decision.

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<sup>1</sup> He was a nationalist, political leader, elite member of the Malay community and a diplomat whom embodied the Malay spirit. Throughout his 7 years governing Malaysia, many efforts were done for the prosperity of the people. Among the aspects that he emphasized include stabilizing the economy by introducing the New Economic Policy. Hence, he is referred to as 'The Father of Development' for the many changes which he brought upon the nation for the sake of its advancement. See Faridah Jaafar, 2007, *Perdana Menteri dan Dasar Luar Malaysia 1957-2005 (Prime Ministers and Malaysia's Foreign Policies 1957-2005)*, Kuala Lumpur, Penerbit Universiti Malaya, p.55.

<sup>2</sup> The objective of the National Education Policy is to fulfil the nation's needs and encourage the growth of culture, social, the economy and politics. See Zabri Zakaria, 2010, *Peralihan Dasar Perdana Menteri (Transition of the Prime Minister's Policies)*, Kajang, Time Edition, p.4.

<sup>3</sup> On the ill-fated date of May 13, 1969, a tragic event took place, considered as a dark cloud over the nation's history. The racial conflict that broke out led to the loss of lives and property. It was associated with the 1969 General Election and was the peak of racial disunity in Malaysia. During that year's elections, many sensitive issues were brought up such as the national language, the special rights of the Malays and citizenship of the non-Malays. In the 1969 General Election, the Alliance Party failed to gain a two-thirds majority in the House of Representatives, while DAP and the Malaysian People's Movement Party (Parti Gerakan), whom had won 25 seats, held a demonstration in the streets of Kuala Lumpur which insulted the Malays. This offended the Malays deeply, and UMNO retaliated by holding a demonstration of their own to oppose the insulting actions of DAP and Gerakan. In those tense and emotional moments, the incident of May 13, 1969 took place; a breaking point for the years of suppressed conflict dating back even before 1969. See Abdullah Md. Zin & Khairil Annas Jusoh, 2012, *Pendekatan Wasatiyyah dalam Menghayati 1Malaysia (A Wasatiyyah Approach in Embracing 1Malaysia)*, Kuala Lumpur, Kasturi Jingga Sdn. Bhd., p.19; Mohd Fitri Abd Rahman & Mohd Foad Sakdan, 2013, *Konflik Politik Perkauman: Strategi dan Penyelesaian Cara Malaysia (The Conflict of Racial Politics: Malaysia's Strategy and Solution)*, Kuala Lumpur, Dewan Bahasa dan Pustaka, p.53.

<sup>4</sup> Tun Hussein Onn was known for his emphasis on unity. He also gave a lot of importance towards respecting the law. Starting out as a practitioner of law, he then switched to politics. As the Prime Minister, he protected the people's interests especially in combating bribery to ensure that the nation's legislature and development are accounted for. See Hamidin Abd. Hamid, 2006, *Tun Hussein Onn: Bapa Perpaduan (Tun Hussein Onn: Father of Unity)*, Kuala Lumpur, Arkib Negara Malaysia, pp.138-139.

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Among the many efforts undertaken by Tun Hussein Onn is instilling among the people the mentality of being thrifty with their spending and saving money. He knew that this would certainly be the backbone of the country's economy via the New Economic Policy. Production of raw material such as palm oil, rubber, timber, tin ore and petroleum increased dramatically. The Third Malaysia Plan (*Rancangan Malaysia Ketiga*) gave much emphasis on agriculture and industrialization, aside from using education as the propelling force for the nation's advancement. Like the Prime Ministers before him, Tun Hussein Onn also gave utmost importance to the rights of each race in Malaysia. In other words, national unity is vital for the country's future aspirations to transpire. Bearing that in mind, the Board of National Unity founded in 1974 was revamped and refocused to create a united, fair and progressive community in line with the National Principles. He also gave a lot of attention to the concept of *Rukun Tetangga* (literal translation: Neighbourhood Association), which he believed could close the gap between citizens of different backgrounds and religion.

He also made Bahasa Melayu the official language, a move which was said to be the stepping stone towards the formation of the nation. He believed that language could be used as a tool to unite rather than divide. Aside from implementing domestic policies, he did not neglect to set in motion many plans to strengthen international bonds. Being at the helm of leadership, he continued the Non-Aligned Policy in the context of Malaysia's Foreign Affairs; and he always emphasized the Principle of Common Peace (*Prinsip Keamanan Bersama*), which is essentially to respect the rights and sovereignty of a state, being non-aggressive, not meddling with the affairs of a state, achieving common benefit and common peace (Abd. Hamid, 2006).

Tun Hussein Onn's steadfast approach can be clearly seen through his efforts to ensure inter-ethnic unity, political stability and the everlasting of the nation. It is only fitting that he was given the affectionate nickname of "Father of Unity" due to his strong emphasis on the spirit of nationalism.

After Tun Hussein Onn's time in office for almost 6 years, the nation's leadership was then continued by Tun Dr. Mahathir Mohamad whom held his position for an unprecedented 22 years as the fourth Prime Minister of Malaysia.<sup>1</sup> Under his tutelage, Malaysia progressed towards an era of being a developed nation. Tun Dr. Mahathir was known as the "Father of Modernization" because ever since the beginning of his term in office, he propelled the nation towards achieving the status of a developed nation. Many efforts were taken to bring Malaysia on par with other developed nations. In terms of economic growth, he introduced a clear paradigm shift which transformed Malaysia from an agriculture-based nation to an industrialized nation with global trading power. According to this new policy, each state was instructed to initiate industrial programs by providing sites for light and medium industries, finding external investors and upgrading the infrastructure. This environment made it possible to develop those areas and provide many jobs for the local and international workforce.

Among the many accomplishments of this innovation magnate is founding the nation's very own car manufacturer, Proton. As of today, Malaysia is capable of creating new car models via collaboration with the Japanese. The introduction of the Multimedia Super Corridor emphasized IT as an asset for the people that ensured the future-proofing of the nation. The construction of Putrajaya, the Petronas Twin Towers and others is proof of his commitment towards the development of the nation and its people. The incremental use of technology directly improved the nation's income generation capacity.

As a developed nation, Tun Mahathir Mohamad planned an agenda to transform Malaysia into a fully industrialized nation by introducing Vision 2020.<sup>2</sup> Vision 2020 not only covers the aspect of economy but also politics, social, spiritual, psychology and national unity. It aims to create peace, protect racial pride and prevent oppression. Within Vision 2020, he outlined nine main objectives that have to be constantly achieved without fail.

Being tasked with spearheading a multi-ethnic society, Tun Dr. Mahathir was very adept in matters concerning unity. He was quite worried with the racial divide that was occurring where the people would only stick with their own kind and would

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<sup>1</sup> He became the fourth Prime Minister of Malaysia on July 18, 1981. A prominent political figure, nationalist and international leader; known for his intuitive ideas, controversy and strict principles. During his leadership, Malaysia was heralded as a rising power in international politics trying to advance with a global-based industrialized economy, as well as knowledge of science and technology. See Ramlah Adam, 2004, *Pemikiran Tun Dr. Mahathir Mohamad (The Mind of Tun Dr. Mahathir Mohamad)*, Malacca, Institut Kajian Sejarah dan Patriotisme Graha (*Graha Institute of Historical Study and Patriotism*), IKSEP, p.17.

<sup>2</sup> The nine objectives of Vision 2020 are: to create a united people; to create a people whom are free, devoted to their nation, believe in themselves and admired by others; to form a mature democratic society; to construct a society which can be modelled after in terms of ethics and attitude; to create an advanced and scientific society; to create a loving society; to create a society whom are economically fair; and to create a dynamic society capable of competing with others. See Harlina Ismail, 2008, *Wawasan 2020 (Vision 2020)* in Yusof Ismail (ed.), *Dasar-dasar Utama Kerajaan Malaysia (Major Policies of the Malaysian Government)*, Kuala Lumpur, A.S. Nordeen, pp.203-204.

think lowly of others from a different group. Thus, he encouraged the abolishment of these ethnic groups by organizing public events that gave a chance for the people to mingle and interact. He saw that the situation was still under control and was in good shape.

This effort to cultivate racial unity was continued by Tun Abdullah Ahmad Badawi.<sup>1</sup> Since the beginning of his leadership, he emphasized the importance of ethnic relations and made it a national agenda with the belief that good ethnic relations would serve as a strong foundation for the nation's development. He made evaluations based on the concept of moderation. He believed that being moderate and respecting others would go a long way towards solving any problem (Anon, 2009). He called upon all parties to play their part in bringing life to the spirit of nationalism in order for all conflicts to be resolved and the development to be achieved.

Apart from focusing on the aspect of unity, he also gave emphasis on economy-related issues. The national mission under the Ninth Malaysia Plan (Rancangan Malaysia Kesembilan) shows the attention he gave towards improving the citizens' quality of life in the midst of domestic and foreign competition. In one of his speeches he said:

*The institutes of Wakaf (religious endowment) and Zakat (Payment made annually under Islamic law on certain kinds of property and belongings and used for charitable and religious purposes) should work hand in hand as a vital mechanism to ensure the prosperity of Muslims, especially to release them from poverty.*

Despite prioritizing Muslims, he did not neglect the rights of the other races such as the Chinese, Indians and others who dwell in this country. Fairness and justice is the core of the responsibility held by a nation's leader.

Another transformational agenda brought forth by Tun Abdullah Ahmad Badawi is "Islam Hadhari" which aims to convince the Malaysian people that Islam should be the epicenter of future undertakings to ensure the nation's success. It was also used as an approach to repair the stigma that the global community had towards Muslims post-September 11, 2001 (Pandian, 2007). The stereotype of Islam being violent and inhumane was successfully abolished through debates and talks which allowed the Western world to familiarize themselves with Islam on a deeper level. This undertaking certainly proves that he was a man of moderation in carrying out his role as the nation's leader, despite holding the post for only three years.

After Tun Abdullah Ahmad Badawi resigned in April 2009, Malaysia was then spearheaded by Dato' Seri Mohd Najib Tun Abdul Razak. He introduced the 1Malaysia Concept (*Gagasan 1Malaysia*). This concept is actually a continuation from his two previous predecessors, Tun Dr. Mahathir Mohamad and Tun Abdullah Ahmad Badawi, whom focused on transforming Malaysia into a developed nation through the formulas of Vision 2020. The already prevalent unity of this nation needs to be strengthened to create an environment of progressiveness, peace and security. Ensuring national security and political stability will encourage the birth of a more dynamic economy for the country. Mutual respect needs to be inculcated within the people, while negative values such as suspicion, doubt and discontentment should be eliminated; because the truth of the matter is each and every race is already given their due rights.

To realize the 1Malaysia Concept that was introduced in April 2009, he also launched another agenda: the concept of *Wasatiyyah*, which means balance, justice and moderation. This was done to repair the negative perception that outsiders had about Islam, and indirectly create a mutually respectful society regardless of faith (Zakaria, 2010). Such an effort is vital in preventing division amongst the people which would allow outside parties to meddle with the country's affairs.

It is therefore evident from the efforts of the nation's top brass that they always put the people's interest first and foremost. They assume the path of a moderate approach so as to protect the sensitivities and rights of each race to avoid unwanted incidents. The concept of moderation existing throughout each Prime Minister's leadership showcases Malaysia as a nation governed with good judgment calls. In one of his speeches, the President of the United States of America heaped praise on how Malaysia is able to stay on course as a developing and progressive Muslim country while still maintaining its integrity. This serves as proof that Malaysia's leaders are actually very responsible in carrying out the people's mandate,

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<sup>1</sup> Tun Abdullah Ahmad Badawi was appointed as the fifth Prime Minister of Malaysia on October 31, 2003, replacing Tun Dr. Mahathir Mohamad. His leadership lasted three years. In one of his first speeches as the Prime Minister, he said, "I am deeply humbled by this responsibility which requires me to carry out my duty with trust, honesty, efficiency and fairness. I am aware that I will be evaluated by dignitaries, by the people, and most importantly, by Allah the Almighty." See Chamil Wariya, 2004, *Abdullah Ahmad Badawi: Perjalanan Politik PM ke-5 (Abdullah Ahmad Badawi: The Political Journey of the Fifth Prime Minister)*, Kuala Lumpur, Utusan Publications & Distributors Sdn. Bhd., p.237.

while governing and propelling Malaysia to be on par with other developed nations. Most of the agendas and policies put in place by the Prime Ministers are for the purpose of uniting and nurturing the community to ensure a smoother path for future developments to be implemented. The political stability and economic growth has enabled Malaysia to be at the forefront of all aspects of development rather than playing catch-up behind other nations.

### **The Concept of Moderation in the Current Malaysian Leadership**

Malaysia is a country blessed with political stability, economic growth and a harmonious socio-cultural environment. As a developing nation heading towards the status of a developed nation, Malaysia remains steadfast in its mission by strengthening diplomatic relations with foreign countries to ensure more stability for itself. Currently, Malaysia is being led by a leader who puts great emphasis on the needs and wants of the country. This leader is none other than Dato' Seri Mohd Najib Tun Abdul Razak himself.

Since being appointed as the nation's highest-ranking official, he has been focused on the major issue at hand: unity; without neglecting other aspects of the country's governance. Amongst his agendas are the 1Malaysia Concept which outlines the principle of "People First, Performance Now", the concept of "*Wasatiyyah*" and others. The 1Malaysia Concept was a strategic plan introduced to instigate a united Malaysian race comprising of diverse ethnicities, religion and culture.

Through the implementation of the 1Malaysia Concept, the people's interests will always be protected regardless of religion or faith. Positive core values and mutual respect must be evident in society to avoid suspicion and doubt, more so because each race has the benefit of receiving equal rights and opportunities. However, the status of Islam as the official religion must not be questioned. This protects Islam as the official religion of this country, while giving freedom to citizens from other religions to practice their faith freely in a peaceful environment without restrictions.

The same holds true for the concept of *Wasatiyyah*, where Islamic norms are not neglected and devotees of various other faiths are given a chance to see that Islam is a truly universal religion. This gives security in all aspects of life within a society, more so when other races are involved. In line with the slogan 'People First, Performance Now', the concept of *Wasatiyyah* will bring forth more a comprehensive and universal Islamic teaching that is well-balanced in its quest to meet the country's diverse needs; which will ultimately turn Malaysia into a developed, tolerate Muslim nation to be modelled after by others (Abdul Razak, 2010).

Dato' Seri Najib also mentioned in a speech that according to verse 134 of *Surah al-Baqarah*, Muslims are deemed to be a people of moderation (Ummatan Wasatan), i. e. moderate in his approach, not being overzealous or extreme in the practice of his faith, virtues and deeds concerning both this world and the hereafter. Islam teaches its devotees to be balanced in all regards, controlling oneself not to indulge too much or too little. Thus, the concept of *Wasatiyyah* or moderation is very much applauded and encouraged by Islam, where doing too much is considered extravagant and doing too little is considered careless. Muslims must also not be too rigid or extreme, nor can they be too free without any self-restraint.

Furthermore, the Government Transformation Program has been continually improved in a mission to create a developed society with high income by the year 2020. This program is implemented through 7 National Key Result Areas which put the people's interest first, by means of reducing crime rate, improving infrastructure in rural areas and increasing the income of the poor. As a result, the people's quality of life and standard of living has improved, the nation's economy has grown exponentially and the country's finances strengthen by the day.

Dato' Seri Najib Tun Abdul Razak also strengthened diplomatic relations with "trading partner" countries such as China, Singapore and the United States of America. Such a policy was carried out to protect the nation's political, security and economic interests, among others. It also encouraged tolerance and cooperation between Malaysia and its foreign counterparts, which led to a more structured relationship with the international community. Among the other efforts which he masterminded include, but are not limited to:

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<sup>1</sup> The 1Malaysia Concept is based on eight core values which are: a culture of excellence, resilience, humility, acceptance, loyalty, meritocracy, education and integrity. See Ismail Ibrahim, 2013, 1Malaysia Dari Perspektif Agama: Islam dalam Perlembagaan dan Amalan Umat Islam Malaysia (*1Malaysia from a Religious Perspective: Islam in the constitution and the practices of Malaysian Muslims*) in Mohd Sohaimi Esa, Ismail Ali, Dayu Sensalu & Lai Yew Meng (eds.), *Gagasan 1Malaysia: Isu dan Cabaran (1Malaysia Concept: Issues and Challenges)*, Kota Kinabalu, Universiti Malaysia Sabah, p.1.



Malaysian Education Development Plan.  
1Malaysia People's Aid (Bantuan Rakyat 1Malaysia).  
1Malaysia Book Voucher.  
1Malaysia People's Housing Program (PR1MA).  
Urban Transformation Center (UTC) and Rural Transformation Center (RTC) (Omar & Mukhtaruddin, 2010).

Implementing short, medium and long-term strategies that were outlined for the sake of the people's prosperity is no easy task. Many challenges had to be overcome before the plans became reality. Among the challenges faced include having to deal with a small minority of the population whom were religious extremists, unwilling to accept racial diversity, intolerant leaders within certain racial groups and the difficult task of creating an atmosphere of tolerance between different racial groups under the same political party.

Despite those obstacles, Dato' Seri Mohd Najib managed to carry out his duty as the leader of the nation and found effective solutions for those problems. For example, he himself along with the President of the Philippines, Benigno Aquino III, became important witnesses during the signing of the peace treaty between the Philippines government and the Moro Islamic Liberation Front (MILF), an event held in Malacanang Palace, Manila. That treaty is the epitome of Malaysia's success as the gatekeeper during talks between the Philippines government and MILF. Even so, humanity has now entered a modern era of globalization and a world without borders. The instantaneous flow of information technology has changed the way society thinks and acts, which directly affects efforts to solidify the nation and its people. Whatever the case may be, with meticulous planning and proper execution, all challenges can be overcome, one step at a time.

The core of this formula is cooperation between all parties involved regardless of position and embracing the spirit of moderation. This mentality does not intend to create a society of mediocrity and conformity, but rather a society that is well-balanced and fulfils its potential. Any problems or hurdles must be tackled head on with that concept in mind, for the sake of strengthening the state of the nation as well as formulating policies that have a clear direction with respect to the governance of the country in terms of politics, social and economy.

## Conclusion

Each leader has their own unique leadership style when it comes to implementing policies that determine the nation's path. Even though policies are renewed and revamped with the change of each new leadership, the agenda of transforming Malaysia into a developed country by the year 2020 remains the same. Based on this study, each of those leaderships embodied the spirit of moderation and succeeded in creating a nation of peace, harmony and cooperative citizens.

Such is also the case with Dato' Seri Mohd. Najib Tun Abdul Razak's current leadership. He is also imposing the concept of moderation when executing his policies. His policies lean toward the formation of an identity and culture for the society without neglecting the nation's interests in all aspects of life. Despite heavy opposition and challenging obstacles, he utilized the concept of moderation as the gist of his approach without diminishing Islamic principles and still protecting the rights of non-Muslims. The development of the nation will remain well-balanced if it continues to be incorporated with religion and positive virtues. Religion will play a major role in preventing the nation, especially its Muslim citizens, from being easily influenced and intoxicated by the sea of development, modernization, globalization, nationalism and patriotism up to a point where it becomes extreme, extinguishes the positive core values and oversteps religious boundaries.

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## Social Policies for Children and the Albanian Reality

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### Abstract

Throughout this work, social policy will be treated as a concept. The way it is perceived in time, how it has evolved as well as the definitions given to social policy. As a result of different definitions, we will have to consider public action on social issues and actors responsible for the implementation of these policies within the relevant structures. Having intended to treat children in the country who occupy social policies undertaken by public authorities, we will need to analyze the dimension of the child in society and various social perceptions of the image of the child. In a context of difficult socio-economic and political conditions in Albania, we will need to consider the legal framework, the mechanisms and social policy provisions that are child-centered and more specifically a child protection system. The legal framework analysis will be discussed at two levels: on national and international level. Not only the laws promulgated in the Republic of Albania, but also all the agreements ratified at the international level will be taken under study. To be more objective in assessing the impact of social policies focused on child protection, a valuation report carried out by experts of the Council of Europe will be referred. Throughout this report, the evaluation was conducted on the existence of structures of the social protection system and the effectiveness of their operations. The report comes in the form of a balance where strengths and weaknesses of the evolution of the social protection system are identified.

**Keywords:** social policy, child, legal, child protection system, the Convention on the Rights of the Child

### Introduction

Social policy. A technical term, often unclear of proper definition. Most commonly, we find its use associated to governmental policies, where they have a direct impact on a society's well being. These policies are a product of a country's will to address its social problems. Characterized by continuous and dynamic change, they find a special place in public policies.

The definition of a social policy will be subject to constant evolution of concept and perception, in cohesion with the evolution of life and all its aspects.

A government's responsibility resides in arranging a whole set of dispositions for creating a new policy, which if approved, would enact a set of actions to treat an issue, whether it's an economical, political or social one.

The impact on everyday life is presented in different forms, such as monitoring, support, prevention or protection, just to name a few.

One of the main issues with a great economical impact is social protection.

According to the International Labor Organization: "Social protection is the answer to the need for security. The concept finds a broader explanation through the process of social solidarity, enhancing the use of the predefined arrangement of tools that guarantee this security."

Social policies have a direct contribution into the relationship between public authority and social groups. The evolution of this relationship is the perfect reflection of whether or not a society is properly in line with progress and social development.

One of the main roles of social policies is identifying social issues, addressing them properly through prevention, and if retained necessary, intervention.

They are characterized by a chronological cycle, similar to that of human life.

First, they are generated as ideas.

Second, they start to get developed.

Third, they are implemented into a society according to its challenging needs.

Finally, if no longer needed or functioning, they get discarded.

Another aspect worth mentioning, it's adaptation.

Different societies with different customs and traditions, require a unique set of social policies, alongside with the political and economical ones.

During the analysis of this work, we will focus on social policies, concentrating on child protection. Furthermore, we will confront the public authority with social groups and individuals, regarding their standing point about children, their place in society and their security. All of these elements will be analyzed, according to the Albanian law.

The forthcoming analysis is realized, based on official statistics and widespread literature. For the impact of the security system analysis, we were mainly based on the value report of the European Council, courtesy of the field expert Anniki Lai.

The analysis is divided in three parts:

The first part will define the child and its position as a subject of social policies.

The second part, the child protection system will be analyzed according to law.

The third and final part, includes an evaluation of the child protection system from an outside perspective, summarizing the conclusions of this work.

### **Children as the subject of social policies**

There is a considerable number of social policies focusing on helping families in need. More attention is centralized in childcare. In order to build a proper structure for helping children, in 1989, a Convention on the Rights of the Child was adopted and opened for signature, ratification and accession by General Assembly resolution

44/25 of November 20, 1989, entering into force September 2, 1990, in accordance with article 49 of the Charter of the United Nations.

Philippe Ariès, a French medievalist and historian, cites that the childhood notion is relatively new social construction in the West. By social construction we must understand the creation of a category, both medical, social and juridical, based on a person's age in a life cycle.

Other historians, such as Alexandre Bidon and Lett, argue that this social construction should not be confused with the childhood feeling, taking into consideration people's feelings towards children, especially their own children. Neglecting children is hardly understood as a behavioral pattern, with the correlation of emotional expression not always being an indicator. The creation of the social category named 'children', depends less on the affection demonstrated by one person or a group of people and more on the regulations instilled by a society, where a child is one of the principal actors.

These regulations depend on the kind of environment applied to, along with its religious context and sanitary conditions. Anthropological work seeks to dig further knowledge regarding children, based on specific social context and social groups.

Since the International Convention on the Rights of the Child, children can enjoy a privileged status. This convention unites every signing member nation, pointing towards the same goal. On one side, to assure proper child protection and on the other, recognizing the child as a social element with full rights.

A child's wellbeing, based on the material point of view, is exactly the goal that certain disposition of the Convention on the Rights of Child seek to achieve. This convention declares that the Treaty defines the right of a child to wellbeing, understood as the right of a child to live in proper material conditions, necessary for proper development. The principal disposition of the convention allows the wellbeing of a child. Article 27, defines that « Every member nation recognizes the right of every child to live in proper conditions, necessary for his physical, mental, spiritual moral and social development ».

The development and the future of a child is subject of fulfilling basic needs, which are unique in quantity and quality. Article 27 will create a special set of rights, necessary to build a standard quality of living for every child. This standard will be equal to the one applied for every individual, based on Article 11 of the International Convention of Economical, Social and Cultural rights, signed in 1976. In the first paragraph of Article 11 of the Charter states: "The Member States to the present Covenant recognize the right of everyone to an adequate standard of living for himself and his family, including enough food, clothing and shelter, and to improve continuous living conditions (... )".

This provision is built like many other articles of the Convention. It first determines the child's right, in this case to an adequate standard of living, that states recognize. Then, it forces these countries to take necessary measures for implementing this provision. Of course, it is not only to ensure minimum living standards, but also to allow the physical, mental, spiritual, moral and social development.

The Convention on the Rights of the Child in general and particularly Article 27, contains some specific countries where their economic development will not be able to provide an adequate standard of living for all children. Obligation to state parties to take appropriate measures to help parents fulfill this right of the child takes into account the conditions and resources of the country.

Built on the same model, article 26 provides in the first paragraph: "Member States shall recognize for every child the right to benefit from social security, including social assistance and take necessary measures to ensure the full realization of this right in accordance with their national legislation".

The child's right to benefit from social security, affirmed by international texts and other European countries, cannot be used directly before national courts, as states should take the necessary measures for the realization of this right.

In legal terminology, which is known for its great lexical accuracy, some terms are controversial because of their semantic inaccuracy. Throughout the trial of a juvenile in a civil case, although it is thought that the judge refers to the basis of his decision, he will be guided by the "interest of the child". This interest is less a legal concept than a general principle in psychological connotation, evaluation and definition, which will be made by third parties that are considered experts (social workers, psychologists, doctors) and their opinion will often be decisive.

The interest of the child and the right to an adequate standard of living, especially in view of the legal obligations of member States to the Convention on the Rights of the Child, can be measured through surveys of the International Committee on the Rights of the Child, which is an independent body of experts that monitors the implementation of the Convention on the Rights of the Child by member States. It also monitors the implementation of two optional protocols to the Convention, one on the involvement of children in armed conflicts, and the other on the sale of children, child prostitution and child pornography.

Committee observations assess the implementation of Articles 26 and 27 of the Convention on the Rights of the Child. The Committee notes that, a minimal life standard is essential to the physical, psychological, spiritual, moral and social development of a child and that child poverty also affects the rate of infant mortality, affect health services and the education of children, as well as their quality of life.

The implementation of the International Convention of Children's Rights in itself, clearly, cannot ensure that all children have adequate living conditions. The fact remains that, its implementation under the supervision of the UN Committee on the Rights of the Child, can provide a fundamental foundation in the search for new ways to fight against child poverty and discrimination.

We are dealing with social policy in a broader aspect, through which we pay special attention to the status of the child in a society. A status created by notions like welfare of the child, evolution and functioning of parenting, as well as the role of public action, in terms of taking responsibility for a child.

Direct intervention to parents in exercising their educational responsibilities, represents the current direction of parental support to meet the best interests of the child and the community. As an incentive for reducing risk factors and promoting protective factors in the family, this approach is intended to maintain the position of the parent, though they stand in vulnerable conditions. A parent comes to a position of "primary responsibility" for the welfare and academic success of children.

For the last twenty years, this direction has been considered as a main shaft of the recommendations of international organizations and European institutions in the field of welfare of children and youth. The International Convention on the Rights of the Child, adopted by the General Assembly of the UN, also emphasizes the idea that parental support is an important instrument of action to meet the child's interest. If the International Convention of the Rights of the Child establishes that, the child is a holder of rights, it also stipulates that the main responsibility for the growth and development of the child belongs to the parents. The latter should above all be guided by the best interests of the child, Article 18. This article could be interpreted as a facilitator of the responsibilities of member States towards children and the transfer of responsibility to the parents. We note that, public authorities are also invited to do their utmost to guarantee the rights of children, if not guaranteed by the family. On the other hand, these authorities should recognize parental responsibility and support parents in raising their children. "The right to get proper support from public authorities in exercising parental duties". If we refer to the preamble, the signing States are "convinced that the family, as the basic unit of society and the natural environment for the growth and well-being of all its members and particularly children, should receive protection and assistance, to play a better role in the community".

This perspective is further deepened with the recommendation of the Council of Europe on the policy to support positive parenting (2006) to suggest to governments of member states "to recognize the fundamental nature of families and parenthood and to create the conditions necessary for positive parenting that takes into account the rights and best interests of the child "through" all appropriate legislative, administrative, financial and other aspects", recommendation of the Committee of ministers of the member States relative to policies aimed at positive parenting.

The recommendations state in particular that, under "current social changes", "parenting, though linked to family intimacy, should be considered as an area within public policy": in addition to policy measures, households generally are recommended services dedicated to support parents, such as accommodation centers and local services, telephone help lines, educational and support programs for parents, the development of cooperation between schools and parents, reinforcing them for parents with high risk of social exclusion. The assumption of a higher attendance of parents in difficulty is fundamental about registered social reality: the development of socio-economic uncertainty, volatility of marital conditions, single parents, rising educational demands of young people, etc.

The generalization of the issue, on supporting the process of parenting intervention appears as a fact of public action in recent transformations in a family and reflects a new concern about educational action of families.

In his works, the philosopher Alain Renaut (2002) considers the child as a person with full rights and not only mention the rights that must be respected by adults, but also the rights of freedom of expression, opinion, and thought. Not only the rights of the child protection must be respected, but the idea of considering the child as a future citizen of the society must be extended. Where the International Convention of Children's Rights creates the principle of superior interest of the child. In this context, it reaffirmed the essential role of parents in the education, safety and protection of the child. It is here considered the support of member States, in encouraging parenting functioning even though it may have an interference in their private life, in some cases absolutely necessary, as in the case of child neglect or abuse.

We will have to await the end of the 1990s and early 2000s under the European impetus, for the interest of the child to become the leitmotiv of public policy. Considering the interest of the child, we concentrate on providing its Welfare. Today, it is presented as the regulatory livelihood norm of public policy. This interest, even though it enjoys a real consensus on its cover, it is inserted in a broader perspective of public action.

One of the ways followed in the legal field on integration, focuses on treating children's rights as human rights. November 2001: "Meeting of European Ministers responsible for children demands the introduction and integration of children's rights in all policies of the EU" (quoted in Euronet, 2004, p. 2) European Deputies have also addressed their focus to pay attention to the Convention on the Rights of the Child. For example, the determination of the special session of the General Assembly of the Child by the UN in 2002, during which was called for "the inclusion of a legal basis in the treaties of the EU to promote and protect the best interests of children in all EU policies, programs and legislations. "

Groups and associations for the promotion of children's rights have lobbied strongly, in order to place children at the center of the policy. Organizations such as the European Network of Children (Euronet) and Eurochild, which in the first half of 2000, were partisans of a larger commitment of the EU to promote children's rights within the Union, but also in its international relations.

Working on the Convention on the Future of Europe in 2002-2003 provided an ideal ground for the mobilization of activists. The EU constitutional treaty draft, had included references to children's rights. For the first time, children's right were mentioned in a draft of a European constitutional document. This attention also comes in the Lisbon Treaty, the revision of Article 2.

One of the objectives of European social policy departs from the perspective of social investment for infantile poverty reduction. The way in which the concentration of policy is justified in the fight against poverty, relies heavily on the consequences of young people who have lived a childhood in poverty. This is evidenced in the poor graduation levels, the lack of access to employment, as well as social exclusion.

Since "Europe 2020" entered the scene, the application of "Social Investment" was promoted to tackle poverty and social inclusion. This approach seeks to argue strongly in favor of the assistance that can be provided by well-organized policies of social growth, to protect people from poverty and establish economic balancing. Indeed, the approach of social investment relies heavily on understanding the fact that social and economic policies are mutually reinforcing and that the first, when formulated from the perspective of social investment, represents indeed a "precondition" for the future growth of the economy and employment.

Social investment has to do with strengthening the capacity of current and future people. It should be noted that, in addition to the immediate impacts, social policies also have long-term impact, providing social and economic results over time, particularly in terms of employment prospects or income from work. Social investment helps especially in "preparing" the people to face the dangers of life, not just "repairing" consequences. Thus, a social investment is a set of measures and policy instruments consisting of investments in human capital and increasing the capacity of people to participate in the social and economic life and the labor market.

More and more emphasis it is put on the social policy preventive measures that can stop the multiplication of disadvantage. The new approach, also highlights that a key element in social investment is to address social disadvantage and key challenges in a more integrated way, through a combination of policies that complement and reinforce each other.

The desire to integrate children in all European Union policies, has resulted in two visions, which are difficult to articulate into the institutions. One emphasizes the integration of children's rights as human rights, the other the fight against child poverty, which corresponds to a social investment perspective. Even in the Nordic logic, Gosta Esping Andersen (2008), places emphasis on children and youth. Policies on early childhood, can always be regarded more as an investment rather than an expense, for future generations. This expense, allows women to integrate into the labor market, increase income in their families and limit the risk of poverty among children.

The European Union "... fighting social exclusion and discrimination and promoting social justice and protection, equality between women and men, solidarity between generations and protection of children's rights. " (Treaty of Lisbon, Article 2). This promotion is based on the integration process considering child poverty and social inclusion practices. Proponents of this approach based on the call of the Council of Europe Member States in 2006 and in the European strategy on the Rights of the Child, to "take the necessary measures and reduce child poverty quickly, giving all children equal opportunities, regardless of their social "(European Commission (2008) 367 final, 2006, p. 3).

This wording suggests using a policy perspective that evaluates the effects of public policies in the economic well-being of children. The choices public authorities make, may appear ambiguous in its purpose, like for example, the interest of the child and gender equality can sometimes be competitive or even reverse as goals.

Article 2 of the Treaty of Lisbon has an alternative political perspective, the rights of children. In this case, the goal goes beyond the field of social policy. Children's rights are considered in the context of human rights, which are conceived as they are in international documents, in particular the 1989 Convention of the UN on the Rights of the Child.

### **The legal framework that allows the implementation of social policies for children in Albania**

With the establishment of the pluralistic regime after 1990 it had to be re - taken into consideration and reshape all mechanisms and devices in the social sectors as well as in all areas of life.

This quarter of a century has been full of developments and obligations on a national and international level, addressing the needs of citizens through public action.

Social policies covering child protection are implemented through legal norms enshrined in the legislation. This includes the Constitution, the law on the protection of children's rights, as well as the criminal, civil and family code. Often, laws are supported by rules and regulations, which take the form of decisions, taken by the Council of Ministers, or by order of the Prime Minister. Child Protection Protocol regulates how to deal with child protection cases.

All actors provide legal provisions in the implementation of social policies on the child and protection of children and their organizational structure constitutes of a child protection system. These actors are operating in several parallel ministries, departments and agencies, which are tasked with the protection of children from violence, abuse, exploitation and neglect. The Ministry of Social Welfare and Youth plays a major role in child protection, and the Ministry of Interior is in charge of the fight against human trafficking. Under the Ministry of Social Welfare and Youth, it is the State Agency for the Protection of Child Rights and the Department of Services and Social Inclusion. The Ministry of Justice is responsible for justice for children. The Ministry of Health and the Ministry of Education, are working to ensure that children who have been victims of violence, abuse, exploitation and neglect, receive proper medical treatment, as well as psychological and physical one, and ensure that schools are safe environments for children.

As a result of a discussion process with broad participation from the government and civil society institutions, the Parliament adopted the law Nr. 10347 dated 04. 11. 2010, "On Protection of Children's Rights". The adoption of this law marks a significant milestone in the protection of children's rights through a comprehensive legal framework and institutional framework in line with the Albanian Constitution and the Convention on the Rights of the Child.

The law sets the foundation for the establishment of appropriate institutional mechanisms that will guarantee and ensure respect for the rights of children by individuals, families, and countries. The law provides all necessary measures to guarantee the upbringing and development of children through a coordinated approach between the different actors working in the field of human rights and child protection.

It is expected that this law will significantly improve the system of child protection in Albania, institutionalizing units for the Protection of the Rights of the Child as the structure of the local level that are responsible for the coordination and implementation services for child protection and the case management of, cooperating with a number of actors from various fields. Also, this law provided a legal obligation of cooperation and coordination of efforts among institutions in central and local level, to regulate this relationship through rules that will be determined by the Council of Ministers.

The law foresees the establishment and functioning of the National Council for Protection of Child Rights (KKMDF), as an advisory body. It is in line with the government program that coordinates and sets policies for children to follow and monitor the implementation of the national strategy for children's rights. This is an advisory body composed of 9 members, representatives of the executive authorities, local government and civil society. Also, it provides that the Council will set up technical committees, which will have the assistance function for the Council, especially regarding decisions that this body will have to take.

The law introduces the duties of the Minister to coordinate the work on the issues of protection of child rights, which in reference to the scope of the activity that is actually exercised. The Minister of Social Welfare and Youth will be one that will cover the duties prescribed in relevant articles.

Pursuant to Law No. 10347 "On Protection of Children's Rights", the National Agency for Protection of Child Rights is set up and operating. The Agency is an executive institution under the Ministry that coordinates work on the protection of the rights of children raised with direct order from the Prime Minister No. 30, dated 18. 03. 2011.

The duties of the Agency enshrined in law, along with its mission, are achieved through monitoring functions of law enforcement, the proposal to the ministry that coordinates activities related to the protection of children's rights, the proposal for methodological guidelines for local rights and child protection in local government; Technical support for the structures of central and local government, is ensured, in coordination with all structures of central and local government and punishment entities which violate the provisions of law no. 10347, dated 04. 11. 2010, "On the Protection of the Rights of the Child.

The State Agency for the Protection of the Rights of the Child monitors the implementation of the action plan through the responsible institutions at central and local level, preparing progress reports, guides and supports to domestic and international donors to implement the objectives of the Action Plan for Children and organizing studies and analysis on the situation of children in Albania.

To meet the institutional framework, the law aims to establish order through its effective implementation, envisaging the establishment of the Unit for the Rights of the Child at the regional level and Child Protection Unit at the municipal level. The establishment and operation of these units will enable the implementation and monitoring of the protection of children's rights, starting from the ground, then continuing vertically towards the executive. In observance of the principle of local autonomy, the law provides the operation of these units within the administrative organization of the respective local government structures, with the duties prescribed by law.

Dated 04. 11. 2010, law Nr. 10347 stipulates the creation of the Units for ensuring the Rights of the Child in every district of Albania. CRU operates as part of the administrative structure.

Along the legislation adopted at a national level, Albania is implementing active efforts in the European process of social inclusion as one of the main commitments for membership in the EU - including the development and promotion of policies, institutional frameworks and methodologies for measuring and monitoring the social inclusion of all citizens and social groups in Albania.

One of the obligations to the EU integration process involves the development of a policy document for social inclusion which represents a policy for the advancement of the level of social inclusion and reduction of poverty in the country, in the framework of the accession process.

Key policy areas include comprehensive education; quality care for children; comprehensive health care; enhanced opportunities for training and skills development; job search assistance and employment assistance; rehabilitation and reintegration of vulnerable groups, such as persons with disabilities, survivors of trafficking, gender-based violence and domestic violence victims; affordable social housing; and social justice.

The purpose of this paper is threefold:

- To Identify and address the challenges facing the monitoring and measurement of social inclusion, developing the national and EU indicative factors, required to support poverty reduction and the development of effective measures to enhance the welfare;
- To promote policy coherence, define priorities and assign responsibility for carrying out the monitoring and measurement of social inclusion;
- To make more transparent the impact of policies pursued and efforts made by the Government to strengthen policies that impact on social inclusion.

In continuation of the initiative taken by the National Strategy for Development and Integration 2007-2013, the National Strategy for Development and Integration 2015-2020 sets out long-term priorities for the Albanian national development.

One of the objectives of the NSDI is to "ensure equal access to social and economic opportunities for all groups and individuals in our society. "

This objective relates to the expectation that the country will create a system, comparable to the EU for monitoring and reporting on the state of social inclusion and poverty, to strengthen and build the capacity of public administration and local authorities for implementing and reporting on the process of social inclusion and create an efficient unit to coordinate the implementation of the measures and to report on the progress of social inclusion.

Guarantees of democracy and rule of law are part of the so-called political criteria for membership in the European Union.

As in the European art, the objectives of the reform of the education system mainly relate to improving the quality of education, the involvement of children in early development programs, reducing the number of school dropouts and increase the number of young people with higher education, and the number of adults participating in programs of lifelong learning. Central issues are, increased relevance of its education and the labor market by adapting the learning results, the establishment of national qualification framework and strengthening the forces of current and future work to adapt to the new conditions and possible career changes.

### **The evaluation of the child protection system under an external look**

The third part of this paper will concentrate on the report "The Future of an integrated child protection system in Albania" policy document prepared by Anniki Lai, an expert for the Council of Europe. This will not only bring us an overview of the



evolutionary system of protection structures in Albania, not only will highlight the strengths and weak points of the system, but will serve as a conclusion of the paper.

Throughout this report, Albania's efforts in raising the child protection system will be assessed, an area which is considered new to our country. Rating techniques development and implementation of policies in the field of protection of children is absorbed in a relatively short time. Lessons have been learned and knowledge is obtained regarding further steps to establish a comprehensive system of child protection. There has been some analysis and evaluation, highlighting major gaps in the system and providing some recommendations to the authorities.

The creation of structures and new approaches it is regarded as a positive step. Among the most important to note is the adoption of the Law "On protection of the rights of the child" in 2010 and the establishment of the State Agency for Protection of Child Rights in order to improve the monitoring of national policies related to child protection. Also, the establishment of the Child Protection Units (CPUs) - the only specialized structure at local level with a mechanism for addressing the issues associated with this category of children.

Another positive element is evaluated, for the coordination of policy initiatives for the protection of children's rights and the coordination of activities of the national intersectional committee which is operated by the Ministry of Social Welfare and Youth.

During the assessment analysis, although more or less determine the specific roles of these actors, the coordination and cooperation between them is not effective. It is clear that the lack of common management structures and the implementation of policies are the main weak points of the system.

In this context, "Terre des Hommes" one of the most active organizations of the civil society, has concluded that existing services do not constitute a system to protect the child, but "fragments" of services, and assesses that Albania still lacks a comprehensive legal framework to address in particular about the protection of children.

Combating human trafficking is another area that affects the child protection system. Through monitoring and evaluation during the last years, there has been progress in the fight against trafficking in human beings and a legislative and organizational framework has been created. In 2011, the analysis of the situation in Albania with regard to the European Social Charter (Articles 7, 8 and 19) of the Revised European Committee of Social Rights, noted that Albania has made considerable efforts to combat this crime and is not considered a major transit country. This, thanks to the intensive work of the Office of the National Coordinator against trafficking, raising public awareness about the fight against trafficking. Also, worth mentioning are the efforts of the Group of Experts of the Council of Europe on Action against Trafficking in Human Beings (GRETA).

Although there is a positive evaluation in the field of the protection system of children and a number of measures to combat trafficking in human beings are taken, there is still room for improvement, if kept in mind that inadequate resources and weak systems for the protection and existence of victims of trafficking remain part of the challenges.

While state institutions are not sufficiently active in reforming the child protection system, positive assessed child protection action is taken in large-scale by the civil society.

Even in levels of government, such as the structure of the subcommittee on Human Rights in the Parliament, the need for consolidation of the institutions responsible for monitoring the implementation of the legal framework and the quality of services for children has been acknowledged. Also, the identification of gaps in the system child protection has been successful.

Throughout the evaluation, we will highlight the role played by national and international organizations of civil society in Albania in this field.

During this analysis, an insufficient funding of the Albanian system for child protection it is shown, which can be attributed to the fact that child protection is not part of the government budget. Also, it notes that investment in human resources engaged in the protection of children and the quality of services has remained unused.

Current regulations of all child protection systems should be carried out under a high association of actors, applying a multidisciplinary approach to issue management by multidisciplinary teams. Based on multi-dimensional elements, field specialists are needed to manage cases with professionalism by evidencing a challenge for local government structures.



There is a lack of high child protection specialists in the Municipal institutions of our country, with a vague decision-making mechanism to respond to cases of abuse and neglect, lack of clear definition of the measures related to the protection, low capacity borough for the organization and provision of service, and lack of support from the state to municipalities, such as case management, as well as for the provision of services.

Quality security systems, including increased capacity, establishing standards of qualification and accreditation mechanisms for professionals working to protect the child missing, need to be addressed in a more systematic way by the state authorities.

Also, the emphasis is on systematically improving knowledge, multidisciplinary training and practice unification between professionals working directly with children in various sectors.

The decentralization process and territorial reform in Albania has reduced the number of local authorities, with the reform aiming to reflect positively in the improvement of positions of the child protection system.

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## Music and Development of Creative Personality Within Higher Education Environment. Aesthetic and Semiotic Approach

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### Abstract

The article presents the results of the study confirming effectiveness of psychological support of creative personality development by means of music from the perspective of a new aesthetic-semiotic approach. The author proves that musical education determines development of creative personality. In addition to the above music is understood as a complex psychosemantic text, polysemantic and with a lot of different meanings. The study is centered around the use of classical music masterpieces performed "live" in psychological work. Basing on the analysis of researches the author developed a psychological mechanism for creative personality development by means of music, consisting of a system of interrelated conditions. The author describes types, methods, techniques aimed to develop musical creative personality with due account for specifics of modern educational environment of the university, based on the presented psychological mechanism. In the course of ascertaining experiment the following tasks were solved: 1) determine the level of musical and creative development of students from experimental and control groups; 2) identify characteristics of musical and creative development of University students. Results of the formative experiment showed that the implementation of a special educational program in the educational process significantly accelerates development of musicality and creativity of an individual and strengthens internal relationship of those characteristics ( $p < 0.01$ ). A distinctive feature of the musical and semantic model of psychological support of creative personality development by means of music is that it can be applied at any stage of education in any educational institution.

**Keywords:** music, musical education, classical music, aesthetic education, self-education, development of creative personality, secondary musical personality, elite education, synaesthesia

### 1. Introduction

Global and local challenges and complexity of scenarios for the future require strengthening of the interdisciplinary approach and the relationship of environmental, economic, socio-cultural aspects in the education sector. This problem is particularly relevant at the stage of higher education.

Modern labor market changes very quickly and careers for which students are studying today may be in low demand tomorrow. Hence the urgent need for a future professional to rearrange, reorient himself quickly, to adjust to changes in the labor market.

The current situation in Russia, major changes in the socio-political, economic and cultural life of the country makes actual the issue of higher professional education reform. Professional training is a priority while cultural and intellectual development of the student, an important component of higher education, often gets overlooked (Ponomarenko, 2004; Ryzhov, 2012; Terelyanskaya, Kurysheva, 2012; Vorobyeva, et. al., 2014).

The highlighted aspects of the problem of supporting decent higher education are determining the relevance of development of new approaches to psychological support of creative development of students, fostering the culture of personality through engaging a person to the general culture.

Figurnovskaya (1997) analyzes the impact of humanities training on development of creativity and intelligence of an individual in the context of prospects for improvement and development of elite education. She argues that elite education can be used for improvement of general culture of children and young people, their intellectual development.

The concepts of "elite education", "elite university", "elite school", etc. have recently been used quite often in the modern academic literature. In our study, the term "elite" will mean people with personal dignity, rich internal culture. By "elite" education we mean education of high quality. The main goal of elite education is to form in an individual the base of elite consciousness. The final product of the elite education is an individual with broad educational background, ready for active creative work, bearer of elite consciousness capable to be leader in his or her field. Professor of an elite educational institution is a creative person actively participating in scientific inquiry in the problematic field of the subject that is being taught; in a constant process of self improvement and self-education; using completely new teaching methods (Ashin, Berezhnova, Karabushhenko, 1998; Dobrynina, Kuhtevich, 1996; Kuryшева, 2011 b; Figurovskaya, 1997 etc. ).

Orienting educational process towards elitism as the principle makes manager, teacher and student think and act according to this principle. By psychologically including themselves to this category, all actors of the educational process have already subconsciously begin constructing special educational system. Elitization of an educational institution begins with psychological and intellectual levels, and only then takes shape in material and technical base.

### **The Objectives**

Detected contradictions helped to identify and formulate the problem of the study that lies in search for ways of comprehensive solution of problems of creative person development in educational process, in determination of the most optimal conditions for it. The solution of this problem is related to development of scientifically grounded content of psychological support of musical and creative personal development of a student based on use of music formative potential.

The purpose of the study: develop a concept for creative personality development by means of music and verify it in the course of experimental work.

### **The objectives of the study were:**

to carry out a systematic analysis of the problem of creative personality development in contemporary educational psychology and to develop conceptual basis for studying and optimizing musical and creative personal development of a student;

to substantiate the nature and highlight structural and substantive components of the secondary musical personality as a result of music education;

to develop and test theoretical model of psychological support of creative personal development by means of music and evaluate its effectiveness;

within the theoretical model, to develop evaluation criteria and levels of musical and creative development of personality in relation to high school education;

to identify and provide a theoretical basis for psycho-pedagogical factors, conditions and mechanisms of creative development of personality in the process of music education; determine the structure of musical creative developmental environment;

to develop and test a program of psychological support of musical and creative personality development.

## **2. Materials, Methods**

Theoretical analysis of research papers on questions of creative personal development (Burton, etc. al., 2008; Feldman, etc. al., 1994; Gardner, 1988; Guilford, 1967; Ozhiganova, 2001; Ponomarjov, 1976; Rogers, 1961; Taylor, 1998; Torrance, 1963; Yakovleva, 1997 etc. ) allowed to determine the basic framework of our study.

Many researchers and artists emphasize inspirational role of music for creative activity and argue that even just perception of music in its developed form is a creative process (Berdyayev, 1993; Buber, 1998; Gurevich, 2001; Zemtsovsky, 1992; Huizinga, 2010; Kagan, 1996; Kechhuashvili, 1957; Lozinskaya, 2008; Losev, 1960; Samsonova, 2008; Stelmashuk, 2005, etc. )

Musicologists, philosophers, cultural studies scholars, psychologists see the objective of music in forming environment for creation and distribution of spiritual cultural values capable to become ideals for stimulating harmonious social development (Kolyadenko, 2003; Kulbizhekov, 2008; Teplov, 1985; Rafikova, 2006; Ryzhov, 2012; Toropova, 2008 etc. ). This is particularly true for classical music, because cultural values are reflected with especial vividness in the processes of

creating musical works by the composer and of perception of classical music by performers and listeners (Kagan, 1996; Kurysheva, 2008 b).

However, theoretical analysis of academic and academic-methodical literature and monitoring of processes in fields of musical expression and music education allowed us to document main contradictions related to the whole system of psychological provision of creative personal development by means of music in the educational process and requiring a solution (Lazutina, 2009; Seashore, 1990; Toropova, 2008 etc. ).

The main contradiction lies in the fact that theoretical studies of music emphasize its significance for society, for the individual, accentuate the outstanding role it plays in culture. At the same time, ways in which music functions in culture and educations, processes of formation of socially meaningful ideals by the art of music remain unclear.

The most effective approach to form prospects for musical and creative, aesthetic and spiritual development of students is the new aesthetic-semiotic approach (Kurysheva, 2011 a), which is described in the study as a specific form of interconnection, convergence of student-centered, activity based, anthropological, cultural, synergistic, ontological, semiotic approaches and aesthetic concepts. Our view is that this approach largely determines the substantive and procedural basis of humanization of education; holistic view of patterns of development of human as the natural, social and spiritual creature; holistic view of the content of education as learn experience, represented in the unity of values and meanings. We believe that a teacher-psychologist should be at the center of organizing interaction aimed at musical and creative development of personality in the educational space, with specific forms of professional activity aimed to promote musical and creative development of students at different education stages.

Key concepts (categories) form methodological basis of any approach. The aesthetic-semiotic approach (Kurysheva, 2011 a) requires understanding of:

music as complex psycho-semantic text full of universal and personal meanings (national culture, style of the era, composer, musical text as a field of meanings, etc. );

education as a purposefully organized process of creative personality development within musical culture, process of learning it through development of musical sense and musical consciousness of an individual through cultural meanings and experiences;

creative development as a process of formation and strengthening of musical and cognitive, motivational, emotional, communication, activity-related, axiological (spiritual and moral) characteristics of creative personality in musical-creative activity.

The concept of "personality" in the aesthetic and semiotic approach includes all diverse aspects of being an individual: natural, social, spiritual, historical aspects. The personality is a person that is a unique subject of inculturation and socialization (Kurysheva, 2011 b).

As a result of theoretical and methodological analysis of ideas and concepts related with the question of personality and typicality of development and created by the leading Russian psychologists and psychophysiologicalists we used the concept of musical abilities developed by Teplov (1946) as the theoretical basis of our research of the psychological foundations of musicality. Analysis of studies conducted in recent years has shown that main points made by Teplov still serve as the main reference points for the majority of Russian studies of musicality, at the same time having undergone a significant development (Vetlugina, 1968; Gotsdiner, 1993; Tarasova, 1988; Toropova, 2009 etc. ). Teplov (1985) defined musicality as a complex of individual psychological characteristics required for a particular musical activity and not any other, but at the same time related with all kinds of musical activity (listening, performance, creation). Teplov (1985) considered experiencing music as expression of some content to be the main feature of musicality.

In particular he noted that musicality is common for all (or almost all) people and at the same time it is different for different people (Teplov, 1985).

This conclusion is supported by more recent results of studies made by the psychophysiological laboratory of the Institute of Psychology of the Russian Academy of Sciences (Knyazeva, Lebedev, Toropova, 2001). Knyazeva and Lebedev conducted objective psychophysiological study of impression musicality, using EEG as a diagnostic tool for variety of mental processes. Analysis of the results of the study allowed them to conclude that musicality is not just a professional characteristic, but a natural quality, and to some extent is inherent in every human being. Analysis of background EEGs of

musicians and other professionals revealed significant differences between them. The researchers found out that the "musical" brain has a larger number of possible states, in other words, higher plasticity. They note that music is rather complex semantic text that requires perceiving brain to do fine analytical work in identifying and structuring audio information flow. The results prove that musical activity leads to increase in plasticity of psychophysiological brain structure required for performing musical tasks.

Experimental studies conducted by Novitskaya (1984) with use of special techniques and equipment revealed differentiated impact of classical and pop music to various brain structures. The studies showed that rock and disco music provoked emotional dullness and negative emotions, stifled creative and thinking activity but increased motor activity. On the contrary, classical music brought enlightened and good feelings and states, stimulating mental and creative processes in the subjects.

Methodological framework of the study of formative potentials of music is determined by complexity and multidimensionality of the subject of the study. In the development of author's musical-semantic model, we relied on some provisions of the synergistic approach (Ivanitsky, 1985; Loskutov, 1990; Haken, 2001 etc. ) This approach focuses on multidimensional, complex nature of objects and phenomena that are constantly evolving, self-organization and self-improvement of systems.

A characteristic feature of the synergistic approach to education is recognizing possibility of multiple ways to transform a personality and quickly solve a critical, precarious educational situation. This manifestation of the human psyche was described by Ushinskiy: "... in the endlessly rich human nature there are such phenomena when a strong emotional shock, extraordinary burst of feeling, strong inspiration at a sweep destroy the most harmful inclinations and ingrained habits, as if erasing, burning in their flame all previous life of the person to start a new one under a new banner" (Ushinskiy, 1970: 155).

Therefore, in our study emphasis is put on the best samples of musical art, masterpieces of classical music. In our study, by "musical masterpiece" we mean a unique, unparalleled creation of the composer, carrying highly spiritual cultural values and capable to serve as the ideal, stimulating harmonious personal and social development (Kuryshva, 2011 b).

Many researchers analysed the question of extramusical phenomena arising during perception of music (Kechhuashvili, 1957; Toropova, Simakova, 2014 etc. ). Those are, for example, visual imagery and associations, symbolic figures, pictures, lighting and color effects.

It was shown that presence of extramusical phenomena cannot be regarded as a prerequisite of adequate music perception, but their presence in most of subjects allows to retrace "undertones" of listener's impression (Kechhuashvili, 1957).

Analysis of the results of the monitoring and review of literature (Kolyadenko, 2003; Kulbizhekov, 2008; Kyshtymova, 2008; Lazutina, 2009; Rafikova, 2006; Toropova, 2008 etc. ) allowed to propose the hypothesis that psychological mechanism for creative personality development by means of music is a system of interrelated conditions, factors for optimization of this process. These include (Kuryshva, 2010 b):

- complexity, polysemy and semantic versatility of musical text;
- modeling during creative process of musical perception (thought experiment in musical activity),
- psychical phenomenon of synaesthesia of musical-artistic consciousness;
- polymodality of musical perception;
- symbolism in music, archetypes of musical consciousness and their interaction;
- psychological mechanism of empathy, compassion, co-creation in the process of musical perception;
- musical inculturation serves as a universal developing mechanism.

### **The Hypothesis**

The overall hypothesis of the study lies in the assumption that optimum effectiveness in music as a mean of creative personal development is ensured by the aesthetic-semiotic approach to mass music education and the musical semantic model of psychological support of the process developed on the basis of this approach.

This hypothesis is revealed through the following special assumptions that should be verified theoretically and experimentally:

the result of music education is formation of secondary musical personality that is defined as musically and creatively active entity able to discover, describe, evaluate, and change surrounding reality and their own musical and creative environment and also interact with music and means of musical art in the process of musical activity. Level of development of musical consciousness, its level of musical language and musical-verbal competence depends on level of development of properties and abilities that form psychological structure of secondary musical personality. Structure of the secondary musical personality consists of musical-cognitive, motivational, emotional, communicational, activity-related, spiritual and moral components;

basic psychological conditions for effective musical and creative personal development include: 1) richness of emotions and imagery and intellectual and moral content of musical works used in developmental program; 2) diversity of musical and creative activity in motivational, emotional, cognitive, communicative, activity based and moral aspects with account for age-specific psychological characteristics; 3) creation of musical creative environment for development in process of formative work; 4) creative personality of an educator with high level of musicality and productive creative activity; 5) focus of the formative program on developing in a student integral creative personality;

development of creative personality by means of music with account for above-mentioned conditions is realized through the program of psychological support aimed to enhance psychological mechanisms of musical and creative development and contributes to formation of secondary musical personality at the highest levels of music education; the complex nature of the program involves realizing it in cognitive, motivational, operational, reflexive and spiritual directions through establishment of musical and creative developmental environment;

musical-semantic model of psychological support of creative personal development that is built on the principles of student-centered approach, subjectivity, cultural conformity, conformity to natural laws, optimal psychological security, integrity, uniqueness, unconditional love, synergy, aesthetics, meaningfulness, dialogueness, integrates complex of psychological conditions necessary and sufficient for musical and creative development of personality;

music determines development of creative personality, significantly accelerates and optimizes this process, contributes to spiritual and moral personal development, strengthens the need for self-fulfillment and self-actualization of an individual; these processes are ensured by specific character of the musical text, especially that of masterpieces as works of maximum aesthetic-artistic value, the main criteria of which are: existential and axiological authenticity, richness of emotions and imagery, spiritual and moral content, artistic perfection, inexhaustibility of semantic intention.

### Sampling

To explore the musical and creative level of the subject we, first and foremost, had to determine criteria or indicators of productivity of musicality development, musical and creative personal development within higher education. By productive musical and creative personality development we understand primarily personal development of the student, formation of all the components of his secondary musical personality in the process of education.

The formative experiment, the main purpose of which was to create and test model of psychological support and evaluate its effectiveness under conditions of the educational process in a University, had been carried out from 2006 to 2011 on the basis of the Humanities Institute of Volzhsky (branch) of Volgograd State University, Nizhny Novgorod branch of the Institute of Business and Politics. During the experiment, for all subject groups we used a variety of psychodiagnostic techniques.

In order to identify effectiveness of support of musical creative personal development at higher education stages in musical and creative environment we found it useful to compare 3 groups of subjects participating in the experimental study: The group E1 is the experimental group of students included in the program of psychological support (N=60); E2 is an experimental group of students who participate in the formative experiment at the school stage (N=33); K group is a control group of students participating in ascertaining and control experiments (N=90).

### Methods

To accomplish the established goals and confirm the initial hypothesis we used a variety of interrelated and complementary research methods: study and analysis of theoretical and applied research in developmental and educational psychology on the subject of the study, empirical methods: experiment (ascertaining and forming); testing, surveys, observation, psycho-semantic analysis of statements, self-observational essays, content-analysis of statements, essays-musical impressions; analysis of products of creative activity, projective methods.

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Also quantitative and qualitative comparative analysis of data obtained during the study were used. To confirm validity of the obtained results mathematical methods of processing the obtained data were used.

The process of creative development of personality by means of music within conceptual musical semantic model involves creation of a common space of specially-organized musical creative environment (Kuryшева, 2010 a), based on an original artistic and aesthetic development of values of the world musical culture, perception of works of classical music as the best examples of manifestations of the human (composer, performer) spiritual life, in the development of dialogical communication between educator, psychologist and students in the process of perception of music. Especially important for formation of musical creative environment is using "live" classical music (Kuryшева, 2008 a). By the concept of "live music" we mean the process of musical communication determined by the sound of music performed "live" in a concert setting, in a situation of domestic music-making with the use of one or more brass, strings, percussion musical instruments, excluding electronic musical instruments.

The main factor of psychological effect of music on the development of musicality and activation of creative potential is richness of emotions and imagery and intellectual and moral content (spirituality) of classical music masterpieces.

We consider those works to be part of "tuning fork" culture. The "tuning fork" culture (Kyshtymova, 2008) contains attitudes of four ideological semantic levels: everyday life, social, national and cultural, spiritual. For development of creativity system dominance of the highest-spiritual level of meaning is important. The more internalized values of the "tuning fork" culture there are, the more there are alternative meanings, options for individual choice of free behavior, more opportunities to estimate probable models of action and creative actualization of one of them (Kyshtymova, 2008). The degree of inculturation largely determines the level of creativity. Creative personality is forming within the culture. In our study, we use the concept of the "tuning fork" musical culture.

The music in question is inherently intonational and has primarily emotional and expressive character, uses mostly tones instead of noise, is based on an 12-step tempered pitch and the special tone organization called tonality.

There is no system of musical means that would be uniform for all times and nations. There are different systems, different musical languages, although there are similarities between them. Here we refer to the tonal system that formed in European professional music of the XVII century, that had been completely dominant for the following two centuries and still has a great value now, after creation of atonal music. This is so far the only music system that has spread across the whole world and has been accepted by the widest range of listeners as the basis of high art, and in particular monumental art.

We will analyze methods and techniques of developing individuality in the process of perception, performance, creation of music and music-related artistic activities.

1. Writing essays about musical impressions, feelings or speaking about them, self observational essays. Listeners were free to describe anything they wanted to, without any context except of the directive to "listen to yourself". We have developed a framework for analysis of the results (Kuryшева, 2007). The following characteristics can be evaluated during analysis of written works: level of association generalizations, presence or absence of an emotional component, motivation for consciously directed activity, movement, desire to sing, write or read poems, presence or absence of memories, especially accompanied by self-awareness (lightness/heaviness, heat/cold).

2. Creative tasks using potential of the fine arts (sculpture, painting, graphics, artistic photography). Evocation by students of artistic images and moods inspired by music by the means of fine arts. Ability to choose the following things based on impressions from a particular piece of music: a certain color, color scheme, shapes (circle, square, triangle, line, splash of color); types of fine art (drawing, printing, applied ornament, form, construction); handicraft techniques (sculpture, wood carving, pyrography, carving, flower arranging, weaving, embroidery, toy-making); correspondent example of the art, literature.

3. Verbal, vocal, instrumental, rhythmic, plastic improvisation under the impression from music (composing a poem, story, fairy tale; writing a song, instrumental play; knocking, clapping, stamping the rhythm; conducting, dance moves).

The following are examples of creative tasks performed during the perception of music.

Task. Listen to character pieces from The Seasons by Tchaikovsky ("February: Carnival", "April: Snowdrop", "July: Song of the Reaper", "November: Troika") and try to guess the month depicted in the music piece and choose a color appropriate for the music. During the second performance (title is given, the related poem is not read along) try to understand and write



down the content of the music, what is portrayed and expressed in it. The works can include humorous stories; descriptions of nature; student's feelings, mood; situations. We should note that only few works were dry lists of objects with 1-2 characteristics, actions. Mostly works contained: optimistic view of the future, hopes for the best.

Students were offered tasks for independent work with use of exercises based on the psychological mechanism of synaesthesia (Cheremisova, 2016). After familiarizing students with exhibits of the photo exhibition of artistic paintings, they were asked to share their impressions in the form of reflection essays; choose music masterpieces they associated with those exhibits.

For example, after visiting the exhibition of artistic photography students of the Psychology Department posted on their pages of the social network Vkontakte musical works which, in their view, corresponded to the most memorable photos. These were works of Wolfgang Amadeus Mozart, Ludwig V. Beethoven, Johann Sebastian Bach etc. Their numerous friends who visited their pages could listen to this music. Options of the social network Vkontakte in most cases allow you to find your favorite piece of music in the best performance and post it on your webpage. This form of communication through music in work with students allows professor to demonstrate his or her musical preferences of high musical and artistic taste.

The wider repertoire of art languages that the student becomes acquainted in the process is, the more opportunities to express meanings he or she gets. During such lessons actualization of musical text perceived by recipients becomes more and more corresponding to the peculiarities of personal meaning which a person gives to the perceived text and to the objective semantic content of it.

### **Procedure**

Within the experimental study at the stage of ascertaining experiment the following objectives were set:

- 1) to determine the level of musical and creative development of students from experimental and control groups;
- 3) to identify characteristics of musical and creative development of University students.

In conditions of experimental work on the program "Up to the Stairs of Music to the Heights of Art" psychological mechanism of creative personality development by means of music was tested and efficiency of the proposed model was confirmed. Implementation of this program in the University has some specific characteristics.

Firstly, there are no music lessons in the educational process of the universities (except musical educational institutions). Because of this, we used background music that accompanied various moments of the student life: broadcast music pieces at the beginning and during the day, during breaks, in the dining hall, have musicians perform in the lobby (for example, string quartet) or on the street in front of the entrance to the university (for example, two saxophonists).

Secondly, due to large number of student groups and large size of audiences listening to music was the main type of musical creative activity (Teplov, 1946), since it is the most affordable type in conditions of teaching process in higher education.

Thirdly, the university has large number of holidays, that create a special atmosphere of college life, providing great opportunities for other kinds of artistic activities related to music (performance and writing). Students, teachers, university employees and students of musical educational institutions, professional musicians from the Philharmonia participated in these celebrations.

Fourthly, there was possibility to participate in the activities of student musical performance group. Such group can be a student choir, vocal or instrumental group.

Relations with musical educational institutions were used for this music perception. This allowed to involve a larger number of students in the perception of musical masterpieces. Young musicians of the musical educational institutes must develop their professional performance skills by, repeatedly performing finished pieces of music to the audience at concerts, while students of universities that are not related to music need to listen to the "live" music.

### **3. Results and discussion**

In general, basing on the results of ascertaining experiment it was concluded that there is no any effective system of purposeful support of the process of musical and creative development within higher education.



The results of the study showed that: a large part of young students was not very familiar with masterpieces of world musical art and finds music surrogates satisfying enough, has little creative musical experience. Most of the teachers did not know specifics of the psycho-physiological effects of music on people; lacked knowledge about the possible forms of work for development of musicality and creative abilities of students in the educational process; often had a superficial understanding of the psychology of creativity and the psychology of musical perception; underestimated formative and transformative potential of music.

Subjects with higher levels of musicality had higher rates of overall creative abilities; the correlation coefficient of musicality indicators and creative development level is positive and meaningful and is 0.56 ( $p < 0.05$ ), confirming the possibility of using means of musical art for development of creative abilities.

Diagnosing of musical and creative personality development of the university students was carried out in accordance with the structure of psychological readiness for creative activity. The main components of psychological readiness to be investigated are cognitive, motivational, operational, reflexive and spiritually-moral (axiological) component.

As shown by the results of ascertaining and formative experiments, there were significant changes in indicators of axiological personality characteristics of students: in the experimental groups, a significant increase of indicators characterizing the level of sense of purpose in life, awareness of the goals of it was noted. Any significant changes in these indicators among students in the control group were not detected.

In addition, analysis of the self-observational essays, essays-musical impressions, reflection essays; analysis of process and results of creative activity of students showed that musical and creative development of students, with indicators relevant to the high readiness level may indicate formation of secondary musical personality, full-fledged subject of musical culture. Such a person has strong motivation for musical and creative activity; need to perceive complex, profound musical texts; sufficient level of musical competence and musical abilities for perception of classical music masterpieces, which includes qualitative characteristics of artistic and aesthetic perception. Artistic and aesthetic perception of music is characterized by sort of co-creation, such understanding of art where relations between the listener and the author of the work should be construed as dialogue.

Thus, on the basis of the totality of the obtained results of the study we can conclude that in the context of our theoretical and applied psycho-pedagogical models of musical and creative development of personality in the educational process of the university, conditions for effective support of creative development are provided.

In the process of our theoretical and experimental study on finding comprehensive solutions for problems of musical creative personal development of a student within higher education and development of science-based approach for a psychologist to establish psychological-pedagogical conditions to effectively support creative development, the set tasks were resolved, and the results of the study confirmed all hypotheses set by us.

1. The comparative analysis of existing approaches to the educational process has shown that, with all the variety of views on the problem of correlation of education and a person, of education and culture, it is possible to identify general provisions that unite these approaches in the context of the modern educational paradigm. The realization that the modern period in development of education is characterized by the tendency to integrate different approaches allowed us to develop and substantiate the aesthetic-semiotic approach as methodological basis for choosing and constructing the content of education.

2. On the basis of the aesthetic-semiotic approach we developed a conceptual musical-semantic model of psychological support of creative personal development with components of psychological support by means of music within "musical-creative environment" in the process of mass music education (Kuryshva, 2011 b). The model is represented by a combination of interrelated objectives, stages, content, methods and conditions of creative personality development by means of music. Basing on results of mass music education we justified the content and identified structural and substantive components of the secondary musical personality.

3. Results of the formative experiment showed that the implementation of the special educational program "Up to the Stairs of Music to the Heights of Art" in the educational process and educational work significantly accelerates and optimizes development of musicality and creativity of the individual and strengthens internal relationship of musicality and creativity. Under such conditions, correlation of musicality indicators and creative development level significantly increases and is represented by the coefficient of 0.68 ( $p < 0.01$ ).

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A distinctive feature of our model of musical and creative personal development is that it stays effective at all stages of mass musical education. This secured continuity of musical education of the individual, expanded the possibilities of musical and creative development of personality in adolescence within higher education environment.

#### 4. Conclusions

The results of our study suggest that our concept of musical and creative personality development in the educational process solves complex challenges of aesthetic, creative development of youth, spiritualization of education, contributes to development of dialogical communication between educators, psychologists, and young people, improves musical competence and culture of all actors of the educational process.

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## On Referential Distance in Written Texts

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### Abstract

Apart from personal pronouns which are by far the most used referring expressions in English and Serbian, reference can be established and maintained using demonstratives. Their function is to refer to the location or distance of a person or an object. The aim of this paper is to examine reference realised by demonstratives with special regard to the restrictions written discourse imposes on their usage. The texts we used for analysis are narrative stories written in the two languages.

**Keywords:** demonstratives, reference, restrictions, English, Serbian.

### Introduction

Although one of the commonest way to maintain once established reference is by means of personal pronouns, reference can also be maintained in other ways. Our aim in this paper is to show the reference made by demonstratives in narrative stories written in English and Serbian. Unlike Serbian, English distinguishes demonstrative pronouns and demonstrative determiners, each of which may perform referential function.

In the reference of a text demonstrative determiners fulfill their referential function if they occur with a noun, i. e. dependently, as in the example excerpted from our corpus:

When he reached for the gearshift *the boy* in front accommodated him by swinging his hairless knees out of the way. Mr. Kapasi noted that *this boy* was slightly paler than the other children.

(IoM, p. 33)

On the other hand, demonstrative pronouns may refer to an entity or the whole range of entities if they are used independently, without a noun, as in the following example which is also taken from our corpus:

He put down two embroidered place mats...and set out the plates...He put the ivy in the middle... He switch on the digital clock radio ...What's all *this*... (IoM, p. 17)

The demonstrative pronouns relate to the personal pronouns in much the same way as the demonstrative determiners are related to the definite article (Biber et al. 1999:347). Demonstrative pronouns have the same form as demonstrative determiners and can be singular (*this/that*) or plural (*these/those*).

Like the definite article and personal pronouns, demonstratives have definite meaning, and therefore their reference depends on the context shared by speaker/writer and hearer/reader (Quirk et al. 1985: 372). There are several characteristics of demonstrative pronouns:

Singular form may refer back to the whole text previously mentioned:

I wondered, too, what would happen if *suddenly his seven daughters were to appear on television, smiling and waving and blowing kisses to Mr. Pirzada from a balcony*. I imagined how relieved he would be. But *this* never happened.

(VV, p. 41)

Not only can they refer back but they can also refer forward to what is to be said:

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Somehow, without saying anything, it had turned into *this*. *Into an exchange of confessions* — the little ways they'd hurt or disappointed each other, and themselves.

(IoM, p. 16)

Demonstrative pronouns may refer to plural referents:

He had never admired *the backs of his wife's legs* the way he now admired *those* of Mrs. Das...

(IoM, p. 60)

Plural forms can also refer to the whole range of previously mentioned things that have plural-like characteristics:

*He had cheated on a college exam, ripped a picture of a woman out of a magazine. He had returned a sweater and got drunk in the middle of the day instead. These* were the things he had told her.

(IoM, p. 19)

Although the usage of demonstrative pronouns is restricted when they refer to humans, the only instance where demonstratives can refer pronominally to human reference is in relational clause of the equative type where one element is supplying the identification of the others (Halliday, Hasan 1976: 63):

Do you want to know the woman who's fainted?

*That's* Michael Barrett's girlfriend... (VV, p. 50)

We have already said that one of the characteristics of demonstrative determiners is that they can be used in the form of singular or plural. The function of demonstrative determiners is to refer to a familiar referent, to inform about its quantity and its distance from the speaker/hearer. Performing that task they can be easily combined with countable and non-countable nouns alike.

Demonstrative determiners *this/these* and *that/those* are closely related to the meaning of the definite article in English. Even though the usage of the definite article is mostly restricted to countable nouns, the definite article can also occur with non-countable nouns and it can be sometimes replaced by a demonstrative determiner:

I beg your pardon, Mrs. Das, but why have you told me *this information*?"

(IoM, p. 42)

To show that demonstrative determiners are in a close relation with the definite article we give an example which shows that demonstrative determiner can be used after indefinite noun phrase which brings an entity in discourse for the first time:

Beyond the fields was a forest, and in *this forest*, there was a clear, blue lake.

(FT, p. 4)

No matter how logical it would be to expect the structure in which indefinite NP precedes a demonstrative NP, the reverse situation is also possible. This means that demonstratives are not restricted to reference maintenance only. They can also introduce an entity into a discourse as in the following text where the entity *guy* is referred back with the indefinite NP a *barefoot man*:

"Hey, do you mind stopping the car. I just want to get a shot of *this guy*." Mr. Kapasi pulled over to the side of the road as Mr. Das took a picture of a *barefoot man*...

(IoM, p. 33)

Moreover, demonstrative determiners may refer to animate and inanimate referents, which can be located in the vicinity of a speaker or far away.

But there is a rule that can be more or less applied generally: demonstrative determiner in a combination with a noun may refer to animate and inanimate entities while demonstrative pronouns usually refer to inanimate entities.

Although *this* and *that* anaphorically refer to what has previously been said, Halliday and Hasan (1976: 59) claim that *this* is more specific than *that* since *this* has the speaker as its point of reference while *that* has no particular reference point it is simply interpreted as *not this*. According to the same authors (1976:61) there are marked differences among different styles and varieties of English as regard their patterns of anaphoric usage. In narratives of a traditional kind such as children stories and ballads, we often find *that* where, in conversational narrative, a speaker would tend to use *this*, conveying a sense of immediacy and also of solidarity with the hearer, of shared interest and attention.

Lyons (1975) argues that the distance is what separates *this* and *that* from the definite article, which is quite neutral in showing distance. *This* refers to the things that are less distant and *that* to the things that are more distant, hence the distinction between these two demonstratives.

Demonstrative pronouns in Serbian have the adjectival characteristics and they usually occur with nouns but they can also stand alone as the independent part of a sentence. Serbian distinguishes several types of demonstrative nouns: *ovaj/ova/ovo*; *taj/ta/to*; *onaj/ona/ono*; *ovakav/ovakva/ovakvo*; *ovoliki/ovolika/ovoliko*; *onoliki/toliki*. They may refer to the people/entities that are in the vicinity of a speaker (*ovaj/ovoliki*), or the people being spoken to (*taj/toliki*) and the people that are absent (*onaj/onoliki*). Proximity is usually referred to by *ovaj/ova/ovo*, while the distance is referred to by *onaj/ona/ono*.

Moreover, the pronouns of this type in Serbian can refer to the qualitative characteristic of the entities being referred to:

*Vaši očevi su bili hrabri, a i vi ćete biti takvi.* (Stanojčić, Popović 1997: 91)

### Types of reference

Demonstratives are specific though not rare referring expressions. In this paper we analysed their usage in narrative stories. One of the most striking facts we noticed is that demonstratives were usually restricted to the reference to inanimate entities. The reference they made was realized in two ways: by independent demonstrative pronouns and by dependent demonstrative determiners. The following lines show the types of reference demonstrative may establish.

#### a) Time reference

In this type of reference, demonstratives refer to time showing whether something is near or distant in time reference. Both languages share this feature:

... even though Shoba and Shukumar hadn't celebrated Christmas *that year*.

(IoM, p. 10)

*Ta zima 1973. počela ja naglo s mrazovima...*

(KSM, p. 17)

#### b) Anaphoric reference

In this type of reference, demonstratives occur within a NP and refer to the entity, that is to the whole range of entities that have been previously mentioned in the text:

*The baby had been born dead... Her placenta had weakened and she'd had a cesarean...* The doctor explained that *these things* happen.

(IoM, p. 11)

In Serbian language, the most frequent pronouns to form this type of reference are the pronouns *taj/ta/to*:

*Vladar se morao još jednom vratiti natrag i pokušati sa trećim vratima... Ta vrata su ga odvela drugim hodnikom...*

(CR, p. 79)

#### c) Associative reference

This type of reference presupposes that the interlocutor/listener will be able to establish associative relation between the antecedent and what follows it. In our example this type is illustrated by the verb *imagine* that is the antecedent and the NP with demonstrative determiner *these images*:

... *he imagined* a day when he and Shoba might need to buy a station wagon of their own, to cart their children. *He imagined himself* gripping the wheel, as Shoba turned around to hand the children juice boxes. Once *these images* of parenthood had troubled Shukumar.

(IoM, p. 11)

As the analysis shows, demonstratives are mostly used for referring to inanimate entities. Singular forms are much more frequently used than plural forms. Moreover, demonstratives primarily make anaphoric reference but we have shown they can make other types of reference. The following table shows the distribution of demonstratives in narrative stories.

Table1 *Distribution of demonstratives in narratives (English language)*

Demonstrative determiners				Demonstrative pronouns	
animate		Inanimate			
this	these	this	These	this	these
1	1	20	5	12	0
that	those	that	Those	that	those
0	1	21	10	7	1

In our corpus written in Serbian we observed the frequency of the three types of demonstrative pronouns and analysed the way they influence the establishment and maintenance of referential continuity in this type of narrative story. The most frequent is the pronoun *taj* when refers to singular inanimate entities. The least frequent is pronoun *ovaj* which refers to animate singular and plural entities. The table number 2 gives the distribution of demonstratives in written narratives n Serbian.

Table 2 *Distribution of demonstratives in narratives (Serbian language)*

Ovaj/ova/ovo				Taj/ta/to				Onaj/ona/ono			
animate		inanimate		animate		Inanimate		animate		inanimate	
sing	pl	sing	pl	sing	pl	sing	Pl	sing	pl	sing	pl
1	1	8	0	3	0	49	6	8	1	11	1

Speaking about the differences between the two languages it is interesting to mention that demonstratives from our Serbian corpus made other types of reference: situational, local, and cataphoric.

#### 1) *Situational reference*

Although typical of spoken discourse, situational usage of demonstrative pronouns in Serbian occurs in narratives, in the form of the dialogue *with the choice of demonstrative determiner reflecting speaker's perception of distance* (Biber 1999: 273):

*Ti dobro znaš šta hoću. Anđelar je na to besno bacio ubrus.*

(KSM, p. 11)

#### 2) *Local reference*

The example we provide shows the demonstrative pronoun used to denote the place the story is set in:

*A na taj pučini seдео je đavo.*

(CR, p. 83)

### 3) *Cataphoric reference*

This type of reference is established through something following the demonstrative determiner. The demonstrative usually occurs independently and points to the things that are to be mentioned:

*Kako se to zove? uboj, pečat, žig, ožiljak.*

(CR, p. 11)

#### **Conclusion**

In both languages, English and Serbian, demonstratives can perform referential function and both languages chiefly use singular demonstratives to refer to inanimate entities. Even though demonstratives are related to the meaning of definite article which usually maintains reference, demonstratives can also introduce an entity into discourse.

English and Serbian share the ability to use demonstratives to make time and anaphoric reference. In time reference they show that something is near or distant in time while in anaphoric reference they refer back to the previous text.

In both languages demonstratives are used to show the proximity and the distance of a referent. In English demonstrative determiners are more frequently used than demonstrative pronouns. Estimating by frequency of occurrence, In Serbian the pronoun *taj* is the commonest demonstrative used for referring in this type of narrative.

#### Анотация

За исключением личных местоимений являющимися наиболее часто используемым инструментом для произведения ссылки, в английском и сербском языках ссылка еще может быть достигнута и использованием демонстративов, указывающих на местоположение какого-то лица или объекта. Целью данной разработки является изучение того как производится ссылка на определенную сущность используя демонстративы, с особым акцентом на свободу и ограничения в связи с произведением ссылки демонстративами в двух языках. Текст, который служил нам для этого вида анализа является рассказом, написанным на упомянутых языках.

Ключевые слова: демонстративы, произведение ссылки, ограничения, английский язык, сербский язык.

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## The Yugoslav-Albanian Split (1948) - A Neoclassical Realist Explanation

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### Abstract

This paper aims to offer a theoretical explanation for the Albanian-Yugoslav rift in 1948. The alliance between Yugoslavia and Albania is considered to be more than an ideological alliance determined by communist parties and the leadership of two countries as a consequence of the systemic and regional distribution of power created after the Second World War; its dissolution is ultimately related to the breakup of those power patterns when USSR terminated the alliance with Yugoslavia. The mainstream historiography accounts to an explanation which privileges the ideological and personal factors as responsible for the dissolution of the alliance. Whereas we argue that the rise and fall of Yugoslav-Albanian alliance is mainly a consequence of the initial and developing Soviet Union's and Yugoslavia's strategies over the Balkans after the World War II. These strategies are in turn determined mainly by international power distribution at the beginning of the Cold War. To account for this explanation, we will use neoclassical realist theory of foreign policy which holds that states are security and/or power maximizers whose behavior is primarily shaped by its relative power position in the international system and its regional power environment. As such states develop complex threat assessment procedures with the aim of either balancing power and threats or taking the advantages of the structural opportunities created by structural changes. Albania's breakup from Yugoslavia's influence is an exemplary case of threat balancing. Motivations behind Albania's decision were not concerned only with national security but regime's leadership survival as well. The motivations of Albanian-Yugoslav or Hoxha-Tito split are similar with the motivations of Yugoslav-Soviet or Tito-Stalin split: the preservation of national independence and domestic leadership's political survival. These motivations although necessary are not sufficient conditions to explain the case without taking into consideration the whole structural changes taking place at that time.

**Keywords:** Albania, Yugoslavia, Enver Hoxha, Tito, neoclassical realism

### Introduction

During the World War II the Balkans became an 'operational theater' for the conflict between the great powers as it had happened during the World War I from which the Balkan countries came out exhausted. The Balkan countries didn't want to be part of a Great War again and tried everything to remain neutral before the WWII started. Facing difficult economic, social and political conditions, the Balkan countries were concentrated in domestic problems (Glenny, 1999). When international environment became volatile, the first country to fall was Albania. Italy – which had developed strong political and economic control over Albania during the last 15 years – invaded Albania. Italy's strategy toward Albania was primarily concerned with security issues related to the security of Otranto canal. Secondly to have a point from which to develop its military operations in the Balkans; and to use its natural resources, especially its oil as well (Paolleti, 2008). Italy installed a puppet government while the resistance during the first two years of occupation was sporadic. The resistance was organized around some nationalist movements and communist groups who remained largely disorganized. The intensifications of the war before the *Operation Barbarossa* made Balkans an important strategic region for Germany. The failure of Italy to invade Greece imposed Germany to postpone the operation in Russia. Hitler had incorporated Rumania, Bulgaria and Yugoslavia in the Triple Alliance, but a *coup d'état* in Yugoslavia changed his plans. Hitler ordered the invasion of Yugoslavia and Greece. The operation was concluded within April 1941. Germany after securing the Balkans from the allied forces was ready for the operations in Soviet Union. The invasion of Yugoslavia and Greece and the operations in Soviet Russia constituted a turning point for the domestic resistance in the Balkans. Great Britain was slowly penetrating the region and helping the guerrilla groups to organize and fight the Axis forces. In the meantime, Komintern (Communist International) had ordered the organization and centralization of the communist groups operating in the Balkans. The most important communist resistance was located in Yugoslavia under Tito's leadership. Along with it were the communist groups operating in Greece and Albania. Tito send a representative in Albania to organize the communist groups under a political

organization. Albania's communist party was founded in 8 October 1941 with the help and presence of two Yugoslav representatives. During the whole period of the World War II, the political and military activity of the Communist Party remained under the strong control of the Yugoslavs. They dictated its leadership and its behavior. Enver Hoxha – although not known as a communist activist before the creation of the Communist Party – took a very important role since the creation of the party. Hoxha was the preferred figure of the representatives of communist Yugoslavs in Albania, Dušan Mugoša and Miladin Popovic. Although the Communist Party was led formally collectively until Hoxha was nominated First Secretary in 1944, Mugoša was the leader behind doors (Butka, 2006; Fevziu, 2011). Tito was not satisfied with political control over Albania's communist movement. He wanted to encompass all communist resistance in the Balkans in one unified structure. Tito tried to establish united headquarters of the partisan movements but this failed because of Tito's unwillingness to agree on a structure giving each member an equal voice because he wanted this structure to be subordinated to Yugoslav's partisan movement. He is recorded to have said that "we must be at the center of the Balkan countries in military as well as political respects". (Perovic, 2007, 42). By the middle of 1943 the relations between communist movements of Albania and Yugoslavia were consolidated, although there was one obstacle in Kosova's question. Although in previous communist declarations was advocated the solution of ethnic problems based on the principle of self-determination; this was not seen as a clear engagement for the solution of the Kosovo question after the war. This was seen as an obstacle for communist's expansion in Albania and was used against them by nationalists. Albania's Communist Party approached the Yugoslav's to discuss the prospects of Albania's postwar unification with Kosova. "Tito refused to discuss the matter. Instead he sought to resolve the Kosovo question by incorporating Albania into Yugoslavia" (Perovic, 2007, 43). When Albanian Communists pressed by nationalists tried to play with the *fait accompli* card in the *Mukja Agreement* they faced a violent reaction from Yugoslav representatives in Albania. Communist Party and Enver Hoxha were constrained to renounce from *Mukja Agreement* in August 1943 and denounce it as treason. This is the point when Yugoslav intentions became clear. They were not willing to allow a different political regime in Albania from that of Yugoslavia and that the future of both countries was to be within the framework of Yugoslavia (Butka, 1998, 2006; Dervishi, 2006; Duka, 2011).

When Italy capitulated and Germany took its place in Albania and the whole Balkans, a different strategic situation was created. "The Nazis' objectives in the Balkans from 1941 onwards were simply 'defensive'. Hitler needed to protect his oil supplies from Romania to secure his southern flank for Operation Barbarossa, the invasion of the Soviet Union" (Glenny, 1999, 478). Since they apparently had no genuine interest to keep Balkan under occupation, many Albanian nationalist saw Germany as an instrument to realize Albania's national interest consisting in uniting all territories inhabited by Albanians in one single state. Some distinguished figures since Albania's independence in 1912 became part of the Regency Council and new administration. Other nationalists pushed by communist's aggressive attitude were unwilling to make frontal assaults against the Germans. They tried to occupy a middle ground; combining the resistance with ad hoc cooperation. This left an open terrain for the communist resistance to associate itself with massive popular support. This opened terrain combined with strong organization mirroring the one Yugoslavs had and the support by allied forces, especially Great Britain, were the main reasons which made Communists the most important anti-German resistance in Albania (Frashëri et al., 2002). As the war was coming to the end, the domestic power struggle intensified. The conflict between nationalists and communists - who following the Yugoslav example decided in spring of 1944 not to share power with other political factors in the country – shifted toward communists. At the end of the World War II, communists occupied a very strong positions in all Balkan countries. While in Bulgaria and specifically in Rumania communist rule was heavily imposed by Soviet troops, in Yugoslavia and Albania this was an indigenous power capture. Tito and Hoxha got rid of the opposition and anticommunist resistance in the first two years in power while the civil war in Greece continued until 1949. The relationship between Communist Parties was extended as the relationship between two countries.

Tito was careful to isolate Albania's foreign policy and make its security wholly dependent on Yugoslavia. This was facilitated by systemic and domestic factors such as the absence of direct interest of Soviet Union in Albania; the continuation of the civil war in Greece; the strained relations with western powers and the control exerted by Yugoslavs over the CPA. Yugoslavia in cooperation with newly elected Albanian authorities mined Corfu Canal which became to be known as the *Corfu Incident* alienating even more the relationship between Albania e Great Britain (Milo, 2010). At such conditions, Albania and Yugoslavia signed a number of treaties binding two countries to each-others assistance. Almost 1000 Yugoslav experts came to Albania. They opened the terrain to a whole economic, political and military dependence of Albania on Yugoslavia. Hoxha visited Yugoslavia twice in 1946 (one formal and one informal visit) where was discussed a roadmap of Albania joining Yugoslavia as the seventh republic (Fevziu, 2011). In 1946 was concluded the Treaty on Friendship and Mutual Assistance and the bilateral economic and customs agreements aiming to merge both economies. Economic merging was to be followed by military merging. Enver Hoxha accompanied by Minister of Interior, Koci Xoxe –

a proxy of Yugoslav's in Albania - had visited Moscow at the same year but there is no record showing that he complained against Yugoslav's behavior. Even the invitation of Moscow for Hoxha was consulted in advance with Yugoslavs. When Hoxha visited Stalin in July 1947, He was told that Soviet Union did not agree with Belgrade's policy toward Albania and that Albania as an independent country should take care of its foreign relations (Çuvahin, 2008, 37). However Hoxha was not sure how to read Stalin's approach. The visit was followed by an influx of soviet specialists coming to Albania. Soviet Union was gradually establishing direct ties with Albania and these worried Tito in Belgrade. Nako Spiru, the Minister of Economy and Industry deepened its resistance against the agreements made with Yugoslavia. There is no evidence that this is related with assurances taken in the meetings in Moscow, but it is clear that Spiru had close relationships with Russian diplomats in Tirana. Even before he committed suicide under strong pressure by Beograd and their proxies in Tirana, he was to have a meeting with Russian diplomats in Tirana. Yugoslav's pressure was so strong that even Hoxha's closer ally Mehmet Shehu was removed from its positions. Tito ordered his ambassador in Moscow to approach Stalin and inform him about events in Tirana accusing Spiru for anti-Yugoslav campaign based on anti-Marxist arguments (Perovic, 2007, 47). Hoxha stood at the pro-Yugoslavian camp fearing a possible remove from power position. Tito had eliminated the resistance in Albania and though that time for Albania to become the seventh republic had come. He had signed a Treaty on Friendship and Mutual assistance with Bulgaria as well. Dimitrov had supported the creation of a confederation with Yugoslavia but with both countries having an equal voice, something unacceptable for Tito. Dimitrov stated publicly that a Balkan Federation should include all Balkans people democracies including Greece. In the meantime Tito had required Hoxha to send Yugoslav military troops in Korca in order to protect Albanian border from Greek incursions. Stalin was dismayed by Tito's and Dimitrov's activity without the onsent of Moscow. He summoned Bulgarian and Yugoslav high ranking officials in Moscow in the beginning of February 1948. He ordered them to renounce from the idea of an all-encompassing Balkan Federation. He strongly criticized Yugoslav's for trying to send military troops in Albania which according to him would push Great Britain and Greece to advance their troops in Albania creating e premise for another great conflict. He also ordered Yugoslav's to withdraw their support to Greek communists (Gjilas, 2006). Dimitrov publicly resigned from the idea of a federation encompassing Greece while Tito had other plans. He was still pushing for the unification of Albania with Yugoslavia and did not withdraw its support for the civil war in Greece. Moscow send a warning letter to Tito accusing him for deviationist policy from Marxist-Leninist line. This letter was forwarded to all socialist republics of the camp at the end of March 1948. From March to June 1948 there was a little cold war between Soviet Union and Yugoslavia culminating with the declaration of Cominform in 22 June 1948 which expelled Yugoslavia from the organization denouncing it as deviationist country. During these tense months, Hoxha was following the events to see how the situation would unfold. The unification of Albania with Yugoslavia was almost done at the beginning of 1948, but the developments leading to Soviet-Yugoslav split changed the picture. Hoxha was informed about Soviet-Yugoslav disagreement since April 1948 but he wasn't clear if the conflict would go all the way down to a complete breakup. When in June things took their final form, Hoxha decided to bring an end to the most intense relationship Albania had ever had with a neighboring country. He expelled all Yugoslav experts, abolished the agreements and cemented the alliance with Soviet Union. This was accompanied with domestic purges culminating with the execution of Minister of Interior Koçi Xoxe and the elimination of a group of politicians affiliated with Yugoslavia.

### Theoretical Framework

Realism is a philosophical and theoretical tradition of research in International Relations. This tradition is composed of many different approaches which share three basic fundamental assumptions. Robert Gilpin (1986) argues that the basic common assumption is the conflictual nature of international affairs. "As Thomas Hobbes told ... 'it's a jungle out there'. Anarchy is the rule; order, justice, and morality are the exceptions". The second assumption hold by realists is that the "ultimate units of social and political life are not the individuals of liberal thought nor the classes of Marxism" but what "Ralf Dahrendorf has called 'conflict groups'". Gilpin says that humans are "tribal species" whose loyalty is dedicated to groups. "In the modern world, we have given the name 'nationstate' to these competing tribes and the name 'nationalism' to this form of loyalty". The third common unifying assumption for realist thinking is "the primacy in all political life of power and security in human motivation". This does not mean that there are no other higher values pursued by humans but that "all these more noble goals will be lost unless one makes provision for one's security in the power struggle among social groups" (Gilpin, 1986, 304-305). The most important traditions within realism are classical realism and structural realism. For the most distinguished classical realist, Hans J. Morgenthau, politics is guided by objective laws rooted in *human nature*. International system is populated by states which are egoistic and pursue their interest "defined as power". This interest defined in terms of power is the fundament of international politics. (Morgenthau, 2005, 4-15). In Keneth N. Waltz's structural realism, the most important feature of international life is not state's interest defined in terms of power, but the very nature

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of international politics. He reverses the direction of causality from 'objective laws rooted in human nature' to the anarchic nature of international system which imposes limited choices over the units of the system who try to survive within this self-help system. International system according to Waltz is composed by two elements: its structure and its units. The structure of international system is the product of the interaction between units, not the aggregate of the units. Waltz offers a three layer definition of structure: first layer is "the principle by which the system is ordered" which in our case is the anarchic order; second "by specification of functions of differentiated units", which means that states are 'like units' because they demonstrate similar functions; third is "the distribution of capabilities across units" (Waltz, 1979, 100-101). In Waltz's definition, the first two components are constants while the third is the most important variable to explain international politics.

Neoclassical realism is an attempt to build a middle-range theory of foreign policy informed by realist grand theories of International Relations. Gideon Rose in a review essay (1998) argues that theories of foreign policy could be classified in two groups. In one group are *innenpolitik* theories which locate the causes of state behavior at the domestic politics (human nature, psychological and cognitive characteristic of the leadership, the ideology, decision-making processes, the nature of domestic regime, etc. ) In the other group are structural theories which locate the causes of state's behavior at the nature of international structure. Each theory falling in the first group privileges a domestic independent variable as responsible for the state's behavior, but all of them share a common understanding that foreign policy could be best understood as a domestic dynamic of the country. The main problem with theories which explain state's behavior by reference only to the unit level is that they "have difficulty accounting for why states with similar domestic systems often act differently in the foreign policy sphere and why dissimilar states in similar situations often act alike" (Rose, 1998, 148). The chief problem with structural theories is the reverse because most of them concentrate on the "nature of the international system and ignore what goes on behind state doors" (Zakaria, 1992, 178). So these theories are unable to explain why states with different domestic regimes within the same structural conditions act differently in the foreign policy activity. The reason why one category of theories abstract from systemic factors and the other category from domestic factors is described eloquently by Kenneth Waltz who speaks about the 'autonomy of domains'. International politics and domestic politics are two autonomous domains organized by their own principles which require different theoretical tools to account for them. Foreign policy falls in the middle ground between International politics and domestic politics making its theoretical autonomy impossible and therefore a grand unified theory of foreign policy impossible (Waltz, 1996, 54). Theory of International Politics, says Waltz, shows us why states having the same international power position act alike, but structure does not tell us everything, "they tell us a small number of big and important things" (Waltz, 1986, 329).

A theory of foreign policy must explain what structure does not tell: Why states with similar relative power position act differently? As Waltz says "a neorealist theory of international politics explains how external forces shape states' behavior, but says nothing about the effects of internal forces. Under most circumstances, a theory of international politics is not sufficient, and cannot be made sufficient, for the making of unambiguous foreign-policy predictions" (Waltz, 1996, 57). As such a theory of foreign policy must trace differences in behavior on "internal composition" of the state (ibid, 54). Neoclassical realism steps up in this difficult position to claim that they have found one way to offer coherent theoretical explanations of foreign policy. The neoclassical realism formulates different analytical approaches attempting to regulate the imbalance between "the general and the unique" (Wohlforth, 2012, 73). Neoclassical realism keeps the structural premises of neorealism privileging international structure and examines 'the intervening role of the state' in an attempt to integrate domestic factors in the analysis of foreign policy (Lobell, Ripsman, & Taliaferro, 2009, 4). Rose claims that neoclassical realism links clearly "specified independent, intervening and dependent variables in a direct causal chain" (Rose, 1998, 167). Neoclassical realist make relative power position their chief independent variable and as such they are forced to choose side on how to understand the concept of 'power'. They follow the definition of Robert Dahl who conceptualizes power in relational terms as "A's ability to get B to do something it would otherwise not do" (Dahl, 1957). Neoclassical realists do not assume that states seek power maximization or security maximization as classical realists or neorealists assume; they instead assume that "states respond to the uncertainties of international anarchy by seeking to control and shape their external environment" (Rose, 1998, 152). State's interest in neoclassical realist approach is not understood as 'given', but as the goals and preferences which guide state's external behavior.

One of the most important departures from neorealism is the fact that they hold that in order to understand "the way states interpret and respond to their external environment, one must analyze how systemic pressures are translated through unit level intervening variables such as decision-maker's perceptions and domestic state structure" (ibid, 152). Neoclassical realists remain agnostic on the issue of which theory could be best used as an auxiliary theory and use the theories which they think are best suited to the case explanation (Wohlforth, 2012, 73). This does not mean that they do not follow some

theoretical proposition, but that they are elastic in combining theories which respond to the complexity of the reality of foreign policy. The basic premise from which one has to start the analysis of foreign policy is that the goal and ambition of the foreign policy is guided primarily by the power position which the state occupies in international system. But to understand how these power position and structural pressures and incentives are translated in concrete policies "a close examination of the context within which foreign policies are formulated and implemented" is required (Rose, 1998, 147). Anarchy, they say is not Hobbesian, nor peaceful, but obscure and difficult to be read by states (ibid, 152). The process of threat assessment and incentive's evaluation is mediated by leader's dispositions and knowledge. Although decision-maker's perceptions of the structural factors is the chief intervening variable for most neoclassical realists, this approach is very plural. For Fareed Zakaria (1999) the chief intervening variable is state's power extracting capacity. "State power is that portion of national power the government can extract for its purposes and reflects the ease with which central decision-makers can achieve their ends... state-centered realism, maintains the logic that capabilities shape intentions, but it recognizes that state structure limits the availability of national power" (Zakaria, 1999, 9). Other scholars have used different intervening variables to elucidate different phenomena of foreign policy. But auxiliary theories are used only when structural theories fail to give satisfactory explanations of the phenomena. When the results deviate from theoretical expectations, the unit variables related with neoclassical realism must be integrated to understand why (Schweller, 2003, 346). Is not clear if neoclassical realism constitutes an original approach to the study of foreign policy or it is something "a neorealist would wait from the investigation of foreign policy" (Telhami, 2002, 162). The important thing is that neoclassical realist studies offer causal mechanisms of the phenomena explained.

We will implement this theoretical framework and methodology to elucidate the causal mechanism behind Albanian-Yugoslav split. We hold that the most important factor is Albania's power position relative to Yugoslavia but we consider the domestic power struggle and leader's political survival as well. Most of explanations offered by historians to account for Albania's foreign policy privilege motivational causes of Hoxha's survival in office. Steven R. David claims that the analysis of third world countries foreign policy should be based in survival motivation of their leaders. His omnibalance theory rests on the assumption that "the most powerful determinant of alignment is the drive of Third World leaders to ensure their political and physical survival". This because "leaders are weak and illegitimate and that the stakes for domestic politics are very high-conditions that are much more common in the Third World than elsewhere". This bring the implication of the need of the leaders "to appease secondary adversaries, as well as to balance against both internal and external threats in order to survive in power" (David, 1991, 236). Mesquita and associates have stated the "politics behind survival in office is ... the essence of politics" and the desire to survive "motivates the selection of policies and the allocation of benefits; it shapes the selection of political institutions and the objectives of foreign policy; it influences the very evolution of political life". But it is axiomatic that "everyone in a position of authority wants to keep that authority and that it is the maneuvering to do so that is central to politics in any type of regime" (Mesquita, Smith, Siverson, & Morrow, 2003, 8-9). This means that the motivation behind survival in office is a constant, not a variable. It is rare to find a politician which is not willing to survive in office. We think that the examination of the causal mechanism which makes leader's behave as they behave is very important to elucidate the causes of political behavior, not the motivation behind the behavior. Although 'survival' in office is universally the same this does not mean that the consequences of the behavior are universally the same. The consequences are mediated by structural and idiosyncratic factors.

The most important factor – which we will use as the intervening variable together with leader's perceptions – is the relationship between means and ends. We assume that this relationship is influenced by the structure of domestic regime and actor's will. This means that difference in forms of political organization influences the relationship between means and ends despite the similarity of leader's dispositions. The motivation behind political survival is conditioned from the forms of political regime. In a liberal-democratic system some means are discouraged, while in totalitarian regime some means are encouraged although the motivation is the same. These means are used as domestic instruments of political survival and their influence in state's external behavior is not immediate. They serve as instruments of the mobilization of resources and popular support which in turn influences leader's foreign policy choices. This brings us to a "complex threat assessment". Although "shifts in power at the international system dominate, threats can also emanate from the subsystemic or regional and domestic environments" (Lobell, 1999, 43). In this perspective "leaders can act internationally for domestic reasons or domestically for international purposes" (ibid, 44). This often happens in the same time. Political leaders try to explore international situations for external and internal reasons. As Graham Allison puts it every horizontal move against a foreign adversary implicates vertical moves in domestic politics (Nathan & Allison, 2012). This happens because "the actor is involved in a whole network of games... What appears suboptimal from the perspective of only one game is in fact optimal when the whole network of games is considered" (Tsebelis, 1990, 7).



## Case Explanation

The rise and fall of Albanian-Yugoslav relations are intimately related to Yugoslav-Soviet relations. Albanian-Yugoslav relations were consolidated and deepened in a time when Soviet Union had no direct strategic interest in Albania considering it as a Yugoslav appendix. The relations deteriorated when Soviet Union grew suspicious of Yugoslav's intensions in the Balkans and came to see Albania as an instrument to contain Yugoslav's ambitions in the Balkans. The sufficient cause of Albanian-Yugoslav split is the breakup of the relations between Yugoslavia and Soviet Union which altered power realities in the Balkans. This created the opportunity for Albania to escape Yugoslav's dependence and balance the threat through forging the alliance with Soviet Union. Soviet Union's interest to consolidate its control all over the eastern bloc in a time when the Cold War between camps had started collided with Yugoslavia's interest to establish its hegemony in the Balkans; which in turn collided with Albania's interest to preserve its national independence. Albania came to see Soviet Union as the guarantor of its independence and "soviet leaders came to see the maintenance of Albanian independence as a prerequisite for limiting Yugoslavia's influence in the Balkans" (Perovic, 2007, 63). However the causal chain is not unidirectional; there are other domestic factors which have influenced the consolidation and fall of the relationship. There are apparently three factors which influenced Albania's alignment with Yugoslavia at the end of the World War II: the security factor; the ideological factor and the continuation of the asymmetrical relationship between communist leaders created during the war. The mainstream post-communist historiography accounts only for the last factor. Although this one seems to be an important factor, we argue that it is not the *sufficient cause*. It is facilitated by Albania's power position within the regional environment and the developments taking place after the war. The alliance came to the end when the factors which forged the alliance ceased to exist.

In October 1944 – a month before Albania was liberated – Churchill met with Stalin in Moscow. As Germans were retreating, the Red Army and Allied Forces were close to collision in the liberated countries of the Balkans. The reason of the meeting was to avoid any misunderstanding between victors of the war. The so-called *percentages agreement* divided the Balkans between Soviet Union and Western Powers influences: Romania was to be under Russian influence and Greece under Great Britain in accord with USA. The influence over Yugoslavia was projected to be 50% - 50% (Churchill, 1953, 198). The agreement was intended by Churchill as a temporal arrangement to avoid the allied forces conflicts. "The informal and temporary arrangement which I had made with Stalin during my October visit to Moscow could not and so far as I was concerned was never intended to, govern or affect the future of these wide regions once Germany was defeated" (Churchill, 1953, 289). Stalin took it seriously and remained committed to agreement, especially in Greece's case, not because he wanted but because the agreement reflected power reality created after the World War II. This has forced historians to see Churchill's agreement as a treason to the people of the Balkans and especially Rumania where the communist movement was insignificant (Baciu, 2007). The analysis of subsequent events in South Eastern Europe as consequence of the 'percentage agreement' is fundamentally wrong for one essential reason: the following events are related with the systemic distribution of power among the victors of World War II; the zones of influence in the Balkans were dictated by objective reality of power rather than gentlemen's agreements. Stalin took his hands off Greece not because he wanted to but because Greece was beyond its possibilities. As Kissinger puts it "Stalin was indeed a monster; but in conduct of international relations, he was the supreme realist – patient, shrewd, and implacable, the Richelieu of his period" (Kissinger, 1994, 333). Stalin knew that the political map of the Balkans after World War II would be a product of power reality. Its subsequent stability is a product of the power competition under the logic of the Cold War, not the product of a rational design of leaders. The strategies of Soviet Union, Yugoslavia and Albania developed in accordance with structural constraints created by power competition. The 'love affair' between victors of World War II ended in the beginning of 1947 when it was clear that interests of USA and its allies were incompatible with the interests of Soviet Union and its allies. Soviet Union was posited as one of two world superpowers by that time. Its western borders of influence extended from Berlin to Greece incorporating Baltic States, Poland and the countries of South Eastern Europe. Stalin was careful first to keep its position and slowly expand its interest. On the other side, WWII had exposed Great Britain's limits as world power leaving the United States the sole superpower of Western bloc. In March 1947, the US approved the *Truman Doctrine* opening the door for the containment policy which intended to limit Soviet expansion. The conflict that arose was labeled by American journalist Walter Lippmann as the *Cold War*.

Yugoslavia was intended in the *percentage agreement* as a buffer zone between two blocs but power realities on the ground made it an even more aggressive country in pursuing its hegemonic ambitions in the Balkans. Led by an experienced communist Josip Broz Tito, Yugoslavia's ambition was to be the determining factor in the Balkans affairs. Tito was a Yugoslav nationalist wanting to advance Yugoslavia's national interest (Glenny, 1999). He wanted to unite the Balkan countries under the umbrella of Yugoslav Federation. Tito's key objective was to "establish Yugoslavia as the regional

hegemon" (Perovic, 2007, 42). To achieve it he had first of all to solve the 'ethnic problem' within the federation. Incorporating Albania within the framework of federation would have put to sleep the question of Kosova and the question of Albanians living in the Macedonian region. The incorporation of Greece would have solved the problem of the Slavic speaking people leaving in Macedonian region in Greece. The incorporation of Bulgaria would have created a framework to solve the conflict between Bulgaria and Greece over Macedonia. The solution of the ethnic problem within a multiethnic internationalist federation was seen by Tito as a prerequisite for other Yugoslav ambitions. Whereas Greece was beyond its reach, the Albanian question was maneuverable. Tito worked in great detail to isolate Albania's foreign policy so the country could see Yugoslavia as the only friend in a region filled with enemies. Soviet Union considered Albania as a province of Yugoslavia until 1947; and Tito was very jealous about Russia's direct inference in Albanian question. He used the civil war in Greece, Greek pretensions over Albania's southern territories and continuous Greek incursions in south of Albania to exacerbate Hoxha's fear over Albania's territorial integrity (Çuvahin, 2008). There is no strong evidence supporting the idea of the mainstream historiography that Yugoslavs wanted to topple Hoxha and replace him with someone more subordinated to their interest. Yugoslav's knew that Hoxha was the most popular figure within the CPA and replacing him with a Yugoslav puppet would not pay off. Instead, Tito tried and achieved to create a strong group of people within Communist Party who kept Hoxha under strong pressure to follow the Yugoslav line.

Albania's interest after the World War II was to keep its territorial integrity of pre World War. Albania was small, weak and vulnerable toward the neighbor's ambitions. Albania's Communist Party and Enver Hoxha were helped to seize power by Yugoslavia although the power struggle on the grounds was clearly won by indigenous communists. Enver Hoxha was suspicious of Western Powers. First of all he feared that Albania's alignment with Great Britain and USA would constitute a blow toward his regime; secondly, Enver Hoxha – although took guarantees from US and Great Britain about Albania's territorial integrity – he saw their preference toward Greece as a threat toward Albania's territorial integrity. The Corfu Incident and US reluctance to recognize its regime pushed him even further toward Yugoslav dependence. The common ideology with communist Yugoslavia and deep ties created during the war facilitated the relationship with Yugoslavia. Although there is no clear evidence about Greece's immediate intentions toward Albania and less to support the idea that such move would have been supported by US and Great Britain; Hoxha clearly believed that this was the case. Afterward he misperceived and exaggerated the threat for Albania's territorial integrity which pushed him under total dependence on Yugoslavia. Hoxha had two choices: (1) to resist Yugoslav's and face the repercussions which could range from him being ousted from power and purged as the 'enemy of the people' to the full invasion of Albania by Yugoslavia; (2) being patient to wait and see how domestic and international events would unfold in the near future. Before Moscow's open assault on Yugoslavia, he was convinced that the Yugoslav fraction within the Communist party had complete control and that any move against the Yugoslav line would have seen him ousted. Instead of balancing, he choose to bandwagon. This worked well for Tito for whom an all-encompassing Balkan Federation looked a real possibility. Stalin's policy toward a possible Balkan federation was unclear. At the beginning, Soviet Union's interests looked in harmony with Yugoslavia's interest in the Balkans to that point that until "the founding of the Cominform in September 1947, Soviet leaders presented Yugoslavia as a role model for others to follow. Not until late 1947 did Moscow's attitude begin to change" (Perovic, 2007, 40).

What happened that changed Stalin's attitude toward Yugoslavia in a time when Yugoslav's ambitions in the Balkans were clearly known to him? The most important factor for Stalin to review its foreign policy toward the Western Balkans was the increasing tensions between Soviet Union and United States. Western Balkans was not as vital for Soviet Union's interest as were the countries surrounding USSR. His priorities were concerned primarily with the Soviet Union's near abroad. He wanted to avoid with any condition a conflict which would have aroused for a region that was not vital to Soviet's strategic interest. Under such delicate conditions, the foreign policy of communist bloc was to be coordinated and directed by Soviet Union. This is the main reason why Stalin saw Tito's attempt to incorporate Albania and his interference in Greek affair as dangerous. When Tito pressured Albania to send two military divisions in Korça in January 1948 under the pretext of protecting Albania from a possible Greek invasion and Bulgaria's communist leader Dimitrov at the same time stated publicly that a Balkan Federation encompassing Greece was under way without the consent of Soviet Union; Stalin decided to make clear that political decisions on Soviet's sphere of influence would be taken by Moscow. He summoned Bulgarian and Yugoslav officials in Moscow and pressured them to renounce the idea of sending military troops in Albania and to stop supporting Greek communists which would have brought an end to Greek civil war (Gjilas, 2006, 110-115). Against Moscow's will, Tito still pursued Albania toward a unification with Yugoslavia. The Eighth Plenum of Albania's Communist Party in the end of February and the beginning of March had decided to speed up the process of Albania's unification with Yugoslavia; a decision which was clearly influenced by Yugoslav proxies within the Communist Party but that was supported even by Hoxha himself. Tito did not renounce even its support toward the communist's rebellion in Greece making them

clear that Yugoslavia would support them even against Stalin's will. "The main reason for the conflict was Stalin's dismay when Tito continued to pursue an expansionist foreign policy agenda toward Yugoslavia's neighbors, especially Albania, against Moscow's stern advice at a time when Soviet policy toward Eastern Europe as a whole was hardening. Soviet and Yugoslav interests collided once it became clear in February–March 1948 that Tito would not abandon his goals in the Balkans" (Perovic, 2007, 34-35). When it was clear that Yugoslavia would not subjugate its foreign policy to Soviet Union, Stalin decided for a frontal assault on Tito. He send a letter to Tito in 27<sup>th</sup> of March accusing him for deviationist policy and hostile behavior toward communist parties. This letter was forwarded to all communist leaders and given to Hoxha by Soviet Union's ambassador in Tirana, Çuvahin at the end of the same month. Although Hoxha expressed his solidarity with the content of the letter he didn't take actions against Yugoslavs (Çuvahin, 2008, 47-48). The Cominform resolution of 28 June 1948 accused the Yugoslavs for deviating from the Marxist-Leninist line and pursuing hostile policies toward communist parties. Yugoslavia was expelled from Rorganization and completely isolated from the communist bloc. Hoxha took the opportunity and gradually detached Albania from Yugoslavian influence. From June to September 1948, he expelled from country almost 1000 Yugoslav specialists and terminated all economic, political and military agreements. Time was to balance Yugoslavian threat and this was done by forging the Alliance with the Soviet Union.

### Conclusion

The explanation of the rise and fall of Albanian-Yugoslav alliance is primarily based on the systemic and regional power distribution at the end of World War II and the beginning of the Cold War. The rise of the alliance is determined by Albania's security vulnerability toward the neighboring countries and the asymmetrical relationship between communists of the two countries created during the war. The fall of the alliance could be explained by considering the breakup of power realities in the beginning of the Cold War. Albania's interest for national independence and Hoxha's motivation for political survival are taken as axiomatic and as such they don't constitute the causes of the alliance breakup. The main cause behind Albanian-Yugoslav rift is the breakup of the relationship between Soviet Union and Yugoslavia in a time when Tito was pushing hard for the unification of Albania with Yugoslavian Federation. This created the systemic opportunity for Albania to balance Yugoslav threat through forging the alliance with Soviet Union. Albania moved from a bandwagoning behavior to a balancing policy.

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## European Monetary Measures to Support Economic Recovery

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### Abstract

The present article aims to look at the current monetary measures deployed by ECB to address the economic context of below expectations economic growth and inflation, taking into account the expression of monetary policy via the Expanded Asset Purchase Programme. This tool is used to push financial liquidity into the economies of the European Union, in a banking system affected by the crisis and which has been shown to be still at risk by the latest stress tests conducted by the European Banking Authority. The article points out why monetary measures are important to support the economic recovery in Europe, in an interventional context of monetary and fiscal policies of governing authorities, appealing to economic models to explain how the policies contribute to economic growth and development. The methodology used by the article is economic analysis and rationale, cost-benefit analysis, statistics of money market and banking industry indicators, etc. The conclusion emerging from this article is that the Asset Purchase Programme of ECB led in a certain degree to an improvement in the macro-economic environment on yields and on its transmission channels into the financial system and into economies.

**Keywords:** Debt, Expanded Asset Purchase Programme, Inflation, Interest Rate, Monetary Measures, Quantitative Easing.

JEL Codes: E44, E51, E52, E58, G12

### Introduction

In the present state of the European economies facing unemployment and slow GDP growth, in an environment of close to zero or negative interest rates (e. g. EURIBOR<sup>1</sup> or EUR key reference rate<sup>2</sup>), the preference for liquidity is high. This liquidity should translate into investments that generate positive returns that lead to a raise in GDP (economic growth) and translates into wages increase and job creation as part of economic development (economic development seen in the welfare of a society).

The main mission of European Central Bank (ECB) is to control inflation by maintaining the stability of prices<sup>3</sup> via a wide range of monetary measures. The prices are the transfer mechanism of money in exchange for property or ownership of goods and services. When prices are stable, they favour equitable redistribution of wealth. A deflation in EU is impacting distribution of monetary resources. Negative interest rates erode capital and sever the incentive for saving.

ECB implemented the monetary measure called "Expanded Asset Purchase Programme"<sup>4</sup> as a Quantitative Easing mechanism to increase the monetary mass to release liquidity to national banks and in the end to commercial and retail banks, in order to finance business. The monetary mass should be relative to favouring inflation around 2%. Today, the threat is called deflation (falling prices leading to decreasing inflation below 2% and into negative territory). Deflation means that merchandise is cheaper and the turnovers of companies decrease (quantity sold multiplied by falling prices).

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<sup>1</sup> <http://www.euribor-rates.eu/>

<sup>2</sup> <https://www.ecb.europa.eu/stats/monetary/rates/html/index.en.html>

<sup>3</sup> ECB: Our role - "Our main aim is to maintain price stability, i.e. to safeguard the value of the euro. Price stability is essential for economic growth and job creation – two of the European Union's objectives – and it represents the most important contribution monetary policy can make in that area." (<http://www.ecb.europa.eu/ecb/tasks/html/index.en.html>)

<sup>4</sup> <https://www.ecb.europa.eu/mopo/implement/omt/html/index.en.html>

Companies will produce less and will adjust costs and people will cut consumption and push further the pressure on companies.

It is a related spiral between the phases of economic cycles, the abundance or scarcity of money and the reflection in price of money (interest rate) with a direct consequence on returns (yields) and job creation or contraction in an open economy. When money (priced at low interest rates) floods the economy, a part is transferred into investments (job creation) and a part in consumption (that gets back to companies via the turnovers, into profits and expansion). When investments turn unprofitable (errors in value assessment or in appraisal of fair market value) in an economy, the loss is always expressed in financial denomination. Consequently, scarcity of money affects jobs, consumption and turnovers decrease, leading to the contraction of economic activities. That is why, in the present economic context, EU needs to deploy the set of instruments to direct the financial flows of money, due to the following reasons: an imperfect monetary union; no fiscal union and governments failed to keep fiscal deficit below 3%, the structural fiscal deficit below 0.5% or for some industries 1% and public debt below 60% (in EA19, the public debt is above 90% - see Eurostat, June 2016)<sup>1</sup>.

To support the economic recovery, in Keynesian philosophy, in economic downturn any central bank should print money and distribute cheaply in the economy to boost consumption (demand side measures) and to trigger an increase in employment (supply side measures), since unemployment is a structural problem of the economy, that can only be addressed on long run<sup>2</sup> (Jahan, Mahmud and Papageorgiou, 2014).

In this article I appeal to J. M. Keynes' macroeconomic theory<sup>3</sup> (expressed in various macro-economic models) to explain why the European Central Bank<sup>4</sup> targets access to money "at any cost" to boost economic development by monetary measures. In Hicks-Hansen model of an open economy, there is a direct relation between "Investments" and "Savings" (IS) and "Labour" and "Money" (LM) as liquidity preference under free trade and resource optimization reflected in the Balance of Payments (BoP) which stands for the allocation of flows of money. Because IS-LM model took into account only a closed economy (autarky), Mundell – Flemming model explains why in an open economy the monetary policies are not independent but correlated. Managing economic development by fiscal policy (taxes) and monetary policy (interest rate and foreign exchange rate), one cannot have fixed exchange rates, free capital movement (transfer of efficiency by price of money – interest rate and taxation) and uncorrelated decision for monetary policies (the case of EU28, EA19 where currencies fluctuate in range to EUR, interest rates follow EUR reference rate and fiscal policies are independent but guided by 2 significant benchmarks – public debt and fiscal deficit).

Investments and savings are a part of income, translated into money as mean of economic growth. The intersection of IS and LM graphic lines shows the equilibrium and what policies should be approached to boost Real Gross Domestic Product. Liquidity under this model and the quantity of money should be seen taking in account the preference for liquidity under economic uncertainties. By increasing government spending (when financial markets are imperfectly functional) a country can spend more than what it can produce (Keynes, 1936). This can be achieved by assuming a budget deficit (short term debt) or by taking loans from private and public lenders on long term (public debt)<sup>5</sup>. The fiscal and monetary policies are complementary one to the other. When the government spends, the national bank should control the quantity of money and inflation. When interest rates are low and inflation is controlled (cheap price of investments), the fiscal authorities should adopt an anti-cyclical approach: collect taxes and make reserves for future spending (control of public debt and fiscal deficit).

<sup>1</sup> [http://ec.europa.eu/eurostat/statistics-explained/index.php/Government\\_finance\\_statistics\\_-\\_quarterly\\_data](http://ec.europa.eu/eurostat/statistics-explained/index.php/Government_finance_statistics_-_quarterly_data)

<sup>2</sup> <http://www.imf.org/external/pubs/ft/fandd/2014/09/basics.htm>

<sup>3</sup> John Maynard Keynes, "The General Theory of Employment, Interest and Money", 1936

<sup>4</sup> ECB launched in 2012 the Outright Monetary Transactions ([http://www.ecb.europa.eu/press/pr/date/2012/html/pr120906\\_1.en.html](http://www.ecb.europa.eu/press/pr/date/2012/html/pr120906_1.en.html)).

Mario Draghi, president of ECB, gave "whatever it takes" speech in 2012 (<https://www.ecb.europa.eu/press/key/date/2012/html/sp120726.en.html>) and announced in June 2014 the start of Asset Purchase Programme ([https://www.ecb.europa.eu/press/key/date/2014/html/sp140911\\_1.en.html](https://www.ecb.europa.eu/press/key/date/2014/html/sp140911_1.en.html)) and in 2015 expanded it ([https://www.ecb.europa.eu/press/pr/date/2015/html/pr150122\\_1.en.html](https://www.ecb.europa.eu/press/pr/date/2015/html/pr150122_1.en.html)).

<sup>5</sup> J.M. Keynes: "On the other hand, a decline in income due to a decline in the level of employment, if it goes far, may even cause consumption to exceed income not only by some individuals and institutions using up the financial reserves which they have accumulated in better times, but also by the government, which will be liable, willingly or unwillingly, to run into a budgetary deficit or will provide unemployment relief" page 53

Across EU, there is a need for better managing the consequences of 2008 crisis. The European System of Central Banks (ESCB) implemented strategies to sustain financial actions, so that financial investments should create new jobs, being the easy way for central banks to distribute new money to markets, at low interest rates, raising inflation and consumption.

In a study paper<sup>1</sup> (ECB, August 2016), it is found that the negatively correlated “production” and “unemployment” duo can be a reliable indicator of the trend phase in which the economy is and macroeconomic data is showing the efficiency of monetary measures taken. The unusual money market measures represent a financial disruption of normal financial conditions, influencing directly the labour market (demand side impact), pushing upwards the capital markets (supply side impact).

Today, due to “expanded asset purchase programme” mechanism in place from ECB, liquidity is flooding the money markets, in Euro Area directly and all across EU indirectly. The effect is that this excess of liquidity, instead of translating into investments, mainly stayed in the money market system as cash, driving the price of money, i. e. interest rates to zero levels or below zero levels ( “money for free”?), leading to deflation or low levels of inflation ( “crawling inflation”). When prices of goods go down and money lose value, the turnover of companies decrease and, in spite of low cost of investments, profits decline or turn into actual loss. When this paradox persists (no satisfactory growth, despite access to liquidity), companies adjust to the “new normal” conditions (falling prices, excess liquidity, low cost of capital and new technologies) by restructuring activities, consumption is reduced and prices go down further, leading to another cycle. To break this chain, ECB aims at turning liquidity from QE mechanism into working capital loans for companies. The flow gets bottle-necked at commercial banks level that have the skills, tools and incentive to take on lending risks in their balance sheet, provided that they comply with capital requirements and non-performing loans ratios in conjunction with risk-weighted assets.

The banking system in European Union recovered partially and differently from the financial crisis and the need for restructuring is also present in the banking sector (commercial banks, the ones who should support and be the backbone of economic recovery, are also announcing recession: Deutsche Bank<sup>2</sup>, ING Bank<sup>3</sup>, Unicredit<sup>4</sup> and Monte dei Paschi di Siena<sup>5</sup>, etc. ). The European Banking Authority recently released the results of the stress test<sup>6</sup> conducted in 2016, analysing 51 banks and covering 15 EU and EEA countries holding approximately 70% of banks’ assets. Even if the purpose is to provide an image of how banks would perform in dire financial conditions, not having a reference level below/above which to refer to banks as losers/winners, the outcome is that there is a number of banks, some with systemic regional influence that need to improve Core Equity Tier 1 capital (CET1 as per the regulations issued by Bank for International Settlements / Basel Committee on Banking Supervision<sup>7</sup> in the agreements of Basel II in place today and Basel III<sup>8</sup> currently with transitory gradual calendar of implementation and final deadline of implementation March 2019). Starting from 2015, the banks should keep a minimum ratio CET1 per Risk Weighted Assets of 4. 5%. In EU, this is transposed in legislation<sup>9</sup>, by Capital Requirements Regulation<sup>10</sup> (CRR – EU Regulation 575/2013) and Capital Requirements Directive<sup>11</sup> (CRD 4 - Directive 2013/36/EU), along with Bank Recovery and Resolution Directive (BRRD - DIRECTIVE 2014/59/EU) and Deposit Guarantee Schemes Directive (DGSD - DIRECTIVE 2014/49/EU). In order to strengthen the financial environment, the Single Rulebook<sup>12</sup> unites all 4 documents for a “resilient, transparent and efficient banking sector”.

The Expanded Asset Purchase Programme set up by the European Central Bank for private and public sectors securities provides liquidity on the financial markets through the money market. However, ECB cannot simply “print” money, it needs to sell the asset called “money” and buy other assets (third covered bonds, asset-backed securities, public sector securities and private sector securities – usually bonds), as an exchange: ECB pays the price in cash for the tradable assets (debt

<sup>1</sup> <https://www.ecb.europa.eu/pub/pdf/scpops/ecbop175.en.pdf?b0080484af75491e40010fc129b53967>

<sup>2</sup> <http://www.reuters.com/article/us-germany-deutsche-bank-jobs-idUSKBN12E16T>

<sup>3</sup> <http://www.reuters.com/article/us-ing-groep-strategy-idUSKCN1230D3>

<sup>4</sup> <https://www.bloomberg.com/news/articles/2016-12-20/saving-italy-s-banks-means-missing-public-debt-target-once-again>

<sup>5</sup> <https://www.bloomberg.com/news/articles/2016-12-22/monte-paschi-said-headed-for-nationalization-after-sale-failure>

<sup>6</sup> <http://www.eba.europa.eu/documents/10180/1532819/2016-EU-wide-stress-test-Results.pdf>

<sup>7</sup> <http://www.bis.org/bcbs/index.htm?m=3%7C14>

<sup>8</sup> <http://www.bis.org/bcbs/basel3.htm?m=3%7C14%7C572>

<sup>9</sup> <http://www.eba.europa.eu/regulation-and-policy/implementing-basel-iii-europe>

<sup>10</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:321:0006:0342:EN:PDF>

<sup>11</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32013L0036>

<sup>12</sup> <http://www.eba.europa.eu/regulation-and-policy/single-rulebook>

and capital instruments, as well as derivatives). The average value of monthly purchases by ECB is around EUR 80 billion<sup>1</sup>, targeting also the long term refinancing operations and what is actually does is to de-stress the leveraged countries (mainly buying sovereign debt, partly to give time and liquidity to make structural economic adjustments to finance investments through the financial sector and create new jobs). The effect of the programme<sup>2</sup> is “the removal of duration risk and the relaxation of leverage constraints for financial intermediaries” (ECB, September 2016). Currently, the total purchase is EUR 1306 billion out of which, the public sector purchase represents 81% (ECB, October 2016).

Concluding, ECB’s QE should be effective to combat economic downturn. Since launching in 2015, almost 2 years passing it is a too-short timeframe to tell. ECB released in September 2016 an “early assessment”, looking on the monetary mechanism of transmission and how it works delivering the necessary liquidity to financial markets. What it does not cover is the second part, from financial private institutions, further to companies and the third chain, to employees. This points out that some improvement in the macroeconomic environment can be seen: the effects of the European Central Bank’s expanded asset purchase programme on yields and on the macro-economy and sheds some light on its transmission channels. It shows that the programme has significantly and persistently reduced sovereign yields on long-term bonds and raised the share prices of banks that held more sovereign bonds in their portfolios (ECB, August 2016).

## NOTES

The purpose of this article is to analyse public data and information. All this information is available from public sources in a complete form and according to specified methodology and can be accessed and seen in the sources indicated for reference. Therefore, it is not in the scope of the article to reproduce tables and charts, but to use the relevant data to answer to questions about causes, effects, time, impacts, costs, responsibilities, actions, benefits.

This article focuses on a very specific subject and takes into account a dual approach (financial and economic). Being a broad topic, it needs future observation, analysis and in-depth survey on all coordinates. It remains open for further development.

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## Gender Gap in Academic Achievement in Brunei Tertiary Education: Qualitative Perspective

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### Abstract

This study explores the potential factors causing a gender gap in academic achievement in the higher learning institutions of Brunei using in-depth interviews. Given that the gender gap is a worldwide phenomenon and problem in many educational settings, this study investigates the reasons for its persistence and how it can be resolved in the Brunei context. The findings of the study indicate that: 1) there are gender similarities in practices of good academic performance at school; 2) teaching methods and school facilities and environment may affect students' academic performance; 3) problems or challenges faced in academic performance or achievement at school; and 4) early entry to workplace. A mixed-methods research is recommended to gain additional insights into the problem and its solutions.

**Keywords:** Gender gap, academic achievement, gender differences, tertiary education, qualitative methods.

### Introduction

In Brunei, ample statistical evidences indicate the existence of gender disparity in academic achievement between female and male students (Department of Planning, Development and Research, 2010; Department of Statistics, 2011). The difference in numbers of males and females enrolling in Brunei tertiary educational institutions cannot attributed to differences in the critical vital life incidence statistics (such as birth rates, infant mortality, diseases, accidents and death). Further, school enrolment rates show that a nearly equal number of boys and girls enter school each year, and are retained in the education system until they complete their General Certificate of Education (GCE) Ordinary (O) Levels (Year 11) (Department of Planning, Development and Research, 2010). Moreover, the difference in the school dropout rate by gender is not statistically significant throughout the education system. Only a few children (mostly boys) repeat one year during their schooling due to a variety of reasons, including illness, disability or poor performance.

Throughout all the levels, particularly from GCE O Level (Year 11) to Advanced (A) Level (Year 13), the Special Education Unit and Guidance and Counselling Unit from the Ministry of Education provide personal counselling and educational interventions to students with special needs and poor academic achievements. As a result, equal girls and boys enrol in the few available sixth form colleges that serve as a pre-university foundation stage. Thus, overall, students are accorded a fair opportunity to access college and university education in Brunei.

In addition, the college and university statistics also indicate a significant prevalence of males in vocational and technical institutions, whereby there are more males in technical courses or programs such as engineering. In contrast, females represent the majority of enrolments in other courses. The other factor that may be held accountable for the gender gap is the gender differences in career interests. Documented employment statistics indicate that the majority of male school leavers opt to join the security services (police, army and prisons department) after completing school. Hence, more males than females join the uniformed services as recruits and cadet officers.

Therefore, in terms of academic performance or achievement, the gender gap appears to arise during the GCE AS and A Levels (Years 12 to 13). It is at this stage that it appears that females begin to far outperform their male counterparts in key subjects, such as mathematics and English, which are frequently included among the admission criteria of colleges and universities in Brunei. This has resulted in fewer males than females being admitted to colleges and universities.

### *Factors Impacting Academic Performance / Achievement in Brunei*

Taking into consideration the fact that both genders are raised in the same culture, attend similar schools, and are taught by teachers with comparable qualifications and experience, the causes of the difference in academic performance at the AS and A Levels is puzzling and remains a mystery to many educational stakeholders, such as teachers, parents and



employers. In general, the low performance in important key subjects such as mathematics and English, could be due to a number of reasons such as the poor quality of teaching, inadequate or inappropriate learning resources, and low interest or motivation in the subject. The National Education System for the 21<sup>st</sup> Century (SPN21) (Mundia, 2010a) and teacher education innovation in 2009 (Mundia, 2012a) are among the few examples of educational interventions made by the Ministry of Education to improve the quality of education.

It is a known fact that students with personal and academic problems have higher chances of low academic performance and achievement compared to those students with no problems. This is because their learning ability is affected and it limits their academic potentials. Negative factors, such as disability, behavioural disorders, depression, anxiety and stress are psychological and require counselling interventions to address them at school and at home (Mundia, 2006; Mundia, 2010b; Tait & Mundia, 2012b). In addition, differences in career preferences might also lead students to develop varying levels of interest and motivation for studying subjects (Mundia, 1998).

### **Objectives of the Study**

In general, it is well known that a student's academic achievement and grades are affected by numerous factors—too numerous to mention all here—that operate at different levels. These factors could include students' personal attributes, the home environment, the school context, teaching effectiveness, school quality, the nature of the curriculum, assessment procedures and language facility difficulties (to name a few). Each of these factors is broad and encompasses a wide range of issues. Thus far, no research is known to have been conducted in Brunei to determine the extent to which each of these factors influence the gender difference in AS and A Level academic performance. The three main objectives of the present study were to:

To explain gender disparity in academic achievement Brunei tertiary education.

To understand the onset of gender gap in academic achievement in Brunei tertiary education.

To seek any initiatives to reduce gender differences in Brunei tertiary education.

### **Method**

#### *Design*

The in-depth interviews method was used to investigate the problem. Under this procedure, the researcher had purposeful interactions to learn what another person knows, to discover and record what the person has experienced, what he or she thinks and feels about it, and what significance or meaning it might have (Arthur, Waring, Coe and Hedges, 2012, p. 170). This method required a good preparation before conducting the research and a great attention to participants during the interview to enable insightful analysis and produce firm findings (Dato Haji Metussin, 2016). Additionally, this method allows the researcher to receive in-depth information from the participants while controlling the line of questioning (Creswell, 2009). Moreover, the interview method can answer the 'what', 'how' and 'why' of the research questions by selecting participants to acquire in-depth detail. Additionally, in this study, there was no chance of the participants' behavioural patterns being influenced by the researcher because the researcher was asking about their feelings or actions regarding their academic achievement in the past. Therefore, the in-depth interview method was suitable for this study.

#### *Sample*

The non-probability sample consisted of a few information-rich cases (selected either purposefully or via the snowball procedure) who served as key informants in the semi-structured interview component of the study. Both genders were recruited in this sample. Two inclusion criteria—both based on sixth-form college/school academic records—were used to identify suitable participants. First, this study selected and interviewed previous male and female students who failed mathematics and English at the A Level and did not meet university admission requirements. These former sixth-form college students were currently out of school, working or in institutions of learning other than universities (such as vocational and technical establishments). During the interviews, these participants were asked to explain why they thought they did not perform well in mathematics and English. Second, this study selected and interviewed previous male and female students who passed mathematics and English at the A Level and met the university admission requirements. These former sixth-form college students were currently in their first year of university or in institutes of higher learning in Brunei. During the interviews, these participants were asked to explain why they thought they performed well in mathematics and English.



The interview schedule (which was pretested on similar types of people prior to use) also collected demographic information, such as the participants' age, present occupation or training program, parents' education and occupation, number of siblings, and any other relevant data useful in describing the qualitative sample. The size of the sample in the pilot study was 20, and in the main study was 32. The sample's descriptive statistics for the main study are presented in Tables 1 and 2 below.

Table 1  
General Demographic Information of the Main Study from the Qualitative Interviews (N = 32)

Variable	Group	Frequency		Percentage (%)	
Gender	Females	16		50	
	Males	16		50	
		MALE INTERVIEWEES		FEMALE INTERVIEWEES	
		Frequency	Percentage (%)	Frequency	Percentage (%)
Religion	Islam	16	50	15	46.88
	Christian	0	0	0	0
	Buddhist	0	0	1	3.13
Ethnicity	Malay	14	43.75	15	46.88
	Chinese	0	0	1	3.13
	Dusun	1	3.13	0	0
	Tutong	1	3.13	0	0
	Belait	0	0	0	0
	Murut	0	0	0	0
	Kedayan	0	0	0	0
	Bisaya	0	0	0	0
Parental status	Married	15	46.88	14	43.75
	Separated or divorced	1	3.13	1	3.13
	Widowed	0	0	0	0
	Deceased	0	0	1	3.13
Father's highest level of education	Primary	0	0	1	3.13
	Secondary	7	21.88	7	21.88
	College	4	12.50	3	9.38
	University	5	15.63	4	12.50
	Missing data	0	0	1	3.13
Mother's highest level of education	Primary	1	3.13	2	6.25
	Secondary	9	28.13	6	18.75
	College	2	6.25	2	6.25
	University	4	12.50	6	18.75

Table 2  
*Occupation of the Interviewees' Father and Mother According to Frequency and Percentage (N = 32)*

Variable	MALE INTERVIEWEES			FEMALE INTERVIEWEES		
	Group	Frequency	Percentage (%)	Group	Frequency	Percentage (%)
Father's occupation	2	2	6.25	00	2	6.25
	5	1	3.13	8	2	6.25
	6	1	3.13	11	1	3.13
	8	2	6.25	15	5	15.63
	16	4	12.50	16	2	6.25
	17	1	3.13	17	1	3.13
	22	5	15.63	22	3	9.38
TOTAL	-	16	50	-	16	50

	15	5	15.63	10	1	3.13
	17	4	12.50	15	2	6.25
Mother's occupation	21	6	18.75	17	7	21.88
	22	1	3.13	20	1	3.13
	-	-	-	21	4	12.50
	-	-	-	22	1	3.13
TOTAL	-	16	50	-	16	50

Note: Please refer to Appendix I for the major occupation groups in the 'Group' column, under the occupation of the father and mother row.

### Procedures

This study was originally done as part of the PhD doctoral dissertation research using sponsorship funds from the Universiti Brunei Darussalam. Permission to collect the data from the Sixth Form Centres (schools) was obtained from the Ethical Committee of the University. In addition, permission to conduct the study in schools was also granted by the Ministry of Education in the Government of Brunei Darussalam. Ethical requirements for involvement in the study were explained to all the participants. No deception was used. Only students who voluntarily agreed to participate in the study were recruited as participants and they were required to sign an informed consent form. Participants were also asked before the interviews were recorded. Names of the six participating schools and participants were concealed.

### Data Analysis

The present qualitative data obtained from semi-structured interviews were embedded in the interview transcripts. The data analysis began after transcribing the interview audio recorded, not during the field.

The qualitative data in the present study were analysed in two main ways: content analysis and constant comparison (Lincoln & Guba, 1985; Patton, 1990). Under content analysis, the researcher carefully read through the literal text or information and looked for words, phrases, approaches of thinking and events that recurred frequently and seemed important. This was done manually. The major purpose of content analysis in this study was two-fold. First, the researcher coded the data and reduced it to a few easily recognisable identical or similarly coded patterns. Second, the researcher used the codes to identify patterns, classify the patterns into categories, develop category descriptors, and organise related categories into themes. The process of content analysis often results in three main types of categories. 'Emic' categories contain information directly provided by the participants in their own language or words during the interview. 'Etic' categories reflect the researcher's interpretation of emic data. 'Residual' categories consist of information that does not fit into any other existing categories after analysing the data repeatedly and exhaustively.

Via constant comparison, the researcher iteratively: 1) synthesised and compared each unit or category of meaning to other selected units of meaning; 2) established new categories and new themes if similar units were not found; 3) looked for relationships across categories and themes. The themes should be mutually exclusive and distinct from each other. In the present study, quotations, excerpts, frequencies and percentages were used together with categories and themes whenever and wherever necessary. The codebook is produced in the end of the data analysis.

### Results

#### *Gender similarities in practices of good academic performance at school.*

The interviews indicated gender similarities in practices of good academic performance at school. This included making notes during lessons or obtaining notes from seniors. Some respondents used their time to study alone at least one hour per day with full concentration, self-motivation and self-discipline, while others preferred to have study groups with friends. The respondents undertook reading and homework and answered past years' examination questions regularly as part of their revision:

'I write my own notes... and revise previous subjects' (Working Male 1).

▯ 'I do my homework, always' (Male Student 1).

▯ 'I study hard for my exams' (Working Female 3).

□ 'I study alone better, while listening to music' (Male Student 4).

□ 'I study better with my friends' (Female Student 1).

□ 'I practice past-year papers a lot' (Female Student 5).

They also sought to understand and memorise the subject:

□ 'understand the subject, think about it and memorize it many times' (Female Student 5).

□ '[you should] make sure you read until you understand, then memorise it' (Working Male 1).

□ 'I answer past-year paper questions to understand the problems and so I automatically remember how to do it' (Male Student 4).

In the classroom, they asked questions when they did not understand the teacher or had problems during lessons. They also listened to their teachers and obeyed the rules at school. Interestingly, the respondents believed that engaging in activities, such as sports and hobbies, and completing their prayers daily contributed to their good academic performance because it alleviated stress from studying and was good for their mental and spiritual health. A few respondents stated that easy internet access contributed to their good performance at school: 'especially when you are doing your homework or revision, then you are stuck in a math[ematics] problem, you could just Google or YouTube it to find the solution' (Male Student 7). Others stated that being in a challenging environment was beneficial: '[when] in an environment where you are surrounded by smarter students and you feel challenged, then you need to study hard as well' (Working Female 7).

Some respondents stated that certain circumstances motivated them to perform well at school. For example, a female respondent stated that being the eldest child in her family motivated her to perform well at school because she wanted to be a 'role model for my siblings ... so they can follow my footsteps and be successful too' (Working Female 6). Another female respondent stated that the need to overcome difficult circumstances, such as economic hardship and family problems, encouraged her to do well at school: 'it motivates me even more to do well at school when I have personal problems at home, either because of family or money ... [I] want to get over with it as soon as possible by studying hard' (Working Female 8).

Friends also played an important role in the respondents' lives as students, and could influence them to achieve better results. The respondents stated that friends who were supportive helped them do their homework, encouraged them, went to classes on time, reminded them that they had to study hard and made sure they were 'on the same boat as theirs' (Female Student 3) during lessons. 'Friends who study a lot' (Male Student 1) tended to influence the respondents and encouraged good habits 'to study' (Working Male 6) and 'do revision regularly' (Female Student 4). Other friends described as a positive influence were always close to the respondents and encouraged them to play sports, undertake other school-based activities and join study groups. Hence, having positive friends can promote healthy communication and studying skills.

Parents also helped the respondents perform well at school. This included help via financial assistance, including providing private 'tuition classes' (Female Student 8). A few of the respondents stated that their parents helped by giving constant motivation:

□ 'My parents [motivated me] 'cause they always give you encouragement to study hard. They say getting a job is hard these days, so that is why we have to study hard, so the job is waiting for you, not you waiting for the job. So you can see [that] the pressure is there to do your best' (Male Student 3).

□ 'Parents give you wise words ... words of wisdom. They told us stories about their past and how it was difficult back then, but still they worked hard to be where they are now. And so it's best not to waste your parents' money, but just study hard, study smart [smiles]' (Female Student 7).

□ 'Apart from giving us motivation, they [parents] also compare us to those who are unfortunate, who want to study, but don't have the means to do so—it's so sad, but true. They told us to be thankful always—almost every day! Because here in Brunei, the education is free and we should be thankful for being a student and for that reason' (Male Student 5).

*The effect of teaching methods and school facilities and environment on students' academic performance.*

Regarding teaching methods, the respondents believed that teachers who were helpful, had good teaching techniques and constantly provided encouragement and motivation or one-to-one lessons to students contributed to their good academic performance at school:

□ 'Teachers who are helpful—helping me in solving problems in maths. They don't scold you for not knowing how to answer it, but they are willing to help you, encourage you to do better' (Working Male 8).

□ 'Whenever we have problems in class, or about homework, she will ask us why we couldn't do it and she will immediately show us how to do it' (Working Female 4).

□ 'Teachers who help you do anything in class' (Male Student 3).

□ 'They [teachers] motivate you, encourage you ... "you should do this, you should do that"—make it right for you, give good examples in lessons' (Female Student 6).

□ 'I like it when teachers give extra time to each one of us, to teach us privately so that we could understand even better' (Female Student 1).

Some respondents stated that they sought inspiration from teachers' stories or encouragement:

□ 'Sometimes when teachers tell us an amazing story about someone else who succeed[ed] as a result of studying hard, I will be easily inspired by it' (Working Female 3).

□ 'Teachers always give you encouragement, maybe in the form of compliments or words of wisdom, stories of amazing people—it's so inspiring' (Male Student 5).

However, some respondents stated that teachers could also worsen their academic performance. They found that some teachers gave less attention to students and ignored their body language in the classroom: 'the teacher did not notice that the students are having a hard time to understand what she's teaching, or even when students are getting sleepy in her classroom' (Working Female 2). One respondent stated that teachers provided incomplete lessons in classroom: 'She doesn't give enough lesson. When she comes, she teach for a while, then after that, she'll just ask us to read on our own, while she's sitting down at her desk playing with her mobile or reading' (Female Student 8). This respondent undertook tuition classes to supplement the lessons taught at school. Another respondent blamed teachers for giving less homework: 'less homework was given, so [there was] less revision to do at home' (Male Student 4)]. A few other respondents stated that their teachers were 'too strict' (Working Female 7) and showed little compassion towards their students, which made the students unhappy or unwilling to study the subject being taught.

The respondents agreed that school facilities and environment could affect academic performance. First, they commented on the number of students in a classroom, with less than 20 or 30 students making it is easier for the teacher to control and teach, and easier for the students to listen to the teacher and understand the lessons: 'with lesser students in the class, I concentrate in class even more and I perform better in the examinations' (Female Student 7). Second, they claimed that schools with good facilities—such as a library, photocopying machines, benches, study tables and good canteens—enhanced the will to study and made it easier to have group discussions with other students and teachers. A few respondents expressed satisfaction with their boarding schools:

□ 'I get to meet my friends all the time, which makes studying easier' (Female Student 6).

□ 'they [the boarding school] prepare meals for you and, after that, you can study in your room without any distractions, but you can seek help from your roommates if you have any problems, which is totally cool' (Male Student 5).

However, some respondents had the opposite circumstances. They stated that they had more than 25 students in their classroom, which made it difficult for the teacher to control and teach, and the students struggled to study and listen. This could also have resulted from the seating arrangement in the class. Students who sat at the back of the class experienced difficulty in listening to their teachers. One of the respondents claimed that the school offered few extracurricular activities, which lessened his interest in studying and made him find school 'boring' (Working Male 4). This could be due to the lack of teacher expertise in extracurricular activities, such as 'martial arts, chess and football' (Male Student 3). Other respondents found that a negative environment reduced their concentration and motivation to study:

□ 'bad environment—your friends are always arguing or fighting with you, bullying you, stab you in the back, and sometimes with your family members' (Female Student 2).

□ 'family problems—for example, you see your parents or older siblings arguing with each other, it confuses, stresses you out' (Working Male 1).

□ 'dirty environment ... hard to concentrate in the class' (Male Student 1).

Other respondents were affected by peer pressure:

□ 'everyone is pressuring you to study hard, and being reminded of the bad consequences if you don't study hard' (Male Student 4).

□ 'at times, your friends influenced you to escape from classes and you know it's a wrong thing to do, but you just feel that you have to join them' (Working Female 3).

*Problems or challenges to academic performance at school.*

The majority of respondents found that they were easily distracted by one or more of the following: friends, boyfriends or girlfriends, social media (such as Facebook, Twitter and Instagram), internet, playing games and television. Most agreed that they spent a lot of time with these distractions, and procrastinated rather than studying or doing their homework:

□ 'Distractions? [Laughs.] A lot! Friends, mobile phones, internet, games, television ... everyday, but depends on the mood. Sometimes I got distracted until I forgot what to do [for school]' (Working Male 2).

□ 'If distractions, I'd have to say Facebook and mobile phones ... a bit of delay in doing my homework' (Female Student 7).

□ 'Distraction from people—friends, girlfriends (but not so much). From television—yes. From Facebook and Instagram—sometimes ... Not really to the point that I didn't do my homework or study at all, but I tend to procrastinate [by doing] the things I want to do' (Male Student 5).

□ 'I think my friends 'cause they always disturb me in the class when the teacher is right in front explaining' (Female Student 6).

□ 'Games. I like to play games with my friends, either online or through PlayStation' (Male Student 6).

□ 'Friends, Facebook, mobiles, television and internet' (Male Student 8).

Some respondents complained about their friends as negative influences. They stated that they were talkative:

□ 'when teachers talk, they talk too, so [it is] hard to listen to class' (Working Male 3).

□ 'they talk a lot, especially during the lesson' (Working Female 7).

They stated that their friends encouraged them to engage in unproductive behaviour:

□ 'friends who invite you to escape from classes, or break the school's rules' (Working Male 1).

□ 'friends who encourage you to do bad things in school, which includes copying homework from your friends, bullying people' (Working Male 5).

They also stated that their friends did not motivate them to study:

□ 'no motivation from friends 'cause they don't study well either' (Female Student 8).

□ 'why would you study when your friends also don't do the same?' (Working Male 2).

□ 'friends who don't motivate you to study' (Female Student 4).

Most of the respondents agreed that there were certain negative factors that hindered their academic progress, including:

1. Laziness:

'can't really cope with laziness' (Male Student 1).

'being lazy' (Female Student 1).

'cannot help but feel lazy' (Working Female 3).

'lazy to do anything' (Male Student 4).

2. Lack of time:

'so many things to do, yet so little time' (Male Student 6).

3. Lack of motivation:

'in need of people to push you' (Female Student 5).

'no motivation to study' (Male Student 7).

4. Lack of concentration:

'hard to concentrate in class' (Female Student 3).

'lack of concentration' (Working Female 4).

5. Heavy workload:

'I have so much homework and revision to do' (Male Student 2).

'The teachers give so much homework to do and the deadline is ... tomorrow' (Female Student 8).

'Last-minute homework given by the teacher and you know you have to catch up with your revision too—how is that possible?' (Male Student 8).

6. Family problems:

'Family problems at home—it slows me down in studying' (Working Male 3).

7. Health problems:

'I have sleeping problem—insomnia. I think. I just can't sleep at night, so in daytime, I will be very sleepy' (Male Student 4).

'I have a problem with my heart—the valve is not normal, so it affects my health' (Working Female 1).

8. Little interest in studying:

'Less interest in studying chemistry—it's so hard' (Female Student 7).

'subjects like accounting—so boring and hard to understand' (Working Male 4).

9. High parental expectations:

'Parents who have high expectations and they will put pressure you to study hard' (Male Student 5).

'Parents expect too much from me and I'm not sure if I can cope with my studies—it's so difficult!' (Female Student 2).

*Early entry to workplace.*

The majority of respondents who started working after college did not perform well in mathematics and English. Since they did not meet the university's admission criteria, they had no choice but to begin working earlier. The following include the reasons for these respondents beginning work earlier:

1. Financial problems:

'I started working because I have financial problems—not only personally, but my family too. My family have been supporting me since I was little, especially my parents. So I guess it's time to repay them by helping them and give them financial support' (Full-time Senior Assistant, Working Male 1).

'I work to support myself and my family's financial issues. It's been hard for me since I'm the second eldest, and my parents are old and they have retired already' (Full-time Customer Service Representative, Working Male 8).

'The reason why I work is to overcome my financial issues and also to help my family financially. There is always the case of insufficient money whenever my family or I want to spend on anything especially on what we need than on what we want' (Full-time Clerk, Working Female 1).

'I want to help my parents financially [and] if I continue studying, it would take a long time to finish' (Full-time Sales Assistant, Working Female 2).

#### 2. Lack of qualifications:

'My A Level results were not very satisfying. My points were not enough to go to university, so I had no choice to but to start working' (Full-time Customer Service Representative, Working Male 4).

'I choose to work because I got rejected from UBD. My results were not good, so there's nothing I could do but to work' (Full-time Clerk, Working Female 7).

'After A Level Examination, I applied for university, but the university did not accept me. I was rejected. I guessed it's because of my results, which are not okay. So I applied for a job in JIS [Jerudong International School] and I got it' (Full-time Assistant Teacher, Working Female 4).

'I got rejected from UNISSA [Universiti Islam Sharif Ali] and KUPU [Kolej Universiti Perguruan Ugama Seri Begawan]—don't know for what reason, possibly 'cause my points are not enough. So I'm not giving up, but I'm sulking a bit [laughs] that I couldn't get in to uni[versity], and here I am, working!' (Full-time Clerk, Working Female 1).

#### 3. Avoiding wasting time:

'While waiting for acceptance in any universities, I applied for any jobs that related with my qualification. Maybe it won't waste my time for waiting for any offers from the university to continue my study' (Full-time Statistical Clerk, Working Male 5).

#### 4. Gaining experience:

'I want to gain experience from working and later I may be eligible to apply for JPKE [Department of Economic Planning and Development] Scholarship' (Full-time Finance Assistant, Working Male 6).

'I work to gain experience, which really helps a lot in improving myself in many ways, learn the real life about how to deal with different people, and the best part is I've got my own money' (Full-time Administration Collector, Working Female 6).

#### 5. No interest in further study:

'I don't want to study anymore—that's why I decided to work' (Full-time Clerk and Cashier, Working Female 3).

#### 6. Lack of confidence to study further:

'I gave up because I was too disappointed with math[ematics] results. I didn't score well enough to go to university, I guess. With UBD's recent change in its entry requirements, I heard it's getting harder to get in. This really makes me feel less confident about going to uni[versity]. So, I tried my luck to find work. I applied to many adverts on vacancies both in government and private sectors. Fortunately, I got a job offer and I accept it immediately' (Full-time Pension Officer, Working Female 5).

Of the 16 respondents, three males and one female declined to answer why they chose to work. Of the 16 working respondents interviewed, three males and two females were taking classes at night for either a degree or higher national diploma qualification at local private colleges. Their reasons for doing so included seeking an increased salary, seeking a better job and determining whether they would be more successful than in their previous examination.

#### *Sources of help in achievement at school.*

Students normally have sources of help in achieving good grades at school. These can include motivation, encouragement or inspiration to succeed. A source of help can be anyone or anything; however, in this study, the respondents were given four choices: parents, teachers, friends and themselves; and they were selected based on the circle of relationships of a student. The results indicated that the majority of respondents used their parents as their source of help. They claimed that their parents gave the most support, motivation and encouragement. The second highest source of help was teachers,

followed by themselves, and then friends. Table 3 indicates the number of female and male respondents and their choices of source of help.

Table 3  
*Number of Female and Male Respondents and Their Choice of Source of Help*

Gender		Sources of help				TOTAL
		Parents	Teachers	Friends	Myself	
Working male respondents	Count	2	4	0	2	8
	% of total	6.3%	12.5%	0.0%	6.3%	25.0%
Working female respondents	Count	5	1	0	2	8
	% of total	15.6%	3.1%	0.0%	6.3%	25.0%
Male students	Count	5	2	0	1	8
	% of total	15.6%	6.3%	0.0%	3.1%	25.0%
Female students	Count	5	1	2	0	8
	% of total	15.6%	3.1%	6.3%	0.0%	25.0%
TOTAL	Count	17	8	2	5	32
	% of total	53.1%	25.0%	6.3%	15.6%	100.0%

## Discussion

The present study attempts to explain gender disparity in academic achievement in Brunei tertiary education in a qualitative manner. The findings in this study confirmed that there are gender differences in academic performance between female and male students, but to achieve good academic results, the study shows that there are gender similarities practiced by the students, as explained earlier. There are many factors contributing to gender differences in academic achievement and to produce an ultimate list of such factors would be almost impossible because it encompasses a wide range of issues / concepts, such as the the relationship of the learning processes and the biology of the human brain (Hinton, Miyamoto and Della-Chiesa, 2008); personality measures for predicting academic performance (Poropat, 2011); collaborative learning mechanisms (Robinson and Lenkin, 2012); learning strategies (Weinstein and Mayer, 1986; Anthony, 1996; Yipa, 2012); students' self-efficacy (Bagaka, 2011); socioeconomic status of the students (Wenglingsky, 1998; Sirin, 2005; Juma, Simatwa and Ayodo, 2012) and many more.

The second finding (teaching methods and school facilities and environment may affect students' academic performance) is also similar in other studies, such as Day, Sammons and Kington (2008) and Teoh, Abdullah, Roslan and Mohd Daud (2014). Moreover, few other studies, such as Blömeke, Suhl and Kaiser (2011) and Sencer, Niyazi and Alpaslan (2011) touched on the cultural differences in the effectiveness of teacher education and teaching styles. In general, teachers and schools (as a whole) both play important role in developing students' learning attitudes and personalities as well maintaining students' good academic performance. In other words, the teachers' education and schools' level of quality are on a par with students' academic achievement and performance.

Like other students in many countries, Bruneian students also faced problems and challenges faced in academic performance or achievement at school. Therefore in this study, it provides practical implications for parents and teaching implications for teachers, schools and the government. In terms of parents' role, in brief, parents (Dato Haji Metussin, 2016):

have a role to play in encouraging the performance of students at school;

should be exposed to pre-school education and parenting skills to improve the home learning environment (Cassen and Kingdon, 2007).

should spend time with their children so that they know their children's progress in school, in terms of learning experiences obtained from teachers and social skills acquired by people at school.

should also make an effort to help their children via giving moral and emotional support and attending teacher–parent meetings, school activities and other social events organised by the school.

Based on the findings, there are many educational interventions for the teachers to apply but generally, the teachers have to:



use teaching methods that attract students' interest and intrinsic motivation in the subjects (Mundia, 2010a).

use language that is suitable to the students' level of knowledge (Kalisk, 1979, as cited in Mundia, 2010a).

emphasize remedial teaching which is a multifaceted approach aimed to deliver students' specific needs in education, such as via one-on-one sessions between the student and teacher, small group discussions, task-analysis strategies, and visual aids or computer-based work to stimulate students' cognitive ability (Martinez, 1987; Heward, 1996; Hunt & Goets, 1997; Mundia, 2010a).

On the other hand, schools – which serves as educational and social settings for both students and teachers:

must encourage students' engagement in education—whether by developing learnt skills or natural talent—both in practical and vocational education. This would benefit students who cannot afford higher education, and serve as an alternative to higher education (Cassen and Kingdon, 2007).

must have adequate counselling and psychotherapy resources to help students with personal and academic problems as well as behavioural and mental health problems.

with different cultural backgrounds are unique; thus, they must provide teachers from different cultural backgrounds with proper training and briefings before starting teaching.

should limit the amount of administrative and maintenance duties allocated to teachers (Wong, 2014).

Given that the government controls the education system in Brunei, the government should provide lectures or familial training to new parents or parents who lack necessary parenting skills, focusing on the welfare of families who are disadvantaged in terms of education, financial resources and house affairs; and preventing these families' children being vulnerable to negative attitudes and social behaviours. The government must contribute financial help to disadvantaged families in order to ensure that children can attend school. The government should improve features of the school system, reallocate and enhance school expenditure in order to try to help reduce the gender gap (Cassen and Kingdon, 2007).

## Conclusion

If gender gap in academic achievement persists, it will cause a detrimental gender imbalance population between female and male students admitted to colleges and universities, and consequently it will affect the whole society in terms of family and labour market institutions. The dominance of females occupying important positions in society, there is a probability that society will favour women, rather than pursuing gender equality, and that the birth rate will decrease (as women pursue careers, rather than marrying and having children). Simultaneously, males are more likely to have low-paid occupations or be unemployed, to persist in their bad attitudes, to have low motivation to improve their quality of life, to delay marital life and to have financial problems. Therefore, it is recommended that educational stakeholders (such as teachers, schools, policy-makers etc. ) play their important role in the education system to reduce the gender differences in academic achievement. The only limitation is that this study lacks of quantitative component to supplement the data and findings, so therefore a further mixed-methods research is required to acquire deeper understanding of the problem and the needed solutions.

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## **APPENDIX I**

### **THE MAJOR OCCUPATION GROUPS**

NO.	GROUP OCCUPATION
	Workers Not Classified by Occupation
	Agriculture, Forestry and Fishery
	Mining and Quarrying
	Manufacturing
	Electricity, Gas, Steam and Air Conditioning Supply
	Water Supply; Sewerage, Waste Management and Remediation Activities
	Construction
	Wholesale and Retail Trade, Repair of Motor Vehicles and Motorcycles
	Transportation and Storage
	Accommodation and Food Service Activities
	Information and Communication
	Financial and Insurance Activities
	Real Estate Activities
	Professional, Scientific and Technical Activities
	Administrative and Support Service Activities
	Public Administration and Defence; Compulsory Social Security
	Education
	Human Health and Social Work Activities
	Arts, Entertainment and Recreation
	Other Service Activities
	Housewife
	Retired
00	Missing Data

### **NOTE:**

Group No. 00 means 'Missing Data' (Participants chose not to answer the question).

Group No. 1 – 20 belongs to:

Industry Group – Referring to International Standard Industrial Classification of All Economic Activities (ISIC) Rev. 4 Industry Classifications.

Occupation Group – Using Brunei Darussalam Standard Classification of Occupations (BDSCO) 2008, with reference to International Standard Classification of Occupations (ISCO) 2008 Classifications.

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## The Intercultural Competence in Advertising Translation

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### Abstract

In this article, we would like to examine one of the most difficult types of translation, namely the translation of advertising texts. Why one of the most difficult? Because it's not enough to master the source language for translating an advertising. Even if you can easily translate knotty technical instructions, it's doesn't guarantee that you will accurately render an advertising article into another language. The translator must be able to think creatively, and it is not so easy to learn. In addition, the purpose of the advertising translation is not just to transfer the meaning of words, but also to attract potential customers. No other text does attempt such a task.

**Keywords:** advertising, translation, cultural, slogan, competence, language, reader

### Introduction

Learning a foreign language means learning a new culture, a new way of life, behavior, thinking, another logic, a different, a new one, means to enter into a mysterious world as first, to understand individual behavior, to argument the entire new information and knowledge.

Given this above-mentioned definition all the problems that can disturb us regarding foreign language, its implications, and difficulties in translation take shape immediately.

Let us focus on this work in the field of cross-cultural influences and the difficulties encountered in translating the advertising sector focusing on what advertising is and where is it intended.

Although advertising is a kaleidoscopic, simplified and distorting reflection of the society, to which it is addressed, it remains nevertheless a speech closest and most representative of the social perception compared with journalistic or political lecture. Free of ethical or political priorities, expression of the dominant discourse, it aims to be close to the target, which makes a speech particularly sensitive to social caricature. She finds inspiration in social clichés environment, templates and common places.

Translation of advertising is a actual media subject, located at the intersection of applied linguistics with pragmatics, and sociolinguistics and the translator not only need to translate, but must adapt the message in relation to language and above all to the culture of the country. For this reason it is essential that the interpreter has a background in communication, in order to find his place in the process of creating advertising.

In the case of the advertising of the same product, careful attention should be paid that the examples are not far-fetched, even misplaced. These can be failed examples, many of them mechanical adjustments from one version to another and may reflect lack of sensitivity towards the public the advertising is being addressed. All these defects can damage the persuasive force of advertising message and can not clearly reflect the cultural context of the language, in which the advertising is being translated.

In an advertisement, the slogan, is the most important unit, that constitutes the most difficult to translate as well. This swing between three positions: the seduction one, the technical information and the adaptation to the cultural context.

A large number of advertising revolve around ideological stereotypes, which respond to public expectations. An advertisement for Peugeot 806 in Greek means: (Το ταξιδιμένα νεό "Peugeot 806" είναι πάντα μια απόλαυση) - "The

journey with the new Peugeot 806 is always a pleasure. " The same ad in the Albanian language comes: «*Me Pëzhonë 806 më shumë kënaqësi dhe siguri*». "With the new Peugeot 806 more pleasure and safety. " In contrast to the Greek version, the Albanian version is based on a mentality that expose safety to the Albanian community, while for the same advertisement in Greece the French Peugeot give more importance to comfort. - In the field of translation of advertising, the most important is the systematic adaptation toward the targeted communities, rather than linguistic conformity of the same advertising message.

The interpreter should consider the problem of loyalty to the concept of advertising, which is very interesting. - In advertising, language it is not simply a tool, so if you see it as such, you are in danger of losing cultural identity. Literally translations should be avoided, in order not to make mistakes that can be considered "cultural", as noted in the advertisement of beer Amstel where we have a literally translation:

The original slogan in Greek is "Αμστέλ, γιατί έτσι σας αρέσει"; advertisement that comes into Albanian: "*Amstel, sepse kështu ju pëlqen*"; "Amstel, because this is how you like it," or the advertising of "Snickers" which in Greece lies with the slogan "Αρπάξτε ένας Snikers", ad that is being translated literally into Albanian: "*Rrëmbeni një snikers*"; "Grab a snikers".

"Πάντα Coca-Cola"; "*Gjithmonë Coca-cola*"; "Always Coca-Cola", this is another well-known ad throughout the world and here we can see the case how, the words are selected intentionally by promoters of this product such that the slogan in question be translatable into all languages of the world avoiding possible deviations from the original intention of the company to advertisers.

Another example within the same nature is the latest case of beer Amstel where among others the actors mention the phrase "Καλό καλοκαίρι" phrase which in Albanian language would go more like "*Pushime të mbara*"; "Nice vacation" and not: "*Verë të mbarë*"; "Nice summer" as the interpreter favors.

In the context of internationalization there are many communication agencies that deal with advertising campaigns, a process that turns out to be very difficult because it comes to translations loaded with cultural references. For example Emporiki Bank has as slogan: "Για να ξέρεται πάντα που επενδύεται τα χρήματά σας. " (Literally means: *që të dini gjithnjë se ku të investoni paratë tuaja*; always aware where to invest your money) advertisement that comes into Albanian as: "*Tek ne paratë tuaja janë të sigurt*"; "With us your money is safe. " It is here where the impact of the effects of time materializes since at the period that this advertisement appeared the country needed a reliably higher trust in banking, after the negative effects of the Ponzi schemes of 1997, while in Greece the concept banking remains focused on investment hiding under the idea of depositing money in the bank.

Another case that we traced is the translation of the slogan of the cell company AMC: "Περιομεκίκόνες" advertisement that into Albanian has come: "*Thuaje me ikona*"; "Say it with icons", while it may very well be expressed with: "*Thuaje me figura*"; "Say it with figures" maintaining the standard of the Albanian language. (The advertisement case Dr. Zlango)

Advertising is today unanimously recognized as a process creation cultural forms by itself and as one of the most powerful means transmitting social and identity images to our societies (Soulages, 1994, pg. 55).

It is known that the translation is often associated with problems of transposition or modulation, in grammar, but more in the lexical field. Beyond the linguistic aspects, in the field of advertising translation notes the close relations of human beings with its physical and metaphysical environment, and therefore can not be separated from the sociocultural context. Without questioning the usefulness of the translation, can we say that it means transferring a similar meaning through languages and cultures changes?

Fedorov (1953, p. 22) states that to translate, we should recognize languages, but the difficulty lies in the fact that translating literature is a literary operation, translating verses is a poetry operation but translating a film as well as other cases, it is a sui generis operation.

If it is accepted that the translation is a reinterpretation of the original text, then a rewrite and as a result a creative activity, he cannot be reduced to a linguistic exercise.

In the case of literary translation, for example the case is not just to switch from one language to another, but to establish a bridge between cultures, very different from each other. Difficulties of translation in this case are the one hand linguistic, stylistic turn but primarily of sociolinguistics. Each advertising translation requires a message that is given in a particular language, transformed in order to be understood by a reader who does not know this language.

In this case the reader does not recognize the culture in question. And what happens with the realities outside the language described by one author and do not exist in the language of the interpreter? Should transposition must be made from a reference system to another, to the detriment of the authentic sociocultural content? Should we preferably translate the slogan of the target language literally to the maximum, the based on the source slogan so that the translation complies as much as possible with the tradition and culture of the source language, but with the risk that this text is not very easy accessible?

Barriers to translators are first and foremost of the semantical type. Those problems become even more acute when there is a large cultural gap between the source text and potential reader of the target language. Mounie writes: `` to translate a written text into a foreign language, two conditions are necessary, to know the language and to know the civilization of the source language (life, culture, ethnography)(1976, p. 44)

Communication exchanges may constitute an interpretation problem because of the notions that contain connotation. At the level of translation, connotation (as levels of language) has to do not only with stylistics but also broader aspects such as the sociolinguistics ones.

The author Lederer has formulated several procedures that must be used to succeed in translating the cultural elements:

### **Adaptation is seen as the first element.**

Differences in legal systems constitute a major obstacle for transcoding; text translator overcomes this difficulty by considering the context and purpose of his translation.

Example: She works for a law firm from 9 to 5.

We found among translations the variant "*cabinets juridiques*" (legal room), but most of the translators seems to prefer to translate this word "law firm" as lawyer office or room. Certainly a judicial is not a lawyer; but to know somehow the United States, the frequency of intervention of a law firm in the US reality are so frequent, that the translation has considered these cultural realities choosing "*cabinet d'avocats*".

### **The transformation (conversion)**

A plate has its composition, it is packed in a certain way and has a social function: a famous plate or served at a feast. The translator recognizes these attributions and tries to clarify as much as possible.

Example: frankly we`re all getting a little tired of fried beans.

Fried beans is a well- known dish in South America as the hamburger in North American or steak in France. It is about bean puree stirred in butter or oil and that`s serve as sides to all dishes. `` So fried`` it`s not about the deep fry as well as `` beans`` do not necessary comply with the beans, Albanians are used to: the white beans. They are small black or red beans. Given the large number of restaurants that offer this dish in the USA, the American reader distinguishes in the words `` fried beans`` a plate that the Albanian reader does not recognize and the translation - "fried beans" would not be proper. Thus we translate "haricots rouges"- "fasule të kuqe"- " red beans" or "haricots noirs"- "fasule të zeza"- "black beans", to respect a part of the exoticism of this dish.

### **Clear formulation**

Names have the function to identify individuals and category. Those which identify individuals keep the form in a very natural way in the translation. Those identifying categories are being accompanied by their identification.

Example: I couldn`t work if it weren`t for her, and the fact the **Safeway** stays open until nine.

Many interpreters have given the variant "supermarket Safeway" to transfer the same information to the Albanian readers. The principle of clear formulation is essential in translation. At the implicit-explicit rapport that exists in each text, the author assumes and presents to his reader an amount of information that the interpreter also has but that the foreign reader does not fully know or not know at all. A good interpreter skillfully modifies the implicit-explicit rapport from the source to achieve a new implicit-explicit balance in the target language.

**The ethnocentrism element** is also very important.

It often happens that the translator replaces its culture facts with those mentioned in the text; it makes it more natural.

One example in Greece is the supermarket Μαρινόπουλος

In Greece, this is a well-known and widespread supermarket, and in order to translate it into Albanian we have to adopt to a similar one e. g. Euromax.

Using this procedure, minimizing the differences between the source culture and that of the reader, the interpreter requires undoubtedly from the reader to accept its text foreign features could make it even incomprehensible. By doing this, it deletes the original cultural uniqueness and transmits false information. This procedure is also called “naturalization”.

A good translator tries not to naturalize the culture of the source language, as well as not to neglect what it should be explained or it have to be understood.

The above-mentioned examples have shown that “the cultural transfer” consists in the fact that it brings knowledge of a world that is not his to the foreign reader. This knowledge does not fully cover the distance between the two worlds, but leaves half open a window into the source culture. To do this the translator preserves the source reference in order to transmit it in understandable forms.

Bringing cultures closer through translation is not certainly done by a single word or by a single slogan. You need to have a variety of slogans translated in order to establish progressively an image where you can avoid prejudices and bring civilizations together, a main goal in the field of advertising and its translation.

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## Recognition of a Person's Rights and Ethical Fulfilment

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### Abstract

Man's ethical fulfilment often faces objective obstacles in the deprivation of rights. The negation of the recognition of certain fundamental rights, or worse, the radical misrecognition of man, which translates into different forms of violence, often artfully disguised both on an individual and collective level, produces devastating consequences in the private life of a person upsetting all forms of positive self-esteem. The recognition of human qualities, accompanied by the right to express and extend them, is an integral part of the ethical life of each individual and, at the same time, constitutes a fundamental moment in the construction of a responsible civilized community. In this dissertation, I aim to analyse the connection between ethical life and human rights in order to draw attention to the repercussions that the recognition and misrecognition of liberty produce with regard to man's ethical fulfilment. From this perspective, I intend to highlight the importance of the existence of favourable juridical and institutional conditions to ensure ethical fulfilment. At this level, I will underline that the deprivation of capabilities is often the main cause of the profound sense of discontent affecting individuals in their desperate attempt to realise a type of existence which corresponds to their ambitions.

**Keywords:** recognition, misrecognition, right, capabilities.

### Introduction

Self-fulfilment, born of personal growth, is attained within one's inner being, but it can not occur outside the civil community or without experiencing challenges. Therefore, it is through debate and dispute with the collective, in the plural sense, that an individual can enhance self-awareness and the sense of belonging in the world in order to best pursue an ideal of the "good life".

There is one unavoidable "socratic" question that man feels the duty to answer: "How should one live?". All ethics centre on this interrogative which constitutes the point of departure and return. This question intimately deals with the conscience of an individual and arises out of self-examination. It forms the basis of ethical and existential action and allows man to contemplate his life according to the way he would like to live it. When an individual reflects upon the way he would like to live, he thinks, with varying degrees of awareness, about what the "good life", or the "best possible life", consists of for him. Paul Ricoeur defines the ethical consideration as "*the perspective of the "good life" with and for others within fair institutions*". (Ricoeur, 1990: 202). Thus, ethical fulfilment is not only placed on an individual level, but exists on an inter-personal level through multiple relations with the collective. Such inter-personal relations can either be direct, in other words with people one knows, or relating to the institutions.

Through the institutions, it is possible to come into contact with other "yous", people that one has never met. The idea of institution, claims Ricoeur, is characterised by the ethical order of common customs and not by coercive rules. By means of the institutions it is possible to go beyond direct relations in order to achieve fair and equal distribution among individuals. Since the "good life" is related to the problem of justice, it depends on the sphere of the institutions.

### Struggle for recognition and ethical fulfilment

The notion of the "good life", which an individual gradually becomes aware of during his lifetime, originates from discussion and dispute with multiple different social dimensions mixed with heterogeneous cultural and symbolic forms which are also extremely changeable and dynamic. The attempt and effort to pursue the good life is enhanced and impeded by the different contexts of inter-personal and institutional relations. In these spheres, man engages in a real "struggle for recognition". During the period of Jena, Hegel spoke about this matter and Axel Honneth (1992), through an update of the hegelian perspective, emphasised the multiple dynamics. Social life, according to thinkers like Machiavelli, Hobbes, Hegel and Marx,



inevitably implies a struggle. For the two former philosophers, this struggle is for self-preservation and it is nourished by the desire to conquer power. Marx sides with them by claiming that such self-assertion is of an economic nature. On the other hand, Honneth observes that for Hegel the struggle among men does not only take place for power since it is rooted in ethical ground concerning the *desire to be recognised*.

According to Honneth, the conflicts between men cannot be explained solely in the sense of the struggle for resources, for the accumulation of wealth or the assertion and expansion of power. Wanting more, the impulse for power, that Nietzsche placed as an intrinsic motivation in life itself, for Honneth this does not completely consume the infinite contention amongst men. In the persistence of conflicts there is the struggle for self-assertion, but if the struggle continues this is because assertion is incomplete if recognition by others is not gained. At the basis of social conflicts there exists, therefore, a struggle to be recognised by others, there is a lack of recognition (misrecognition).

The struggle for recognition contributes significantly and, in certain cases, is decisive in structuring personal identity thus enabling man to learn how to relate to himself as an individual in possession of certain qualities and capabilities. This struggle, as analysed by Honneth, is present in different relational spheres: firstly, in primary emotional relationships regarding family, friends and sexual partners; and, more vastly, in social and juridical life. In this study, I will examine the struggle in the context of rights focussing the issue on their direct consequences from an ethical perspective.

### **Ethical Value of the recognition of rights**

Ethical life and liberty are intimately linked. In order to put into concrete terms the answer to the ethical question "*how should one live?*", the possibility and the conditions to be at liberty to pursue one's ideal of a good life need to exist to realise the type of life which satisfies one's ambitions. The recognition of certain fundamental rights is therefore essential from an ethical point of view. Their misrecognition constitutes a serious danger to self-fulfilment up to the point of representing an attack on an individual's human integrity.

In juridical recognition, there lies the juncture between the universal validity of the norm and the singularity of the individual. From this connection new individual capabilities are derived. With the enlargement of the sphere of a person's recognised rights there is an extension of the field of capabilities that individuals can recognise for themselves. The extension of the field of rights and the expansion of individual capabilities are closely linked processes which have historically been achieved through struggles for recognition.

The extension of the normative sphere of rights has occurred in the fields of the *enumeration* of personal rights and the *attribution* of these rights to different categories of individuals or groups. Juridical science divides the rights into three categories: civil rights, political rights and social rights. To understand the principle aspects of this division, Isaiah Berlin's distinction between negative liberty (liberty from) and positive liberty (liberty to) is fundamental (Berlin, 1969). In view of this distinction we see that civil rights guarantee a negative liberty in the sense that they protect an individual's liberties, life and property from State influence and coercion. The second category encompasses the positive rights regarding participation in the processes of the formation of public will, whilst the third concerns the positive rights which allow equal participation in the distribution of fundamental assets. Positive rights guarantee the liberty of choice and action, of expression of one's capabilities and they widen an individual's horizons regarding opportunities in life by offering the chance to modify and transform one's place in the world. From an ethical point of view, a person's rights can not only be considered in terms of a code of conduct, in the sense of limitations ("do not violate the rights of others"), since, they are, above all, *values* to guarantee and promote human qualities in the context of a responsible civilized society.

### **Deprivation of rights and ethical-existential consequences**

Unfortunately, these rights are still infringed upon in many parts of the world and even in the democratic nations they are often denied because of the absence of the necessary social and civil conditions. It is well-known that the abolition of discrimination on the grounds of gender, skin colour, politics, religion, social and economic conditions etc. still seems an illusion. Such discrimination represents forms of unprecedented violence which frequently finds no power to be heard or political representation. Such forms of misrecognition, which debase the lives of millions of people, lead not only to economic but also to ethical and cultural alienation and degradation. The deprivation of a right has negative repercussions on an existential level and on the recognition of other rights. For example, the deprivation or limitation of the right to education has significant consequences on the social and cultural conditions of an individual by limiting the range of social possibilities and opportunities, and by compromising the possibilities and capabilities of playing an active part in the process of political formation of the general will. An individual's practical self-esteem is invalidated. It is easy to understand that

there are numerous examples with pertinent considerations regarding the consequences of deprivations of recognition. I intend to emphasise that the different forms of misrecognition, as highlighted by Honneth, negatively affect the positive relations a man might have with himself and with the world.

Honneth claims that the deprivation of civil rights results in humiliation, where the exclusion from participation in political life leads to frustration and, finally, the feeling of exclusion is derived from the denial of access to elementary assets.

The various forms of deprivation of recognition negatively influence an individual's self-respect resulting in serious emotional instability and negative feelings. Such mental conditions produced by misrecognition lead to reaction and activism. The indignation, which harms self-respect, can be disheartening and, in certain cases, may degenerate into exasperation and anger leading to violent reactions. However, more constructively, in other cases, indignation may convince an individual to take part in the struggle for recognition and instill in him the determination to provide a moral response to the violation. The "self-respect" generated by victory in the wars of liberation by oppressed populations, according to Ricoeur, deserves "the name of pride". The feeling of pride is linked to the capability *to put forward claims* and this is what we call *human dignity* (Feinberg 1980).

### **The right to capabilities and ethical fulfilment**

The poor are not lacking in capabilities, they are not "good for nothing" nor, worse still, are they inferior beings. Often they 'only' lack one fundamental condition which is freedom of choice. It is the lack of rights which constitutes the precondition for hunger in the world. Amartya Sen (2009) observes that the existential conditions of many people could improve greatly if society granted them favourable institutional conditions, if they were offered concrete possibilities to make choices. A. Sen's studies have shown that natural calamities like famines do not originate from the lack of food but from the shortage or absence of freedom. Those nations devoid of rights are fertile terrain for such poverty (together with violence).

Rights have an active value as they have a fundamental effect on ethical and economic development. Economic development corresponds to the production of wealth but, as Sen warns, material wealth can not be considered as an end in itself in life, but rather as a means (Sen 1987). Material assets are the means "to be more at liberty to lead they type of life that, for one reason or another, we value". In accordance with Sen, material poverty is strictly related to "non-freedom", or the denial of liberty. In his view, poverty constitutes a condition of *deprivation of capabilities* (Sen 2009).

Millions of people are deprived of the fundamental right of survival, to access medical care, to receive an education, to have a safe and dignified job. All these forms of "non-freedom", and many others, jeopardise a person's conditions of life, their physical and mental health and their relationships with others. The possibilities of imagining and achieving an ideal of the good life are drastically limited and the individual capabilities which form the basis of both the improvement of material conditions and ethical development are reduced. In this sense, ethical self-fulfilment requires capabilities, in other words, the liberty-possibility to choose and ponder the type of life one appreciates and values most.

It is therefore necessary to ensure that equal economic distribution encompasses also an equal distribution of liberty, the rights of capabilities. In addition, according to Sen, this distribution constitutes the same condition for economic development. At this point the problem of justice is posed which, related to the ethical issue, can be specified as a matter of *equality*. Equality that can not be reduced to a material level is being dealt with as it extends to the sphere of the institutions in as far as the latter regulate the division of roles, functions, advantages and disadvantages, and responsibilities among the members of society. The distribution must also involve the order of rights, obligations and responsibilities. It is not a mathematical equality that needs to be established but, as John Rawls in *A Theory of Justice* (1971) states, a proportional equality according to which a fair division, even if it is unequal, will balance the increase in the advantages for the most favoured with the reduction in the disadvantages for the least favoured.

### **Ethics and institutions**

MacIntyre (1981) has a beautiful definition of the good life in the socratic sense: the good life is life devoted to the pursuit of the good life. However, the pursuit of the good life requires fair institutions to guarantee the right to take action and choose. Even a person who possesses material wealth may experience obstacles in their effort to fulfil their ideal of the good life. Rights are values as they allow an individual to organise their worldly actions from a practical viewpoint in combination with their inner impulses comprising a complexity of emotional states, thoughts and narratives which form the basis of the elaboration of the notion of the good life. In the absence of this possibility a dangerous fracture between the individual and society, the citizen and the State, is created. This fracture widens and becomes more dangerous according

to the degree of the deprivation of recognition of rights. Such a fracture also erodes a person's inner well-being since the misrecognition of liberties – together with the misrecognition of human qualities – ends up straining our forever fragile human identity from the point of view of self-respect.

The right to education, health-care, credit and social opportunities constitutes a human value which is an essential part of man's integral development since it affects both the economic and ethical dimension. The economic advantages gained by being able to rely on positive rights can therefore be considered in the more comprehensive context of self-fulfilment as a means to achieve one's ideal of life and the world. Self-recognition as a person capable of certain fulfilments represents a fundamental existential moment in the recognition of the rights of capabilities.

The institutions and the powers of the State should be enlightened by ethics, in other words, the idea of the good life. Ethics, in the form of solidarity and responsibility should be instilled in man's thinking and actions. As a final thought, the implementation of rights should contribute to the realisation of a more responsible and fairer world favouring the implementation of capabilities and ethical fulfilment.

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## Overview of General Living Conditions of People with Disabilities in Albania

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### Abstract

The aim of this study was the observation of the general situation in which there are people with disabilities in the district of Tirana. As is known, people with disabilities are one of the most vulnerable groups of society. To make a realistic assessment of the situation, we organized direct contacts with some of the persons with disabilities who have attended or recognize the center of care for disabled people.

Keywords: Overview, general, living conditions, people, disabilities, Albania

### Introduction

#### Methodology

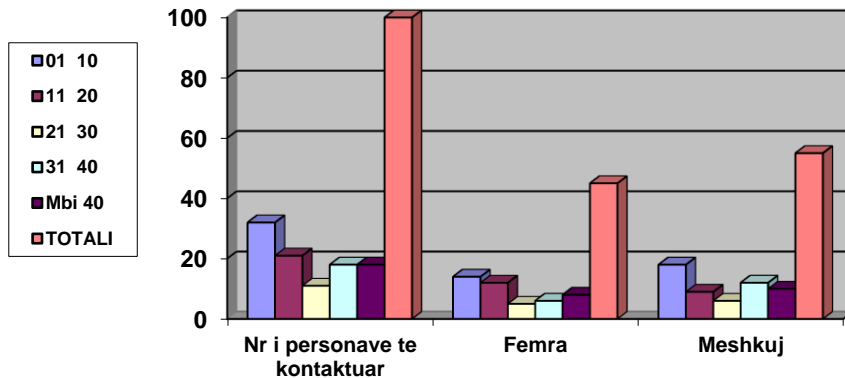
For data collection was used questionnaire method; conversation is conducted directly to the person with disability. The questionnaire contains questions involving different aspects such as:

- 1- General data: age, residence, marital status, education, the period of the show type and cause of disability, benefits from social care scheme;
- 2- The health needs of the person, the type of medical benefits, and the type of rehabilitation needed, driving the auxiliary equipment necessary for the individual, the degree of personal autonomy in daily life;
- 3- information psycho - social on services that benefit, on relations with the surrounding persons, on the way to spend their leisure time, the adequacy of public facilities and private, on the integration of their social (employment, education);
- 4- Wishes of persons with disabilities.

For this questionnaire was used a sample of 100 people, 50 adults and 50 children. From this sample, 55 were males and 45 females.

The following table shows the distribution of our sample by sex and age

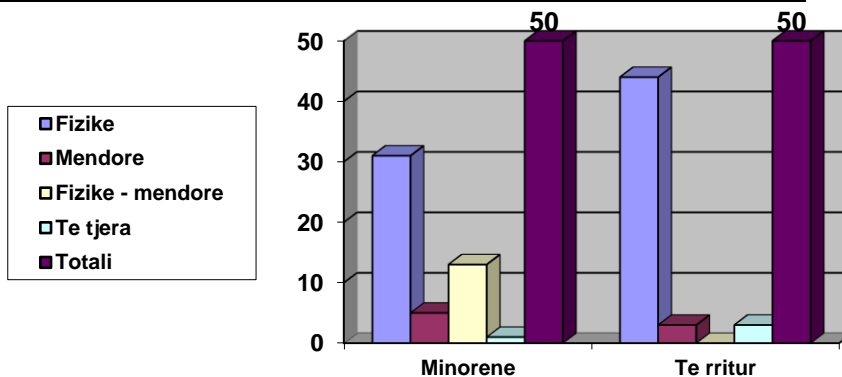
Grup mosha	Nr i personave te kontaktuar	Femra	Meshkuj
1-10	32	14	18
11-20	21	12	9
21-30	11	5	6
31-40	18	6	12
Mbi 40	18	8	10
TOTALI	100	45	55



### Pathology

In the studied sample we found four types of pathology, among which, the greatest percentage of occupied physical pathologies (75%); the sample of adults are involved and the pathologies neuro-motor muscle – skeletal, while, most of the sample of children presents physical-mental disabilities associated with epilepsy (36%). We are champions of mental pathologies including three minors affected by Down syndrome. In 10% of cases it has encountered the presence of persons with disabilities in the family, especially between siblings. In 35% of cases of disability are common symptom appeared during the three years before the birth while in 31% of cases the persons interviewed have manifested most common symptom that in the moment of birth. *The following table presents the distribution of the number of sample study based on pathology*

Patologjia	Minorene	Te rritur
Fizike	31	44
Mendore	5	3
Fizike - mendore	13	0
Te tjera	1	3
<b>Totali</b>	<b>50</b>	<b>50</b>



### Medical Services

In the study sample was ascertained that between state and individual health services lacked communication. This communication has been missing with his family. After the acute phase treatment is not advisable or any person informed of the reality of the situation which will be located. Also, few are to be given the information that we run specialized centers for subsequent treatments. Thus, mothers expect their child to develop or to walk without having to follow the sessions of physiotherapy, Logo Pedy (therapy and speech) without being integrated into those few development centers existing, state and raised by NGOs working in this field.

We have faced the same situation and to an adult who still lives with the dream that was to perform an operation abroad could be counted as once. In fact, people with disabilities should be briefed on the difficult situation in which will be located ranging from moving the bed, the care for personal hygiene, care of wounds decubitus rehabilitation to be attended and finally, the difficulties that will be faced in order to achieve its social integration.

This lack of information is due to the fact that the person falls into a serious depressive state when faced with reality. Information is one of the first services to be provided to individuals and their families. In our opinion, perhaps the time has come the involvement of social workers and psychologists in our hospital personnel structure.

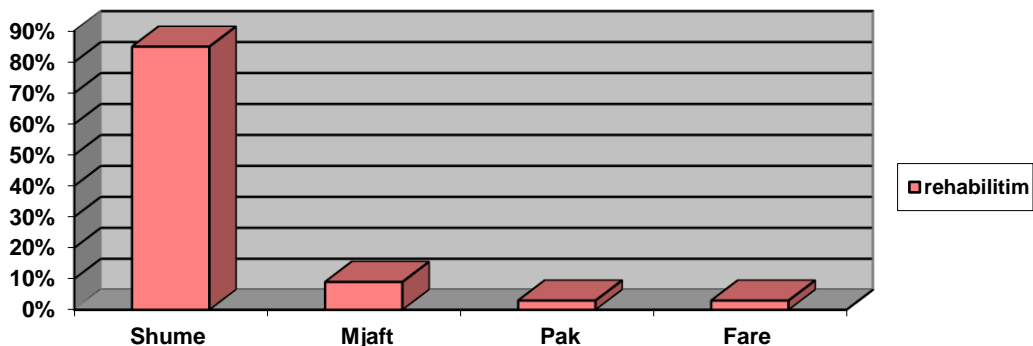
Most respondents stated that medical services are minimal and often corrupt. On the other hand, there is a lack of community knowledge and awareness raising activities on the needs of persons with disabilities, be they medical or social. As a consequence of pathology specifications significant part of persons with disabilities in need of treatment at home. About 58% of respondents in need of therapy in terms of home.

Asked what benefit medical services, 65% of respondents replied that does not benefit any public health service. This fact is also bad because it represents a non-compliance of the legislation in force according to which "persons who are in critical condition and unable to be filed in state institutions benefit service in the apartment by the family doctor and the doctor specialist for them procedures that can be performed as an outpatient and indoor conditions." About 84% of respondents require more cooperation from employees of healthcare services.

### Physiotherapy and aids

Physiotherapy service is very necessary for people with disabilities. Public structures provide this service in the acute stage pathology but this service is limited and non-continuous. Requests for such services are very high especially in young people. On the other hand, institutions that provide such services are scarce. Here, by means of a table, we presented respondents' needs for rehabilitation service.

Nevojat	Shume	Mjaft	Pak	Fare
Rehabilitim	85%	9%	3%	3%



Currently there are NGOs, and not the state, those that mainly covers rehabilitation services. Treatment of persons with disabilities in this kind of service is very necessary because it helps in increasing their personal autonomy. About 59% of respondents in need of wheelchairs and orthopedic. It would be a step really very important if the state, together with reimbursement of drugs, be able to equip the vehicles mobility and assistive these people (catheters, wheelchairs, mobility means or auxiliary accessories such as bed, the toilet, the sink, in the shower, etc). In assigning such an assessment we have given mainly people with physical pathology. In the majority of cases are NGOs working in the disability field to equip them with these tools persons with disabilities.

### Education

Preschool and school integration has as main objective the development of people with disabilities in the manner of behavior, in the way of communication with the aim of social integration, and the establishment of bilateral relations with

the surrounding environment. 1:10 is the ratio of children born with problems or who suffer a serious injury during birth. Of course, if not done carefully, the child's further development is hindered. State should recognize the principle of equal opportunities for elementary, secondary and higher for children, youth and adults with disabilities, in integrated contexts. The state must ensure that the education of persons with disabilities be an integral part of the state education system.

Currently, in our country there are 12 special education institutions, among which 8 are schools for children with mental retardation, 3 and 2 are day care centers are institutions for children who are disabled or have trouble hearing and eyesight. However, these institutions do not cover all the requirements of the country. In case of occurrence of a serious pathology parents prefer their children to be treated in special institutions. In the absence of the latter the only solution remains emigration abroad or moved to cities where these services are provided.

In cases less severe where children with disabilities mention only physical (disability which constitutes the greatest percentage) and children with learning difficulties, parents try to activate in regular schools. Current law does not prohibit nor does it guarantee such action. We normative provisions of public education in 1996 noted that "the integration of pupils with special hedged in the context of ordinary schools is considered a necessary contemporary process"; on the other hand, this provision does not provide any solution.

A tiny proportion of persons with disabilities manage to complete the 8-year school, but even in these cases, their participation in learning is passive. In most cases these people drop out of school only after 1-2 years of attendance because of the ordeal they experience as the teacher, label them so unethical as well as the mentality of the parents of other children. It should be mentioned that this aspect does not help at all conditions that provide the premises frequented by persons with disabilities; these facilities have not suitable conditions for these people.

Below we present the results of the sample survey on the integration of our education system:

2% integrated in preschool;

16% attend public schools, more as a listener;

2% attend special education;

2% attend secondary education;

2% attend higher education.

#### Employment

Regarding employment, persons with disabilities may consider as the most discriminated population. Their desire to be employed is related not only to economic needs but also social integration. It should be emphasized that the disability payments that they receive is very small in comparison with needs that they present to face everyday life. It is clear that these persons require an appropriate job for them in order to ensure a normal life and achieve a modicum of independence economic. People with disabilities want to be employed and to be integrated into civil society. Staying away those isolated working environments and this exacerbates and more psychological condition. Despite that there is a law which says that "employers are obliged to employ a person with disabilities for every 25 employees other" this law does not apply and always have people remain outside the labor market. As a result, these persons we can introduce the poorest social group in society.

As discussed above we have faced champion interviewed by us. According to our data, only:

1% of respondents working full time;

14% work part-time;

85% do not work at all.

#### Suitability

Most people with disabilities makes a poor social life. Causes that exclude these people from social life are numerous. Architectural obstacles that they face not allow to emerge as the built environment is not at all appropriate for them. It is the right of people with disabilities need to be employed to create opportunities, to education, to move smoothly by using the surrounding environment. But the current state of the roads, sidewalks, entrances to buildings, etc., does not ensure

such a thing. In fact, there is Law No. 7889 which states: "All new public buildings must provide for the possibility to use different categories of persons with disabilities.

All natural and legal persons that develop projects for public buildings, the environment exterior of the complex, should provide conditions which take into account the interests of persons with disabilities", but apparently, this law is not applied in practice. According to our survey, 63% of respondents encountered architectural barriers

#### Integration

There are few facilities in which persons with disabilities can spend time being felt useful to themselves and to society. These people are forced to exclude yourself from more important activities for their social life. so:

15% of respondents do not come at the house;

29% stand almost all the time inside;

19% are trying to actively make a living out of the house.

Asked what the reasons that they spend time at home are:

6% responded that no friends or known and that as a result of long home confinement;

19% nowhere to go;

26% face of architectural barriers that force them to stay home.

In 63% of cases the persons interviewed are obliged to come accompanied as inability does not allow them to go alone.

We have encountered many cases in which the parents are those who isolate themselves and their children at home and that hinder their integration. One of the reasons of this isolation is because parents are ashamed to expose a child with disabilities in public places, this due to the environment and mentality where we live. In fact, in our study such a fact we have encountered only in 2% of cases and this fact shows that the mentality of parents who have a child with disabilities has evolved over time. First time with a child having a shame disable. Today parents trying to activate their children so that they will be much more integrated into society.

Despite the difficult situation in which these people are they trying to do something in life to not sitting back, waiting only from others. They try and commit with all the possibilities to integrate into society. One of the ways of integration is precisely to participation in various associations, especially those that deal with the rights of persons with disabilities.

In our case, 36% of respondents are members of an association. But his good will to be part of an association of persons stated that currently do not belong to any association; 17% of respondents expressed a desire to be members of an association, mainly of an association that deals with the rights of persons with disabilities. But, on the other hand, it should be noted that the risk of being member and activist of an association are very limited due to the lack of necessary conditions that the premises must have in order to be frequented by these people.

There are very few activities that are organized for the benefit of persons with disabilities and, consequently, their days are too empty. This negatively affects their psychological state. In fact, 65% of respondents claimed to have difficulties in the organization of social life.

Regarding social relations, the majority of respondents, 79% answered that relations with others are generally good and that others understand.

We found that in 69% of cases among family members and persons with disabilities has more warmth and understanding; family is exactly what many gaps to fill disabled person faces in life. In reality, the family gives a great help on the life of persons with disabilities.

#### The Economy

People with disabilities are layers having major economic problems. Of course, this fact is related to their disability. Given that they are not able to do any kind of work, certainly it very difficult to provide a normal life. Financial income families of persons with disabilities are low. In most cases, the whole family lives only with a disability allowance. This is because almost always a family member is obliged to abandon the work to care for a person with disabilities. Many people eligible



to benefit from the law of trusteeship, but a large part of the benefit that no "de facto" because we encounter the offices of the state bureaucracies or simply because you do not know where to turn. Benefiting from this law relatives invalids of the first group, those caring for invalid all the time and, consequently, are unable to be employed.

In terms of custody, we observed that:

70% of cases it is the mother who cares for a person with disabilities;

only 1% of cases are people that provide external assistance they needed.

On the other hand, 78% of those interviewed stated that they need economic assistance.

It should be emphasized that the situation is even more difficult in other towns and cities, because as we said in the beginning, our study sample is selected in Tirana where socio-economic level is the highest in the entire country.

In 17% of cases people with disabilities (interviewed) not receiving a disability allowance and this happens not only by the neglect of the individuals themselves, but also the indifference of state authorities, which often do not inform persons with disabilities to their rights and do not provide adequate guidance for the implementation of these rights. There are many shortcomings in the fulfillment of appropriate documentation release in KMCAP and roads to be followed in cases of non-invalidity benefit the group.

The shortcomings faced in the implementation of legislation for people with disabilities and is occasionally they do not benefit the disability group that belongs.

On the other hand it should be noted that persons receiving a disability allowance and complain that it is not at all sufficient to meet the minimum requirements if the person with disability.

### **Living Environment**

Environment where people with disabilities live, more often, is unsuitable for them. In general, they lack the necessary comfort. Housing spaces in which they live are too small are you leaving him little opportunity to meet their needs. In general, a single room serves as bedroom and kitchen as well. In 35% of cases the house consists of only one room; 27% of them has a place sufficient to meet their requirements. Family in which persons with disabilities live, generally is a close nuclear family consisting of parents and children. This occurs in 65% of cases and only in 5% of cases the family is living in the open and some generations.

Regarding the problem of water running, we found that, in general, the water is intermittent and in 61% of cases affirmed that has running water only a few hours a day. We also encountered extreme cases in which water is absent inside the house but provided through wells. This fact is encountered only in 6% of cases. In 71% of cases found within the house and the bathroom has hot water and cold. In 6% of cases there is bathroom inside the house. This fact clearly shows the situation really difficult in which these people live and of course, exacerbates this situation and their more difficult situation.

Often when we talk about people with disabilities, people who think they are not able to care for themselves. In fact this is a very wrong idea which has begun to fight even in our country. Jane created many associations which have begun work to change this wrong mentality. We are faced with many cases in which people with disabilities have achieved notable successes. Today many young people were given the opportunity to attend various training courses in order to develop them, to show their value and manage to integrate fully into society. Their dreams and desires are the same throughout the dreams of others but, unfortunately, the opportunity to realize them is very small.

In our study, 85% of respondents said they wanted the existence of a socio-educational center-arts where they can develop their skills; On the other hand, 95% of respondents stressed the great importance of developing a personal training schools in order for them to be able to do something of value in their lives.

### **Conclusions**

Given the above reality we are giving our opinion on what is best to be done to reach people with disabilities.

Coordination of services that can provide  
prevention  
diagnosis

More detailed information on the situation in which will be located

rehabilitation treatment in hospitals that  
provision of medical services to families  
the creation of specialized rehabilitation centers with specialized staff  
establishment of community centers  
Mobility device and accessory shop assistant

Intervention social-psycho-pedagogical character in preschool and school;  
Flexible learning schedules and improvement of material base;  
Legal guarantees for education (law exists but the solutions must also be given);  
Suitability construction in the premises of preschool and school education;

The elimination of psychological mismatch between the scientific concept on development and behavior of children and the concept that educators and teachers have currently on their behavior and attitude;

Cooperation not only teachers but parents and a support and cooperation with specialists in the field of disability;

The support of school integration should be not only a teacher but by the entire collective of teaching where a special role, play school departments;

Sensitization of the public, teachers, students and government officials on the merits and advantages of the integration processes.

Municipal or other instances to provide decent jobs for people with disabilities (newsman, different windows)

The state should be as flexible in providing disability benefits

Have a broader understanding of the legislation by persons whose caregivers are entitled foster care payments

State-should enable and control the implementation of existing legislation in the field of accessibility and improving its support

State-also should help in collaboration with private business in the field of design and construction, to understand the importance of adaptability.

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## Creating Alignment in Employee Performance Management

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### Abstract

The current study will identify actions for maximizing the effect of goal development and performance management system to enable enhanced employee performance and motivation. In addition, exceptional consideration is dedicated to the methodological challenges of employee performance management inherent and adopted throughout the years. Quantitative approach will be used to assess the external environment through a comprehensive literature and employee surveys review demonstrating employee evaluation methods. However, the unique characteristic of this research, in proportion to other research, is that data is gathered from primary source. The paper presents "Real Time Employee Evaluation and Bonus Systems." This is a subject that has not been adequately explored within existing literature. It consists of a practical mechanism which demonstrates how a performance evaluation method is used by a leading Telecom Company in Kosovo (X Telecommunications). We will explore the possibilities and limitations of the performance employee evaluation.

**Keywords:** Performance Management, Employee Evaluation, Compensation System, Goal Setting, Management by Objectives.

### INTRODUCTION

One of the major challenges for any company lies in realizing organizational alignment: that preferred point in which the entire company is working together to reach business goals. The complications in trying to understand what 'is' and what 'does' the performance management means for managers and employees, are best illustrated by Armstrong & Baron (1998) who believed that the management of performance is a very inaccurate term, these processes manifest themselves in many different ways, and that there is no single right way to manage employee performance. However, scientists as Mabey (1998) argue that performance management is a framework where individual performance can be managed, monitored, and improved. It is an important system as it responds to the "how employees are doing?" question, and helps the company to improve employee performance and motivation. Therefore, the indication that performance management is not needed within a company is not accurate since entire performance system brings increased employee performance and quality of work.

The research demonstrates the use of tools for defining goals as a basis for determining an effective bonus structure.

The analysis is presented in two sections:

Institutionalizing the "Goal Setting Mechanism" within Employee Evaluation Forms and the Employment Bonus - Scheme; and

Demonstrating interaction between the two

The purpose of this research is to develop a system for performance evaluation through the integration of objectives to a well-organized bonus structure.

The objectives of this study are:

-To assess the importance of the design and implementation of a performance management system that will integrate corporate goals with employee performance goal setting, appraisal, and bonus;

-To identify the critical steps for conducting employee performance appraisals.

The study looked additionally at employee satisfaction and commitment. In addition, economics literature on rewards and incentives also enlighten the problem of designing employee evaluation and compensation schemes.

The method of reviewing results, finding the right employee score, and then deciding upon the bonus is what employee performance management system is all about.

### **Company Profile**

The company is recognized as one of the fastest growing telecommunications companies in Europe. Established in 1999, X Telecom Company has grown from being the first Kosova-wide Internet provider to becoming a modern enterprise offering full range of integrated services as well as content, in mobile communications, fixed telephony, digital cable television, Internet services as well as media. X Telecom finds itself at the stage of continuous growth and development.

### **LITERATURE REVIEW**

Green and Ahmed (2014) believe that in old times to evaluate the work of any single employee was to deal with the dumb of heap, how much you investigate that deep dump you may find out. However, the criteria for Performance Excellence has evolved significantly over time to help organizations address a dynamic environment, focus on strategy-driven performance, and address concerns about customer and workforce engagement, governance and ethics, societal responsibilities, and long-term organizational sustainability (Blazey, 2009). Many contemporary organizations are placing a greater emphasis on their performance management systems as a means of generating higher levels of job performance (Gruman, 2011). Performance evaluation lately is seen as a process to review the employee's past performance and to agree on future objectives and development activities. Coens and Jekins (2000) believe that performance appraisal can be seen as a process of evaluating and assessing the way in which employees are working. In addition, Armstrong and Baron (1998), see performance management as a strategic and integrated approach to provide sustained success for the organization by improving the performance of people. In the absence of employee evaluations within one company, Stipp (1999) trusts that the employer shall make no effort to work with the employee to improve his/her performance. In this case, employees may be also omitted to the benefit of concrete measures, which will give information such as how they are doing and where they need improvements. On the other hand, DelCampo (2011) argues that when someone is searching for the job or deciding how to craft a position description one of the primary dimension discussed always seems to involve the concepts of performance management and performance appraisal, or, in more common place parlance, 'How do I move up and/or get a raise?

### **When and why performance appraisal is usually executed?**

Performance management is the method of reviewing an employee's performance during the preceding year or cycle and deciding where he or she stands as far as their managers in the same group are concerned. The appraisal cycle can be based on the calendar year or the financial year i. e. it can run from April to March of the following year or January to December of the same year. In the same manner, it can be half-yearly as well. Its objective is to induce workers to become more efficient and effective (Kondrasuk, 2011), and assist supervisors to become more transparent in the way they correlate with their employees. According to French (1998) performance appraisals are used for a variety of essential purposes. Determining the compensation is by far the most frequent use of appraisals, but performance improvement and feedback to employees are also major uses. French (1998) added that it is important to recognize that performance appraisals, in addition to being periodic, should be an ongoing process. Employees desire performance feedback, or information on how well they are doing the job, and this feedback should be provided to them timely. Employees and managers gain feedback, as the objective is to find out how things are going within a company. A constant exchange of information helps employees to identify their strengths and weaknesses.

In general, management by objectives is executed through yearly, twice a year or quarterly meeting between manager and employee, on which manager evaluate work of employee grounded on guidelines represented by goals/objectives set at the beginning of the year, not forgetting to set objectives/goals for next incoming year.

### **How to make an ideal performance appraisal system?**

Human Resource professionals are facing a very difficult task of developing the best performance management approach which fulfills the company's needs. In fact, surveys and studies have found that the majority of employee's who leave the

company do so because of dissimilarities over their ratings. In other words, employee turnover is in many cases a direct consequence of the system in which the employee performance management process is managed. According to Kondrasuk (2011), many firms use inappropriate assessment because they do not use the correct tools for designing the system. French (1998) argues that in designing the appraisal program, attention should be given to relevant laws and court decisions, the choice of appraisers, the role of human resources, and the validity and reliability of the appraisal methods. The company can prepare an evaluation system with long forms and detailed data, which can be very complex but time consuming. The method can also be straightforward with one page only.

Since this paper presents “Real Time Employee Evaluation and Bonus System” below some practical mechanism demonstrate how performance evaluation methods is engaged by X Telecom Company. A graphic rate scale evaluation worksheet is used to define measurable and observable objectives, which demonstrate how well an employee performs its duties and responsibilities. There are many versions of graphic rate scales, but all concentrate on specific employee’s behaviors related to work performance. Mathis and Jackson (2008) state that using employee rating’s managers provide three primary advantages (1. ) in critical manager employee relationship, employee rating can be quite useful for identifying component managers; (2. ) this type of rating program can help make manager more responsive to employees; (3. ) employee appraisal can contribute to career development efforts for managers by identifying areas for growth. It reveals the performance standards that come from already set objectives. The form is designed to identify the employee’s strengths and weaknesses. It also provides an overall assessment of performance using a score. The rating method lists employees from highest to lowest in performance. Each employee can be placed into one of five categories; from Exceptional to Disciplinary (Low Performer). Maximum 25% of employees are evaluated with rankings from 4 to 5. The system is adapted as per Deming’s exercise called the “red bead experiment” used in many of his management seminars to indicate the importance of foregoing numerical performance evaluations as a means of improving performance (Aluri & Reichel, 1994; Deming, 1982).

**Goal Settings**

Employee’s evaluation can have both positive and negative effects and rather it is determined by the system of evaluation. According to Dransfield (2000), in recent years Management by Objective (MBO) has become less popular because of difficulties and danger associated with too rigid definition of objectives at a time of creative solutions to problems from employees are being sought. However, a key factor to the achievement of any company is its aptitude to ensure employees clearly comprehend what is required to do in order to contribute to the company’s success. Therefore, MBO is a needed process within the company, where goals are set for the company as whole, which are afterwards cascaded throughout departmental goals, into employee objectives. With better understanding of goals better productivity and satisfaction as well as motivation of the employees can be accomplished.

In the X Company which is used for this study, goals are set based on:

Company Goals weighting 25%, where

First goal is connected to Financial results (EBITDA) - weight of 15% - Successful business performance is base for company existence and contribution is done from all levels.

Second goal is connected to Customer satisfaction - with weight of 10% - Customers and their satisfaction are base for successful business operation.

Individual goals weighting 75%, where manager may set maximum 3- 4 goals for employee, which are then defined and discussed in table 1.

**Table 12 Employee Performance Review Form and Calculation Table**

Employee Performance Review Form					
Goals and Objectives	Substantial improvement is essential for job success	Improvement is essential for job success	Performance on target	Key contributor who consistently performs at a higher level	Key contributor who consistently substantially exceeds expectations
1. Company Goal ( EBITDA)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>

2. Company Goal (Customer Satisfaction )	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
3. Employee's Objective	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
4. Employee's Objective	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
5. Employee's Objective.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
6. Employee's Objective.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
Calculation Table					
	Score / Rank	Weight of Score	Resulted calculated number	Score for objectives	
1. EBIDTA	x	15%	0.00		
2. Customer Satisfaction	x	10%	0.00		
3. Employees Objective	x	x%	0.00		
4. Employees Objective	x	x%	0.00		
5. Employees Objective	x	x%	0.00		
6. Employees Objective	x	x%	0.00	0.00	

Work performance of an employee is appraised during the interview appraisal process where evaluation of employee is done based on company's reached goals and based on individual objectives set preceding year.

#### Employee Appraisal Form in relation with the Bonus Scheme

Reward systems are very crucial for an organization (Maud, 2001). Rewards comprise systems and practices that influence the actions of employees. Fundamental purpose is to provide positive consequences for contributions to desired performance (Wilson, 2003). Reward management is one of the strategies used by Human Resource Managers for attracting and retaining right employees as well as assisting them to develop their performance through motivation. There are some researchers who suggest (Murphy, 1981) that the employee should be motivated through a proportional wage according to their efforts on the job and the others that support the idea of human resources motivation according to their results and performances obtained (Deaconu et al., 2002). On the other hand, DelCampo (2011) believes that managing performance is more than periodic reviews of employee performance that results in salary performance. He believes that an action plan must be developed, by creating collaboratively the list of items that are more completed on a particular time table, which include measurement improvements within a specific task. Mathis and Jackson (2008) claim that companies adopt variable bonus plans for a number of reasons: links strategic business goals and employee performance; and enhances organizational results and reward employees financially of their contributions. According to Mathis and Jackson (2008), organizations generally use performance appraisals in two potentially conflicting ways. One is to provide a measure of performance for consideration in making salaries or other administrative decision about employees. The other use focuses on development and training of employees.

This paper concentrates only on the pay mechanisms as it can be a powerful incentive in linking employee performance. Because of the importance of performance appraisal to employees, the appraisal methods used can have positive or negative effect on the employee's morale. Therefore, determining bonuses is one of the most critical aspects of human resource management because the company's reward system has an intense effect on satisfaction and motivation of employees. The purpose of employee bonus schemes is to improve employees' efforts in their jobs. One major "switch" for increasing individual efforts is money, since by rewarding employees for good performance companies shall achieve business objectives.

Mathis and Jackson (2008) talks about the forced distribution method, the ratings of employee performance are distributed along a bell shaped-curve. For example, as per the authors stated above a medical clinic administrator ranking employees of five-point scale would have to rate 10% as 1 (unsatisfactory), 20% as 2, 40% as 3, 20% as 4, and 10% as 5 (outstanding).

As per bonus incentive systems within X Telecommunication Company workers whom meet and surpass expected objectives are given a bonus payment.

The individual performances evaluated in the process as described above will be automatically summed up in the form and based on this final result of the evaluation is defined.

Bonuses are allocated by using percentage scale as shown in the table below.

**Table 13 Bonus system payment system**

Results reached	Payout out of base salary
from 110% to 120%	120%
from 101 to 110%	116%
from 81% to 100%	102%
from 61 to 80%	48%
from 0-60%	0%

Appraisal Rating		Payout out of base salary
4. 85 – 5. 0	(Outstanding - O)	120%
4. 70 – 4. 84	( " )	116%
4. 55 – 4. 69	( " )	113%
4. 40 – 4. 54	( " )	110%
4. 25 – 4. 39	( " )	108%
4. 10 – 4. 24	( " )	106%
3. 95 – 4. 09	(Exceeds Job Requirements)	104%
3. 80 – 3. 94	( " )	102%
3. 65 – 3. 79	( " )	100%
3. 50 – 3. 64	( " )	99%
3. 35 – 3. 49	( " )	82%
3. 20 – 3. 34	( " )	68%
3. 05 – 3. 19	(Meets Job Requirements)	57%
2. 90 – 3. 04	( " )	48%
2. 75 – 2. 89	( " )	40%
2. 51 - 2. 74	( " )	33%
2. 50 - 0	(Unsatisfactory)	0%

Goals and Objectives	Percentage ( Weight of Score)	Results Reached (%)
Company Goal (EBITDA)	15%	x
Company Goal (Customer satisfaction)	10%	x
Individual Performance xxx	75%	x
Total	100%	

## RESEARCH APPROACH

The quantitative approach was performed in a single large company, which operates in telecommunication sector, with the aim to explore employees' experiences on evaluation through questionnaires. For confidentiality purposes, the name of the company we will use X Telecommunication Company, as it is said to realize the importance of the Employee Evaluation System and Performance Management and its implications with the strategy of the business. Furthermore, its vision reflects the author's personal vision on the HR management, as the author is the HR Manager of this company and has therefore been chosen as the primary research instrument. The HR Department of X Telecommunication Company has collected data from 2008 – 2014, which demonstrates how managers rated their employee performance during that time. Consequently, in 2012 the new design of employee performance appraisal integrated with the bonus scheme has made the entire process more efficient and functional. The questionnaire provides comparison with the results of measuring employee performance management satisfaction results in the company throughout the years.

### Organizational climate measurement survey

X Telecommunication Company performed the organizational climate measurement survey; however, the questions were prepared from the author. Attention is focused on the link between satisfaction and work results, which has an impact both on job satisfaction and on company performance. The survey is conducted by ORVI Consultus d. o. o. using the Organizational Climate and Satisfaction. It provides a structured insight into the causes behind certain climate, and preserves a high degree of comparability to the past data of the company and also to the past general averages. Questions are designed to see more clearly how employees perceive the employee performance system, and is this system helping the company to improve motivation amongst employees and their overall performance within the company. For this research study, 467 employees of X Telecommunication Company are selected, from which 259 replied to the questionnaire (55%).

## FINDINGS AND DISCUSSION

Because of the importance of performance appraisal to employees, the employee performance appraisal methods used can have positive or negative effect on employee's morale. Therefore, determining bonuses is one of the most critical aspects of human resource management because the company's reward system has an intense effect on satisfaction and motivation of employees. The tables below show overall report of the company, as well as management and employee's progressive results and outcome. The questions in the questionnaire has values from 1 to 5, 1 being the lowest value, and 5 the highest. From the results, it can be seen that most of the values are between 3 and 4, which show high employee satisfaction.

**Table 14 Employee Evaluation System**

Employee Evaluation System	2012	2013	2014	%_1,2	%_3	%_4,5	OCS 2013	2014 - 2013	2014 - 2012	2014 - gen. avg. 2013
For me the evaluation form was easy to understand.	/	4,20	4,30	5,0	7,3	87,6	/	0,10	/	/
I received the notice for the appraisal interview at least one week before.	/	4,05	4,07	12,7	11,2	76,1	/	0,02	/	/
I discussed with my supervisor/manager each rating collaboratively and agreed on final rating.	/	3,88	3,91	13,5	16,2	70,3	/	0,03	/	/
During the appraisal interview I received feedback for delivered work (whether acknowledgment or constructive criticism).	/	3,89	3,90	12,7	16,2	71,0	/	0,01	/	/



The evaluation process was clearly explained to me by my supervisor/manager.	/	3,67	3,82	16,2	15,4	68,3	/	0,15	/	/
My performance evaluation grade was as I expected.	/	3,43	3,42	22,8	22,8	54,4	/	-0,01	/	/
If my supervisor/manager evaluated my performance on any of the goals lower than I did myself, he provided full, facts-based argumentation.	/	3,48	3,41	23,9	22,8	53,3	/	-0,07	/	/
During the interview my supervisor/manager and I discussed my career development	/	3,30	3,33	25,5	23,9	50,6	/	0,03	/	/

Table 3 is related to the employee evaluation system, which shows positive improvement throughout the years. Employees understand better the evaluation process, and they are informed on time about the interview to discuss about their performance and receive feedback for their delivered work, as well as for their career development. The results show that the process of evaluation is getting clearer compared to previous years. Kramer (1998) agrees that individualized performance evaluation system is crucial for success of any company. Through interviews, employees get individual attention and the objectives are being discussed among each other. More importantly, this helps organization to better understand the distinctive capabilities of employees related to knowledge, skills and values. In this way, they will be able to retain dedicated and hardworking employees. Nevertheless, according to Gabris and Mitchell (1985), it is important to have proper performance management system because in many organizations, employees perceive performance appraisal as waste of their time, and they are not motivated to complete them. Also, because of the workload, managers often dislike the time of performance appraisal. Thus, it is suggested that managers are trained about the performance appraisal in order to better understand its value, as keeping the best performers is a challenge among companies.

**Table 15 Goal Setting and Employee Objectives**

Goal Setting and employee Objectives	2012	2013	2014	%_1,2	%_3	%_4,5	OCS 2013	2014 - 2013	2014 - 2012	2014 - gen. avg. 2013
The annual business plan really represents the basis for our daily operation during the year.	3,61	3,70	3,87	10,4	20,1	69,5	3,42	0,17	0,26	0,45
The objectives of our unit are derived from the annual business plan and are every year clearly defined.	3,66	3,72	3,85	12,0	19,3	68,7	3,45	0,13	0,19	0,40
During the evaluation process my supervisor/manager and I discussed the work and the performance of the goals for the past six months	/	4,02	3,90	13,1	16,6	70,3	/	-0,12	/	/

The table 4 shows the clarity of employee goal settings, which is derived from annual business plan. The evaluation process for performance of the goals between supervisors and employees are discussed during the employee evaluation interview. This shows positive value throughout the years. Latham & Yukl (1975) discusses the assigned and participative goal setting. Many authors agree that employee participation is essential in goal setting process in order to have acceptance of job goals. Some of the conclusions from studies are that at high participative level, employees performed best at the goals set

by themselves, and in low participative levels, employees performed best at goals set by boss. Other studies have concluded that there is no relationship found of the level of participation in goals setting process.

**Table 16 Clarity of requirements and rewards**

Clarity of requirements and rewards	2012	2013	2014	%_1,2	%_3	%_4,5	OCS 2013	2014 - 2013	2014 - 2012	2014 - gen. avg. 2013
Employees have a clear picture of what is expected of us.	4,14	4,10	4,24	6,6	8,5	84,9	3,74	0,14	0,10	0,50
Effectiveness is evaluated against targets and standards agreed upon.	3,70	3,88	3,94	10,0	14,3	75,7	3,38	0,06	0,24	0,56
I understand the elements of my salary (fixed -basic salary, bonuses, etc. )	3,63	3,84	3,98	12,4	12,4	75,3	3,50	0,14	0,35	0,48

Table 5 shows how much employees understand the requirements and rewards based on their performance. They understand that their effectiveness is evaluated against targets agreed upon, so they should understand what they should accomplish. Also, the results show that employees understand the linkage between their performance and elements of the salary, which increases their motivation to succeed. Gabris and Mitchell (1985) emphasize that employee productivity might be stimulated through a merit-based performance appraisal. In this way, individual performance can be improved, which increases also organizations' effectiveness.

Since the year 2010, when the system described above was implemented the author has noticed that the performance appraisal result in the graph is close to a normal curve – they are always clustered around the mean and skewed towards the positive.

Indeed, the results of this empirical study show that performance management system is integrated efficiently with the employee performance goal settings. In general, employees are happy with the employee performance, goal setting system, as well as its linkage with compensation. They receive enough information about the system, and understand that setting realistic targets is important in order to be rewarded for the work performed.

## CONCLUSION

Designing performance management and appraisal guidelines that affects managers and employees can build trust in the company and lower perceived inequity. Deming (1982), who labeled performance appraisal systems a "Deadly Disease" in organizations, claimed that they "leave people bitter, crushed, bruised, battered, desolate, despondent, dejected, feeling inferior, some even depressed, unfit for work for weeks after receipt of rating, unable to comprehend why they are inferior. According to Lloyd (2009), motivation is the process that energizes employees and propels them to pursue their goals; therefore, well-designed and well-executed performance appraisals have a strong motivational impact. Understanding that there is crucial need of a proper evaluation system, X Telecommunications has gone through modification of the old scheme of the performance management system, trying to adopt new goal setting system and appraisal approach. For this reason, to find out if employees are pleased with modified system, the survey was performed throughout the company which shows that employee' morale is high. Employees are satisfied as they are receiving proper guidance from managers, and they possess open lines of communication with their supervisors and managers. It is a system that helps qualify relationship

between impact, performance, and compensation with expectation-based collaborative feedback. The system described in the paper supports the full review process, from alignment to review to compensation.

Since, the overall results show positive increase and positive feedback from employees, the researcher trusts that positive feedback always shall bring positive results in employees and the company in general. This situation leads to the idea that performance evaluation based on clear goals and objectives leaves little doubt about the desired outcome.

It could be argued the need to introduce an integrated system of differential motivation of human resources to foster and encourage outstanding performance of the employee. While there is no single "best way" to manage performance evaluations, the corrective actions taken at X Telecommunications throughout the years suggest that performance management is a tool that helps managers align individual performance with organizational goals and objectives. The new system should include bonuses and incentives to motivate the human resources to contribute significantly to a sustainable organizational development. It is evident that performance management and appraisal are two most time-consuming facets of the HR functions. While this process is time consuming, because of their great significance, the researchers believe that if steps conversed in the paper are followed, companies may create a user-friendly and effective operative system that both managers and employees will find it rational and unbiased. This system can allow companies to align individual objectives to those of the business goals, and prevail better understandings about how work gets done, makes it easier to have discussions with employees on regular bases, as well as tracks and measures employee's performance.

### **SUGESSTIONS FOR FURTHER RESEARCH**

This study has some limitations. It is concentrated in only one company; consequently, are not able to make generalizations to interpret these results for other companies as well. Furthermore, this paper did not focus on all the rewards, it only concentrated on bonuses. Further analisys can observe the consequences of non monetary rewards and observe whether it has an effect on better employee performance. Such results can enhance employee performance management system.

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## How the Al-Quds Bard MAT Program Changed Mathematics' Teachers in Their Classrooms

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### Abstract

In this paper, we are going to analyse the situation in math classes in Nablus Directorate depending on reports written by their supervisor. Also we are looking at AQB courses in MAT (Master of Arts in Teaching) program for math teachers and supervisors, discussing the syllabus of these courses, in particular relating to a math supervisor. We will show how the courses met the needs of this supervisor in her work with teachers. We will concentrate on the effectiveness of using Action Research as an important strategy for MAT program in developing this supervisor's educational skills. In the third part we are going to show how the assignments and the emphasis in the use of qualitative research, greatly affected the supervisor. We will also compare between teachers' work in their math classrooms before and after being in workshops organized by this supervisor who is now a graduate of the MAT program. Finally, the data was collected and analysed to describe how participation in the Al-Quds Bard MAT program changed this mathematics supervisor's workshops and how it greatly affected teachers' work in their classrooms.

**Keywords:** How the Al-Quds Bard MAT Program Changed Mathematics' Teachers in Their Classrooms

### Introduction:

Who needs math? In an article published in the New York Times (2012)

The Author Prof. Andrew Hacker writes "It is not clear that the Math we learn in the classroom has any relation to quantitative reasoning we need on the Job". He adds: "There is no evidence that being able to prove "

$$(x^2 + y^2)^2 = (x^2 - y^2)^2 + (2xy)^2$$

Leads for more credible political opinion or social analysis". He concludes

"making Mathematics mandatory prevent us from discovering and developing young talent. In the interest of maintaining rigor, we are depleting our pool of brainpower.". Most students agree with Prof. Hacker. They always ask questions like:

Why do we learn this stuff?

Do we really need it?

If this is the case, why do people like Prof. Peter Braun say: "Without Mathematics our civilization would collapse"? Regardless of the field of Study: Science, Medicine, Sociology, Law, Business.... Business students must take the GMAT. Medical Students must take the MCAT. Law Students must take the LSAT. All other students: Science, Sociology, History must take The GRE. Each of these test has a major section on Math. Do these students need Math? Or at least this kind of Math? A lawyer does not need to know how to how many diagonals in a 25 -sided convex polygon, but the thinking process that is involved is needed.

Why do students find it too difficult?

Failing Math at all levels affects retention more than any other academic factor

What is the Problem? Is it Math as a subject or the way we teach it?

Do we have this problem in Palestine and the Arab world or is only in the “other countries”?

Why Singapore?

In 1997 Goh Chok Tong, Singapore prime minister presented his initiative to revolutionize the Education in his country, he called his initiative. “School that think leads a nation that learn”. One of his main items in the initiative was” to move education from one that focuses on rote memorization to one that concentrate on promoting thinking skills”.

This can be done, by changing the classroom into environment that promote Critical Thinking. In the past, all philosophers were also great Mathematicians: Plato, Aristotle, and Socrates, Confucius this is because mathematics was used for critical thinking.

What teachers usually do in their classes?

Give formulas and ask the student to memorize them. Tell the students this the only way to solve this problem. Do not wait for more than a second for a student to answer a question. Concentrate on computation. Focus on the answers not the method. Ask questions that require straight solution. Repeat question in the exam that you solved in the classroom. Give the students number of questions and tell them the test will be from these questions. Do not allow students to challenge your way of solving problems. Tell the students that math is a subject everybody hates but they HAVE to learn. In some of the classes that I usually attend some students have right answers, but because they do not start from what the teacher thinks, many times the teacher refuses to listen to these answers.

What teachers need to do?

Teachers should encourage students to **be problem solvers**. Encourage the students to discover formulas that they need to solve the problem, find other solutions and compare them, analyse complex problems, increase their accuracy and skills, they should encourage students to create their own problems and suggest solutions.

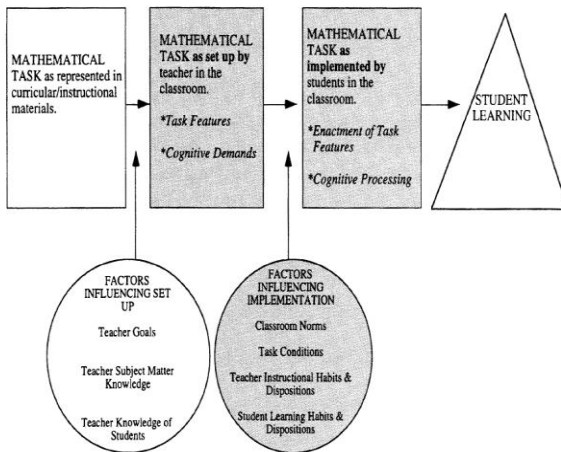
Teachers themselves should listen to their students, know what they are thinking, I think they can motivate their students to participate in classes, encourage students to apply what they learned to real life problems, and help them learn to think deeply in their subject delivery, classroom discussions, assignments and tests.

So, if we do not use problem solving in classroom then our students WILL NOT. It is as simple as that.

In her book "MATHEMATICAL MINDSETS" Boaler takes about the difference between math and other subjects; she says it's not the nature of math; rather, it is due to some serious and widespread misconceptions about the subject: that math is a subject of rules and procedures, that being at math means being fast at math, that math is all about certainty and right and wrong answers, and that math is all about numbers. These misconceptions are held by teachers, students, and parents, and they are part of reason that traditional, fault, and ineffective teaching have been allowed to continue (P,31).

### **The problem:**

It started when I joined the MAT program in Al-Quds University, I used to think that I was a good math teacher and I wanted to be a supervisor in order to support math teachers with my experience, but I realized that first I need to learn more and more. Teachers usually teach students math formulas and solve problems as examples, and students do the same, even if it's a good problem, they start to ask students questions that make it easier and easier; teachers always say "there is no time to wait for students' thinking, we need to finish the curriculum".



**Figure 1. Relationship among various task-related variables and student learning. Shaded portions represent areas under investigation**

“For example, Newman, Griffin, and Cole (1989) have provided extended ethnographic investigations surrounding the ways in which students’ goal and their understanding of the objectives of the task can transform the task to the point that it is no longer the same as what was intended by the teacher at the outset. Teachers also can wittingly (or unwittingly) change the nature of tasks by stressing less- or more-challenging aspects of the tasks or by altering the resources available to students.” (Stein, Grover & Henningsen, 1996, pp. 459-460)

Many teachers don’t want to change their way, simply because this is easier for them and what they are used to. Also mathematics is a very complicated topic to be learned by students and most of the time their achievement is low in it. In fact, mathematics depends on analysing and understanding deeply the concepts which will finally help the students to solve problems. All these things make teaching and learning math difficult for both students and teachers. I think we need to change the culture in math classes.

In my visits. A math teacher was not able to engage 7<sup>th</sup> grade students in numbers class; he did all the work by himself in the class. Another teacher in 8<sup>th</sup> grade did not offer her students the chance to think about the questions that she asks in Algebra lesson, she answered them all.

### **What is needed for the 21st century?**

To most people, mathematics means applying standard techniques to solve well defined problems with unique right answers. They have good reason to think that. Until the end of the 19th Century, that’s exactly what it did mean! But with the rise of the modern science and technology era, the need for mathematics started to change. By and large, most people outside mathematics did not experience the change until the rapid growth of the digital age in the last twenty years. With cheap, ubiquitous computing devices that can do all of the procedural mathematics faster and more accurate than any human, no one who wants – or wants to keep – a good job can now ignore that shift from the old “application of known procedures” to new emphasis on creative problem solving.

When today’s parents were going through the schools, the main focus in mathematics was on mastery of a collection of standard procedures for solving well defined problems that have unique right answers. If you did well at that, you were pretty well guaranteed a good job. Learning mathematics had been that way for several thousand years. Math textbooks were essentially recipe books. Now all those math recipes have been coded into devices, some of which we carry round in our pockets. Suddenly, in a single generation, mastery of the procedural math skills that had ruled supreme for three thousand years has become largely irrelevant. Students don’t need to train themselves to do long computations, as was necessary when I was a child. No one calculates that way anymore! What they (we) need in today’s world is a deeper understanding of how and why Hindu-Arabic arithmetic works. (Shapiro interviewing Devlin, 2014)

## Studying at BARD

Nearly all of Palestinian universities offer Methods of Teaching in different disciplines (math, science, English.... ) among its undergraduate and graduate programs, but they all teach subject matter classes and educational classes separately, and educational classes are for all students together. In addition, universities in Palestine depend on exams in evaluating students for educational classes. The partnership of Al-Quds/BARD Universities offers a different program! I have finished my Master's degree from Al-Quds /BARD University in the summer of 2014 in MAT program in Mathematics.

During my two years as student in Al-Quds/BARD my teachers worked hard to change my (also my colleagues') methods of teaching besides the way that we think. We acquired knowledge, skills and critical thinking from the activities and the reading which we did. In addition, our self-confidence increased from doing presentations for the articles we read.

Also I learned the process of designing a unit plan correctly, from determining the goals for the whole unit, to the assessment tools and the activities needed to explain the concepts focusing on the role of students in the learning process. Previously I had planned lesson after lesson and not the whole unit one time. Besides that, I learned how to focus and organize my work on the three major components for teaching: objectives for student learning, what I want to teach; teaching/learning activities, how to teach and what is the best method to do so; and strategies to check student understanding, the assessment of students. (CRLT, 2016)

Using games in math lessons is something great that I have never imagined before. When we began using games, I found them suitable way of teaching math especially for students who like to play games while learning and they let all students participate and take a part in the class. In BARD we needed to apply what we were learning about these games; when we learn new game in the university we needed to transform this to our classes the next day, of course we needed to make our owns with same instructions but with different questions according to the class we teach and to the curriculum, the next lecture we had to write about that difference happened in the engagement of students to classes during these games. Along two years we –as students of such program- now can develop our strategies with different games that suites our students in math classes.

The MAT program of Bard/Al Quds focuses on action research. During the two years of study teachers (students in BARD) to do have the mini-project in the 1<sup>st</sup> year, and the CRP during the 2<sup>nd</sup> year; in these projects they start by reading many articles about math education and start to think of the best way to change in their work in classes that would help students to be better in their participation and learning. Doing projects encouraged me to continue my work with teachers to do math by using different strategies of critical thinking, open-ended tasks, and problem-solving. In addition to that, I studied the effect of using "a new strategy" on students' achievement, and make a comparison between the new strategy and the traditional ones, and how this affects both teachers and students.

What was different for me, is that as a supervisor I needed to think about ways to change my workshops with teachers; according to Dr Jeanne" my work is with teachers whom I need to support them through different workshops, so, they can be better with their students).

During my research, I learned about several math and educational sites: <http://www.nctm.org/>, <http://ymath.haifa.ac.il/>, <http://nlvm.usu.edu/en/nav/vlibrary.html>, <http://www.atm.org.uk/>, and <http://www.eric.ed.gov/>.

These websites offered a lot of help for me while I was writing my papers. I read a lot about different strategies in teaching mathematics. Summarizing articles and then writing reflections about them was very helpful for me in understanding the articles deeply and enabled me to think critically about the big ideas they wrote about. Reading these articles also provided me with new strategies for motivating students' thinking and understanding. In addition, it was truly different to assess students through open-ended tasks; it is very interesting to notice the development of students' thinking about different ideas of math through tasks, games, and open-ended questions. **Do we (as teachers) really need SPSS statistical program to know what is happening in our classes?** I don't think so; we need to concentrate more with our students, listen to their conversations during tasks, appreciate their mistakes, and give them the opportunity to talk, because when a student talks, it is a sign that he is thinking. This gives teachers a chance to know how their students start to think and gives them time to do the game by themselves before giving it to students in order to know how it works and how to deal with it.

I also learned how to evaluate my work every time I visit teachers in their classrooms by reflecting. In addition to that, I start to ask teachers to evaluate their work after every lesson, ask themselves about their performance in the class if they



focus on participation of all students, if they are happy or not. In fact, some teachers began to allow students to write about their feelings and what they've learned after doing an activity or a game.

I found that these courses and the action research projects I did have given me a deeper understanding of my own work as a supervisor. I became able to describe if the lesson was successful or not according to the performance of the teacher in the class.

### **How I changed the workshops I give for teachers?**

Learning how to do action research projects has provided me with different things that helped me to study the effects of applying new methods in teaching on teachers' and students' attitudes towards math.

As a supervisor, I was so much affected in managing my workshops with teachers; by looking for new ideas that can be linked to the students and their learning, taking care of the teachers' needs and thinking of the most suitable strategies which suits the students. In my work as a supervisor of math I'll never do workshops as I used to do, while working in my workshops with teachers I have completely changed my strategies in managing these workshops, we worked together as a team, I started to listen to their opinions (so, they will listen to their students), they can practice their thoughts and activities, they share their thoughts and experiences, they have the opportunity to choose suitable activities to do in their classes, I don't force them to use special ones. One teacher said "it was her first time that she goes back to her class with something new (which she didn't know about) and it is useful in the class". Many teachers asked me when there will be new workshops (in the same way).

In each activity I prepare for the workshops, I began to think in two things: strategy, and math concept, so, there were many new strategies (think-pair-share, games, open-questions, tasks.... ) each concerning of different concepts. By the end of the workshops each teacher has many different activities to transform to his class.

I learned how to start the class or a workshop with a short interesting activity for 3-5 minutes in order to motivate the students and prevent math anxiety. It is much better to start the lesson with a problem and to let students work than just to do some exercises. During the lesson teachers have to avoid lecturing for most of the time of the lesson. Then, they have to avoid asking questions that require memorization; they have to ask open-ended questions which have more than one answer and can be solved by different ways so as to know how they think and what they understand about math. Besides this, timing is very important in the class, as it gives students the opportunity to try to reach the solution

I used to focus on teachers' classroom discipline, but using new strategies helped teachers to have a good discipline and make learning more meaningful and interesting for all students. Still, teachers need to give the instructions for students orally not just to write them on the board. The discussion between teachers and supervisors makes big progress in the way they think and practice.

In addition, I want to work with teachers and think of how to let students be more confident, creative in their thinking and active, but the beginning will start from changing our teaching.

### **How my work changed my teachers?**

During my visits to teachers many of them said that they will always look for learning new strategies in teaching. They asked me what unit we will do next workshops. One teacher talked about the level of achievement of her students and she said "always this unit comes in the time of exams (she was talking about Measurement for 7<sup>th</sup> grade), so the students became hard to be engaged and so their achievement in the midterm exam for this unit does not exceed 25%. But after working in new strategies after being with me in 5 workshops" the girls were so much engaged and with full attention, and also their achievement in the midterm for this year was 60%" she said.

Another teacher who's supposed to be a good teacher, she was with me in 3 workshops for using critical thinking in teaching Algebra for 6<sup>th</sup> grade students. Before the workshops she has to work so hard in the class to be sure that many of her students can understand the meaning of "variable", immediately after the workshops she teaches the unit using several strategies "turn-over game, developing patterns...), This year I visited her in 5<sup>th</sup> grade, she was able to develop her own game for her students to teach them fractions, and the students were setting together around her; it was a small workshop, not only a math class. After the class she said she was so much affected by the workshops and began to think of ways that makes her students more involving in classes.

All teachers that participated in the workshops were able to do activities that make the participation of their students much better in classes; they said "it took more time to prepare these activities, but surely it made classes much more active".

Other teachers now ask related questions including both closed and open-ended tasks, and they pay more attention to open-ended questions which can enhance and promote student's motivation and their understanding. Teachers' role has also changed from lecturing to facilitating for the learning process. They've now paid more attention to teaching for more understanding by giving students chances to discover through group work more than memorizing the algorithm needed for solving problems.

In my recent visit to teachers who were in my workshops, all the teachers believed in the importance of changing their ways of teaching; they were attracted to the new strategies I did in managing the workshops, and they liked these new strategies; they said this is their first time that they participate and share their thoughts with their supervisor, so, they were convinced to do this change. They started doing some activities in their classes and these were truly successful in these classes. All the teachers said were interested in using open-ended tasks in teaching several topics in the discipline (not only Algebra and Measurement).

### **Literature Review:**

"What is mathematics, really?" this was a question for Boaler in her new book "Mathematical Mindsets". She adds that math is different because it is taught in ways that are not used by other subject teachers, it is taught as a performance subject but not by exploring or asking deep questions. (2015, p. 21)

Battista (2003, quoted in Maida and Maida, 2010, p. 292) also emphasizes that: "Students' construction ... is facilitated, not by 'giving' them formulas, but by encouraging students to invent, reflect on, test, and discuss enumeration strategies in a spirit of inquiry and problem solving".

Carmody in her article wrote "Teachers know that students arrive in class with a wide range of insights and abilities; they also struggle differently and exhibit different needs. One method of incorporating this diversity is the development of open-ended mathematical projects, which offer the opportunity for differentiation and high levels of engagement that go beyond solving a set of pre-determined problems" (2010, P. 272). She also emphasizes elements crucial for developing an open-ended task:

### **10 Questions to Develop an Open-Ended Mathematical Project**

With all these goals and components in mind, the OMPs begin to evolve. When considering a new project, the following questions help to provide structure:

1. What topic is essential to the curriculum?
2. What are some meaningful and real-world applications of this topic?
3. What applications are appropriate for students of this age and level of mastery?
4. How can I include mathematical computation, algebraic notation, written expression, visual representation, peer collaboration, evaluation of complexity, and opportunities for reflection and revision?
5. What choices can I offer in terms of content or product?
6. What resources do I need for the project? Am I ensuring that all students have equal opportunities for success in terms of required resources?
7. What amount of time will students need to produce quality work?
8. How can I structure a timeline that allows for creativity and rigor?
9. Are adequate opportunities given for differentiation to accommodate

various student needs?

10. Does this project encourage a deeper understanding of mathematics than students would otherwise have? (Carmody, 2010, p. 274)

### Conclusions and Recommendations

I have worked as a supervisor of math in Nablus Directorate of Education since the year 2008. I have worked as a math teacher in Public High Schools for 13 years. As a supervisor, I was so much affected in managing my workshops with teachers; by looking for new ideas that can be linked to the students and their learning, taking care of the teachers' needs and thinking of the most suitable strategies which suits the students.

I always know that our students have many difficulties with math and always try to find solutions, some of them have succeeded and the others haven't. Now I have learned many things that are helpful for students in the classroom, as these can motivate and force them to be engaged in the lesson with fun and interest.

Using several strategies for solving problems in teaching math is very interesting and important; it really motivates students and affects teachers' performance: teachers that participated in my workshops worked hard to avoid lectures and show a big concern of their students' conceptual thinking. Now they are able to use many activities that we did in workshops.

Overall, teachers had much ability to use problem-solving activities such as open-ended tasks and questions in their classes. Students were able to ask and answer why questions, to work together and judge their thinking in different ways.

It would be very interesting to prepare workshops as a partnership between MAT program and the Ministry of Education for teachers; both sides can understand more the others' thoughts about education.

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## Using Qr Codes as a Resourceful Ict Tool in the Eit Classroom

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### Abstract

As the incorporation of technology into language instruction becomes more prevalent, teachers and researchers look into ways of using mobile tools in the classroom. Using QR codes for language instruction is one example of successful incorporation of a mobile technology, which allows educators to draw on the motivational value of technology while using tools that are fit for the purpose of effective instruction. QR codes are everywhere. Students see these codes everyday outside the classroom. They will be fascinated at the prospect of using this technology in the classroom. Similarly, teachers are eager to adopt new technologies, provided they are simple and efficient. And there is a reason why QR codes are everywhere: they are simple and efficient. This workshop aims at familiarizing participants with this very practical and efficient mobile tool that teachers can easily use at every level of language instruction. The presenter will first provide theoretical background explaining what QR codes are and how the use of QR codes enhances classroom instruction. This discussion will be followed by a hands-on training session where the participants will be guided through the steps of creating URLs and QR codes for classroom use. In the last part of the workshop, the presenter will share practical ideas on how these codes can be used in various ways including sample assignments and projects. The workshop will conclude with a discussion of the motivational value that the QR codes can bring to the classroom.

**Keywords:** QR codes, teaching English as a foreign language, technology in the classroom

### INTRODUCTION

There is growing movement among educators, business leaders, academics, and governmental agencies to identify 21st Century skills which are a series of higher-order skills, abilities, and learning dispositions required for success in 21st century society and workplaces. The movement aims at focusing on the skills required for students to master in preparation for success in a rapidly changing, digital society. In 2002 the Partnership for 21st Century Skills (P21) was founded which identified four key skills ("Framework for 21st Century Learning" n. d.):

Content Knowledge and 21st Century Themes

Learning and Innovation Skills

Information, Media and Technology Skills

Life and Career Skills

Given the significance attached to ICT literacy, we, as educators, have to do our best so as to incorporate as many communication technologies as possible into our classrooms. Research clearly indicates that "the use of technology in English language teaching and learning can encourage the development of strategies necessary for modern survival: communication, collaboration, and information gathering and retrieval" (Teachers of English to Speakers of Other Languages, 2009, p. 15).

'Technology in the English language classroom' is a term used to refer to "all the tools available in your classroom that when applied with skill can lead you to enrich, extend, and empower student understanding (Kajder, 2003, p. 5). Although this definition encompasses books and pens under the umbrella of technology as it encompasses computers and smartboards, teachers of English increasingly use the term to mean software, hardware, protocol, or anything that has to do with modern technologies. As a matter of fact, technology in this sense (computers and the Internet) have been making their way into our classrooms for well over a decade (Sokolik, 2014).

Successful integration of technology into the language classroom in a sense redefines the role of the language teacher. Originally, the role of the teacher was that of a facilitator. At a time when computers do not replace teachers but teachers

who use computers replace those who don't, teachers have to improve their digital literacy; only then can they develop the students' digital literacy (though, admittedly, this equation works the other way from time to time when the digital native students educate their peers and even their teachers in new ways of technology use. ) Kajder (2003, p. 10) groups these new roles under four titles: (1) teachers as instructional designers, (2) teachers as resource managers, (3) teachers as researchers, and (4) teachers as communication specialists. In this article, QR codes are presented as a tool that allow teachers to complete all these four roles with ease and efficacy.

### **THEORETICAL BASES FOR THE USE OF ICT TOOLS IN THE CLASSROOM**

As the incorporation of technology into language instruction becomes more prevalent, teachers and researchers look into different ways of using mobile tools in the classroom. In doing so, they wish to base their methods on specific theories. There have been various studies showing that the use of Computer Assisted Language Learning (CALL) enhance student motivation and teacher instruction (Warschauer, 1996; Grgurovic & Chapelle, 2007. )

However, the use of CALL is not necessarily based on any theory of technology use. According to Sokolik (2003, p. 43), "the theoretical basis for the use of digital technology in the classroom comes from various second language acquisition theories and classroom practices themselves. " In the absence of any specific pedagogical theory suggested by the use of a specific technology, it stands to reason to expect that as technology develops, new classroom techniques are proposed to attain a more content-rich learning environment.

### **CLASSROOM APPLICATIONS**

Hanson-Smith (2003) points out that more opportunities for rich content and interaction developed as technology improved to allow the use of mobile phones in the classroom. Using QR codes for language instruction is one example of successful incorporation of a mobile technology, which allows educators to draw on the motivational value of technology while using tools that are fit for the purpose of effective instruction. QR codes are everywhere. Students see these codes everyday outside the classroom. It is not unconceivable to predict that they will be fascinated at the prospect of using this technology in the classroom. Similarly, teachers are eager to adopt new technologies, provided the technology involved is simple and efficient. And there is a reason why QR codes are everywhere: they are simple and efficient.

Facilitating learning in a technology-rich environment is the emerging challenge that faces the modern teacher. To do so, teachers have to be able to effectively integrate technology without necessarily diverting from student-centered pedagogical philosophies. When trying to effectively integrate learning technologies, teachers very commonly tend to forget that students should be actively responsible for their learning. This stems from the assumption that computers can make students process information. However, understanding is not embedded in the technology. It is the teacher's duty to always keep the focus on knowledge construction by using technology in carefully designed lessons where the learner has to seek the information, to reflect on understanding with the help of technology (Kajder, 2003).

This paper aims at familiarizing its readers with this very practical and efficient mobile tool that teachers can easily use at every level of language instruction. After a discussion of theoretical background, it explains what QR codes are and how their use enhances classroom instruction. This discussion is followed by an explanation of the steps of creating URLs and QR codes for classroom use. Lastly, some practical ideas on how these codes can be used in various ways including sample assignments and projects are listed.

### **THE USES OF QR CODES IN THE CLASSROOM**

Kajder's definition of technology (2003) encompasses all the tools available in a classroom that when applied with skill can lead you to enrich, extend, and empower student understanding. This definition, by extension, also means that technology, when not applied with skill, makes us a lot less efficient. Meaningful use of technology in the classroom is indeed a skill. This skill is perfected when effective tools are matched with trained users for the right task. Following is a discussion of how QRs can be used in the classroom, what makes QRs effective tools, and an example lesson plan which lends itself to QR usage.

In brief, a QR code - an abbreviation for a quick response code - is a two-dimensional barcode which was first designed to be used in the automotive industry back in the 1990's. Very simply, one needs a device that has a camera so that he or she can scan or take a picture of the code; a programme or an application that can do the decoding; and web access to see where the code takes its user. The requirements for the classroom are the same. Students would need a smart device

to scan the QR codes and an Internet connection. For the teacher, a cloud account such as Google Drive or Dropbox and Internet access is all it takes to fully incorporate this technology into classroom practices.

In a sample grammar lesson that follows the PPP approach (Present-Practice-Produce), QR codes can be used in all stages of the lesson. For the purposes of this paper, a PPP lesson plan is taken to teach modals of necessity at A2 level where affirmative and interrogative forms are introduced (have to, don't have to, must, and mustn't).

The lesson starts with a lead-in activity which is called "The Gallery." The Gallery is a commonly used generic activity type whereby the instructor posts eight pictures of signs showing what is forbidden in different parts of the world. The same gallery activity can be designed to show weird laws from the history of different countries. Alternatively, pictures can be used to show rules for guests and staff in a hotel. Pictures around the world is most suitable for a multicultural classroom setting. Some of these pictures (all taken from <http://www.telegraph.co.uk/travel/galleries/Unusual-laws-around-the-world/>) can be seen on Figure 1:



**Figure 6. Pictures from Singapore, Thailand, Japan and Spain can be used to elicit that it is forbidden to chew gums, to step on the banknotes, to be overweight, and to spit**

Images like the ones above are scattered around the classroom and posted on the wall in a gallery fashion. They show different rules and regulations that are in place in different parts of the world. In the order they appear, they show that it is forbidden to chew gums in Singapore; it is forbidden to step on currency in Thailand; it is forbidden to be overweight in Japan; and that it is forbidden to spit in Barcelona. Students are asked to guess what is not allowed in each country. At this stage, by raising their schemata of what is allowed and forbidden, students are lead towards a discussion whereby they feel a need to use the structures to be introduced. Under each picture is a QR code that links to the online polling activity. The teacher first tries to elicit what each picture represents and then asks them to choose the one that they think is the strangest. Here is how to create an online survey using QR codes. It is worth noting that the following explanation, as provided by the webpage, is just one the many simple ways of using QR codes to easily access an online survey. The surveys gather and displays real time results as students punch in their responses. And this provides an opportunity for a whole-class discussion.

For the suggested online survey, the user has to sign in at <https://mqlicker.com/user>. After the log in, the first step is creating a new interaction by clicking the 'New Interaction' button at the top left. With this command, a new, blank interaction appears in the center panel. Then the user adds question to the interaction by clicking the 'New Question' button at the top left. As many questions as needed can be added by repeating these steps. For this activity, only one question with multiple options (as many as the number of countries posted in the gallery) is needed: "In your opinion, which country has the strangest rule?" Now the user can open a new session by clicking the Open button. When the new session is started, a session key (displayed in the top right corner in the middle panel) is generated for collecting responses as shown below:



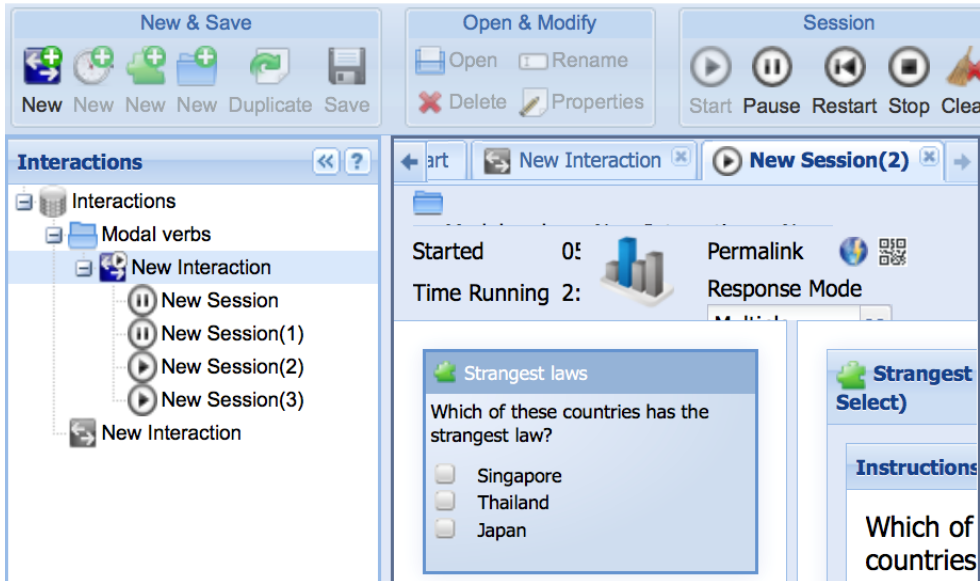


Figure 2. A screenshot of the web page showing how a new survey session is initiated online

The last step is communicating the session key to the students who go to <https://respond.cc> and use the session key to load the session and enter their responses. At this point, the page automatically generates a QR code for students to scan and go the online survey as opposed to having to type in a lengthy URL.

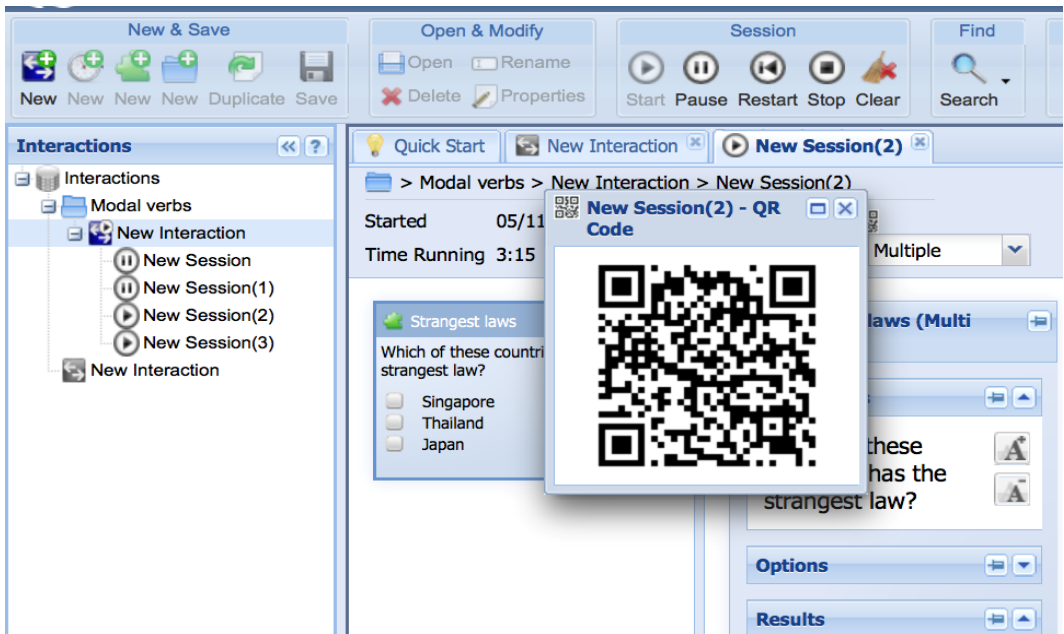


Figure 3. A screenshot of the web page showing how a QR code is retrieved for a session

The Results panel shows a graph with results as soon as responses are submitted. The graph changes instantly as new responses are submitted by respondents. As the students see the real time responses, they are very much focused to find

out if the rest of the classroom thinks the way they do. And, as mentioned above, this paves the way to an engaging classroom discussion.

This activity is followed by a pre-reading activity in which students are asked to talk about strange rules in their lives. While eliciting some strange rules from their lives, the teacher also allows students to personalize the topic. Afterwards, students are provided with a reading text that has many examples of the target language structures (have to, don't have to, must, mustn't.)

Students can then be given a text about the teacher's rules for the classroom. While reading the text, students are asked to find out the classroom rules of the teacher. They are asked to underline the sentences where the rules are explained. This text allows students to contextualize the target language use. And after reading the text, students are asked to fill in a set of sentences as given below, which is designed to get the students to work out the rules for themselves. The activity is ideally completed as a pair work in order to add interactional variety, where students compare their answers to those of their pairs, before sharing the answers with the whole class.

Table 1. Eliciting rules of the target language

What is the negative form of "must"? _____
What is the negative form of "have to"? _____
_____ means something is necessary.
_____ means something is not necessary.

The next stage in the lesson is the practice stage that is divided into controlled and semi-controlled practice parts. For the controlled practice, any A2 level mechanical exercise activity can be used. In the semi-controlled practice, a tic-tac-toe game is designed using QR codes. A Tic-Tac-Toe is a generic game that is frequently used in the language classrooms. The object of the game is to get three in a row. The game is played on a three by three game board. Player A is known as X and player B is O. Players take turns to place Xs and Os on the game board until either side has three in a row by answering the question placed in each empty place on the board. However, it has a shortcoming in the sense that the students see the questions on the board and the first student has an advantage as he or she gets to choose the easy question to answer. With a little twist, as shown below (Figure 4), the board can be filled with QR codes linked to the questions instead of the questions themselves, thus adding a bit of suspense into the game and allowing technology to seep into classroom usage.

Creating this board with the QR codes is simple. For this activity, there are a myriad of different ways and here is a simple one: The instructor creates nine Google documents on a Google Drive. On each document is an open-ended question (such as "*Is there anything you have to do this weekend?*") that requires the student to freely practice the target language for a dictated period of time. Once the documents are created, the teacher creates a separate QR code for each page by visiting the Google URL shortener site at [goo.gl](http://goo.gl). The instructor writes or pastes the document URL in the **Paste your long URL here** box and clicks **Shorten URL**. The page not only shortens the URL, but also provides a QR code for the shortened URL. The last step is now to copy and paste nine separate QR codes into the nine boxes on the Tic Tac Toe worksheet:





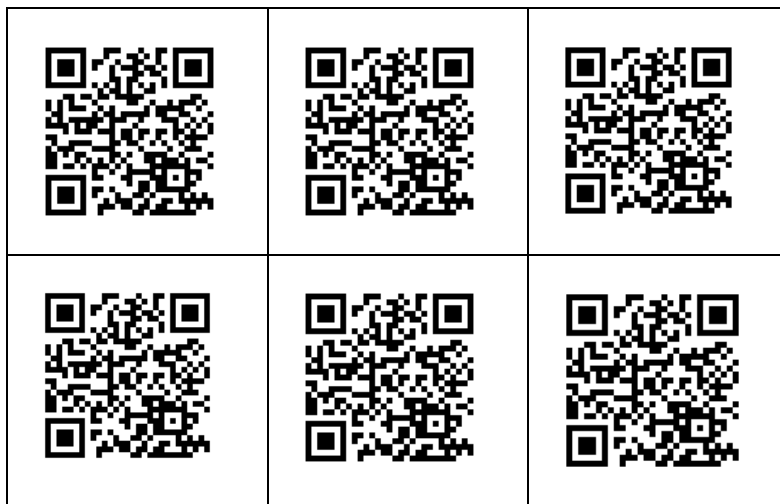


Figure 4. The tic tac toe board using QR codes

In the production stage of the lesson, the students are given everyday objects and are asked to improvise rules for a game using these objects such as a plastic cup, table tennis balls, straws, and coins. Students are asked to come up with rules of their own game, which are constructed using the target language structures. Once they brainstorm the rules of their games in groups, they are asked to audio record these rules. This recording will then be uploaded to a cloud storage space and QR links will be given to each game on the game poster. Other students will look at the posters and listen to the rules of the game by scanning the QR codes, and this way, the instructor can incorporate QRs to the production stage of the lesson plan. Again, there are a lot of different ways of linking an audio recording to a QR code, and the following is just one of the simple different ways of doing this. The students click on the audio recorder on the GarageBand application of their iPhone. They then tap the round red record button to record, and click stop button to stop the recording. When finished recording, they go to the MySongs sections to choose the recording they wish to share by uploading to Dropbox. They then copy the URL that they are given by Dropbox and paste it to the Google URL shortener and follow the steps explained above to extract the QR code for their recording. They can then paste this code onto their poster so that other students, while looking at the poster, can listen to their explanations of the game rules.

At this point, it is worth noting that the suggested lesson progresses in a more traditional grammar teaching fashion with three phases of presentation, practice and production. The first phase is meant to provide an understanding of the target structure; the second phase gives the student some practice opportunities for written and spoken accuracy; in the last phase, fluency is fostered through communicative use of the target language (Sheen, 2003).

### CONCLUDING REMARKS

Practitioners and researchers of second and foreign language instruction have always been interested in finding ways making the L2 learning a more attractive experience. These experts seem to agree on 10 strategies that focus on the learning experience as summarized by Dornyei (2014). Four of these strategies are listed here: Making the teaching materials relevant to the learners; breaking the autonomy of learning; making the learning tasks more interesting; and creating learning autonomy (p. 526 -527). Without going deep into the explanation of each motivational point, it can be clearly seen that the lesson plan proposed on this paper does indeed meet each one of the four strategies through the incorporation of QR code technology. Given the importance of learners' positive experiences, inarguably technology and QR codes can play a key role in making the teaching materials relevant to the learners; breaking the autonomy of learning; making the learning tasks more interesting; and in creating learning autonomy. Nevertheless, learners do not learn from computers or smart phones. Nor do they learn from technology. As always, they learn when they are focused on what they are doing. They learn when they think about the task. At his point, technology itself is not the task. It is rather the tool. Therefore, "focus has to be placed on learning with technology rather than learning from or about the technology" (Kajder, 2003). In this regard, keeping technology to a bare minimum can be the key. Using simplest technologies such as QRs will definitely help keep students focused on the task rather than the technology itself.

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## the Effect of Nouns and Verbs of the Same Word on Lexical and Structural Development in the Writings of Iraqi EFL Secondary School Students

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### Abstract

In English language, like the vast of languages, a big number of words are utilized to occupy more than one position; these words can be used as both nouns and verbs. Such case brings problems for EFL students aiming to learn the grammatical properties of words. Therefore, it, to a wider or lesser extent, has an effect on the lexical and structural development of the students' written texts. This paper sheds light on the difficulties faced by Iraqi EFL secondary school students in the perception and use of the words that could be both nouns and verbs. For achieving this, the study employed a writing test consisting of two parts which was conducted by 15 students. In the first part, the students were given 10 sentences and asked to form nouns and verbs out of given underlined words whereas the second part included 10 sentences in which the students were asked to identify if the given bold word is a noun or a verb. The findings, based on a quantitative analysis, indicated that a majority of the participants were unable to use nouns and verbs having the same word in their writings. The findings also showed that participants were unaware of these nouns and verbs. Most of the students could not recognize the given words whether they were nouns or verbs.

**Keywords:** nouns, verbs, lexical, structural, grammatical category

### 1. Introduction

In any language, there is a close connection between a grammatical category and a lexical knowledge which is stored in a learner's brain. Based on this relationship, the organization of lexical knowledge depends fully on grammatical category information. Thus, language proposes "infinite use of finite means" (Von Humboldt, 1999) by means of relating certain known words in a sequence of sentences. Words are not restricted to particular linguistic contexts in which they have been previously employed, nor could they be used freely in any context. In the whole process, the syntactic contexts in which words may occur are governed by their grammatical categories: noun, verb, adjective, or adverb.

The case in which EFL learners can perceive and use the different grammatical categories (parts of speech) seems to be more difficult than that of native speaker students or even than that of ESL learners. This difficulty of students' perception and use of grammatical categories is explained in a clearer way when it is related to nouns and verbs having the same words since students have not been exposed before to the types of these words or trained to use them in their writings. EFL students are learned more how to recognize a noun or a verb by identifying its position in a sentence. For example, a noun usually occupies the beginning or the end of a sentence. On the other hand, a verb comes in the second position in a sentence. In English, nouns tend to be acquired earlier than verbs and accessed more easily (Goldfield, 2000, De Bleser & Kauschke, 2003).

#### Significance of Using Nouns and Verbs of the Same Word in Writing

The utilization of a grammatical category in language refers to the way a word behaves syntactically. For example, nouns could be subjects of verbs, objects of verbs, objects of prepositions, indirect objects, and so forth. Conwell and Morgan (2011) state that knowledge of category membership allows speakers to employ words productively in various contexts which are different from contexts in which particular words have been heard.

A main task for language learners is to decide which words in the language belong to which categories. Therefore, the present paper aims to provide an insight of how Iraqi EFL secondary school students can perceive and use nouns and verbs of same words in their writings. This case poses a particular challenge to EFL learners in general and Iraqi students in specific.

A number of past studies tried to deal with this problem from different aspects and provide remedies to solve it. According to Hohle, Weissenborn, Keifer, Schulz & Schmitz, 2004; Monaghan, Chater, & Christiansen, 2005, this problem could be solved when learners could use local co-occurrence cues to learn the categories of words. Other researchers suggested that grammatical categories are better explained through a connection to distributional cues in corpora of child-directed speech (Redington, Charter, & Finch, 1998; Mintz, Newport, & Bever, 2002; Mintz, 2003; Mintz). However, these cues could only prove an accurate output of grammatical categories. The connection between lexical items and its grammatical categories is still not considered in the above solutions (Cartwright & Brent, 1997).

## **1. 2 Effect of the Perception of Nouns and Verbs of the Same Word on Lexical and Structural Development**

As nouns and verbs are two grammatical categories which are both important in language syntactically and semantically, the process of storing them in the learner's mind doesn't occur at the same time. In this regard, Kauschke and Stenken (2008) provide new experimental evidence from online processing supporting earlier findings from numerous studies revealing that nouns are processed faster than verbs.

Noun- verb distinction could also be psychologically real and relevant at the lexical level based on a priming study by Melinger and Koenig (2007). In their study, they investigated whether grammatical information influences the lexical selection of single words or whether such information is determined while inserting single words into larger syntactic units. In this regard, phonological, semantic and syntactic information about words is not stored as a single whole within the mental lexicon. Instead, it is rather represented in different aspects. Each type of this information can be accessed independently. The influence of phonological and semantic information on lexical selection of single words is evident (Shelton and Martin, 1992; Kroll and Stewart, 1994; McRae and Boisvert, 1998). The process is explained by referring to the idea that words are organized in the mental lexicon in form of a network including phonologically and semantically related nodes. The relationship between mental lexicon and syntactic features was also clarified further by numerous studies which suggested that syntactic information, in fact, exerts an influence on a lexical selection when an accessed word is integrated into unfolding syntactic representation (Ferreira and Humphreys, 2001; Vigliocco et al., 2004). This indicates that speech errors are subject to grammatical category constraints. For instance, in word substitutions, the interacting words are derived from the same syntactic category: nouns exchange nouns, verbs exchange verbs. However, this influence of grammatical category on lexical selection is only seen when a certain given lexical candidate is to saturate some slot in the unfolding syntactic derivation. In some different view, Melinger and Koenig (2007) argue that grammatical category information is available whenever needed irrespective of whether a single word, a phrase or a whole sentence is produced. This gives evidence that the effect of syntactic information should be observed even if there are combinatory processes involved. Accordingly, the perception of nouns and verbs of the same word in the mind of the learners as syntactic information will add to the lexical selection and contribute to the lexical and syntactic development in speech and writing as well.

## **2. Purpose of the Study**

Since nouns and verbs of the same words could affect EFL learners' written texts, the study aims to achieve the following objective:

To examine the extent to which Iraqi EFL secondary school students could perceive and use nouns and verbs of the same word in their writings.

### **3. Methodology**

#### **3. 1 Participants**

The participants in this study were 15 secondary school students (8 female and 7 male). The sample of the study, according to Creswell (2005) and Maxwell (1998) is purposive. Maxwell asserts that purposive sample is "particular setting, persons, or events are deliberately selected for important information they can provide that cannot be gotten as well from other choices" (87). Secondary school students are expected to be suitable for the study to attain its objective since they are expected to deal with different types of grammatical categories (parts of speech) in their syllabus. Above, the students in this level of their study encounter serious problems in distinguishing between the various kinds of parts of speech particularly in the case of nouns and verbs of the same words. All participants share the same linguistic, cultural and educational background. For instance, they were all Iraqi EFL secondary school students with Arabic as L1.

### 3. 2 Instrument and Procedure

A writing test was used in this study. The test included two parts (questions) and aimed to examine the students' ability to perceive and use different types of nouns and verbs having the same words in different sentence positions. The first part consisted of 10 items which aimed to elicit information about students' ability to use different kinds of nouns and verbs with a cross-category usage of the same word. In this part, the students were asked to employ a verb out of an underlined noun and vice versa. Each item included two sentences; each one had one grammatical category (a noun or verb). The underlined words in the ten sentences occupied various sentence positions (e. g., a subject, a verb, or an object). The second part intended to test the students' perception of nouns and verbs having the same word employed in writing. It also consisted of ten items; each item included only one sentence. The students were asked to identify whether a given bold word is a noun or verb. The bold words in the ten sentences also occupied different sentence positions.

Before conducting the main study, the researcher carried out a pilot study for both the two parts of the writing test to 5 students. In both parts (questions), the students raised some questions about how to change the underlined word to a noun or a verb. Based on the questions raised by the students, they were told to follow the instructions supplied to them by their teachers and as assigned in the syllabus. The subjects assured that the two parts of the test given to them were not difficult to understand. The response to the test depends on the previous knowledge that the students had through their school study.

A week later, the test was administered to the 15 subjects who were given one hour to answer the two parts of the test. In fact, they were informed that this test is of great benefit for the students since it helps them improve their writing skill. They were also told to write their answers on the same sheets of questions and pay more attention making their answer look clear.

In order to make it easier for students to complete, a number of issues were considered in the process of choosing the sentences of the writing test. The researcher aimed at selecting those sentences which could be available in their textbook that may be familiar to them. In addition, one of the important considerations in the process of selecting the words and sentences was the extent to which they can induce the participants to use different words of cross-category usage.

### 3. 3 Model of Analysis

English has many words which can be employed in more than one grammatical category. As stated earlier, these words pose real problems for EFL learners and particularly for Iraqi EFL secondary school students. Below are samples of words that are both nouns and verbs arranged alphabetically. These words could act as a base on which the students' writings are analyzed in reference to the use of nouns and verbs having cross-category usage.

[access, act, aim, answer, attack, ache, address, alert, arrest, auction] [back, bare, benefit, board, break, bail, balance, blame] [cake, chant, cloud, cook, call, change, clue, care, color, copy, chip, comfort, cover, claim, crack, cut, change] [dam, delay, dislike, doubt, drink, damage, delight, die, drill, dye]

[echo, escape, estimate, excuse, experience, email, eye] [face, fight, fix, flow, form, fall, file, flap, flower, flash, fly, fish, floss, force] [garden, glue, grill, guess, gaze, grate, guide, gel, guard]

[hammer, harness, heat, hit, hug, hand, hate, hold, head, hop, hope, hurry, hike, hose] [ice, inch, influence, itch, impact, insult, iron] [jail, jam, joke, judge, jump] [keep, kiss, knock, kick, knit, knot] [label, license, limit, lock, land, lead, lock, last, light]

[mail, march, matter, moor, mark, move, man, match, mug, mate, milk, mistake] [nail, need, notch, notice, name, nest, note, number] [object, offer, oil, order]

[pack, pat, pick, plug, process, paddle, pay, produce, plant, post, part, permit, pump, pass, phone, play, punch, present] [question, quilt, quiz] [race, rate, rent, rain, repair, ring, reason, reply, riot, ruin, record, report, rock, run]

[sail, shop, smell, smile, struggle, study, season, skate, storm, swap, share, slide, stress, shelter, slip, shock] [tack, thunder, tire, trade, taste, tick, tug, telephone, tip, treat, type, test, trick]

[upstage, use] [vacuum, value, visit, voice, vote] [walk, water, worry, waltz, wave, wish, wrap, wear, wick, work, watch, wink] [yawn, yield] [zone]

The above- mentioned words are different in use. In some cases, as in (1), the word is considered as inherent member of one category and the other use is derived (Clark & Clark, 1979). In other cases, the two words used are merely synchronically homophones, as in (2).

(1) We will *walk* to the store.

We take a *walk* tonight.

(2) We will *fly* to London tomorrow.

We swatted the *fly*.

This kind of category ambiguity has been taken as evidence against the logical possibility of learning grammatical categories from distinction (Pinker, 1987). The difficulty encountered with these words is attributed to the fact that their ambiguous status may cause native learners in general and ESL/EFL learners in specific conflate co-occurrence information across categories.

#### 4. Data Analysis

The data collected in this study were analyzed quantitatively. The results are explained in detail below.

Table 3. 1 *Participants' Use of Nouns and Verbs of the Same Word*

No. of Item	Correct Responses	%	Incorrect Responses	%
1	8	53.3	7	46.7
2	3	20	12	80
3	4	26.7	11	73.3
4	7	46.7	8	53.3
5	10	66.7	5	33.3
6	5	33.3	10	66.7
7	6	40	9	60
8	4	26.7	11	73.3
9	4	26.7	11	73.3
10	9	60	6	40
<b>Total</b>	<b>60</b>	<b>40</b>	<b>90</b>	<b>60</b>

Table 3. 1 shows that Iraqi EFL secondary school students encounter serious problems in using nouns and verbs of the same word in their writings as the total number of their correct responses to the first part of the test (40 %) is lower than that of their incorrect ones (60 %). Consequently, the hypothesis that reads: Most of the Iraqi secondary school students do not use words that are both nouns and verbs in their writings is verified.

Table 3. 2 *Participants' Perception of Nouns and Verbs of the Same Word*

No. of Item	Correct Responses	%	Incorrect Responses	%
1	6	40	9	60
2	11	73.3	4	26.7
3	5	33.3	10	66.7
4	9	60	6	40
5	3	20	12	80

6	5	33.3	10	66.7
7	4	26.7	11	73.3
8	10	66.7	5	33.3
9	8	53.3	7	46.7
10	12	80	3	20
<b>Total</b>	73	48.7	77	51.3

From the table above, it can be concluded that most of the participants' responses to the second part of the test are incorrect. This means that the students' writings have flunked to employ words that are both nouns and verbs. It is clear that they have difficulty to understand and identify those words with cross-category usage since their syllabus and teachers have not presented in detail previously. This is quite apparent since the incorrect responses are (51.3 %) higher than the correct ones (48.7 %).

The findings of the study also show that the words that the students manage to use more are the nouns, *face*, *address*, and *fly* with (66.7 %, 53.3 % and 46.7 %) respectively. It can be concluded that these nouns are used frequently in their syllabus. Therefore, they use them more than others. On the other hand, the students use the verbs, *hope* and *mark* more than other verbs with (60 % and 40 %). In reference to the participants' perception of the given words in the second part of the test, the words *presented*, *influence*, and *report* are the highest in the students' perception with (80 %, 73.3 % and 66.7 %) respectively.

## 5. Discussion of the results

The quantitative analysis has revealed that the correct responses in the two parts of the written test are lower than the correct ones. The students fail to perceive and employ most of the words (nouns and verbs) given to them in the test. Words like *care*, *smell*, *insult*, *water* and *break* seem very strange and unfamiliar to them. Only three or four students could perceive and use these words. This may mean that such words have not been supplied to them and not been explained by their teachers. On the other hand, the students find difficulty in using the different words provided to them in the test. They fail to employ nouns out of the verbs mentioned in the first five sentences and they also fail to use verbs out of the nouns given in the other five sentences in the first part of the test. Only words like *hope*, *address*, and *face* are familiar to most of the students. This is attributed to the fact that these words have been focused on by their teachers and the syllabus as well.

### Final Remarks

1. The analysis of the data has shown how problematic inconsistent knowledge. In many cases, the students have failed to identify the words given to them in the test as being nouns and verbs of the same word that are frequently used in the English writing.
2. Iraqi EFL secondary school students are not sufficiently able to use words of cross-category usage. They manage to use only those words which are familiar to them in their syllabus. As a result, it seems that their writings lack lexical and structural development.
3. It is observed by the researcher that pedagogically clear instruction design for words of cross-category usage can help secondary school EFL learners perceive and use these words. This is because that these students seem to have a limited experience of words that are both nouns and verbs and therefore tend to rely on a small number of these words. Thus, the students' weakness in their perception and use of words that are both nouns and verbs could be treated seriously by both the syllabus and the teachers by means of supplying the students with different words of cross-category usage illustrated by a sufficient number of examples. Teaching these words is better given in early stages in secondary school.

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## Situation of Minority Schools in South Albania During the Years 1920-1930

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### Abstract

In 1921, Albania became member with full rights in League of Nations. This act sanctioned the recognition of Albania in international area as sovereign and independent state. The admission to this international organism, obliged Albania to take a series of commitments, which will be summarized in a document entitled "Albanian declaration on the protection of minorities". Signed document consisted of seven articles. Article 5 provided concretely, the rights that the minorities hold, lead and control, with expenses, their schools. Precisely this commitment of Albanian government will become the frictions subject with Greece in League of Nations, due to the fact that in the southern part of Albania lived a Greek national consolidated minority. The Greek delegates contested the fact that Albanian state, not only was fulfilling the commitments that has taken before League of Nation, but has closed many schools of Greek minority. Albanian delegates through the reports presented a situation totally different. According to them in the rate with population, the number of school of Greek minority was higher compared with schools that belong to population of Albanian nationality. Referring to the data of '20 years, Albanian government fulfilled its commitments taken before League of Nations, permitting and financing the schools of national minorities.

**Keywords:** National minority, Albanian state, League of Nations, minority schools, greek minority.

### Introduction

#### Minority schools in Albania

Albania during the years 20", by undertaking a series of reforms and initiatives, was attempting to consolidate its state institutions. The reforms were addressed as to internal politics as well as those in international plan. Through internal politics, Albanian government was trying to form a state with a modern administration following the model of western European states. These efforts were reflected in the Constitution of new Albanian state, named "Fundamental Charter of Albanian Republic". Article 5 sanctioned that Republic of Albania has not official religion. Also, the Charter according to the article 124 emphasized that: all the people, regardless of citizenship they are equal before the law and enjoy civil rights<sup>1</sup>. All the religions and faiths are honourable and the freedom to exercise and practise them is provided. It seemed clear that the affirmation of Albania as secular state, was a significant signal where is emphasized the disconnection from legacy that had left the Ottoman Empire. Five centuries occupation by Ottoman Empire had instilled a backward administration, clerks of which were educated in ottoman Islamic schools. In this situation, to realise the undertaken reforms, the Albanian state, should in parallel to form a political class educated in Albanian schools. So, the Albanian governments undertake a series of initiatives which had intended the nationalization and the control of all schools that were located in its territory. In years 20", many schools were financed and were under control of private persons or religious institutions. This phenomenon was very prevalent especially in Southern Albania, where a considerable part of them was financed by the Greek state and the Orthodox Church. Must be emphasised also, that many schools were financed and maintained by contributions from minority populations. A concrete example was the case of those schools which were administered by the Metropolis of Gjirokastra. The villagers of these areas were induced to afford themselves the salary of teachers who were working in these schools.

According to a report submitted by the Albanian delegates at the League of Nations, in southern areas were living around sixteen thousand Greek-speaking citizens. For this population, Albanian Government stated that they were available 36 schools, in which were studying 2. 614 students and 49 teachers were employed. Also, the government communicated that

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<sup>1</sup> Aleks Luarasi Legal acts for the history of the state and the right in Albania, f.104, publishing house "LUARASI", Tirana 1999.

the schools of minorities were financed by the state and the Ministry of Education. For their maintenance had spent 81. 240 gold francs<sup>1</sup>. The report was not completely accurate, because the number of minority population went at approximately thirty-six thousand residents. The largest minority community in the country was Greek, which was concentrated in southern areas of Albania country. In Albania there were the other national minorities to, such as those Montenegrin which were in north and the Macedonian which were established in the south-east of the country. As belonged to the Greek minority, it had opened schools, which were located in the prefectures of Korca, Gjirokastra and Vlora. In prefecture of Korca and Gjirokastra, were focused the most of the minority schools, the presence of which, the Greece used as an instrument for annexation of these areas. Different was the situation in prefecture of Vlora, in which the territorial intentions of Greece had to do only with the province of Himara. In this province lived a tiny Greek national minority and there were three schools of Greek minority. These were primary schools, where teaching is done in Greek language and Albanian language was taught as official language. At the national level, Ministry of Education numbered 500 schools, which were frequented by Albanian-speaking students, for a population that estimated a million people that was estimated in total of one million inhabitants. Most of these schools were primary schools. This fact showed the great backwardness and poverty in which was the Albanian society. The maintenance of minority schools was putting in difficulty the fragile Albanian state, which was facing with big economic – financial problems.

### **Declaration on the protection of minorities in Albania**

In international plan, Albanian state undertakes an important step, being admitted to the League of Nations as a member with full rights and equal with other states. Membership in this international organization was conditioned on signing by the Albanian government of "Declaration on the Protection of Minorities". Assembly of the League of Nations before voting the admission of Albania, adapted this recommendation: "On occasion of the admission of Baltic and Caucasus States and Albania to the League of Nations, Assembly required that they must take the necessary measures to implement the principles of the Treaties of Minorities and have to regulate with the Council the details requested to put into implementation this request. Albanian government communicated to General Secretary that, Albania adhered completely to the charter of general rights of minorities and considered as its duty to inform the Assembly on the situation of minorities and the measures that were taken in this country. Also, in Albania will be send an international commission, which will investigate sharing of the border with Greece and will study the situation in which were the minorities. The declaration on minorities signed by Albanian delegates, ratified by the Albanian Parliament on September 2, 1921<sup>2</sup>. It consisted of seven articles, which are sort as follows:

Art. 1- The agreements contained in this declaration shall be regarded as fundamental laws in Albania. No law, no regulation and official act would be in contrary with this Agreement, and no law, no regulation or official act would not have more power than these agreements. This principle had value also for the future.

Art. 2 - All Albanian citizens will be guaranteed a full protection of their life and freedom, regardless of birth, nationality, language, race and religion. All the residents of Albania would have the right to use freely their religion and faith until these were not contrary to public tranquillity and habits. Everyone would have the right to change the religion.

Art. 3 – All of them who were born in Albania and were not born as national of another state would be called de-facto the Albanian national.

Art. 4 – All the Albanian nationals are equal before the law and would enjoy all civil and political rights without distinction of race, language or religion. In Albania will be implemented an election system, taking in consideration the rights of minorities of race, religion and language.

Art. 5- Albanian national that was part of the minority of race, religion or language, would have all rights and assurances that had Albanian nationals. They would have especially the right to hold, direct and control with their incomes, or to create in the future, charitable, religious or social schools, having the right to use freely their own language and acting freely in their religion.

Art. 6 – As for the question of secular teaching, in cities and provinces inhabited by a sufficient number of Albanian nationals that did not speak the official language, Albanian government will allocate special facilities to ensure that the children of

<sup>1</sup> Ministry of Foreign Affairs, year 1922, file102, f.128, Report of the Albanian Government to the League of Nations.

<sup>2</sup> Ministry of Foreign Affairs, year 1922, file102, f.30.

these citizens in primary schools take lessons in their own language. This declaration does not prohibit the Albanian government to put in these schools the teaching of Albanian language as mandatory language.

Art. 7 – The above articles of this declaration were put into action for racial religious and lingual minorities, this declaration constituted obligation of international interest and would be placed under the security of League of Nations. The declaration cannot be modified without the consent of the majority of the Council of the League of Nations. Any member of Council of League of Nations had the right to draw attention to Council on the risk of failure to fulfil these obligations. Also, the Council had the power to give recommendations for the realisation of these obligations.

If between Albania and another member state of Council of Nations League, would be born any change of views on questions of rights of above articles, this change of views would be considered as a disagreement with international character according to the regulation of Charter of Nations League. Any such disagreement should be sent, if demanded one of the parties in conflict, to the Permanent Court of International Justice. The decision that will be emerged from this Court would have the indisputable and compulsory effect<sup>1</sup>.

Related to art. 5 that guaranteed to minorities of race, religion and language to hold, direct and control with their incomes, charitable, religious or social society and schools. So, the Albanian government pledged before the League of Nations to allow the establishment of schools of minorities. The opening of these schools was a fairly liberal right, which later would put on difficulty the Albanian government, when it would try to integrate the national minorities in Albanian society and state. The fulfilment of these obligations was an evidence for the Albanian state, which had to show its capabilities in front of international partners<sup>2</sup>. Also, according to the Declaration, Albanian government within six months from the date of ratification of this document had to present to the Council of the League of Nations Organization a full report related to legal status of religious communities, churches, monasteries, schools, charitable societies of race, religion and language<sup>3</sup>.

Anyway, during the session of Council of Nations League on May 1922, the Albanian delegation asked more time to present a more detailed report about legislation on minorities. This duty the delegation meets on July 7 of that year. In the report that contained data on situation of minorities in Albania is said that: the laws that were in force, manner of treatment of minorities, rules and the practice of the country, ensure completely the equality of public, civil and social rights, without distinction of race, language and religion. The report, except the data on the treatment of minorities, contained important information for reports of tolerance and religious harmony that were building in Albanian state. Reforming of the education system in Albania

In the process of establishment of national institutions, the new political class came to power, thought that the nationalization of schools will help on the strengthening of national sentiment of new generations. Ministry of Education had taken some measures to update and control the teaching curriculum of all schools, including also the minority schools. The aim of the Ministry was the nationalization of the schools, which before were held with the revenues of religious communities. These revenues were insufficient and consequently the teachers were underpaid. With the nationalization of schools, the ministry undertook that salaries of minority school teachers to be evaluated with those of teachers that teaching in all Albanian territory. Also, another important decision of government was the closure of Greek schools and their replacement with Albanian schools where the teaching was evolved in native language. It was about those schools built in villages and towns inhabited by the Albanian Orthodox population. Southern Albania was inhabited by Albanian population, which was divided into two religion faiths, Orthodox and Muslim. Non-existence for a long time of an independent state of Albania has brought as a result the lack of schools where the teaching is held in Albanian language. Albanian Orthodox population bypassed this gap, by attending the Greek schools opened in these areas. With the establishment of an independent state, these schools were seen by government and institutions, as an obstacle to the consolidation of national consciousness and in general to the establishment of the Albanian institutions<sup>4</sup>. On July 1922, the government informed all the prefectures that primary education will be passed under state control and as a result the private schools will be closed. In this decision is

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<sup>1</sup> Beqir Meta, *Minorities and National Construction in Albania (1912 - 1924)*, f.564, Albanological Studies Center Institute of History, Tirana 2013.

<sup>2</sup> Ministry of Foreign Affairs, year 1923, file 211, f.122 Reserves with importance.

<sup>3</sup> Ministry of Foreign Affairs, year 1923, file 211, f.122 Reserves with importance.

<sup>4</sup> Beqir Meta, *Minorities and National Establishment in Albania (1912 – 1924)*, f.347, Albanological Studies Center History Institute, Tirane 2013.

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emphasized that it will be not infringing the rights of any minority, because the Albanian state was ready to open schools for the all minorities.

The closing of Greek schools especially in province of Gjirokastra (Southern Albania), forced some teachers to teach in Albanian families in Greek language. Teaching in families, caused the reducing of pupil number in Albanian schools. Faced with this phenomenon, the Ministry of Education decided to allow private teaching in Greek language, by arguing that it could not intervene in the right of families. The ministry emphasized the fact that, the children were free to take private lessons but in the same time were obligated to attend regularly the state schools. Ministry of Education regardless the omissions that had done, had denied the issue of license for the opening of private schools. This decision was directed not only to schools, where the teaching was holding in Greek language, but also to private schools where was studied religious literature. The Albanian government had to face with some demands that were coming from southern Albania, which were related to request of the teaching of religion in primary schools in the Greek language. This meant that the Greek language would become the second language in Albanian schools. In southern Albania, Christian people had used the Albanian language mainly as popular language, while on the other side the greek language for a long time had been the language of religion, literature and commerce. For this reason, the government feared that this fact will be used by the Greek propaganda, to appropriate parts of the southern territories. So, the idea of Greek language as second language was excluded categorically and was stated that it would be the French, which served to the development and modernization of the country. Despite the big financial problems, the state was spending considerable amounts to keep open the Lyceum of Korca, where the teaching is held in French, and was planning to open a professional school in Gjirokastra.

Ministry of Education having a reduced budget was forced to close over 100 schools throughout the country. These measures affected also the Greek minority schools and religious ones. The decisions for closing of religious schools opened a strong in government and in parliament. The nationalization of these schools contradicted the Declaration on the protection of minorities. Article 5 defined clearly that "Albanian citizen, that belong to a racial, religious, or linguistic minority would have all the rights and securities that had the Albanian national. They would have especially equal rights to keep, direct, control with their money, or to create in the future charitable, religious or social societies, schools and the other building og good growth, having the right to use freely the own language and acting freely in their religion". The debate born on this subject, opened as a result of fear from infringement of good relations that Albania had with League of Nations. Politicians with nationalist trend, considered the Declaration, in some way, as an obstacle in development of national education and educational institutions with national content. But the truth was that the Albanian state was still unconsolidated, and violation of the provisions of the Declaration would cause the reaction of Greece, which will set in motion the League of Nations organisms. For this reason, moderate politicians showed more discreet in their decisions. They evaluated the civilized importance of minority and religious schools, and proposed to be sanctioned by law that the program of these schools not to be in contradiction with the program of state schools. The question of prohibition of foreign schools and the nationalization of education was e real test for the Albanian government, because it has to face with the Greek and international pressure.

So, on September 1923, Council of League of Nations asked the General Secretary to analyse with Albanian representative the information on protection of minorities in Albania. General Secretary analyzing the information, underlined the paragraph where was evidenced that the Albanians had proposed the prohibition of opening of any private school in Albania. He stated that: in a developed western country that has a highly developed education, it can be understood the prohibition of private education, but in Albania the public education has not reached full development and in these circumstances Albania will not allow the minorities to use in private schools their own language. It is understood that the General Secretary valued the quality of education as low; this was reinforced by the numerous complaints addressed to the League of Nations by the residents of areas of southern Albania. According to the data, in many classes number of pupils was high and the teachers for girls were absent, which in many areas or attend elementary school or did not go to school. But there were mixed schools that were attended as by both girls and boys. Moreover, based on the Organic Law of Education the number of teacher was reduced. It assigned only one teacher who applied the collective teaching in one classroom, where the number of pupils can go up to 60. This kind of teaching was applied not only in minority areas but also in all schools in Albanian territory. For the majority of teachers the method of collective teaching was difficult to be adapted because they were old in profession<sup>1</sup>.

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<sup>1</sup> Ministry of Foreign Affairs, year 1923, file 211, f.235, On Greek-speaking schools.

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### Greece protests in the League of Nations and the Investigative Commission

The decisions that had to do with the nationalization and modernisation of education system, undertaken by the Ministry of Education, were opposed by minority communities and Greece. Permanent Secretary of Greece at the Organization of the League of Nations in Geneva constantly protested against attempts to close private schools<sup>1</sup>. According to him, these reforms were not contestable evidence that the Albanian state was trying to "make Albanian" the Greek minority. Strong Protest, from Greek representatives, was presented immediately after the closure of Greek schools in cities and villages with Albanian Orthodox population. He pretended that in some schools was interrupted the teaching of Greek language and was allowed only the learning of religion one hour a day. Also in some schools was reduced the number of Greek teachers, by replacing them with teacher to teach in Albanian language. According to the Greek representative, these measures had seriously violated the fundamental rights of the Greek minority and conflicted with commitments that the Albanian government had taken at the time of the signing of an act that had the power of an international law<sup>2</sup>. The use of language and the learning of the Greek language was seen as the only possible where the Greek minority can freely express his national identity. For the protection of minority, Greek government sought to take a specific role, noting to the General Secretary of the League of Nations, its right to be informed about not fulfilling the obligations that Albania had undertaken<sup>3</sup>.

In many cases the schools of Greek minority were financed by the Orthodox Church and Greek state. In these schools, except the fact that the teaching was done in Greek language, also was studied the history and geography of Greece. Teaching method, often had helped on spread and strengthening of Greek propaganda. This propaganda was intended the Hellenising of Orthodox population of southern Albania, hindering thereby the centralization of Albanian state. The aim of Albanian state was that by nationalizing the private schools to implement an educational system, which would serve to the question of the nationalization of the country. This reformation of schools would be difficult to be applied because on international plan Albania would be faced with the protests of Greece. Moreover, clashes between these two states will be added because there was still the problem of defining of the border between them.

During the years 20<sup>th</sup>, between Albania and Greece, there were a lot of contradictions about the territories of Southern Albania. The Greece sought to annex a part of southern Albania, which it considered as its territory, especially those provinces that were inhabited by Orthodox population. To resolve these contradictions, the League of Nations committed to send an international investigative commission headed by prof. Sederholm from Finland<sup>4</sup>. The Commission will carry out an extensive investigation and will collect data on the local population. Also subject to investigation it would become the intervention of Albanian government on the activity of the Greek private schools. The Commission tried to collect data on the population and the number of minority schools. According to him, the number of Greek minority population in southern Albania was not more than 36,000 inhabitants, who in most cases live in conditions almost equal with the local population. Briefly, the Investigative Commission was of the opinion, that rights of minority were respected satisfactorily. This was due to the fact that both communities had similar traditions and customs, as the members of the commission many times had difficulty to find differences between them<sup>5</sup>. Is important to be emphasized that the people of southern Albania was peace-loving and was inclined for a peaceful coexistence with the Greek minority. The language was a crucial element in the conclusions presented by the Investigate Commission, since according to the findings, in the areas under investigation over 80% of the population had the Albanian language as mother language. As negative aspect, the report noted the difficult economic situation on which was the population of the south, including here the national minorities, to<sup>6</sup>. Regarding to the situation of minority schools, the Commission presented a report about their number and situation and after that gave some recommendations. According to him was important that the pupils who belonged to minorities should be given the opportunity to learn to write in their native language, in order to preserve their national identity. Also in many areas teachers of Greek language absent and the schools were to much amortized.

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<sup>1</sup> Ministry of Foreign Affairs, year 1922, file 164, f.9. Ministre Des Affaires Etrangeres D'Albanie.

<sup>2</sup> Arben Puto, Political Albania, (1912 - 1939), f.503, Toena publishing.

<sup>3</sup> Beqir Meta, Minorities and National Establishment in Albania (1912 – 1924), f.608, Albanological Studies Center History Institute, Tirane 2013.

<sup>4</sup> Dhimiter Berati, Historical notes on relations between Albania and League of Nations, f.18, publishing house "Husi Borshi" Tirane 2007.

<sup>5</sup> Ministry of Foreign Affairs, year 1923, file 211, f.28, Commission of Investigations in Albania. Report of actions from December 19, 1922 till February 1, 1923.

<sup>6</sup> Luan Omari The issue of national minorities, pg.50 printing-house "Guttenberg", Tirane,2014.

Regardless numerous economic and social problems with which the country had to face, the Albanian state tried to guarantee the minorities the teaching in their native language, which had a special importance in the legacy of national identity. Also, the nationalization reform of schools was not fully completed, this as a result of diplomatic pressure that Greece made continually to League of Nations. Most private schools belonged to Greek minority and there was taught the Greek language. Albanian government saw this fact as an obstacle to the way of formation of a national centralized state, because was thought that the minority schools served the Greek propaganda. The propaganda was intended annexation of territories of southern Albania where lived Greek national minority. Regardless the numerous problems, Albanian state guarantee to the minorities the opportunity to learn in minority schools their native language. In this way Albania respected the obligations that had undertaken with its admission to League of Nations Organization.

### **Conclusions**

Albania during the years 1920 -30 faced to many problems as in internal plan also in that international. As for the internal situation, the Albanian state was facing with a big economic-financial crisis. These difficulties were a big obstacle for the realisation and formation of a secular state, where the rights of citizens were sanctioned by law. Albanian Constitution, despite the fact that sanctioned the lack of an official religion, guaranteed equal civil and political rights for all citizens regardless of nationality. Albania for the composition of population was homogeneous, but in its border areas there were some national minorities. In southern areas was concentrated Greek national minority, in those northern were the Montenegrin national minorities and in South-East were the Macedonian minorities. The presence of Greek minority would be a problem for Albania, when it would require the recognition as independent state in international plan and to become member with full rights to League of Nations. Greek government asked that the admission of Albania to the International Organization be conditional by signing of a declaration in which would guaranteed the rights of minorities. In this way, Albanian government signed "Declaration on Protection of Minorities", which had obligatory character and had power on national laws. Article 5 guarantees to minorities of race, religion and language to hold direct and control with their revenues, charitable, religious or social societies and schools. Regarding to the right of education of national minorities, Albanian state tried to guarantee them by financing the minority schools and allowing preceding the teaching in native language. Minority communities showed dissatisfactions in the moment when the Ministry of Education tried to nationalize these schools and to applied a teaching program common with schools throughout the Albanian territory. Educational reform, which has the base not only the modernization but also the nationalization of all private schools in the Albanian territory, would not be full realised. This for the fact, that the Greek state through a diplomatic pressure at League of Nations, requested that in minority schools, which served to inherited the national identity of minorities, to be allowed the teaching of native language. Albania would change the commitments taken before the international organization, allowing teaching in the mother language of the community. The only condition was that unlike what happened in the past, the Albanian state through Ministry of Education would continue to monitor the teaching programs that these schools used. At last, Albania regardless of socio-economic backwardness, tried with all its good will, to guarantee to minorities full rights equal to those, which enjoyed the Albanian citizens to.

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## From the Separate International Agreements to the Balkan Common Approach: Achievements and Challenges

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### Abstract

The end of the Cold War brought a lot of complication in the Balkans. The centre of problem was former Yugoslavia. The Federation faced political, ethnical and socio-economical challenges. The conflict exploded into bloody war. In order to bring the conflict to the end IC intervened and signed international agreements. The challenges remain these agreements to be implemented.

**Keywords:** Cold War, international agreements, political and ethnical conflict, implementation.

### Introduction

After the Cold War the Eastern European Countries were willingly involved in general reforms to transform the previous communist regime into the democratic one. Western democratic system served as the model that inspired the peoples and the countries of Eastern Europe in order democratic values to be absorbed, standards to be achieved and criteria to be met by all of them in very limited time.

Despite of this very progressive process the Balkan Region faced extremely contradictory situation. From 1991 to 2008 the entire Region were characterized by inter-state and intra-state conflicts and wars. A very bloody fragmentation process started with the dissolution of Former Yugoslavia Federation and several political troubles, ethnic cleansing and social unrest took place in Countries around the conflict areas. So, the entire Balkans repeated bed-famed history as the "Powder Ked".

There were not political will and human energies within the Balkan prevent and to resolve the crises by themselves. It was very active International Community intervention by all ways and means, from diplomatic efforts to military strike to bring this deep, complex and bloody crisis to the end. All of us should pay tribute to the USA, NATO<sup>1</sup>, UN<sup>2</sup>, OSCE<sup>3</sup>, EU<sup>4</sup>, CE<sup>5</sup> and to innumerable Regional Initiatives like Stability Pact<sup>6</sup>, SEEI, BSEC, CEI, Adriatic Ionian Initiative, Adriatic-Charter<sup>7</sup> that created the different environment for the Balkans.

As it always happened during the history the wars and conflicts come to the end through peace treaties, peace-agreements or other documents that create the legal framework for the crisis resolution and post crisis reconstruction. The Balkan last crisis was not excluded from this historical heritage. There for "Dayton Peace Accord" (1995), "Ohrid Framework Agreement" (2001) and "Document for Kosovo" 2007, known as "Ahtisari Proposal" created the fundamental legal framework for crisis resolution and post-crisis reconstruction in the Former Yugoslavia area.

There is no doubt that these three main International Agreements were extraordinary contributions by International Community to influence the Balkans to leave the bad legacy behind characterized by nationalism, fanaticism, intolerance, hatreds and to come little by little to similar and later on to the common approach toward the future. Thanks to these

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<sup>1</sup> NATO-North Atlantic Treaty Organisation, Treaty of Washington, 1949

<sup>2</sup> United Nations Organisation-1945

<sup>3</sup> Organisation for Security and Cooperation in Europe, 1975

<sup>4</sup> European Union, Treaty of Lisbon, 2008

<sup>5</sup> Council of Europe, 1949

<sup>6</sup> Stability Pact- 1999

<sup>7</sup> Adriatic Charter, 2003



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international agreements accompanied by very strong international political, technical, legal, economic and military assistance there is no war in the Balkans, but peace is prevailing entire region.

Peace is prerequisite for democratic and economic development. But it is not enough. Looking into latest developments regionally and individually in the Balkans we can realize that the crisis have been transformed in the different shapes and dimensions but not yet resolved. I am neither skeptics nor euphoric, but trying to be simply realistic. Let me count some latent crisis dealing with the International Agreements concerning the Balkans:

1. **"Dayton Peace Accord"**<sup>1</sup> signed by three parties in the conflict and Major Powers brought the bloody war to the end and open a new process of peace making, state building, establishing democratic institutions, parliamentary democracy, rule of law, fundamental freedom and human rights and minority rights for the entire people of B&H. No doubt that these are great achievements. But looking deeply inside reality in B&H a lot of experts are coming more or less in common conclusions that Country needs much more efforts and international contribution to move to another stage in democratic state-building, political consensus, multi-ethnic dialog and social cohesion. It seems to me that "Dayton Peace Accord" needs little by little to be updated to the new challenges on the ground and to the new phase of Regional development. Internal synergy, positive geopolitical will around the Country and continuing efforts by International Community should bring the B&H to the normal independent, functional and democratic state.

2. **"Ohrid Frame Work Agreement"**<sup>2</sup> signed by International Community and Macedonian and Albanian, as the three parties agreement, paved way for the democratization of the Independent State of FYROM. This Framework Agreements stopped the internal ethnic and political conflicts between Albanians and Macedonians followed by constitutional and legal changes and improved obviously the atmosphere among the different ethnic communities in FYROM. This Framework Agreement laid fundament for the Country to accelerate the integration process to Euro-Atlantic institutions. But, despite the internal progress, the improving political dialog and ethnic relations are and should be the long term priority for this Country in order to have political stability, ethnic peaceful coexistence and social cohesion. On the other side, the FYROM is facing the serious geopolitical crisis. FYROM and its relations with Greece concerning the Name, with Bulgaria concerning substantial identity components and with Serbia concerning authentic Church and the diplomatic relations with Independent State of Kosovo - unfortunately has created very difficult situation for the Country. I think that all the recent mentioned Countries and FYROM should try together to find the way out from this un-ended vicious crisis.

3. **"Ahtisari Final Proposals"**<sup>3</sup> as the compromise documents prepared within the Principal Framework Agreement of the Contact Group and the negotiation Team charged by UN Security Council concerning Kosovo crisis were strongly supported internally by the Kosovo people and externally by more than 63 states all over the world to produce the Independent State of Kosovo. This document was the fundament for the new Constitution of the Republic of Kosovo. Despite the fact that Independent State of Kosovo produces peace at home and peace in the Region the situation between Kosovo and Serbia in the border between them is still an open and dangerous crisis. This crisis has no benefit for both sides and reflects negative impact for the entire Region.

Based on the above mentioned International Agreements that brought peace and stability in the Balkans after the Cold War, four main conclusions may draw the attention for the Regional Security to be transformed through Regional Ownership for all Balkan Countries.

**First**, the International Agreements designed by the International Community with the local factors that I above mentioned are mostly *top down agreements*. In order these agreements to be sufficient as the Regional Ownership they should be transformed as *the bottom up acceptance*. It means the local factors in the Balkans should accept willingly the principals and the goals of these agreements by transforming those International Agreements into legal instruments and local institutions.

**Second**, the International Agreements that I above mentioned were mostly agreement *coming from abroad*. In order these agreements to be as the Regional Ownership they should be promoted from *the inside synergy*. This inside synergy can

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<sup>1</sup> Dayton Peace Accord, USA, 1995

<sup>2</sup> Ohrid Frame Work Agreement, Macedonia, August 2001

<sup>3</sup> Ahtisari Final Proposals, December, 2007

be produced only by very open and intensive political dialogue, inter-ethnic relations, multi-cultural communication and broader social cohesion.

**Third**, mostly the International Agreements that I above mentioned have been imposed agreements and *not as the result of negotiation process* of the parties in the war or conflicts. In order these agreements to be transformed as the Regional Ownership, it is prerequisite those agreements *to be welcomed by local peoples, local communities, local Parties and institutions*, through better understanding, transparent information and public communication.

**Fourth**, mostly the International Agreements were designed *in different times, different Countries and in different formats*, having the intention to stop the war and the internal and external conflicts and to open way for peace, security and the democratization in the separate Countries. In order these separate agreements of International Community with different Countries and parties to produce Regional Security through Regional Ownership it is necessary all the Countries in the Region and not only the persons of these International Agreements *to move regionally from agreements to realities, from dialogue to concrete common action, from the individual strategies and priorities to the regional approach and from International disengagement to the stronger Regional engagements*

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## Evolving Diplomacy of Regional Organizations - Some Experiences in Balkans

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### Abstract

The regional organizations are becoming more and more the necessity of modern times. On vertically approaches the regional diplomacy and organizations are between international and national level of governmental institutions worldwide. Being in between global national levels the regional organizations are very interesting players to bring both above mentioned actors closer to each- other and to harmonize some time their contradictory approaches and interests. On horizontal approaches the regional organizations are located and operate in the common valuable areas with more or less the same or similar situations, in the common political landscape, in the same geography, geo-strategy, culture and markets. Therefore, they share the achievements and challenges together. That is why the increasing role of multilateral diplomacy through evolving regional organizations is very important facilitating mechanism to shift from old fashion bilateral oriented diplomacy toward globalization trends.

**Keywords:** Regional organization, multilateral diplomacy, local, regional, global.

### Introduction

Multilateral diplomacy based on regional organizations is becoming more and more the necessity of modern times to bring the diplomatic synergy towards the best and efficient solutions. On vertically approaches the regional diplomacy and organizations are between international and national level of governmental institutions worldwide. The regional organizations could be considered as the bridge between national and global level of cooperation.

Being in between global national levels the regional organizations are very interesting players to bring both above mentioned actors closer to each others and to harmonize some times their contradictory approaches and interests. In the same time these in between actors should and could be very relevant multilateral organisms to serve as facilitators in bilateral problems on national levels. Regional organizations through their multilateral diplomacy can very quickly respond as a preventive diplomatic mechanism avoiding deteriorating of problems and situations and paving the way for long lasting solutions.

On horizontal approaches the regional organizations are located and operates in the common valuable areas with more or less the same or similar situations, in the common political landscape, in the same geography, geo-strategy, culture and markets. Therefore, they share the achievements and challenges together. That is why the increasing role of multilateral diplomacy through evolving regional organizations is very important facilitating mechanism to shift from old fashion bilateral oriented diplomacy toward globalization trends.

But to play such a unique role, the regional diplomacy and organizations need to reconsider their position and mechanisms, to improve their legal instruments and to increase their diplomatic capacity. The experience of such a regional organization after the Second World War, it means during and after the Cold War give us positive and negative models, efficient and inefficient work and in some extreme cases completely failure. History of regional organizations give learnt lessons for the time being and the times to come.

### 1. Balkan, its experience

Since almost one hundred years ago, the Balkans has experienced negative legacy toward regional cooperation. There were several reasons, some of them inherited from the history, the others coming up from the long and up and down transition toward democracy and Euro-Atlantic integration. The Balkan history during almost a century has been characterized by confrontations, conflicts, hatreds and rivalries which has produced more wars and less peace, more poverty less development, more isolations then integration, more bed famed international reputation then good image

abroad. This legacy is not easy to overcome. It needs great reforms domestically and regionally. As a matter of fact, the situations on the ground has moved on after the Cold War.

Immediately after the "Berlin Wall" fell down, Central and Eastern European Countries started the process of transformation the political, institutional, economic and administrative aspects of states and societies. The aspiration to be the part of Euro-Atlantic family promoted "Visegrad Countries"<sup>1</sup> and "Vilnius Countries"<sup>2</sup> to work together regionally in order the process to be accelerated. In the contrary to this trend, the Balkans started by beginning of '90 the contradictory political dynamics causing dissolutions, fragmentations and wars among the confronted different states and ethnic groups<sup>3</sup>. It took very long time this regional conflicts and war to be solved, by all ways and means and deeply evolving international community.

Newly established democratic states faced a lot of domestic challenges. But the most serious challenge was the normalization of neighborhood policy and re-establishing of the new and democratic Regional cooperation process. So a lot of regional initiatives were established to bring stability on the post-war area such as SP<sup>4</sup>; to develop economic cooperation BSEC<sup>5</sup>; to open market further on both side from the east and the west, CEI<sup>6</sup>; to manage the sea area of cooperation, All<sup>7</sup>; to cooperate in the field of security and NATO integration, Ach<sup>8</sup>, to improve the cooperation process entire Eastern Europe, SEECF<sup>9</sup>; to exercise joint military activities, SEEBRIG<sup>10</sup> etc. These regional initiatives brought a lot of positive impact, some more, some less, of course there some already failed. Anyway the process itself was relatively successful. So, now the Balkans is like the weather after the storm. Reconciliation, confidence building and dialog are going to replace the past and to open the new era of regional initiatives and cooperation. And after almost one hundred years, the Countries and the peoples in this Region<sup>11</sup>.

## 2. Globalization trend

Globalization seems to be the determinant trend towards a new world order once the cold war is over. I say "it seems", because there are many other opposing and contradicting trends and tendencies. Nevertheless, the majority of researchers are already recognizing globalization as the main trend of the 21<sup>st</sup> century.

In a general view, it can be empirically stated that in a high level of political and economic development, globalization makes the tendency of de-nationalization of markets, policies and legal systems, so, in other words, marks the establishment of so called "global economy". At present, this is the definition, offered by the International Forum of Globalization, that leads the debates on this issue. This international debate involves international organizations, governmental institutions and the academic world and it is focused on the consequences of this political and economic reconstruction in local economies, people's wellbeing and environment in general.

In this phase, already distant from the first period of "Berlin Wall" fall, the debate on globalization is becoming more intense in an upward spiral way. On one side, there can be seen the supporters of globalization standards, headed by 'troika', International Monetary Fund<sup>12</sup>, World Bank<sup>13</sup>, World Trade Organization<sup>14</sup>. High representatives of these powerful

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<sup>2</sup> Vilnius Countries, included Lithuania, Letonia and Estonia

<sup>3</sup> L.Bashkurti, "Political Dynamics of the Balkan Countries", Chikago Kent College of Law, Univerisy of Illynois, USA, 2004

<sup>4</sup> Stability Pact, established, June, 1999

<sup>5</sup> Black Sea Economic Cooperation, June, 25, 1992

<sup>6</sup> Center European Initiative, November, 11, 1989

<sup>7</sup> Adriatic Ionian Initiative, October, 1999

<sup>8</sup> Adriatic Charter, May, 2, 2003

<sup>9</sup> South Eastern European Cooperation Processes, 1996

<sup>10</sup> South Eastern European Brigade, September 26, 1998.

<sup>11</sup> Bashkurti, "Institucionet Ndwrkombwtare dhe Nismat Rajonale", UNS - ADSh, Macedonia, 2010

<sup>12</sup> IMF – The International Monetary Fund was established in 1945 in order to help the world economy health. With its offices in Washington DC, it is guided and is responsible for 184 countries which make its membership almost global.

<sup>13</sup> The World Bank – is a vital source for financial and technical help for developing countries around the world. It is not a bank in the common meaning of the word. Its beginnings date back in 1944 and its offices are in Washington DC; it consists of two unique institutions for developmen accepted from 184 nations of the world: The International Bank for Reconstruction and Development (IBRD) and International Development Association (IDA).

<sup>14</sup> WTO. The World Trade Organization is the only global and international organization that deals with the trading rules between the nations. It was established in Geneva, Switzerland, on 01/01/1995.

international financial institutions are considered the principals of global economy, i. e. the fathers of open markets and free fair competition in international levels.

Leaders of "troika", take important decisions regarding the steps and methods of development that a nation or a society is to undertake and apply. They decide "who", "where" and "when", without mentioning "why" or "how". Globalization is becoming an "imposed" phenomenon of the market, starting with global institutions, not the national ones.

There is appearing a strong "underground", tendency and time to time comes on the surface and that one is opposing "troika" concerning globalization. According to this anti-globalization trend, of "troika" just a few minor disagreements are to be tolerated, the space for special cultures is small and it is becoming even narrower for local identities and at the same time workers and unionists rights should be reduced a lot.

Anti-globalization activists have raised the flag of "global environment protection". According to them, global environment, is protected with a great care from any kind of harm in northern industrialized countries (or western ones, depending on the observers location), but it is all left in the hands of international corporations in other parts of their economic activity. According to anti-globalization activists these corporations apply double standards, i. e. one in their countries, another one in developing countries. In developing countries, they do not care for the environment, as well as respective governments of these pitiable countries. Those governments are very little aware of the fact that they should reach as quickly as possible environmental standards alongside with the standards of development. Under such circumstances environment protection is considered just a luxurious matter that may even create problems.

But on the other side, globalization has many other opponents. Around the world there are unionists, environmentalists and human rights activists who fight against the idea of corporations for global markets that do not care about workers' rights, fair wages, environment protection and cultural diversity. Those opponents come from both sides of political spectrum, from the nationalist particularistic right wing and from international left wing generally. Someone, might even say that the so called anti - globalization is predominantly a concept of right wing in politics where nationalism, xenophobia and racism prevail.

The most appropriate definition of anti globalization trends would be "alter globalization", which means an alternative of globalization. Activists all over the world would like to make the world as a single society, one that would ensure wellbeing of all in contrary to the actual situation where billions of people are exploited in Asia, Africa and Latin America in a time when profits made by such global corporations are increasing in a spectacular way.

Confusion is the typical thing in situations when regionalism is considered as a sub global economic market. First of all, people in Regional levels do not live luxuriously as in the industrialized West, thus they will firstly be deluded by what is going to happen; they would exploit people from the third world and then would create their own ideas about morals and dilemmas surrounding them. On the other hand, privatization processes, restructuring of economies and increase of unemployment that result from all this are inevitably bringing the spirit of globalization initiated and strongly supported by 'troika'.

It is always good that for scientific reasons we could make the difference between the terms "globalism" and "globalization". According to contemporaneous order researchers "globalism", is defined in its substance as an international level phenomenon, beyond nation and region that marks a whole system of interdependent and interconnected networks that rise almost in an imposed way above multi-continental spaces. Systems of other networks are below this multi-continental level.

At the same time, the definition of "globalization" is more or less considered as the tendency of increasing or decreasing, dynamism or contraction of globalization level. "Globalization" focuses on forces, dynamism or speed of these developments. Thus, "globalism" is defined as the reality of interconnected inter-continental being, while "globalization" is defined as the dynamics of its development including the speed by which these connections are increasing or decreasing, developing or shrinking. Below, I will mainly focus on 'globalization'. And this is due to the fact that in the international debate, more and more they use the definition "globalism", as a trend or tendency which strongly supports the contemporaneous globalization process.

Actually, in the levels of theoretic debate there exist many definitions for what globalization truly is. It can be basically said that these theoretical definitions are mainly characterized by subjectivist theory. That means that, they suffer from the influence of positions and experiences of the ones who have defined globalization, themselves. Mainly the subjectivist

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philosophical trend inclines the attitudes and thoughts of extreme character, for or anti-globalist ones. This creates and keeps open the debate.

In order to refer to this, let us emphasize a typical definition which at the same time is restricting compared to other trends and that is exactly the one defined by “troika”, International Monetary Fund and World Bank. These two “troika” institutions have emphasized that globalism marks the economic interdependence which is constantly advancing in the countries around the world through the increase of capacity and variety of beyond - boundary transactions in goods and services, free international flow of capital as well as the speedy and wide delivery of technology.

Based on this “troika” definition, we are mostly dealing with so called economic globalism. Of course, a trend which supports so much pro- globalism extends its definition by “globalism” not considering it simply economic and commercial as “troika” defines it, but much broader. These ones have to agree with the definition that globalism is more than a civilization definition in increasingly open levels, with the inclusion of its economic, political, cultural and technological aspects which could be closely interlaced with each other. According to the last ones, economic globalism derives from civilizing globalism generally.

Based on what was previously mentioned, we can say that “Globalization” is a representative term for a complex of economic, social, technologic, cultural and political changes that are seen in the constant increase of interdependence, integration and interaction among people and companies in different countries of globe, “the world”. The positive appraisers of globalization that consider it as a progressive development and whose basic principles they put together under these titles: secularism, liberal democracy, free market economy and legal constitutional state. Some others define this shortly with the terms: in the legal sphere, revolution of “human rights”; in political sphere, liberal democracy and in economic sphere, free market economy and production based on competition.

Of course, when the issue will have to be defined scientifically, the matter will be complicated even more. The difficulties start right with the definition of the concept. Neither the scientific debate nor the one of general public have a definition recognized by all as such. Below there are briefly introduced different efforts in defining the concept of globalization. According, to Elmar Altvater, “Globalization is a process of going beyond the historical border”. By this Altvater, intends the same thing as diminishing or fading of national-state sovereignty and it is introduced as a separation of market economy from the set of moral rules and institutionalized obligations of societies...”

The other researcher of globalism, Anthony Giddens defines globalism as ‘...Intensification of social relations all over the world, by which distant countries keep connected to each other in order that the events in a country are characterized by the same processes as in a country many kilometers away and vice versa...’ The international analyst, Ulrich Menzel defines globalism as ‘...quantitative and qualitative intensification of cross border transactions during the simultaneous process of their local extension...’ proceeding further, the researchers, Dirk Messner and Franz Nuscheler consider globalism as ‘...’, ‘The biggest economic and social change since industrial revolution...’, or as Meghnad Desai calls globalism a ‘...increasing dependency and integration of different economies around the globe...’, or ‘...a process of increasing connections between societies and problems...’, the last one was a definition of Johannes Varwick.

Various researchers connect the definition of globalism to the process of globalization or more precisely do not separate the phenomenon from the process. Thus the researcher Christian von Weizacker defines globalism and globalization as follows ‘...’ through globalization market competition is intensified...’. Martin Schuman considers it as ‘...release of forces of global market and removal of economic power from states hands...’.

Being somewhat more conclusive about what is globally happening, the researcher Martin Schuman emphasizes that globalism is already a phenomenon of the new world order and globalization as a dynamic process of its realization, ‘...already have become important words which are recently used in an inflationary way in political, journalistic and scientific debates, thus on one side are seen as a threat and on the other as a new opportunity...’.

Generally in our economic, political, legal and civil sciences, the debate on globalism as a phenomenon and globalization as a process is far from being a scientific reality. Even though the country, economy and Albanian, regional and European culture are “slipping”, if we could put it this way, in face of globalism and globalization, once more our sciences seem to be far behind. But without a scientific precedence of these strong tendencies of the new world order, policies can still wander blindly and enter into confusion and undertake action plans with fatal consequences for the country, economy, identity and civilization in general.

Yet the main reason of this article stands on the need to appeal to our researchers in order that they can start the process of scientifically analyzing the globalism tendency as a phenomenon of globalization development as a process in the context of consequences or chances that could be offered to the Albanian economy, identity and culture in open markets, integrated societies and in the approximate international thought.

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14. WTO. The World Trade Organization is the only global and international organization that deals with the trading rules between the nations. It was established in Geneva, Switzerland, on 01/01/1995.
15. GAAT (The General Agreement on Tariffs and Trade) was first established from Bretton Woods Conference as part of a bigger plan for economic restoration after World War II. GAAT has involved a reduction of tariffs and other international obstacles and is generally considered as predecessor of the World Trade Organization.

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## Rising Nationalism in the Balkans

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### Abstract

Balkans consists of the geographic and demographic diversity of the complex, with division of the region into new states, with local antagonisms. Balkan leaders, the Great Powers would urge the expansion of national states where and when he wanted interest and would not ignore claims it was one nation over another. The process of developing the nationalist movements and the state - forming in the Balkans, starting with the Patriarchies autonomous movements within the Ottoman Empire, involves the movement of Serbs, Greeks, Bulgarians, Romanians and Albanians. The fall of Bonaparte in 1815, was accompanied by significant changes in Europe in the system of international relations, the diplomacy of the Great Powers. Europe was thrown into the system the concert of Europe, after that of Vienna, while the Ottoman Empire was beginning its stagnation, other European powers had begun to feel the threat of Russia's interests in the Middle East. During this period of time the nationalist movement took place in the region. The nationalism confronted Concert of Vienna principles provoking the First World War.

**Keywords:** Balkans, Concert of Europe, Great Powers, nationalism, Ottomans, Russian.

### Introduction

The fall of Bonaparte in 1815, was accompanied by significant changes in Europe in the system of international relations, the diplomacy of the Great Powers. Europe was thrown into the system the concert of Europe, after that of Vienna, while the Ottoman Empire was beginning its stagnation, other European powers had begun to feel the threat of Russia's interests in the Middle East<sup>1</sup>. Central and Eastern Europe the movement was preceded regenerative process of creating national states, and the Balkans will begin its revival later key, but a dynamic renaissance, tough and full of crisis, known as East crisis. Strengthening Russia, the fall of the Ottomans, the union of Germany and Italy would disturb the overall political situation on the continent and in the world transformed by "The Concert" Vienna in a "Funeral" universal.

After the expulsion from Germany, New Empire Austro-Hungarian had nowhere to lay except Balkans. Since Austria did not participate in overseas colonization, its leaders saw Balkans with its slave population as a natural arena for its geopolitical ambitions - even she walked along other Great Powers. With such a policy, the conflict with Russia was natural.

Balkans consists of the geographic and demographic diversity of the complex, with division of the region into new states, with local antagonisms. Balkan leaders, the Great Powers would urge the expansion of national states where and when he wanted interest and would not ignore claims it was one nation over another<sup>2</sup>. The process of developing the nationalist movements and the state - forming in the Balkans, starting with the Patriarchies autonomous movements within the Ottoman Empire, involves the movement of Serbs, Greeks, Bulgarians, Romanians and Albanians.

Until then many ways, much effort enlightenment, political, military and diplomatic people would need for the establishment of its independent state. Archival sources, copyright and publicity of the time argued that the Albanians were omnipresent, initially they warned these processes independent in Patriarchy of Ioannina, still were in solidarity with the Serbs against the Ottomans, supported the Greek revolution for independence and any move to serve creation national states against the Ottoman Empire in decline.

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<sup>1</sup> Norman Rich: "Diplomacia e Fuqive të Mëdha 1814-1914", Tiranë, Toena 2006, ISBN: 99943-1-199-9, Fq 46

<sup>2</sup> M Glenn: "Histori e Ballkanit, 1804-1999, Nacionalizmi, Luftërat dhe Fuqitë e Mëdha", Tiranë, Toena 2007, ISBN: 97899943-1-231-3, fq 133



The nineteenth-century has been the most dynamic in the political history of the Balkan peoples, as well as other peoples were Russians, Italians and Germans. This century was characterized by aristocratic philosophy, conservative and aimed to preserve at all costs stagnation, not agree with the political changes. Moment of involvement of the Ottoman Empire under the multilateral system from Continental transformed European international system, for the scope and structure of the Ottoman Empire.

Vienna concert was accompanied by the political dynamic movement from below and three very large and powerful: liberalization, nationalist and imperialist state building. The formation of two large states unitarist power of imperialist ambitions International, Italy and Germany, the disclosure of interests imperial Russia in the international arena as well as the clash of powers for markets, raw materials and areas influential international players were indicators of movements in the Balkans including statehood nationalist movements against the Ottoman Empire. In this process for political reasons, he merges the deep and Russia, although it was not part of the Balkan geopolitical, based on interests and anti-Ottoman imperial and justified on grounds of racism and religious bigotry.

Various authors prove that Albanians from the people in solidarity with the people of the small neighboring their wars for independence, were gradually closing, and neutral only when the region began to emerge interests clientele Russian, which at any time and in any circumstance they left the Albanians and their interests outside attention. Bismarck wanted a Balkan-sharing agreement between Austria and Russia, but it never materialized division. Austrian leaders feared any visible anger of Russian power in the Balkans and the Hungarians did not like the prospect of including more habzburgase Slav empire, because it would reduce their importance<sup>1</sup>.

Rise of Russia became the Slavic clientele base - religious, supporting mainly the southern Slavic peoples and the same confession. Rus involved in this project mainly Slavs, while the Greeks somewhat farther. Russian project was in Serb yearning directed against the Albanian coast, the Adriatic Sea.... At the time of her first liberation from Turkish rule targets a Serbia did not cease for a free outlet to the sea<sup>2</sup>. Albanian people was the more burning in the Balkans who was coming in the front yard of European empire of Peter the Great.

Russian project for the Balkans in mind the Albanians, who were not related Slavic nor a confession were fully. Analyzing the Russian attitude towards Albanians, British researcher Edit Durham states: "Albania is faced with another greatest enemy was Russia. Later will become clear determination of Slavs and orthodox in the Peninsula and any other condition will not be tolerated"<sup>3</sup>; "... the attention was directed first of all on the coast of Albania"<sup>4</sup>.

Dynamics and complexity of the political developments in the nineteenth-century, wrapped-constituent nationalism, liberalism and imperialism-monarchist to colonial rivalries. European concert separation phenomena pose difficulties, events, movements, periods, and of course the results factors. Balkans has been very hot and involved in these dynamics. The phenomenon remains typical Balkan ethnic diversity, religious, geopolitical. This diversity of alliances gradually transformed understanding many centuries under the Ottoman Empire into a problem, conflict and war between the Balkan people for a very long period.

Roman doctrine based on "divide et impera", Byzantium survived for 10 centuries, France's Cardinal Richelieu for 30 years held the chopped weaker German princes. This doctrine was used by the Ottomans, Tsarist Russians, Austro-Hungary from England to take European initiatives against Bonaparte's France and Hitler's Germany's Kaiser.

Researchers widely agree that the Patriarchy of Ioannina, established, strengthened and expanded by Ali Pasha have been initiating factors, incentive, inspirational, supportive and inclusive in a way, of the Balkan peoples in nationalist state-building processes.

Balkan doctrines, "Megali Idea" and "Naçertania" first inspired to other Germans to the French. Megali Idea was inspired by German Volkgeist theory connecting with ancient historical memories of Byzantium, while Serbs joined the French unitary vision Slavic solidarity, by molding both the "Great Project", the "Naçertanie".

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<sup>1</sup> Norman Rich: "Diplomacia e Fuqive të Mëdha 1814 - 1914", Tiranë, Toena 2006, ISBN: 99943-1-199-9, fq 229

<sup>2</sup> Sergej Dmitrievič Sazonov: "Kujtime", Tiranë, Helga's Secret, ISBN: 978-9928-4022-8-8, fq 99

<sup>3</sup> E. Durham, "Twenty Years of Balkan Tangle", page 100

<sup>4</sup> Sergej Dmitrievič Sazonov: "Kujtime", Tiranë, Helga's Secret, ISBN: 978-9928-4022-8-8, fq 100

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Naum Veqilharxhi in 1846 in a paper written in Greek encyclopedic expressed; "Patriots! Yes I advise co-patriots our who love the homeland, to scrutinize a new study philology, which was written and published by Greek newspapers as an act that deserves global attention, more so since it has about Albanians"<sup>1</sup>.

Greek nationalism was based on religion and not the nation as identity. Here he was rooted Byzantinist doctrine of neo-Greek nationalism in the early-nineteenth century. This doctrine called "Megali Idea" stood on the foundation of nationalism and Greek foreign policy. "Megali Idea", from its birth to the 1854 strategy aimed at rebuilding the whole Byzantine political space within the new Greek state. Connecting basis, according to the "Megali Idea" stood on religion, then the orthodoxy.

According to Greek strategy, all Orthodox people, once under the Byzantine Empire, now needed to be included in the territory under the sovereignty and political borders of the modern Greek nation-state. Hellenic identity and Byzantium were asymmetrical space and began to disclose all its problems with the Orthodox people, but not Hellenistic, especially with the people of the Balkans with the Orthodox religion, but with different identity.

This asymmetry "Megali Idea" initially faced with Serbs in the Balkans. As a result of the politicization of history and ill-informed, Greek-Serbian regarded as have always been excellent and directed against the Albanians and other peoples in the Balkans, but different scholars of the period of raising nationalism in the Balkans and the Crisis they have argued that the first East "Megali idea", as foreign policy Hellenic fought Serbian politics. After the Russo-Turkish War in the years 1861-1867, between Greeks and Serbs were deep discrepancies regarding their visions of political positions in the Balkans<sup>2</sup>.

For a period of approximately seven years, the Greeks and the Serbs had talks were not easy to determine the position after the Russo-Turkish war. Greek scholar, Kofos Greek-Serbian talks defines the years 1861-1867 "for the completion of the alliance against Turkey in order to liberate their compatriots and to share the Balkan Peninsula"<sup>3</sup>.

The process of the Greek-Serbian talks during this period led to the signing of an agreement negotiated between them. Lengthy negotiations with substantial crash were able to complete the deal after the second round of Greek-Serbian negotiations, precisely in 1867, in Vöslau near Vienna. Greek-Serbian agreement dated August 14-26 1867.

Albania and Albanians in the Balkan positions have been at the center of the Serbian-Greek talks. Studies show that at this point had no misunderstanding sides of inconsistency. This is the moment when connecting alliance undeclared Greek-Serbian against the Albanian factor in the Balkans, which recently show that this alliance will once again sit down times will up, time will unfold open again in secret, but nevertheless will continue to in recent times<sup>4</sup>. On the allocation of land to the Greek-Albanian population Serb compliance was complete, while negotiations on dividing Turkey's European lands were characterized by many divergences between the parties.

Greek considered strategy in southern province of Balkan mountain ranges as inhabited only by Greeks forcibly assimilate and Hellenized Slavs. So "Megali Idea" regarded these people as an integral part of Greek civilization. As part of this civilization, "Megali Idea" of the people involved in the former Byzantine map, and consequently on the map of Greece drafted the new policy. Politically, Greek diplomacy feared the expansion of the south Slav element in the Balkan Peninsula<sup>5</sup>.

Serbian Ekspasioni is earlier than "Big Project" Ilija Grashaninit and that "migration of Arnaut", "The problem of national minorities in Yugoslavia" New Vaso Cubrilovic, 1937 and the memorandum "Manu". Circa 1836-1837 have close cooperation between Belgrade and Croatia Ilirjana Movement. Patriots "Yugoslav" Serbian territories counted separately Naçetania included in Srem, Backen, Banat, which should secede Hamburg when Serbia to join the Croatian territories and Montenegro. Serbian Imbalances calculation of the Habsburg empire, was returned "Naçetanian" towards the Ottoman territories. Strategy "Naçetania" Garashaninit aim of forming a great Yugoslav state, the composition of which will be included Bulgaria. "Naçetania" long work and sacrifice for Bulgarian renaissance for this.

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<sup>2</sup> Studime Historike, Nr. 1, vëllimi XXXI (XIV), Akademia e Shkencave, Tiranë 1977, faqe 176

<sup>3</sup> E. Kofos, Greece and Eastern Crisis 1875-1878, Thesaloniki, 1975, page 21

<sup>4</sup> L Bashkurti: "Çamëria", Tiranë, Geer 2012, ISBN: 978-9928-105-18-9, fq 137

<sup>5</sup> Studime Historike, Nr. 1, vëllimi XXXI (XIV), Akademia e Shkencave, Tiranë 1977, faqe 176

Grashanini Ilija emphasized the unity of Serbs with those of Montenegro and the Ottoman territories in Bosnia and Herzegovina, which would allow the Principality to have a chance, were called to help Dusan memories of the Empire in the first century. XVI, while romantic historicism, combined with ideas jakobian gave Serbia until 1914 a foreign policy program<sup>1</sup>. Also, the Serbian foreign policy strategy afraid of Hellenistic neo-Byzantine "Megali Idea", because, according to Serbs, a nation so great Panhellenic would seriously undermine the balance in the Balkan Peninsula and would be the cause for conflicts of interest. Russia originally had inspired financed itself "Megali Idea" and Naçertanien as doctrine and political movement allied anti-Ottoman, but after breaking Ottoman control his will to establish a stable regional situation with Russian influence.

At this time the Russian influence in the Balkans, relative to other powers, had an impact even greater due primarily to religious Greeks and the Slavs of the south due largely racial. Tsarist Russia religion and race were essential components geopolitics. Under the influence of the Russian care of the other European powers, Serbs and Greeks after disagreements about the allocation of spaces Ottomans in the Balkans European and agreed to fight side by side against the Ottoman Empire<sup>2</sup> and a division between them. Serbia will invade and annex Bosnia-Herzegovina, Albania North, including Durres, Elbasan, Ohrid and territories in the north of the Balkan Mountain Range. While Greece to annex the provinces in the south of the Balkan Mountain Range, Thessaly, Macedonia, Thrace and Albania up to half of Durres. It was clear, that the schedule bilateral Serbian-Greek, Albania and Albanians divided in half between them<sup>3</sup>.

Serbian war - Turkish 1876 was a defeat for Serbia but she realized part of its objectives, the Treaty of Berlin gave Toplicë and Vranje, Muslim Albanians were expelled from their lands and legitimize ethnic cleansing and religious conducted by the Balkan countries such as Bulgaria, Serbia, Greece and Montenegro<sup>4</sup>. In the first decade of the 19th century Serbian government abandoned the policy of rapprochement with the High and konkretizoi agreement with Bulgaria and Montenegro on the principle "the Balkans, states Ballanit", which will keep united Slavic countries - the Balkans. These strategies were bisedimee agreement signed away any secrets and information for Albanians.

"Megali Idea" was the strategy of Greek foreign policy before and throughout the Eastern Crisis. Serbian pact - Greek for sharing the spoils of war were hit by the treaty that accompanied St. Stephen. Confusion and frustration in Greek politics led to crash out of the "Megali Idea" in asymmetry with geopolitical terrain of the Balkan Eastern Europeans. Greek diplomacy in this situation openly reacted run ambassador to Istanbul. In the memorandum stated that "the Greek nation undivided stretch of the Adriatic Sea to the Black Sea... During these three years, the Greek national aspirations often ignored by international conferences and Hellenism was approaching catastrophe. However, due to the strange turn of events, catastrophic aspect disappeared and gave hope to realize not only limited political goals of the Kingdom of Greece, but also the hope of realizing the dreams of the Greeks centuries"<sup>5</sup>.

Greek diplomacy had managed to understand that Russia had done as a priority choice of South Slavs in Serbia at the top, before the Greeks. Greek reflection brought Greek diplomatic move by Russia to the prioritization of the Treaty of San Stefano to England as a guiding force post - Ottoman. These reasons show that the doctrine of "Megali Idea" was beginning its wrinkling. It was essentially a reactionary doctrine, the doctrine of historical determinism and religious determination on national and cultural identities. Hitting her final "Megali Idea" will suffer in the failed attempt to annexation of Asia Minor in 1922, which would cause the Greek people the greatest loss in the history of modern and with the burial of the doctrine of "Megali Idea"<sup>6</sup>.

In all these politico - diplomatic manipulation relating to the Eastern Crisis, Albanians were kept away. Their neutrality in the Russo-Ottoman renamed Force and then by some Greeks as Serbs from Albanians otomanist attitude, while the Albanians continued to contribute to other people in the East as were Romanians and Italians in the West.

Before the crisis of 1875-1878, the Greeks had created a diplomatic mindset owner of widespread idea of Greek circles that "these two people closely connected through their historical experience, forced to form in one way or another a unified

<sup>1</sup> Georges Castellan: "Histori e Ballkanit", Tiranë, Çabej 1991, fq 324-326

<sup>2</sup> Po aty, fq 327

<sup>3</sup> L Bashkurti: "Çamëria", Tiranë, Geer 2012, ISBN: 978-9928-105-18-9, fq 139

<sup>4</sup> Xhafer Sadiku: "Shqipëria 1878-1928, Roli i Elitës Politike", Tiranë, Mirgeerald 2014, ISBN: 978-9928-07-257-3, fq 33

<sup>5</sup> E. Kofos, Greece and Eastern Crisis 1875-1878, Thesaloniki, 1975, page 17

<sup>6</sup> Studime Historike, Nr. 1, vëllimi XXXI (XIV), Akademia e Shkencave, Tiranë 1977, faqe 176

state"<sup>1</sup>. This opinion Greek diplomacy tried to reveal the diplomacy of the Great Powers, but by Albanian researchers, the explanation was inconsistent.

In the thesis of "Megali Idea" priority argumentative held orthodox religion, neo-bizantinizmit and not the language, but when it came to the unification of Albanians in one state with Greeks, priority held two-linguistics, which according to the Greeks was on the Albanian population and ignore religion at all. This was the contradiction and jorealizëm the doctrine of "Megali Idea" and one of the causes of the shrinking and its historic failure.

While diplomacy conspiracy went against the interests of the Albanians, the Albanian national movement rose with powerful dynamics. Albanian Diaspora in major centers like arberesh Italy, Albanians Bucharest intellectuals of Istanbul and many other centers show that the Albanian national movement is slowly and distinctly contoured. To the great powers of the time and neighbors Albanians, Greeks, Serbs, Albanian national movement constituted a real and growing concern.

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<sup>1</sup> E. Kofos, Greece and Eastern Crisis 1875-1878, Thesaloniki, 1975, page 24

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## The Terminology of Mechanics Viewed on the Comparison Level of the Albanian and the English Language

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### Abstract

In this work, what has become the treatment object as one of the most important layers of the vocabulary of terminology in the field of Mechanics is its base terminology vocabulary, viewed on the comparison level of both languages, of the Albanian language and the English language. This layer stands out for the values of a particular study interest, as it contains the most qualitative vocabulary part with a high potential in the building up of thousands of compounded units of word groups that circulate in this field. By appearing as one worded units, on their own, as well as in wider compounded units (word group), these units serve as compound elements of around 70-80% of the whole Mechanics vocabulary, as they are in Albanian and respectively in English: mekanizëm – mechanism, makinë – machine, hallkë – link, zinxhir – chain, zhvendosje – displacement, lëvizje – motion, rrotullim – rotation, rrotulloj – rotate, rrotullues-e – rotary, kinematik-e – kinematic, kinematikisht – kinametically etc.

**Keywords:** mechanics, terminology vocabulary, comparison's point of terminology, albanian, english.

### Introduction

On Albanian land, the field of mechanics as a field of knowledge, independant and crystallized in the system of its own concepts, entered as prepared in several forms:

- a) as a representative of concepts borrowed from the countries in which they were first created in 1944 from Italy, after the '50s from the former Soviet Union, after the 90s from all over the world;
- b) represented in the system of concepts of the scientific-technical literature by the given field, which was converted into the system of Albanian language denominations (until 1944 by the Italian language, after the '50s to 1990 by the Russian language), presently it appears more or less crystallized, as well as stable, with influences from the English terminology.

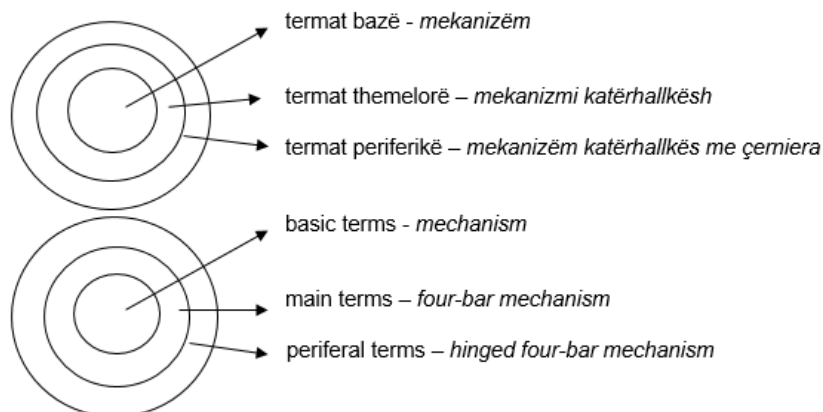
Regarding the influence of the English language in this terminology, mainly in the '90s of the 20th century, particularly in its basic sub-areas, we notice the introduction of English terms in a limited form, because the terminology of mechanics, as well as some basic fields of knowledge such as mathematics, physics, chemistry, appear as consolidated fields in the system of their terms. Therefore the influence of English terms in the terminology of mechanics is negligible, while here and there we notice terms deriving from it, but which are used also in other areas such as *fidbek*, *impakt*, *dizajn*, *draft* (Engl. feedback, impact, design, draft).

The most inherent value of this terminology is comprised mainly by the presence of term words, which are constructed mainly with morphological tools, although the basic building feature of terms of the two subfields in question are comprised by phrase terms. Seen from this point of view these extended units will be monitored by their construction, as, along *katërhallkësh-i* and *mekanizëm katërhallkësh* (four-bar mechanism) and *mekanizëm katërhallkësh i çermieruar* (Engl.: hinged four-bar mechanism), the latter two are composed of combinations of noun terms with adjective terms (*mekanizëm*

+ *katërhallkësh* (Engl.: *four-bar +mechanism*) and *mekanizëm + katërhallkësh + i çernieruar* (Engl.: *hinged + four-bar +mechanism*))<sup>1</sup>.

### Terms with a wide conceptual volume

As a general rule it may be noted that terms with a wide conceptual volume that are represented by word terms and which contain the main weight of the scientific and technical information have a high incidence of use in any scientific-technical text of any knowledge field. These constitute also the basis of terminology and as such can easily be distinguished, as in a text they stand out in particular by the high repeatability. This phenomenon depends of course on the topic within which they become objects of review or analysis. Seen in their entirety, a comprehensive schematic presentation can be made of the place that terms take from the viewpoint of the specific weight of the expression of scientific information in a text of both subfields in question<sup>2</sup>.



As follows from the scheme, the basic terms contain the specific weight of the scientific-technical information and are mainly represented by monosyllabic terms and in this respect contain the core of the terminology in question. We are bringing as examples a number of terms that make up the nucleus of terminology in question which are easily identified and which express basic concepts: *kinematikë, dinamikë, makinë, mekanizëm, transmision, zinxhir, hallkë, element, transmetim, zhvendosje, lëkundje* etj. (Engl.: *kinematics, dynamics, machine, mechanism, transmision, chain, link, element, transmitting, displacement, rocking*).

As a rule, terms that make up the nucleus are monosyllabic terms, but from the value of the expression of information it can include also phrase terms with a specific measure of use, such as *pjesë prerëse, pjesë punuese, çift rrotash*, etc., (Engl.: *cutting part, working part, pair of wheels*). This means that the assessment of a term as a basic expressive unit depends not only on the integral structure, as could be such any monosyllabic term, but also on the value that the expressed concept has. As an indication of their importance can serve some of their reflection in an explanatory dictionary (Philology) as illustrative cases in semantic structure of the word or term, as in Dictionary 1980: *mekanizëm i thjeshtë, mekanizëm i ndërlikuar, mekanikë e zbatuar, mekanikë teorike, çift forcash* etc. (Engl.: *simple mechanism, complex mechanism, applied mechanics, theoretical mechanics, pair of forces*). Their representation in a non-terminological dictionary as an illustrative unit and not as separate units depends on the type of vocabulary. Thus, for example, they can't find space in a small type dictionary, they will be in a limited volume in a medium type dictionary, while in a large type dictionary, which will be developed for the Albanian language in the future, their representation will be very wide, by giving the definition also, but not presenting them as independent units.

<sup>1</sup> S. Pllana: "Terminologjibazë e mekanikës në gjuhët shqipe dhe angleze", QSA IGJL, Tiranë, 2014, f. 57.

<sup>2</sup> A. Duro: "Termi dhe fjala në gjuhën shqipe (në rrafshin e formës dhe të përmbajtjes)", Qendra e Studimeve Albanologjike, Tiranë, 2009, f. 165.

Two-worded terms, taken in their entirety, by their quantitative side account for the bulk of the terminology in question, such as the so called basic terms. This phenomenon is observed in the place/space they take in the terminological dictionaries, in which they comprise the predominant amount of their units. In an explanatory dictionary (Philology) they serve as illustrative cases, while in certain cases, by the importance of concepts they express, they appear with the relevant definition.

Terms of over two-words, due to the narrow conceptual volume, form a smaller number of units and as such constitute the suburban area of terminology and in a terminological dictionary are limited. Seen from this point of view we can make a record of them in terms of structural construction, which relates not only to the presence in a text from the relevant field, but also from the place in a terminological dictionary. So, the narrower the field of knowledge, the more we come across phrase terms expanded to up to three or four terms. For example, even in Vyster's vocabulary, as a dictionary of a narrow field (only for cutting tools) we encounter: *gungë cilindrike me vepim të dyfishtë* (four elements) (Engl. *double-acting cylindrical cam*), *kokë ndarëse indeksuese universale* (Engl.: *universal indexing dividing head*). In a standard of a terminological microsystem (gear wheels) we encounter: *çift rrotash cilindrike me dhëmbë të drejtë me profil evolvent* (seven elements) (Engl.: *involute spur gear pair*).

### Comparison of the terminology of these two subfields

By comparing the terminology of these two subfields in Albanian, mainly composed of the basic terms, with the terminology relevant to English, we can observe different features linked to the time and conditions of formation of each of them. Thus English terminology, formed long ago, presents as more stable and more standardized, while in the Albanian terminology we notice an overload of binaries in it (two or three terms for one concept): (*lëvizje e përshpejtuar*, *lëvizje e nxituar* - *lëvizje përshpejtuar*, *lëvizje e akseleruar*; Engl. *accelerated motion*), lack of forms, such as the expression of two concepts by one term, up to the ambiguity of expression of the concepts by terms, as in: *spostim – zhvendosje* (Engl. *displacement*), *bosht – aks* (Engl. *shaft – axle – axis*), etc. In terms introduced by special subfields these deficiencies are even more striking as: *kolodok – bosht me bërryla – bosht motori – bosht bërrylor* (Engl. *crankshaft*), *bosht me gunga – bosht gungor* (Engl. *camshaft*), which mark the same concept (object).

### The state and problems of further development

The layer of basic terms is important to look at in two directions: as how the real state of the terms of fields on the scope of the degree of systematization, Albanisation and standardization is, therefore, how much qualitative they are and how they respond to the realization of communication in language. As it has been accepted so far, Albanian terminology in special fields is more problematic than the terminology of general theoretical sciences, such as mathematics, physics, chemistry, etc. We observe three cases: To some extent these albanianized terms are included in this field, which is reflected in the choice between English binary terms, such as: *zhvendosje* (Eng. *displacement*) rather than *spostim*, *mbështetje* (Engl. *support*) rather than *stojkë* (term introduced from Russian). In some cases we observe fluctuation, as, for example, the foreign and the Albanian term is used parallel: *distancë* and *largësi*, *uniform* and *injtërajtshëm*, *translativ* and *tejbartës*. In other cases, the attempt to insert albanianized terms is not noticed; which function as such in fields they come from, as: *tejçim* (për *transmetim*), *ndemje* (për *tension* (*sforcim*), Engl: (devising (for broadcast), stress (for tension (strain))). Here we can mention that, in certain cases, a whole range of albanianized terms are not considered which we come across especially in some high school textbooks and which are also reflected in dictionaries as: *trysni* (për *presion*), *barazpeshë* (për *ekullibër*) etc (Eng. *thrust* (for pressure), *balance* (for equilibrium), etc.

### Conclusion

1. All of this base vocabulary appears mainly in the basic subfields of Mechanics, like in the Theory of Mechanics as well as in the Applied Mechanics, in the special subfields, as well as in the subfield of Mechanical Technology, of Automobiles, of heat technology etc., but it connects also with the base fields of knowledge which stands at the foundation of Mechanics, as with mathematics, geometry, physics, chemistry etc.

Precisely this circumstance motivates the focus of study on the base glossary of the field of Mechanics, seen from the comparison's point of view in both languages, resting mainly on two of its ground subfields, on the *Theory of Mechanics* (TM) and on the *Applied Mechanics* (AP).

2. The base terms of this terminology have been viewed from the level of both languages, like in the Albanian language as well as in the English language, taken one by one, as well as compared with one another. It is important to emphasize that



the English Language has been seen with precedence as a Language with an International extend, whereas the terminology of Mechanics in it as a special glossary that serves as a standardization sample not only for the Albanian language, but for other languages as well.

The reliance on the base terms of the field of Mechanics, as well as on the illustrated terminological material, taken from two base technical subfields for the terminology of both languages, as are Theory of Mechanics (TM) and Applied Mechanics (AM), has enabled to extract a range of common sides in both languages (like the connection of this terminology with the vocabulary of the general language, like *dhëmb* (tooth), *zinxhir* (chain), *kokë* (head), the same structures, similar or different term creating on the word or word group level: *nëngarkesë* (undercharging), *bilancier* (rocker), *bjellë* (connecting rod) etc.

3. These handlings have given the opportunity to achieve particular and overall conclusions for each singular language, as well as for both, by relying on their particular and common sides.

4. We, like in Albania as well as in Kosovo and Macedonia don't see the reason of inventing and opening new paths in this field. For this reason, the utilization of the foreign experience turns out useful, which will help us to immerse in the International net of terminology. On this basis we will be solving enough problems of the terminology, and first of all the problem of standardization, the attitude towards foreign terms, the construction of a harmonized terminology with the terminology of the languages with advanced technology, like with the English, German, Italian, Spanish, Russian languages etc.

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## Multiculturalism and Javanese Ways of Behaving as Reflected in Umar Kayam's Works of Fiction

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### Abstract

This study aimed to describe the construction of multiculturalism in Umar Kayam's works of fiction in terms of the forms of multiculturalism, the factors causing multiculturalism and the effects of multiculturalism. This study used sociology of literature approach that sees literature as a reflection of society. There were three short stories and two novels that became the subjects of this study. They were *Seribu Kunang-kunang di Manhattan* (1988), *Sri Sumarah, Bawuk* (1988), *Para Priyayi* (1991), and *Jalan Menikung* (1993). The results showed that (1) the forms of multiculturalism found in Umar Kayam's works are recognition of difference, democracy, justice and equality before the law, cultural values and ethos, unity in diversity, respect for other's ethnicity and nationality as well as religious belief, implementation of cultural philosophy, appreciation of the private and public domain, respect for human rights and freedom to choose culture in a community; (2) the causes of multiculturalism are migration, intra-ethnic and inter-ethnic marriage, occupation, and devotion to somebody/"ngenger", (3) the effects of multiculturalism are reflected in the tolerant nature, respect for individual or group of people, surrendered life, willingness to help others, humility, and respect for religious beliefs.

**Keywords:** Multiculturalism, fiction, Sociology of Literature

### Introduction

Literary work is a literary response to the surrounding world. This is in line with what was stated by Pradopo (1995: 178) that literary work, which is the author's creation as a member of society, is not born in a socio-cultural vacuum. In creating literary works, the author is inspired by the reality of complex life in the surrounding areas (Teeuw, 1980: 11). According to Faruk (1988: 7), literature is a semiotic fact that sees cultural phenomenon as a cognitive system of sign.

Literary works and the reality of life are two social phenomena that are complementary in their selfhood as something existential. This implies that literary work and life, beside having their own autonomy, also have a reciprocal relationship (Mahayana, 2007: 5). The author's point of departure in creating literary works is inspired by the experiences in his/her life. However, it does not mean that every phenomenon can be recorded and later be reported in the form of literature. To produce good literary works, contemplation is needed before interpreting the life phenomena and subsequently articulating them into works of art.

Multiculturalism is assumed as something inevitable and it occurred naturally in a diverse country such as Indonesia. It emerges because of differences but then may result in an appreciation or respect for the differences in the dimension of religion, ethnicity, class, and politics. Multiculturalism is one of the problems in a society and it is a social reality which has already existed since a nation is established. The problem of multiculturalism is not only of concern to the nation but also to the attention of Indonesian authors. Some authors who wrote about multiculturalism issues are: Arswendo Atmowiloto who wrote about the social class relationship between the aristocracy and the labor in the novel of *Canting*, Ahmad Tohari who depicted a society and rural poverty in the village of Karangsoga in the novel of *Bekisar Merah*, Ramadhan KH who wrote about marital problems and religious conversion in the Novel of *Keluarga Permana* and Linus Suryadi AG who told about the surrendered life of an underprivileged named Pariyem in Dalem Suryomentaraman in the novel of *Pengakuan Pariyem*.

Umar Kayam is a prolific author in Indonesia whose works contain social criticism. His works include the duology novels of *Para Priyayi* (1992), *Jalan Menikung* (1999), *Mangan Ora mangan Kumpul* (1990), *Lebaran di Karet* (2002), *Kelir Tanpa Batas* (2001) *Sri Sumarah, Bawuk* (1986), and *Seribu Kunang-Kunang di Manhattan* (1972). Those works contain a lot of multiculturalism issues conveyed subtly but sharply to those in authority over the customs and the society as well as to the

community. Of these works, there are five of them that discuss the issue of multiculturalism, namely *Para Priyayi* (1992), *Jalan Menikung* (1999), *Sri Sumarah*, *Bawuk* (1999), and *Seribu Kunang-Kunang di Manhattan* (1985). Those novels and short stories show that the author has high social sensitivity towards environmental issue and the problems related to it.

This study aims to reveal and describe (1) the forms of multiculturalism in Umar Kayam's works of fiction, (2) the factors causing multiculturalism in Umar Kayam's works of fiction, and, (3) the effect of multiculturalism as reflected in Umar Kayam's works of fiction. Theoretically, this research is beneficial to provide an alternative application of literary theory, particularly the theory of sociology of literature in Indonesian literature, especially novels. Practically, this study provides a basis for appreciating Umar Kayam's short stories and novels that raise the issue of multiculturalism.

## **THEORETICAL REVIEW**

In answering the question of forms, causes and effects of multiculturalism as mentioned in the research objectives, this research used sociological theory of literature and multiculturalism in literature.

### **A. On the Ideology of Characters, the Author's Philosophy, and the Society**

Understanding the characters presented in a novel means reading the author's ideology and philosophy to be conveyed to the reader. This means literature is a way to understand philosophy. The author's ideas and thoughts are delivered through the main characters who carry the message. In other words, literature is a means to understand the "elusive" philosophical thoughts. It is a medium that helps readers understand the abstract language of philosophy (Sutrisno, 1995: 28-29).

There are two points of intersection between philosophy and literature. First, literature can be the raw material of philosophy. Understanding philosophy through life experience by appreciating life reality can be done by using empirical findings, for example using the philosophy of language as the raw material of Linguistics. Besides, people can also understand philosophy by using the experience spoken by authors and artists. Second, the view that philosophy is "difficult and abstract" is a priori. Literature, in fact, can help readers to know about philosophy. It can be a medium of enlightenment for obscure understanding. Through the literary language which is communicative, fresh, and lively, philosophy may mean living a life and appreciating its meaning. When we read works of philosophical literature, such as *Ziarah*, *Kering*, *Koong*, *Adam Marifat*, or *Laki-Laki yang Kawin dengan Peri*, without an adequate understanding of the characters' nature and behavior, we will not be able to interpret their doings.

The emergence of sociology of literature is motivated by the fact that the existence of a literary work can not be separated from the social reality in a society. Damono (1979: 17) stated that in a work of literature, there is always a relationship among the writer, the work and the society. That is a kind of reciprocal relationship. As one approach to literary criticism, sociology of literature refers to the way of understanding and assessing literature that considers social aspects. Since literary work basically presents a picture of life, the life depicted here is mostly based on social reality (Wellek and Warren, 1990: 109).

In its further development, the approach of sociology of literature has many variants, each of which has its own theoretical framework and method. In this case, Junus (1986: 36) divided several kinds of sociology of literature: (1) the one that examines literature as a socio-cultural document, (2) the one that examines the income and marketing of literary works, (3) the one that examines public acceptance of literary works of a particular author and analyses the reasons, (4) the one that examines the socio-cultural influence of a creation of literary works, (5) the one that studies the universal mechanism of art, including literature, and (6) genetic structuralism developed by Lucien Goldmann from France.

The sociology of literature used in this study examined a work of literature as a socio-cultural document which means literature is a reflection of society. A work of literature is considered as an attempt to recreate human relationship with the family, society, politics, religion, and other social institutions because it is possible to be an alternative aesthetic aspect to adapt and it is possible to make changes in a society (Swingewood, 1972: 12),

Sociology of literature discusses a literary work in relation to the society as well. The analysis does not intend to reduce the nature of this imaginative world into facts. Moreover, it also does not mean to transform the nature of facts to the world of imagination (Ratna, 2003: 117).

## B. Multiculturalism in Literature

In the Great Dictionary of Bahasa Indonesia (2005), multiculturalism is defined as a symptom in a person or a society marked by the habit of using more than one culture. Multiculturalism is an ideology that recognizes and magnifies differences in equality, both individually and culturally (Fay, 1996, Jary and Jary, 1991, Watson 2000). In this model of multiculturalism, a society has a culture that is generally depicted in the pattern of a mosaic. This mosaic covers all cultures of small communities to form a larger community (Reed, ed. 1997). This model has actually been used by the founding fathers of Indonesia as a reference to design the so-called national culture, as what is stated in the explanation of Article 32 UUD 1945, which says: Indonesian national culture is the peak of local cultures.

Multiculturalism is not merely a discourse but it is an ideology that should be fought for as it is important to be a foundation of democracy, human rights and the people's welfare. It is not an independent ideology that is separated from other ideologies, and in order to understand and develop it to a larger social life, it requires a set of concepts as the reference. The concepts as the foundation of knowledge should be relevant to and support the existence as well as the function of multiculturalism in human life. This set of concepts must be communicated among experts who have the same view on multiculturalism so that there will be a common understanding and mutual support in fighting for this ideology. Some of the concepts which are relevant to multiculturalism are democracy, justice and law, cultural values and ethos, unity in diversity, ethnicity, ethnic culture, religious beliefs, cultural philosophy, private and public domain, human rights, cultural rights of a community, and other relevant concepts (Fay, 1996, Rex, 1985, Suparlan 2002)

Multiculturalism in literature emerged in the 1960s and has been widely known since the 1970s. It was born in relation to the cultural needs of non-European migrants in the Anglophone countries. In general, it indicates that the birth of multiculturalism was related to the increasing unwanted social and cultural consequences of the huge migration to the countries of Europe, America, and Australia. In the later development, multiculturalism also raised more controversial issues, such as nationalism, aboriginality (in Australia), as well as differences in skin color and religion. (Rahman, 2014)

In Indonesia, the spirit and principles of multiculturalism are clearly needed but by considering the Indonesian context. In this country, social grievances related to ethnicity happen frequently in several places, such as Mandura-Dayak ethnic quarrels in Sampit and Sanggau Ledo Regency in Central and West Kalimantan, residential combustion of Gafatar in West Kalimantan, and even forced eviction done by the local residents of Sampang Madura. There is no guarantee that such outbreaks will not happen again because people of Indonesia are still very vulnerable to be provoked by group sentiment (ethnic, religious, social, political, etc. ). This vulnerability is partly supported by a dim and poor view about diversity. Therefore, it is a must to continuously handle the cultural pluralism in our country by exploring the sources that will ensure the unity of the people.

In relation to multiculturalism, using the works of literature as a showcase of the Indonesian cultural diversity has been in line with the spirit of multiculturalism. It enables minor cultures to be equivalent to the major ones without mixing them. Thus the culture of Minang, Acehese, Javanese, Betawi, Sundanese, Balinese, Dayak and many others still look different and are, in fact, different. However, they are equal.

Indonesian literature has provided deep dimension upon that diversity by exploring and questioning the traditional problems related to the ethnic cultures of Indonesia. There are some similarities between the issues of multiculturalism presented in Indonesian literature and in the reality, such as different religions in the novel of *Keluarga Permana* written by Ramadhan KH (1970) and Duology *Para Priyayi* (1990) and *Jalan Menikung* (1994) by Umar Kayam. In *Keluarga Permana*, Farida, the daughter of a very religious Islam family, must marry a Catholic, FX. Sumarto. Similarly, the marriages between Hardjoko and Nunuk as well as Eko and Claire are also those of different religions. Eko who is raised in a family of Islam *Abangan* (the syncretic version of Islam) retains his religion after his marriage to Claire from a Jewish family.

The issue of multiculturalism is not merely a question of interreligious relations but it also includes the problem of cultural migration and personal problem of striving for freedom. This happens in the story of Bawuk (1970) from an aristocratic family who strives to free herself from the noble tradition and mingles with the grassroots. She has to leave her family to marry Hasan, a communist.

Intersection of cultures, religions, ethnicities in literary works needs to be opened up by creating a new perspective, namely intersection of ethnic cultures. What are the problems that may arise if the Javanese culture intersects with Western Catholic culture? How does Sundanese culture view the culture Catholic or otherwise, where they are different from each other in

all respects? How does Javanese culture regard some cultural change? Indonesian literature on multiculturalism can answer all of those questions.

### Methods

This research used content analysis with the following procedures (1) recording, (2) data reduction, and (3) inferring. The subjects of this research were three short stories and two novels representing literary works on multiculturalism. They were *Seribu Kunang-Kunang di Manhattan* (2002), *Sri Sumarah* (2001), *Bawuk* (2002), *Para Priyayi* (1991), and *Jalan Menikung* (2002).

### Results and Discussion

The results showed that (1) the forms of multiculturalism found in Umar Kayam's works are recognition of difference, democracy, justice and equality before the law, cultural values and ethos, unity in diversity, respect for ethnicity, nationality and religious belief, implementation of cultural philosophy, appreciation of the private and public domain, and respect for human rights; (2) the causes of multiculturalism are migration, intra-ethnic and inter-ethnic marriage, occupation, and devotion to somebody/"*ngenger*", (3) the effects of multiculturalism are reflected in the tolerant nature, respect for individual or group of people, surrendered life, willingness to help others, humility, and respect for religious beliefs.

#### 1. The Forms of Multiculturalism in Umar Kayam's Works of Fiction

Understanding the works of Umar Kayam, both the short story and the novel, particularly the two short stories entitled *Sri Sumarah* and *Bawuk* collected in the form of short story anthology of the same title, a short story of *Seribu Kunang-Kunang di Manhattan* and two duology novels entitled *Para Priyayi* and *Jalan Menikung* is like reading what is in the mind of the author who was a multiculturalist. Umar Kayam, a multiculturalist, academic, as well as a cultural and culinary connoisseur, also wrote down his experiences in literary works in cross-cultural, interfaith, and even across civilization dimensions.

Understanding Umar Kayam's life through his works can be started from the story of his adventures in New York in the short story entitled *Seribu Kunang-Kunang di Manhattan* through Marno, the main character who is innocent yet proud of the culture of his village, and Jane, who lives a metropolitan life with all the freedom she has. Marno, a villager who studies in metropolitan New York has to face the reality of free relationship between men and women that lead to infidelity. The affair ends without violence and coercion, and still, there is an element of faith in his life.

Through *Sri Sumarah* in the short story entitled *Sri Sumarah*, Umar Kayam depicted a character of Javanese woman whose husband is dead and she has to work as a masseur with the risk of delinquent behavior of her customers and she has to raise her daughter as a single parent. She also must surrender because her daughter is married to a communist activist; yet, she always helps and protects them.

Through *Bawuk* and her mother, Mrs Suryo, in the short story entitled *Bawuk*, Umar Kayam portrayed a Javanese female character who should be able to face the fact that what her youngest child chooses is different from her choice. *Bawuk* chooses to follow her husband, Hasan, who is a communist and she entrusts their children to her mother, Mrs. Suryo. Although she is raised in an aristocratic culture, it does not make *Bawuk* behave as a noble woman like her older brothers and sisters.

Lantip as the main character in the novel of *Para Priyayi* could change his life to become a member of aristocracy. His original name is Wage. He is a child of infidelity between Ngadiyahem and Soenandar, a noble man. Wage can be an aristocrat because his father is a noble man and he grows up in an aristocratic culture in the family of Sosrodarsono. The way he thinks and behaves resembles those of the Sosrodarsono family. As he is a smart boy (read: Lantip) and he learns a lot, these make him a successful person.

Harimurti, Eko, Lantif, the family of Levin Alan Bernstein and Claire are characters that bring multiculturalism and appreciation without having to convert somebody's faith or beliefs. Eko remained a Muslim although he marries the daughter of a Jew. Similarly, Kevin Alan Bernstein greatly appreciates the choice Eko makes. The issue of interfaith marriage, the problem of having no child in a marriage, and criticism or satire about religious belief are addressed wisely by those characters.

## Recognition of difference

Differences in personality, politics, faith or religious belief, and respect for diversity become an interconnected link among those works of fiction. In terms of social status, there are different views about 'aristocracy' between parents and their children, as what happens between Bawuk and her parents in the short story entitled *Bawuk* and between Tun and her parents in the short story of *Sri Sumarah*. Bawuk, as the youngest child of a family with high position in the society, looks different from her brothers and sisters. She mingles with maid and the underprivileged and leaves her big family to marry Hasan, a communist. Similarly, Tun also marries a communist activist, Yos. Then, both Bawuk and Tun become fugitives.

Nevertheless the strong disagreements between parents and children do not change the love of Bawuk's mother to her child when Bawuk becomes a fugitive, and it happens as well in Tun's life. The following excerpt shows the love of Mrs. Suryo to Bawuk.

*"Wuk, ati-ati, Nduk. Kau cari Hassan sampai ketemu, ya?" (Bawuk, page 121).*

"Be careful, Sweetie. Go till you find Hassan. "

In his works, Umar Kayam also provided freedom for the characters to choose their husband or wife by marrying a woman from different religion or even that from abroad. Hardjojo is married to Sus who is from a Catholic family in the novel of *Para Priyayi*. Eko is married to Claire from a Jewish family without leaving Islam. So is Sudarsono who is paired with Siti Aisah as well as Lantip, a Javanese, who is paired with Halimah, a woman from Padang. On marital issue, Umar Kayam talked about multiculturalism that permeates problems of culture and religion. However, the fact today shows that someone can not get married to his/her partner who is from different religion and it has been strengthened by the government regulation.

*Waktu usia Lantip hampir 45 tahun, barulah dia berani melangsungkan perkawinan dengan Halimah, tunangannya yang sudah sekian tahun lamanya itu. (Jalan Menikung, page. 14)*

When Lantip was almost 45 years old, he just had the courage to marry Halimah, his fiancé who had been with him for many years.

*Maka pesta perkawinan Claire dan Eko terjadilah. Perkawinan sipil, bukan perkawinan agama (Jalan Menikung, page. 71).*

Finally the wedding of Claire and Eko came true. It was a civil marriage, not the religious one.

## Maintaining Harmony

This aspect refers to living in solidarity despite the different social classes, religious beliefs, nationalities, and even politics. Bawuk as the daughter of an *Onder*, patrician official in an estate, gets along with the servants and the people of the village. In addition, Sri Sumarah, who already knows that her son-in-law is a communist, prefers to live with him at the same home. Hardjojo can also live in harmony with the Catholic family of *Dik Nunuk*. Moreover, Eko and Claire are close friends although they are from different religions and different countries. They even get married even though it is done only in a civil registry.

The following excerpt shows how readers can learn the sense of togetherness despite some differences. In Indonesian ideology, it is called *Bhineka Tunggal Ika* (Unity in Diversity).

*"Tiduran di balai-balai dengan seorang bediende, main-main dengan anak-anak desa di belakang kandang kuda adalah bukan kebiasaan yang baik buat seorang anak onder..." (Bawuk, hlm. 86)*

Lying on the couch with a servant and playing with the village kids behind the stables is not a good habit for a child of an *onder*...

*"Begitulah hubungan kami semakin rapat dan mesra. Rumah Madiotaman semakin lebih terasa sebagai rumah saya. Bahkan kadang-kadang saya menginap pula di rumah itu, tidur di kamar adik-adik Dik Nunuk. " (Para Priyayi, page 144)*

That's how our relationship was getting close and intimate. I felt like Madiotaman home is my home. Even I sometimes also stayed in the house, sleeping in the room of *Dik Nunuk*'s siblings.

*"Ah aku tetap jadi orang Indonesia asal unsur Jawa saja. " Mereka lantas tertawa bersama (Jalan Menikung, page 20). Eko tetap sebagai orang Jawa dan Islam walaupun ada di budaya Barat dan akrab dengan keluarga Yahudi.*

“Ah, anyway, I want to be an Indonesian with Javanese origin.” Then they laughed together. Eko remained a Javanese and Muslim although he was in the Western culture and lived with a Jewish family.

Those indicate that the vertices of harmony can be maintained, despite some differences in attitudes, religious orientations or beliefs. Even Lantip, the main character in the novel of *Para Priyayi* and *Jalan Menikung*, always emphasizes respect for other ethnicities.

#### The Relation between Aristocracy and the Underprivileged

Within his works, Umar Kayam portrayed a good relationship between the aristocracy and the grassroots. It is seen from the relationship between Bawuk and her servants, Sastrodarsono and Lantip as well as his mother, the aristocrats in Wanagalih and the underprivileged in Wanalawas, or Eko, the Indonesian student in New York, and Prof. Levin. Those all show a good relationship between those in high social class and the lower class people. Moreover, such relationship brings another good effect by developing somebody's virtue such as helping others. Those who are rich help the poor; those of high intellectuality educate the less intellectual ones by building a school in Wanalawas as what is done by a rich man, Sastrodarsono.

The attitude to always willingly help and respect others is done both by the aristocracy and the underprivileged. The Sastrodarsono family willingly helps his niece and nephews to stay in *Setenan* (Sastrodarsono family residence) although his own nephew, Soenandar, betrays him by doing a rape and robbery. In another story, Sri Sumarah willingly sells her land to celebrate the wedding of his youngest daughter, Tun, although the wedding ends tragically because Tun's husband, Yos, is a communist and a fugitive.

#### The implementation of Cultural Philosophy

This aspect means believing Javanese philosophy and implementing it in facing problem of personal life and in ruling the nation. On the issue of marriage, Sri Sumarah said that her soul mate has been decided by God (*sing wis pinasthi*). Other cultural expressions are *Memayu Hayuning Bhawana* (preserving the beauty of the world) as what is said by Pakde in the novel of *Para Priyayi*, *Mikul duwur lan mendhem jero* (respecting parents while they are alive and after their deaths), and also *nglumpukke balung pisah* (gathering scattered bones or gathering separated family members) as what is said by Tommy in the novel of *Jalan Menikung*.

There are some Javanese lexicons used by Umar Kayam in the novel *Para Priyayi*. Some of them are spoken by Sastrodarsono, such as *mbanyu mili* (go with the flow), *kencana wingka* (gold and diamond look like earthenware), *melik nggendong lali* (excessive desire will make people arrogant), *sangkan paraning dumadi* (human will go to the place he was originated; or to God is where the human go after life. ), *mampir ngombe* (life is so short), etc. In addition, there are still other cultural expressions as stated by Rama Dokter *cegah dhahar lawan guling* (eat less, sleep less), the one said by Noegroho *inggih, inggih mboten kepanggih* (saying 'yes' but does not really know what it means), and the one spoken by Siti Aisyah, the wife of Soedarsono, *garwa, sigarane nyawa* (spouse is half of our life).

Here some sentences containing Javanese philosophy found in the works Umar Kayam.

*Sebaliknya, kami mengambil inisiatif ini justru untuk menegakkan prinsip mikul duwur mendem jero (Jalan Menikung, page 46)*

Instead, we took the initiative to establish the principle of respecting our parents while they are alive or after their deaths.

“Ooh, sinyo Amerika. **Balung pisah** itu artinya semua sanak keluarga yang sudah lama tidak bertemu dan berkumpul dikumpulkan kembali untuk silaturahmi.” (*Jalan Menikung, page 127*)

“Ooh, you're an American. Scattered bones mean all relatives who we have not seen for a long time and they reassemble for gathering.”

“... Dan pada waktu Sumarto sudah duduk berhadapan dengan Sri, makin yakinlah Sri bahwa dialah jodoh yang sudah tersedia --- jodoh **sing wis pinasti**, kata orang Jawa lagi.” (*Sri Sumarah, hlm. 11*)

“...And when Sumarto already sat face to face with Sri, the more Sri assured that he was the husband that has been provided --- the one chosen by God, as what Javanese people said.”



## 2. The Causes of Multiculturalism

As what is found in the works of Umar Kayam, multiculturalism is caused by cultural experience, religious experience, and life experience. Cultural experience is motivated by migration from one village to another village, from one town to another town, and even from one country to another country. This movement will result in forming tolerance and appreciation of diversity. Other factors causing the rise of multiculturalism are inter-ethnic, inter-religion, and inter-nation marriages, choice of occupation, and "ngenger" or staying with aristocratic family or with people who have a higher social class.

Marriages that lead to multiculturalism are those of Bawuk, from aristocratic family, and Hasan, a communists; Tun, an educated woman, and Yos, a communist activist; Sudarsono and Aisah; Hardjojo and Soemini, who is a Catholic; Eko and Claire, who is from a Jewish family. The last two marriages mentioned above are those of different religions. However, they do not change the Islamic life of Hardjojo and Eko. They still believe in the Shahada although they are married to a Catholics and a Jews.

Choice of work can also lead to the rise of multiculturalism. Various occupations are attached to some characters, such as Tuan Suryo as an *Onder* (the head/director of an estate during Dutch colonialism), Hasan as a communist activists, Lantip's mother who is a *tempe* seller, Satrodarsono as a skilled teacher in a village school, Atmokasan as a farmer in the village of Kedungsimo, Martodikromo as a village farmer and a foreman in a sugar factory, Mukaram as a seller of opium, Raden Harjono as a skilled police who helps the government, Soenandar as a robber, Noegroho who is a state company director and the director general of the department of trade, Lantip who becomes a lecturer, Harimurti as a reporter and also Eko who is a deputy of assistant director. The relationship among people of those different professions results in the emergence of multiculturalism.

*"Sebagai onder teladan yang dikasihi oleh bupati dan wedana, karena prestasi kerjanya yang tinggi, dan demikian juga harus menjaga gengsinya dengan sebaik-baiknya, ayah Bawuk sesungguhnya tidak seberapa setuju melihat kecenderungan "bohemian" anaknya itu." (Bawuk, page. 86)*

"As an exemplary onder beloved by the regent and district officer because of his achievement, and as he must maintain his prestige as much as possible, actually Bawuk's father does not really agree with the "bohemian" orientation of his daughter."

*"Sejak malam itu Sri telah menetapkan namanya sebagai tukang pijit." (Sri Sumarah, page 51)*

*Since that night, Sri has established her name as a masseur."*

*"Hubungan Embok dengan keluarga Sastrodarsono di Jalan Setenan itu dimulai dengan penjualan tempe." (Para Priyayi, page 11)*

"The relationship between Embok and the family of Sastrodarsono in Jalan Setenan began on selling the tempe."

## 3. The Effects of Multiculturalism

The effects of multiculturalism in Umar Kayam's works of fiction are indicated by the tolerant nature that respects individual differences, surrendered life, willingness to help others, humility as well as freedom in the choice of religious beliefs. In the novel of *Para Priyayi*, Lantip has to let his mother who died because of eating poisoned mushrooms go; Mrs. Suryo willingly let her beloved youngest daughter go to find her husband who is a communists and she loves her grandchildren by providing them a good religious education. After the death of her husband *Mas Marto*, Sri must carry out the work as a masseur with all the risks of facing delinquent behaviors of her customers. Likewise, she was willing to lose everything for her daughter's education and marriage.

The following excerpts indicate the humility of the characters.

*Bawuk enak-enak main di belakang kandang kuda, makan tebu dengan anak mandor tebu yang sering main dengan anak Sarpan. (Bawuk, page 85)*

Bawuk enjoyed playing behind the stables, eating sugar cane with the foreman's child who often played with Sarpan's child.

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"Ngoro Guru Kakung kelihatan akrab betul mengobrol dengan mereka seperti mereka itu orang-orang yang sudah lama ia kenal." (Para Priyayi, page 28).

"Ngoro Guru Kakung looked really intimate in chatting with them as they were people who he had known for so long."

*Baju dan celananya nampak mewah, mahal, dan modis. Meskipun begitu di tengah-tengah paman-pamannya di kamar kerja bapaknya itu Bambang tampak sopan, rendah hati, tidak sok, dan murah senyum (Jalan Menikung, page 44)*

His shirt and pants seem luxurious, expensive and fashionable. Nevertheless with his uncles in his father's working room, Bambang was polite, humble, not pretentious, and full of smile.

### Conclusion

The forms of multiculturalism found in Umar Kayam's works of fiction are recognition of difference shown in both attitude and actions, maintaining harmony, relationship between the aristocracy and the underprivileged as well as the application of Javanese philosophy in real life. The factors causing multiculturalism are cultural knowledge, migration from village to town, from one city to another city and even from one country to another country. Other motivating factors are inter-ethnic, inter-religion, or even inter-nation marriage, choice of occupation and "ngenger" or staying with a family of high social status. The effects of multiculturalism are reflected in the tolerant nature, respecting other individual or group of people, surrendered life, willingness to help others, humility, and respect for religious beliefs.

### Suggestion

The forms of multiculturalism in literature can be implemented in the practice of character education. The values of multiculturalism that can be developed into teaching materials are recognizing differences, maintaining harmony or being tolerance by respecting other religious beliefs, building relationships between those from high class society and the underprivileged, willingness to help others and practicing Javanese philosophy in real life.

Understanding the causes of multiculturalism, such as migration, will provide an insight about environment and human behavior. The occurrence of inter-ethnic, inter-religion or inter-nation marriages may arise people's understanding about different religions, ethnicities and countries. Various kinds of occupation provide opportunities for people to build a positive attitude of tolerance. The opportunity to do "ngenger" in a high class family (either in social or education level) will form a pattern of multiculturalism, i. e. mingling with others.

Understanding multiculturalism and its contributing factors will result in the nature of being tolerant, respecting others, surrender to God, helping others, and humility. Therefore, multicultural features need to be transferred in a work of fiction, particularly through the main characters in Umar Kayam's work of fiction.

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## The Role of Psychological Empowerment and Organizational Citizenship Behaviors on Employee Resistance to Change

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### Abstract

In today's competitive business world, change is *inevitable* for organizations. During an organizational change, the toughest challenge of organizational leaders is to manage employee resistance to change. It is well established in literature that employee *resistance* is *one* of the leading *causes* for the *failure of organizational change efforts*. The purpose of this paper is to explore the impact of psychological empowerment and organizational citizenship behaviors on employee resistance to change. It also investigates if psychological empowerment can be used as a human resource management strategy during a planned change in order to increase commitment to change. The study took place in Turkey in a private company which went under a strategic organizational change recently. Survey collection from employees and interviews with two human resource managers were the main tools in collecting information. The results from 85 respondents showed that both psychological empowerment and organizational citizenship behaviors have significant negative influence on employee resistance to change. The interview results showed that through psychological empowerment, employees were more involved in change process, took active role in decision making and were more committed to the change. The implications of the study can be used by organizational change practitioners to maintain employees' positive reactions to change by considering psychological empowerment and organizational citizenship behaviors as a tool to lower the level of resistance.

**Keywords:** Psychological empowerment, organizational citizenship behaviors, employee resistance to change, commitment to change

### Introduction

Organizational change has been a major business trend in today's business environment. Change is a need, in some cases a must for an organization. It is complex, challenging and requires intensive effort and time. The main goal to change is to make the organization more effective and efficient in performance and increase its competitive advantage. A great deal of articles and books have been written about change management to provide the answer to successful organizational change. However, organizational change is an extremely difficult in practice, as over 70 percent of organizational change efforts either fail or underperform (Burke, 2011; Cinite et al., 2009). There are many reasons why *organizational change* efforts do not reach their objectives, but employee resistance is often cited as one of the most leading causes for the failure of change initiatives (Bovey & Hede, 2001). In a study of 288 companies who shared lessons and best practices in change management, Creasey found that the top obstacle to change was employee resistance at all levels (Haslam & Pennington, 2004).

Resistance is expected in change management. There is a human tendency to resist change, because it forces people to adopt new ways of doing. Resistance is a natural response to a perceived threat of personal loss. The most common beliefs about resistance are that it is harmful, as it introduces costs and delays into the change process (Ansoff, 1990), and cause lowered morale and disruptive work environment. Employees' resistance is destructive, as it has significant negative effect on essential work behaviors such as employees' organizational commitment, job-satisfaction and positive relationship with intention to leave their organizations (Oreg, 2006).

Resistance to change is critical barrier to the success of the changes; however, with proper change management and leadership, resistance to change can be minimized, even avoided. This can be achieved by engaging employees in the early stage of change process. Capturing and leveraging the passion and positive emotion surrounding a change can many

times prevent resistance from occurring (prosci. com). This can be achieved through employee empowerment and organizational citizenship behavior.

Psychological empowerment refers to a set of psychological states that are necessary for employees to feel a sense of control in relation to their work. It is mainly about how employees experience their work and their role in relation to the organization (Spreitzer, 2007). Empowerment is a management strategy that has been touted by practitioners and researchers as one of the answers that organizations need to meet the challenges of the current business environment, especially in the context of turbulent and dynamic changes. Empowered people are motivated by knowing that they possess the power to produce changes or have the ability to influence the environment within which they are embedded (Chan, 2003). Empowered employees can change the organization to a learning one in such a way that it increases its capabilities continuously and achieve its desired results.

Organizational citizenship behavior is another antecedent that has impact on resistance, as it expresses employee loyalty and identification with organizational goals (Chahal & Mehta, 2010). Additionally, organizational citizenship behavior is another concept which organizations require to survive in the challenging and competitive environment of the contemporary age. If employees work in their own organization as good organizational citizens, they can help their organization to be more competitive and change it into an ambiance full of trust and motivation (Bagheri, Matin & Amighi, 2011). As working under changing circumstances becomes an essential feature of organizations (Lee, Dendrick, & Smith, 1991), organizations will necessarily become more dependent on individuals who are willing to contribute to successful change, regardless of formal job requirements (Somech & Drach-Zahavy, 2004: 281). Behaviors that exceed delineated role expectations, but are important and even crucial for an organization's survival are defined as organizational citizenship behaviors (Brief & Motowidlo, 1986; George, 1990).

In this research, the impact of psychological empowerment and organizational citizenship behavior on employee resistance to change is investigated. This study is important, because the need to understand the effect of resistance has increased significantly in private industries and government organizations over the last decade because of globalization, fast-changing markets and economic developments (Piderit, 2000). Additionally, while much attention has been given to such perspectives and how to overcome resistance to change, the role that positive employees may play in positive organizational change has been largely ignored (Avey & Wernsing, 2008). Therefore, any study that evaluates resistance may provide an important point of reference to understand the variables that support organizational change and it will help change agents and practitioners to create the appropriate interventions to minimize employees' resistance.

## Literature review

### *Employee resistance to change*

Resistance to change is defined as the pattern of organizational behavior that decision makers in organization employ to actively deny, reject and refuse to implement, repress or even dismantle change proposals and initiative. Resistance is the resultant employee's reaction of opposition to organizational change (Folger & Skarlicki 1999). Resistance can be attitudinal and behavioral responses to change. Attitudinal resistance to change would entail a psychological rejection of the need for the change, whereas behavioral resistance would be represented by behaviors that reflect an unwillingness to support the change or unwillingness to stay with the organization through this tumultuous time (i. e. lack of commitment to change) (Chawla & Kelloway, 2004).

In literature, there are many different factors that have been commonly identified as causes of resistance to change. Change starts with the perception of its need so a wrong initial perception is the first barrier to change (Pardo Del Val & Fuentez, 2003) such as inability of the company to look into the future with clarity and denial or refusal to accept any information that is not expected or desired (Kriger, 1996), communication barriers, that lead to information distortion or misinterpretations (Hutt, Walker & Frankwick, 1995). Other reasons may be listed as a low motivation for change (Pardo Del Val & Fuentez, 2003), mistrust of management, a fear of failure/unknown, loss of status or job insecurity, and peer pressure (Kreitner & Kinicki, 2004)

An overview of the literature reveals that resistance to change has more negative consequences than positive ones for employees and organization. It is a key variable affecting change decisions and outcomes and also it might lead to a failure of organizational change (Regar et al., 1994). Resistance can lead to dysfunctional behavior, such as withdrawal (Abramson et al., 1978), decrements in performance (Bazerman, 1982), and acting out (Galphin, 1996). Resistant behaviors, employees can engage in a work slowdown, loose of loyalty to the organization and motivation to work. The number of

absenteeism, errors and mistakes increase (Robbins, 2003). A recent study also found that resistance to change was related to lower levels of job satisfaction and intentions to quit (Wanberg & Banas, 2000). Resistance often results in politics or political behavior (Kotter & Schlesinger, 1989).

#### *Commitment to change*

Employee commitment to change is extremely important for an organization that is embarking on a change program (Michaelis et al., 2010). Herscovitch & Meyer (2002) define commitment to change as a force (mind-set) that binds an individual to a course of action deemed necessary for the successful implementation of a change initiative. Employees with a high commitment to change are not passive, but active in implementing the change program (Fedor et al., 2006). Commitment to change shows that people may have various motivations to support a change (Herscovitch & Meyer, 2002). Some employees are committed to their organization because they love what they do, or because the organizational goals are in the same line with their own goals. Other employees might be afraid of the things they lose when they quit working or feel obligated to the organization, or to their manager. In the three-component model of commitment (Meyer & Allen, 1991) are three components of commitment distinguished: affective commitment, continuance commitment, and normative commitment.

It can be predicted that there is a strong correlation between psychological empowerment and commitment to change. Study done by Malik et al. (2013), Hashmi and Naqvi (2012), Ambad (2012), Dehkordi et al. (2011) have stated that psychological empowerment has correlated with organizational commitment. Based on the findings from Rashid and Zhao (2010), and Mangundjaya (2013) showed that organizational commitment had positive and significant correlation with commitment to change. It can be assumed that psychological empowerment has positive and significant correlation with commitment to change.

#### *Organizational citizenship behavior (OCB)*

OCB refers to "those organizationally beneficial behaviors and gestures that can neither be enforced on the basis of formal role obligations nor elicited by contractual guarantee of recompense" (Izhar, 2009). Organ (1988) defines OCBs as "individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system, and that in the aggregate promotes the effective functioning of the organization. OCBs have 5 dimensions. Altruism is mainly about helping behaviors which is advantageous for the organization (Organ et al., 2006). Conscientiousness consists of behaviors that go well beyond the minimum role requirements of the organization (Law, Wong & Chen, 2005). These behaviors indicate that employees accept and adhere to the rules, regulations, and procedures of the organization. Civic virtue can be demonstrated on a larger scale by defending the organization's policies and practices when they are challenged by an outside source. Courtesy is about preventing problems from arising. Finally, sportsmanship is defined as a willingness on the part of the employees that signifies the employee's tolerance of less than ideal organizational circumstances without complaining and blowing problems out of proportion. More importantly, it is the ability to roll with the punches even if they do not like or agree with the changes that are occurring within the organization.

In an organizational change context, OCB can act like an informal psychological contract for instance through sportsmanship by demonstrating tolerance of less than ideal circumstances without complaining (Omer & Umut, 2007) in most case, change is considered as unexpected or less preferable and also through civic virtue by participating in organizational practices with the concern of the life of the company such as change. In change process, employees with high OCBs will be willing to follow the rules, and directions of change agents, more collaborative and less conflict oriented. Based on Chernyak-Hai and Tziner's findings (2012) OCB remained the only significant predictor of openness to organizational change which indicates willingness to support change and positive affect about its possible consequences (Wanberg & Banas, 2000). Therefore, the following hypothesis is derived:

Hypothesis 1: OCB is negative related to employee resistance to change.

#### *Psychological empowerment*

Psychological empowerment is about psychological states that produce perception of empowerment in the workplace (Rahman, Panatik & Alias, 2014). Researchers, such as Yukl and Becker (2006) and Conger and Kanungo (1988), have defined psychological empowerment as workers' influence in decision making processes that are most commonly associated with four factors: meaningfulness, competence, choice, and impact. These factors may help make workers feel

more motivated and in control of their workplace environment. Empowerment offers the potential to positively influence outcomes that benefit both individuals and organizations (Liden & Tewksbury, 1995).

It has four dimensions. Meaning involves a fit between the needs of one's work role and one's beliefs, values and behaviors (Hackman & Oldham, 1980). Competence (self-efficacy) is an individual's belief in his or her capability to perform task activities skillfully. Self-determination is a sense or autonomy of choice in initiating and regulating one's actions. Impact is the degree to which an employee can influence strategic, administrative, or operating outcomes at work (Spreitzer, 2007).

Empowerment is an important construct in change management. In the literature of change management and resistance, the proposed ways by different authors for overcoming resistance to change are collectively expressed in different words like participation and empowerment (Kotter & Schlesinger 1979; Mabin & Forgeson 2001; Chawla & Kelloway, 2004). Psychological empowerment management practices represent an important contextual buffer against the negative effects of dispositional resistance to change. Psychological empowerment (Spreitzer, 1995) is important concept to consider when dealing with changes at work and improving performance. Psychological empowerment increases employees' sense of personal control and motivates them to engage in work, which in turn results in positive managerial and organizational outcomes (Quinn & Spreitzer, 1997). Main reasons for resistance are feeling excluded from the process and **lack of competence**. By psychological empowerment, employees are allowed to be part of the change, and they can influence the outcome. Psychological empowerment can enhance employees' decision making in change process by giving them increased participation, authority, freedom and information. Lastly, psychological empowerment translates into increased productivity and efficiency, increasing their ability to adapt to change and be more responsive to transforming workplace issues (Lin & Tseng, 2013). In summary, this research proposes the following hypothesis:

Hypothesis 2: Psychological empowerment is negative related to employee resistance to change.

## Methodology

### *Participants*

With convenience sampling method, participants completed the study's instruments on a voluntary basis. The participants who volunteered to take part in the study were 85 employees (47 men, 38 women; mean age=37.68) in a private company in Istanbul. They had a mean of 13.5 years of work experience and 7.3 years at their existing organization. 60% of the participants (N=51) had managerial duties, whereas 40% (N=34) did not have a managerial duty basically working at the clerical level. They all have bachelor's degree; 54 employees also have a master degree.

### Instrument

The questionnaire used in this study was 3 pages long and included three sections. Section one was the cover page explaining the purpose and the nature of the study. Section two included demographic questions such as age, gender, tenure track, and position. Section three included 52 questions of measures of psychological empowerment and organizational citizenship behaviors and employee resistance to change. All questions were translated into Turkish for semantic and syntactic equivalence by two research associates. Resistance to change was measured by Oreg (2003) 16-item scale. The 16 items cover four dimensions: routine seeking, emotional reaction, short-term thinking and cognitive rigidity. The Cronbach's alpha reliability was 0.85. The response scale ranged from 1 (strongly disagree)-7 (strongly agree). Spreitzer (1995) 12-item scale was used to measure psychological empowerment. The measure comprises four dimensions: competence, meaning, self-determination and impact. The Cronbach's alpha reliability was 0.93. Responses ranged from 1 (completely disagree)-5 (completely agree). To measure employees' OCB Organ's questionnaire (1988) was used. Twenty-four items were used based on five main dimensions (altruism, courtesy, conscientiousness, sportsmanship, and civic virtue). The Cronbach's alpha reliability was 0.87. The response scale ranged from 1 (strongly disagree)-7 (strongly agree).

### Findings and Results

To test the impacts of model variables, factors were computed and the reliability analyses were done to all of the factors by SPSS 21.0 version. In order to determine the factor structures of variables, the principal components analysis, method of factor analysis with Varimax rotation was used. Each step was conducted on one-item-at-a-time basis by discarding any item with a factor loading of less than .50, or which loaded to more than one factor with a .10 or less difference, or that singly loaded on a factor. Those factors with Eigenvalues of 1.00 or more were taken into consideration in total variance

explained. The internal consistencies of the scales were calculated by Cronbach's Alpha and the factors with Alpha values of .70 were considered to have sufficient reliability.

The analysis starts with designating the descriptive statistics for demographics in order to provide an overall picture of the sample. Table 1 includes descriptive statistics of the participants.

Table 1. Sample Characteristics of Participants

Variable	Group	N	Percentage
Age	up to 30 years	12	14.1
	31 to 40 years	48	56.5
	41 to 50 years	20	23.5
	51 to 60 years	5	5.9
Gender	male	47	55.3
	female	38	44.7
Overall work experience	up to 10 years	26	30.6
	11 to 21 years	45	52.9
	21 and up	14	16.5
Job position	non managerial	34	40
	mid-level management	32	37.6
	senior level management	19	22.4

To test Hypothesis 1, a simple regression analysis was conducted to examine the contribution psychological empowerment to employee resistance to change. The results showed there *is significant negative* relationship between these two variables ( $\beta = -.39$ ,  $p = .001$ ). To test Hypothesis 2, a simple regression analysis was conducted to examine the contribution organizational citizenship behaviors to employee resistance to change. The results showed there *is significant negative* relationship between these two variables ( $\beta = -.34$ ,  $p = .000$ ).

In order to investigate the impact of psychological empowerment as a human resource management strategy during a planned strategic change to increase commitment to change, two interviews were made with human resource division managers separately. 12 questions were asked in total. The answers were based on managers' perception about employees' commitment, as there was no quantitative information about this variable. Based on the answers, the findings were: psychological empowerment gave freedom to employees to be a part of change process. Empowered employees feel a strong sense of ownership for the planned change. Employees felt powerful and confident in decision making especially when the decisions were about their daily task and routines part of change plans. Managers used open communication channels to receive feedback from their employees on a regular base and evaluated the impact of psychological empowerment. Compared with previous experiences, managers believed that employees felt less stressed, more motivated, as employees did not feel like they were forced to change.

## Conclusion

Today's fast-moving environment requires organizations to undergo changes almost constantly (Jones & Brazzel, 2006; Kotter, 2010). Managers and change agents want these changes to succeed and therefore, do anything in their power to achieve this goal. By implementing a change, no matter what size it is, every organization should expect to meet some level of resistance from employees. To reduce this resistance and the negative reactions from within the organization, it is useful and more importantly a need for organizations to know more about the reasons why employees resist. Because of that, the topic of change and resistance is well acknowledged in the literature and is one of the great themes in the social sciences (e. g. Cummings & Worley, 2014; Thompson, 2011).

Organizational scholars and practitioners alike have argued that if organizations are to flourish in the volatile global environment and meet the concomitant challenges of geographic dispersion, electronic collaboration, and cultural diversity, they must become more knowledge intensive, decentralized, participative, adaptive, flexible, efficient and responsive to rapid change. Muir (2014) found that this can be achieved through methods of increasing employee participation and empowering more employees to make decisions. The involvement and participation increase ownership and commitment to change, and fosters the work environment in which employees are motivated and contributing. It is well established in

literature that one of the ways to reduce resistance is to build positive and trustworthy relationship with employees to increase commitment. This can be also reached by psychological empowerment.

Widespread interest in psychological empowerment comes at a time when global competition and change require employee initiative and innovation (Drucker, 1988). Despite of cultural and organizational differences, previous research which found that individual factors specifically employee empowerment support individual readiness for change. (Rafferty & Simmons, 2006; Lam, Cho & Qu, 2007). In this study, it was found that the employees with psychological empowerment show less resistance to change. Empowerment increases employees' participation level in the decision making process, which means encouraging employees to participate more actively in the change. In summary, there is consensus among academics that to introduce change successfully, managers often need to gain the support of employees. To do so, they are advised to use practices that empower employees (Tesluk, Vance, & Mathieu, 1999; Morgan & Zeffane, 2003).

Today, changes in organizational environments, their resultant innovations, and flexibility are emphasized, which necessarily calls for voluntary behavior from members of an organization. Accordingly, an organization should be capable of shifting its members' attitudes and behaviors which act for organizational development from egoistic behaviors. With regard to this issue, many researchers have paid attention to organizational citizenship behavior (Lee, Kim & Kim, 2013). In this study, it was found that employees with organizational citizenship behavior show less resistance, but more commitment. This can be explained in an organizational content as commitment can be seen an employee's attachment to the change program (Ford et al., 2003). This kind of commitment has strong relationship with organizational citizenship behavior (Fedor et al., 2006).

Employee commitment to a change process is of paramount importance for changes to be effective. Lau and Woodman (1995) conceptualized commitment to change as a "specific attitude towards change". The interview results in this study showed that through psychological empowerment, employees were more involved in change process, took active role in decision making and were more committed to the change. Psychological empowerment gives employees desire to support change initiatives and sense of obligation to be supportive of the organization's plans for change, therefore it is essential for HR managers consider psychological empowerment as a tool to increase commitment and also lower the resistance. Based on this findings organizations undergo any change process need to pay attention on this matter.

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## Stress, and Deconcentration of Children in Learning, and Their Involvement in Work

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### Abstract

The key research problem in this regard is familiarizing with the causes and motives of engaging children at work; and knowing the factors influencing in spreading this occurrence which is of a large extent and very concerning, for the fact that this occurrence is being increased every day more and more. The occurrence of studying these issues and familiarizing with the circumstances, also the impellent and motivating factors in this aspect, has affected the change of this situation to a large extent. The reason to choose this topic for research among others is the study method of this issue, since it is one of the most spread problems among children nowadays, because a number of them perform heavy duties and with destructive measures for their health as in the psychic aspect and also in that emotional one, but also in the bad construction of the child's personality. However, on the occasion of knowing and studying of these circumstances today, we primarily have a better awareness as in this cases to the parents-family, social-cultural environment and also the society in general. Our research problem in this case will be "causes and motives of engaging children at work". This will be our research focus in this regard.

**Keywords:** familiarizing, circumstances, influencing, the parents-family, social-cultural

### 1. 2. Review / checking the literature

Purposely to efficacy of work in this regard, we have specified a measure of checking the literature so that it will have a wider dimension of inclusion of key elements in this regard. We have selected a basic literature responding to the specifics of qualitative research.

We should emphasize the nature and the work methodology for this research since we are aware that we should fit the literature with controlling value dimensions for the research, because selection of literature is of an important aspect.

Among others, we have specified that each part of the research work should be reviewed and the literature to be checked because an appropriate selection of this brings a higher productivity and efficacy in the learning work and wider.

Our focus in this research is on the children works which do not respond to the age and psychic-physical skills of children, thus the types of work and duration of engagement at work.

Otherwise, we are aware for the need of engaging children at work which correspond to the abilities, needs and their skills. This research has a multifold importance: above all this is the first qualitative research in Kosovo on the occurrence of involvement of children at work.

By means of this research, the awareness of opinion on the spread of this phenomenon is achieved to be realized. The main causes that stimulate this phenomenon are made known and we also come to know the physical and psychic-social consequences for children.

Data derived by the means of this research will serve to the institutions dealing with social problems in order to have an information overview that is the basis for the preparation of social policies related to this problem. In addition, this research will serve as a basis for the future research and we believe it will serve, either in a modest manner, in the general awareness of parents, teachers, children and all those who in a form or another are related to this issue.

For the adaptation of literature and its checking, we have tried to do a comparison of the review and checking of literature in conformity with the research procedures, because its design from the beginning has brought productivity in this regard.

## 2. Methodology and Methods

We have come up to the identification of causes, motives and consequences of engaging children at work through the usage of research instruments: interview, observations, case studies and focus groups. Advantages and disadvantages were selected to be discussed for topics related to certain problems through the issues mentioned above.

These research instruments were used with children, with some of their families, with schools, with CSL, with relevant institutions related to this problem and with all target groups. 200 interviews, 6 case studies and 2 focus groups were realized. The data collected through this qualitative research were analyzed socially, pedagogically, psychologically and legally.

In this research it has been discussed on the history of inclusion of children at work both in the world and here. Additionally, the social background was presented including the economical state and education policies in Kosovo.

As a result of the data we came to the conclusion that the inclusion of children at work comes as a result of many causes:

Poverty, war consequences,

Other family tragedies,

Social inequality,

Social and cultural level and migration – mobility within Kosovo (from the rural localities into those urban ones).

Among motives, the following ones are presented:

Independence motive,

Motive for gaining wealth and motive of security.

From this specific of the work, we can ascertain that poverty and war consequences will continue to be a problem in the future.

We should specify this issue since poverty still remains on the biggest challenge in this aspect due to the fact that the high scale of poverty is aggravating the situation of families in a difficult social state, especially of those families which have a difficult economical situation; and poverty is one of the main causes in inclusion of children at execution of different and heavy duties.

The consequences of involvement of children at work based on our research may be characterized in: consequences on children, consequences on families and consequences on the society. Involvement of children at work has physical effects on children themselves, physical-social effects and social-economical effects.

Within these consequences there are stress, inattention, tiredness, loss of wish for peers, lack of free time, depression and reclusion, harm of the sense of collectivity – selfishness, school abandonment, decrease of the ability to learn, loss of interest for general cultural development, regression etc.

Additionally, some additional data are presented within the research on the topic “Children at work”, such as: working children’s age, gender, residence, level of education of children and their families and types of work children perform at their job places.

We have also included in this research the category of children, mainly young girls, why by being engaged in certain job categories may result with their involvement in trafficking.

Within this from the nature of the qualitative research study, we came out with the conclusion that the problems in the future, such as: poverty, war consequences, other family tragedies, social and cultural level and migration – mobility within Kosovo, are problems which will be in continuity in the future since these causes will be further active towards these categories which are in the social need situation.

Kosovo society is passing through a political and economical transition. War destructions have aggravated the economy of Kosovo families and social-owned and private enterprises. As a consequence, the number of unemployed has increased to a high extend. By this, and according to the report of World Bank on the poverty level in Kosovo, it comes out that around 50% of the Kosovo society lives in poverty, whereas 12% in extreme poverty.

Almost all children involved come from families with different economical conditions and children work for their families in different informal sectors.

Almost all children work in bad hygienic conditions, extreme temperatures, with dangerous-sharp tools, toxic substances; they are exposed to various noises, long working hours, closed environments etc.

The majority combines school with work, they work before of after the school hours but some are also absent sometimes.

All belong to the primary school, of 7-14 years old.

Services which are foreseen with the project have been those: referring to regular and accelerated learning depending on the current situation of the child who has abandoned the school, individual consultations for children and family consultations for parents related to risks of work, after school hours for children in order to improve the success and their attendance at school; group awareness and socializing activities for children; other informal educational activities such as different courses and other additional services provided in order to serve for specific needs of the targeted children.

Providing after school hours: in total 606 children have benefited from after school hours.

All the targeted children and their families have received family and individual awareness advising related to children work and risks. These consultations were done in close cooperation with Case managers from CSL and teachers from schools.

Rehabilitation and awareness sessions were realized in all municipalities.

Other informal education activities: different courses which expenditures were covered by the project: English language and computer courses were enabled for 98 referred children (Prizren 35 children in three months courses, Gjilan 13, Drenas 30 and Kastriot 20 children) (12 children in computer course and 8 in English language course).

Activities through referring to other existing institutions:

2 children involved in vocational training courses through referring to the Vocational Training Center (Prizren and Mitrovica) whereas 41 family members of 28 families were referred to the employment office. 12 children involved in English language courses in the center CPVPT through referring in the other project of this center (Prishtina). 50 children in English language courses, informatics and Albanian language through referring to the NGO "Buzëqeshja" (Smile) (Mitrovica). 13 children involved in sport activities – football through referring to the Department for Culture, Youth and Sport (Mitrovica). Issuance of birth certificate for one child through referring to the NGO CRPK (Prizren). 53 cases (Prishtina, Drenas, and Mitrovica) have received meat from the sacrificed animal from 94 cases referred to the Islamic Community.

In the Municipality of Kastriot, 17 children have participated in an 8-week awareness campaign through referring to the NGO "Aureola". The activity is organized in daily workshops on different social topics. 110 targeted children (Prishtina) have benefited daily food from "Buqaj" company on the occasion of a group activity with children organized on the day against children abuse on 19 November 2008.

## **2. 1. Methods, study projecting, which approach will you use and why?**

In this research, our focus is addressed in the children work which does not respond to the age and psychic-physical skills of children, that means types of work and duration of engagement at work.

On the contrary, we are aware for the need to engage children at works corresponding to the capacities, needs and their abilities.

This research has multifold importance: above all this is the first qualitative research in Kosovo on the occurrence of involvement of children at work.

By means of this research, the awareness of opinion on the spread of this phenomenon is achieved to be realized.

The main causes that stimulate this phenomenon are made known and we also come to know the physical and psychic-social consequences for children. Data derived by the means of this research will serve to the institutions dealing with social problems in order to have an information overview that is the basis for the preparation of social policies related to this problem.

In addition, this research will serve as a basis for the future research and we believe it will serve, either in a modest manner, in the general awareness of parents, teachers, children and all those who in a form or another are related to this issue.

A series of methods and research techniques have been used in the study of the research problem. Among the main ones are: **method of theoretical analysis, experimental method and research survey method.**

By the means of each of this method we have emphasized a series of problems which have been unnoticed and no research was done on them until now.

Method of theoretical analysis – this method has taken a special place in our research since the main reviews and empirical research of causes of engagement of children at work are shown through this method.

In addition, through this method we have derived data which came out from the collection of this problem in order to know which are the main factors in the inducement and involvement of children at work.

By using this theoretical method, we collected the data of different authors, either those local or international ones who dealt directly with this study area related to engagement of children at work and impellent factors in this process.

Through this method we have also collected data that which of the authors has written about this problem of involvement of children at work, how much was this form studied until now, the model of the study of such a nature and how much it found viability in the society so that this phenomenon with negative dimensions to be studied and lighten in a higher extent of the study.

## **2. 2. Statistical methods**

This method of a huge importance and weight also takes a big part in our research due to the fact it has the special weight to express statistically the results deriving from the research done in the field, and concretely in those places where children are the most involved at work.

This method in our work during this qualitative research enables us to collect data, to analyze them, to elaborate, to compare, to interpret, because through this method, the results derived from the qualitative research are expressed statistically.

In addition, through the statistical method we have the relevant research indicators, issuance of graph tables deriving from data of the empirical research, then presentation of data tables, manner of their elaboration in practice.

In addition, through this method we have come up with the relevant indicators which verify the hypothesis of this project raised during the research phase.

Additionally, through this method we will tell for their level deriving from the research, about the research nature on the causes and motive of engaging children at work.

## **2. 3. Testing method**

Through this procedure we achieved to collect data from children as regards their general skills: which work they perform more often and which work is harder for them to perform.

In addition, in this framework, the age of children who work should be known and meanwhile which gender is more involved in this work process.

And after this procedure of testing exercises, we came up with the final situation of the causes and motives of involvement of children at work and execution of heavy works which is outside of the international norms allowed based on the conventions.

However, from this came out that in the framework of the testing method were emphasized which types of works are more dangerous for children, as: agriculture and forestry, work at streets, collection of waste for recycling, work in the exploitation of natural resources, operation with agricultural equipments, splashing with pesticides, work in harvesting-threshing, hard physical works in fields, wood cutting, work in butchery (butcher of animals and carrying killed animals)

## **2. 4. Surveying technique**

We have used the surveying technique or procedure to collect facts from pupils and teachers, as well as purposely to better data elaboration which served in drawing the sample about the empirical research.

We have developed the surveying technique divided in two phases.

The first phase was held with children who were identified as: street sellers of cigarettes and other small articles, beggars inside and outside the country, pusher, children who work as prostitutes, children used in agricultural and farming activities, fisherman with different tools and so on.

Whereas in the second phase of review we have organized it concretely with the parents of children we have identified being working in order to know the cause and meantime their motive on why their children are working, and meantime to identify the survey side on which is the main factor of involvement of children at work.

This approach and surveying method enabled and facilitated our qualitative research work among others also for the division of children group ages which are involved in executing different works.

In the second phase, the survey was done with parents and also with teachers. This survey was done through questionnaires. Questions were open and some closed, whereas two of them have had alternatives.

#### Method of pedagogical documentation

In addition, as with the other methods used above and by the means of this method which is very important in this period of qualitative research, respectively related to the data collection which assists us a lot in this phase of the survey research work.

This method is applied for collecting relevant data of the written documentation on schools, teachers and pupils, in order to know how much data do we have in this regard, whether their pupils are attending school or they are abandoning it due to the hard economical situation and this is why they are involved at work; and how much has been done in this field.

After completing the experiments, techniques and respective procedures, teachers of the working classes were interviewed in the research phases in learning.

By implementing this technique with the prepared questions, responses which express the opinions of teachers on their concern were given since in each of the learning hours where they teach there is one or two pupils absent at school and who due to the difficult economical-social situation do not attend classes since they have to work in order to take care for their family.

The abovementioned methods were used as strong points on collecting data due to the fact that a series of problems of different natures but related to this issue of the qualitative research was derived through these methods.

#### Experimental method

This method has a merit place in each research and with a special weight since the nature and specifics of each research depends to a high extent on this important method in this research-scientific working phase, as well as in the qualitative research.

In each flow of research is important to know the value and weight of the experimental procedures of research during the research phases.

In each research, experiments with different pupils are used, and in our case the experiment with children working and identified in streets was used as well as another group of children who were identified in execution of work in forestry and agriculture.

These selections of experimental methods respond the best to our hypothesis raised in the qualitative research.

Taking into account that we aimed to study, research and lighten and verify the causes and motives of engaging children at work, we have chosen the experiment with the two abovementioned groups of children because the confidence in verifying the hypothesis of pupils at learning will be successful since we will not have fluctuation and distractions of results deriving from the qualitative research.

We have developed the experiment in two working phases: one with the first group and the other with the second group.

### 2. 5. Analytical strategies

Describe which strategies you will use for data analysis. Develop a plan on the manner of proceeding with the appropriate qualitative approach you have chosen.



In order to be more efficient in this approach, we should emphasize that the analytical strategies within this qualitative project are very important, since we have to do an analysis of the current situation of this nature of the study issue.

In the framework of this study issue, strategies which emphasize the need for emphasized usage of analytical strategies were used.

As an analytical strategy, we should emphasize the need to provide services to these children categories which are identified to be included at work, services which have been foreseen by the project have been these:

referring to regular and accelerated learning depending on the current situation of the child who has abandoned the school,

individual consultations for children and family consultations for parents related to risks of work,

after school hours for children in order to improve the success and their attendance at school;

group awareness and socializing activities for children;

other informal educational activities such as different courses and other additional services provided in order to serve for specific needs of the targeted children.

Among these services we may list: food and hygienic packages, food (bread and flour for families), daily food for children, medicaments, school tools, books, payment of transport for children in order to have an easier access in activities; protective tools for the work in agriculture and clothing.

As a special analytical strategy is also the referral and access in the formal education for children who have abandoned the educational process or are not included in schools (where the direct access in the formal education process is possible) as well as the referral into accelerated learning.

Strategies to analyze the data are ascertained through the data derived from questionnaires but also through the survey methods. Based on these data the current situation of these data was analyzed from asking questions and the data derived from the research.

The data analysis can be materialized through comparisons done by collecting data where the findings through questionnaires were concluded and based on those conclusions derived from questionnaires we came up with the analytical strategy of the Results of the questionnaire in reading and comprehension skills of pupils in the low level of primary school.

In order to get to know closely with the flow of research work, and in order to have a higher effectiveness in this research, we have divided the research questionnaire in two phases.

In the first phase of the initial questioning of pupils, we received information on the pupils' level of knowledge, their success at school, their shown results doing learning at school, engagement, their success shown in their mother tongue acquisition.

The aim of collecting these data is to have a clearer view of the issue of motivation and involvement of children at work.

We have foreseen to do the collection of these data by organizing two research groups: one with the group of children involved at work with whom we organized a conversation to verify the cause of engagement of children at work. They will read, comment; ask questions to each other, in order to understand the meaning and the risks for their involvement at work. By this fact, we may conclude that through involving children at performing different works it may have an influence on their involvement on the trafficking issue, which is a very negative element for the society and for those children categories in general.

Whereas the other group was custodians, parents and teachers of children-pupils will deal with the check of homework which the working group will do in order to have an efficacy of understanding that which of these groups will show an efficacy related to research data.

## **2. 6. Data quality.**

Assess your data quality, including the used criteria for assessment and discuss how would you ensure higher data quality.

In the framework of the qualitative research process, we should ascertain that the quality of data included in the research, among others, have shown a high quality of the research value.

This was specified in the framework of data analysis since for this issue we have used the abovementioned indicators. Through these indicators, the nature and value of the qualitative project was specified concretely in the presented sample of cases to be researched.

The accuracy of data consists on the accuracy of the reported data in relation to the data found in the systems of holding data through questionnaires and measurement indicators in this qualitative research process.

The credibility of data consists on that the system of holding data from issuing data corresponds with the current situation in field, since through the analysis on data derived from the qualitative research we may conclude that the data have shown a real credibility because they are based upon the real value of the research. For such credibility, the indicators or measurement factors of this qualitative research were used. It provides credible data, as: credible, less credible, relatively credible, satisfactory credibility, completely credible.

Quantitative research is numerically orientated. It requires special attention on the measurement of market occurrences and it includes statistical analysis. This approach provides quantitative data which may be analyzed precisely. The quality of data is realized in conformity with the usage of these means in the qualitative research, such as:

## **2. 7. Direct interviews**

We have developed effective procedures for all components of survey in the field, including the identification of the units of sample in this field, field personnel selection and training, developing manuals for the work in field, oversight of interview in field, substitution of rejections and minimization of the extent of not answering, efficient implementation of the qualitative control, as well as the management of the project administration and reporting.

## **2.8 Telephone Interviews**

We have the necessary expertise and space for research through telephone. We have provided efficacy and high quality in data collection. Personal contact in cooperation with the surveys through telephone enables the increase of an explanation level which is crucial for the quality of collected data.

## **2. 9. Qualitative research**

We have completed our research on the causes and motives of engaging children at work through the usage of a series of qualitative research methods which are the following: focus groups, detailed interviews, observer techniques, consumers' presentation, and the consumers' satisfaction. We have used a wide series of qualitative methodologies, and we have chosen our perfect combination which fits to the parameters of each project of qualitative research.

## **2. 10. Focus groups**

One of the most known techniques of market research is the focus groups of discussion. Focus groups are a good possibility through which the qualitative data collection is done in a fast manner and by observing the interactions of a selected respondents' group.

## **2. 11. Detailed interviews**

We have used detailed interviews and through them we have presented a technique projected to derive a real view of the participants' perspective related to the research topic. The techniques of interviewing by the researcher's side are motivated from the wish to learn everything the participant may share related to the research topic.

## **2. 12. Observer-techniques**

Through the observer techniques we have enabled the observance of phenomenon in their natural environments. The observance consists of the observance of the attitude and interactions happening and which can be seen by the researcher. The aim is "to adjust to the environment" so that the presence of a foreigner shall not have a direct effect on the phenomenon to be studied.

## **3. Political and ethical issues**

How will you ensure the protection of those participants you have used for this research?

What difficulties you expect to face and how will you cope with these difficulties?

At the moment of assigning this qualitative research, among the others, the special specifics of this field in this regard have been emphasized.

The protection of participants is specified within the compilation of questionnaires, since this issue is designed to a high extent in those places where we had higher possibilities to realize the qualitative research with children involved in different jobs. It was easy for us to ensure the participants' list on the questionnaire and survey, since the location we have selected to do the survey with children working in different streets and different places has been a huge one and it had a huge density of involvement of children at work.

However, in the framework of research process, we have faces in some difficulties since some children hesitated to respond to the questionnaire, because this issue to a high extent for the children had a different connotation.

Children who responded to the questionnaires and the survey were afraid since the issue of their involvement at work had intrusion motives from the parents' side so that they work wither during the day or this occurrence is noticed the most during the night in different cafes, which is forbidden according to the international conventions.

We have noticed a readiness of cooperation with these children since it can be worked a lot on this direction and to assist to those children in order to not abandon their school, to be equal with the other children and to attend school, and to abandon this occurrence which has had quite big dimension for the children and parents in general.

The question that how we will cope with these difficulties depends to a higher extent to the nature and approach in this regard, but firstly, we should have cooperation with the parents of these children who based on the interview were noticed to make their children to work. Some other children started to work for the existence of their families due to the difficult economical situation and nature.

One of our mechanisms in this regard among the others will be cooperation with the parents of these children and meanwhile will see how to cooperate with the state institutions in order to assist to these children who are in the state of social need.

Many of the parents with whom we have cooperated hesitate in this regard to emphasize their reason for the children to work, since there have been such ones that have stressed that they don't know that their children work. The latter were shown more cooperating in this aspect to research and lighten this problem to an extent of making aware parents and their family that children should attend school and not to abandon it since this issue may produce negative effects for the society in general.

#### **4. Discussion and conclusion**

##### **Conclusions derived based on the knowledge on the improvement of political and professional practices.**

To provide protection tools for children working in agriculture.

To increase the cooperation between schools and municipal directorates on agriculture and rural development so that children are provided professional lectures at schools for the work in agriculture.

To stimulate pupils to work in agriculture and to attend professional schools (giving scholarships).

To increase the cooperation of schools and Municipal Directorates for Youth, Culture and Sport so that children are involved in sport activities.

The representative of the civil society should participate in the Local Action Committees.

To strengthen the youth centers which assess the needs of youths in the community they live and to provide adequate services for those needs.

The volunteers serving in youth centers should be involved in the process of identification of children in the FCSN.

Schools should be attentive to identify on time the cases which are a predisposition to abandon the school and to be included in the FCSN, so by the intersectoral cooperation within the municipality to enable a successful prevention.

The school management should be attentive to ask for professional medical assistance if needed.

To work in the school curricula and to manage so that within certain subject to call experts to lectures or classes on the topics such as: dangerous works, different illnesses and lectures on negative occurrences (trafficking, smoking, alcohol, drug etc.

To have monitoring at a certain level so that the implementation of the legal infrastructure which sanction the work of children will be in place; and also the laws which ensure the attendance in the mandatory educations?

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## Medicinal - Aromatic Plants and Their Role in Economic Development. Case Study - the Region of Malesi E Madhe, Albania.

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### Abstract

Exports are considered as one main priorities for economic development, trade liberalization and integration into the international market of Albania. During the last 25 years Albania economy has undergone radical changes in terms its operating base, also in terms of composition structure and development. This progress has accompanied part of the economy which is oriented towards export, turning the economy and the internal market based mainly on imports. Few products are exported and those are domestic products such as medicinal plants, chrome mineral, nickel, copper, aluminum scrap, iron-steel, cement, wood products, animal leather... etc. So Albania is focusing on those products in which it has more advantages. Obviously a main competitive advantage, Albania enjoys in herbs and spices. Despite Albania currently exports medicinal aromatic plants the benefits are still at low levels, even lower than those prior to 1990. Therefore, this paper aims to present the level of exports of these plants from the region of Malsi e Madhe in the international market, and to identify their role in the sustainable economic development of this region. The region of Malsi e Madhe historically has been identified for production of medicinal and aromatic plants, of highest quality in comparison with many parts of Albania. The data to conduct this paper were collected from the contemporary literature in this field, about medicinal - aromatic plants, their exports and it's contribute to the economy of the region of Malsi e Madhe. Primary research is based on quantitative research through the instrument of questionnaire and qualitative research through in depths interviews with farmers, who deal with the collection of medicinal - aromatic plants in the region of Malsi e Madhe. The findings of this study show that: the sector of medicinal - aromatic plants in Albania, on one hand is profitable and contributes to the generation of income for the rural population, but on the other hand some of those plants are facing their damage or destruction. Improving the quality and the creation of added value would be among the main ways of increasing revenue from this sector.

**Keywords:** Medicinal - Aromatic Plants, Sustainability, Economic Development.

### Introduction

Exports are considered as one of main Albanian's priorities for economic development, in confronting the processes of trade liberalization and integration of Albania into the international market.

During the last 25 years Albania economy, has undergone radical changes in terms of its operation basis, also in terms of composition and structure of development. The performance of the economy in recent years has been characterized by very large fluctuations in terms of stability, restructuring, growth rates etc, undergone many transformations. This trend has accompanied this section of the economy which is oriented towards export, turning the economy and the internal market based mainly on imports.

The few products that are exported are domestic products such as: medicinal plants, chrome mineral, nickel, copper, aluminum scrap, iron-steel, cement, wood products, animal leather, etc. So Albania is focusing on those products in which it has more advantages. Obviously a great competitive advantage, Albania have in herbs and spices. Despite Albania currently exports of medicinal aromatic plants and benefits levels are still at low levels even lower than those prior to 1990.

Improving of the quality and the creation of added value would be among the main ways of increasing revenue from this sector. Malesi e Madhe is one of the richest regions with aromatic vegetation, medical and tanniferius, either in variety or geographical extention as well as the cumulative production potential, even with an experience in cultivation, collection and processing of them.

Calculating significant contribution which the cultivation of medicinal and aromatic plants ensures the country's GDP, and in conditions that such constitutes the core activity of Malesi e Madhe, becomes fundamental importance of conservation and the intelligent use of these resources. Seen from this perspective, the paper is oriented towards market analysis of these plants showing the potential from the qualitative and quantitative prespective, but also problems that faced the cultivation of these plants. In these conditions, **the purpose of the study** consists in identifying and analyzing economic value of medical aromatic herbs, in function of the sustainable economic development of rural areas as that of Malesi e Madhe.

**Research question of this paper** is: "Does the production of medicinal - aromatic plants influence the sustainable economic development of Malesi e Madhe?"

To achieve the purpose stated above, the paper aims to meet several **objectives** which are:

- o Review of key concepts related to medical-aromatic plants and sustainable economic development.
- Identification of the potential of medicinal aromatic plants in Albania.
- o Analysing the economic values that bring to Albania the exports of medicinal aromatic plants.
- o Analysis of MAP's role in the economic development of rural areas as that of Malesi e Madhe.

### **Medical-Aromatic Plants in Albania**

Geographical location, landscape and climate factors of Albania, create the possibility of developing a rich flora and fauna. Albania ranks in first countries in European for large biodiversity. Forests and grasslands cover half of the country's surface. They play a major role in creating the second non-wood products, among them we can mention medicinal plants mushrooms, resins, fruits and seeds, plants etero oil, humus, etc. Medicinal plants in these products possess the leading place.

Albania owns 47% of species plant in the Balkans and 30% of plant species in Europe. In Albania flora includes about 3, 250 different plant species, and about 310 plant species are medical-aromatic plants (Vangjeli, Ruci, Mullaj 1997). Traditionally Albanians have known these plants for centuries. They have preserved, collected, processed and used with caution these plants. Through these people have had prepared medications to cure wounds and diseases through valuable chemical substances which are "hiden" inside the leaves, the rootes, or stem of these plants. Popular doctors are known for medicines prepared from combinations of medicinal plants, which are inherited from generation to generation and came in the aid of people.

Medicinal and aromatic plants are considered trees, shrubs, grasses, mushrooms, bodies of which such as roots, leaves, bark, fruits, seeds, stems, etc., contain substances curative for various diseases, as well as aromatic substances (Seci, Toromani, Çollaku, Jorxhi 2008). They generally grow in the wild condition, but can be also cultivated.

Medical-aromatic plants in Albania have considered importante since the years of communism, doing that the state at the time made an organized collection and the exportion of these plants. Beside this, in Postopojës (1972) began the experimentation in cultivation of some plants, such as: piretrumi or lavandula. During communism years the annually export was about 100, 000 tons of aromatic medicinal plants, fom which was provided 50 million dollars on a year, in which were employed about 100 employees. These datas are given from the state at that time. During that period there was good yields, since there has been an organized work. But even in difficult conditions during the change of system, where many branches of the economy came almost totally quenched, the work in this sector experienced no drastic decrease. In the

early years of transition many businessmen invested in this direction by building collecting and processing enterprises of these plants. Currently, Albania exports every year about 10,000 tons BMA to various countries of the world and the income from this business is estimated to be approximately 15 million euros per year. BMA's is ranked at fifth place of all export goods that realizes Albania (Hasanaj, 2012).

### **Concepts on Medicinal and Aromatic Plants. Their categorization.**

Medicinal and Aromatic Plants, are considered: herbaceous plants, shrubs, mushrooms; which over and underground of their bodies were used to prepare the pharmaceutical preparations in cosmetics like perfume or mixture in food products. These plants, seemingly insignificant, are directly influential in the life of human, as preparations for combating diseases, either as spices or for the manufacture of industrial products.

The essential difference between medicinal and aromatic plants are; medicinal plants are all plants that contain active substances that prevent, alleviate or cure various diseases (Kokalari, Sima, Xinxo 1980). Aromatic plants are plant that contain substances with special quality, that can be used in other industrial sectors (beverages, cosmetics, perfume).

Based in how are used, medicinal and aromatic plants are classified as (Hasanaj, 2012):

1. *Medicinal Plants*, which are used by the pharmaceutical industry to draw chemical substances to produce herbal preparations. These include arnika, gentian, etc.
2. *Aromatic Plants*, used by the food industry as additive in food products cooked or canned drinks, the cakes, the sources, in fats, etc., to improve the taste, smell and color. Here we mention oregano, thymus, etc.
3. *Plants for Tea*, used in food industry as soothing, solvents etc. Plants used for tea required to have color and flavor character- and to be free of other materials. These include mountain tea, mint, monarda, etc.
4. *Cosmetic Plant*, plant extracts are used to produce soaps, creams, perfumes pamade, detergents etc.
5. *Food Plants*, used for food by humans and have therapeutic role. These plants have special qualities, used directly as food. These include strawberries, blackberries and dried fruit.
6. *Plants for Pesticides*, which are used as insecticides and mushroom-killer. From these plants derived chemicals that are used to protect plants from insects and diseases. Such plants wormwood, nettles etc.
7. *Preservatives and Coloring Plant*, used in food industry to improve color, storage stability, etc. These include sage, blueberries, black and red.

A good part of aromatic and medicinal plants have no limits in use, as they have multiple uses. So, they can be both medical aromatic such as *Lavandula* that is used for flavoring premises, but also as a producer of medical preparations. Most industrial sectors use medical aromatic plants as raw material. While some of the most expensive drugs in the world as Taxol are based on medicinal plants (*Taxus baccata*). Others aromatic as mint (*Menta Piperita*) are found in a wide range of products that the customer consumes; everything from candy and tobacco to the toothpaste and deodorants.

Global demand for aromatic-medicinal plants has increased significantly in recent years. This increase is not only due to increased very fast in the world population, but also due to the growing popularity of natural-based products. Consumers today are more focused on the use of medicines which are essentially aromatic-medicinal plants and thus significantly reducing the consumption of drugs with chemical compounds. But the question arises, how will be the future demand for these products? People in developed countries will continue for a long time yet to be dependent on medicinal plants for their health care. According to studies done by the World Health Organization, it shows that more than 80% of the world population only believe in natural medicines based on their health care (Bogers, Craker dhe Lange 2006).



## Economic Value of Medicinal - Aromatic Plants for Albania

Medicinal and aromatic plants are considered as a natural resource of high economic benefits. The industry of medicinal and aromatic plants processing, plays an important role in the income of a country, what is stated in their export. Exports are goods destined to a third country, placed under the customs regime, in passive processing, or re-exported after active processing (INSTAT, 2015).

Also for Albania MAP play an important role in the economy, accounting for about 50% of the volume of agricultural exports. Albania is considered as the second largest exporter of MAP in South East Europe, after Bulgaria (Bazar, 2014). Albania is exporting a wide range of products, but is particularly strong in three to four MAPs, namely: sage, oregano, thyme and savory, in order of importance. Sage accounts almost for almost half of the value of total exports. USA are the most important outlet for Albanian sage, where Albania is also the largest international supplier. The main markets are Germany and USA, which absorb about 60% of total Albanian MAPs exports. Other important markets are France, Turkey and Italy. A major share of products imported by European countries and by Turkey are processed and re-exported. An important and appreciated characteristic of Albanian production is that exports are almost totally consisting in wild MAPs, having higher market value when properly sorted and dried. As compared with cultivated MAPs, wild ones have higher content of essential oils and a wider range of micro-elements (USAID, 2009).

In the late 1990s, the export of Albanian medical- aromatic plants decreased by about 30 million dollar/ before the year 1990 to 10-12 million dollar in the late 1990s (Kathe, Honeff, Heym, 2000). During these years, Albania ranked second in Southeast Europe and Eastern Europe, after Bulgaria, for the export of MAP with a value of about 7650 tons / year, and revenues of about 12 million USD and 16th place for the import of MAP with about 110 tons / year (Pazari, 2014).

During the years 1995-2000 MAP market in Albania began to recover. Exports of medicinal and aromatic plants increased by about 12%, from 7860 tonnes in 1995 to 9010 tons in 1999, while in 2000 the export of MAP decreased, which exported about 7520 tons of dried plants.

The importance of medicinal and aromatic plants sector, growth came after 2000. Besides the companies established in 1992 for the collection, processing and export of MAP's, were established other companies for the export, rising so the competitiveness in this sector in Albania. Exports and imports of medicinal and aromatic plants during this period relatively unstable, which are linked to natural factors, economic and political (Pazari, 2014).

The production base consists mostly from the wild MAB found across the country, the quality of which is very popular and represents the most valuable asset of the sector. Most of BAM 's are projected for export markets. Export has grown steadily, reaching nearly 20 million euro in 2013 (Fletoria Zyrtare 2014).

**Tabel nr. 1-** *Quantity (tonnes) export of medicinal and aromatic plants in Albania (1990-2013)*

Year	1995	1999	2000	2006	2007	2008	2009	2010	2011	2012	2013
Quantity (ton)	7 860	9 010	7 520	8 040	8 493	9 041	6 007	7 173	8 780	9 776	11, 221

Source: Annual reports export-import (MBUMK)

### Methodology

To conduct this reasearch and its objectives, are used secondary and primary data. Secondary data are the result of the review a wide and contemporary literature about medical- aromatic plants, their exports and contribution to the economy of Malesi e Madhe. These data are obtained from annual reports on export-import of Albania published by the Ministry of Agriculture and Consumer Protection and INSTAT; laws published in the Official Gazette of the Republic of Albania, etc. Since the Albanian statistics are not very reliable and it is not possible to provide more detailed data on exports by type of aromatic medicinal plants, many of these data are simply marked as "medicinal plants". So, the data provided by INSTAT are only at the level of general data, and it is not possible to provide reliable data at the production level (USAID, 2009).

Therefore, to ensure a more accurate picture of the reality it is used the survey. The survey is focused on the identification of socio-economic situation of residents in area of Malesia e Madhe; identifying the number of people involved in the activity of collecting and cultivation of medicinal-aromatic plants and the income they provide from this activity, in this area; identification of problems they encounter in the process of collection, processing and cultivation of medicinal herbs-scented.

In this study, two methods have been used, qualitative (inductive) and quantitative (deductive). It is possible that in a study can be used both qualitative and quantitative methods, they should not be viewed as exception (Howe, 1988). Other researchers (Strauss and Corbin, 1990) emphasize that the differences between the two methods are not as accurate as it was believed before and it is not unusual that a researcher can use both methods.

The quantitative research method, is a research on social and human problems, based on testing a theory of comprised of variables, measured by numbers and analyzed with statistical procedures, in such a way to gauge whether the predicted theory may generalize (Creswell, 1994: 1). It is applied through the use of the instrument such as questionnaire. The method of questionnaire is applied because it provides one way to collect large quantities of a databank.

While the qualitative method is a process to understand the social and human problems, based on building up a complex picture (Creswell, 1994: 2). this method is applied through depths interviews with farmers, who deal with the collection of medicinal and aromatic plants in area of Malesia e Madhe.

#### **Aromatic and Medicinal Plants-Rural Economic Development. Case Study the Area of Malesia e Madhe.**

MAPs are found and collected all over Albania, but some areas have a reputation for higher quality and quantity of products such as: Malesia e Madhe, Skrapar, Elbasan, Berat, Permet, and Durres. In the districts these harvesting and consolidation system is more organized also. Collecting wild important maps is an activity for a large number of rural families, although it is in almost all cases a part-time activity (USAID, 2009). MAP-represent an important sector of rural diversification, which contributes to poverty alleviation because it generates income for thousands of families in rural areas (mountain) (official gazette 2014). Almost all families in communities these get a share of their significant income from maps collection. Considering the average size rural families in Albania (4.8 members) and the fact that more than one family member is usually involved in maps collection, it is possible to conclude that 15% to 20% of rural families in Albania get a share of their revenues maps from collection. Such share is much higher in inner and mountain areas, where rural most families are involved in such activities. In rural northern Albanian households, Maps revenues from collection may account for 17% of the family income are: more specifically, sage may generate about 10% of the family income are, as shown in a 2007 socio-economic study in the region of Shkodra. Maps are the main source of income for the poorest segments of population in inner and mountain areas (USAID 2009).

MbiShkodra areas generally presented with a similar economic problem in all the northern region of Albania. Demonstrated economic backwardness inherited major consequences after 1990 as a result of restructuring and lack of orientation towards free market economy private. Among the most pressing problems currently listed unemployment, low level of production, the decline of the agricultural sector, as well as many other social problems. The main economic activity is agriculture and livestock exercised, mainly this area from being recognized for cultivating medicinal plants (Hasanaj, 2012).

Before 1990, the processing of some of these plants is made within the region of Shkodra, so for example, lavender, thymus, pyrethrum, sage, were partially processed and routed almost all to the external market as in France, Germany, and Turkey, etc. Processing was partial, as they wither, cleansed from foreign subjects, cut off based on standards, and packed in biological packaging (as paper cartons, etc. ) And after processing sent for export. All are made with this kind of processing. The center was former Food Enterprise Shkodra Centre Etero-oil in Koplik and partially in the former Collection Enterprise in Shkodra. All these companies distilling in substantial quantities that nearly went 8000-10000 kg. Only ether plant sector in Koplik, distilling sage essence up to 4000 kg per year, produced by sage collected in the natural habitat of the district of Malesia e Madhe was 85%, only 15% was supplied by the region of Shkodra. All assembling manpower was organized by the Former Forest Shkodra. Even today, the processing of MAP is partial, especially the sage, as most

massive plant that accumulates today. With increasing demand from the foreign market already, for many plants which are located in the area of Malesi e Madhe, it has increased the number of plants to be processed. In the Malesi e Madhe Collection are some firms, which deal with the processing of these plants. As a consequence of the implementation of new technology is making possible to increase the quality that bring increased demand and selling price. Today, more and more overseas market demands quality products and not only that, but as stated marketing employees at these firms require to be processed and certified to some extent. Today the collection and processing firms within the borders of such are 4, which clearly shows the importance of this activity for the area.

Companies that occurred in the municipality of Great Highland are:

1. Relikaj firm based in the town of Koplík.
2. Muçaj-based firm Kastrat.
3. Bercaj-based firm qytetit Koplík.
4. Kekaj based firm Grizhja village.

Malesi e Madhe is one of the richest regions with aromatic vegetation, medical and tannin, either in variety or geographical as well as the cumulative production potential, even with experience in cultivation, collection and processing. The table shows some of the major types of MAP across the borders of.

**Tablea nr. 2** - MAP main stretch in Malesi e Madhe and their capacity.

	Sur. ha	Kv Kastrat	Sur. ha	Kv Gruemirë	Sip. ha	Kv Qendër	Sur. ha	Kv Kelmend	Sur. ha	Kv Shkrel	Sur TOTAL	Kap kv TOTAL
Sage	2010	16080	635	7 620	110	1100	318	2 544	320	3200	3393	305544
Red Juniper	370	370	245	735	10	50	280	1 120	120	600	1 025	2 875
Black Juniper	30	60	41	82			60	240	55	100	156	482
Hazel	50	20	32	16							82	36
Blueberries	25	25					52	104	20	20	97	149
Lisen	150	750	30	210	15	105	12	6	105	735	312	1 806
Trumez	50	350					26	130	130	650	206	1 130
Natles	10	60									10	60
Timus			20	210	60	900	211	1 055			291	2 155
Lavandula					40	600					40	600
Mountain tea							22	88	25	125	47	213

Source: Drejtoria e Shërbimit Pyjor, Malësi e Madhe. 2008

### Analysis of Research Findings

For the verification of the research question raised above, it is also used the collection of primary data on the area of Malesia e Madhe, through surveying the farmers who deal with the collection of medical-aromatic plants.

The results of this survey are:

64% of interviewed farmers were male, somewhat understandable based on dogmas that prevail where farmers still symbolized men, 43% of them were of age from 41-50 years. 36% of them belonged to families primarily composed of 5 members, 14% of respondents belonged to families with more than 7 members, those are acceptable number of family member for families living mainly in rural areas. In terms of education, participants in this study possess only basic education, 43% of respondent have secondary education.

Question about what plants do you collect, 64% of farmers answered that already cultivate, thus changing before '90 where 100% of the plants were collected on nature, now the private business run by specialists of agriculture as "Salvia Nord" prepare seedlings ready for cultivation indigenous cultures.

And as for the historically confirmed the dominance of demand for sage, all respondents, 100% expressed that it was a plant which were first cultivated.

Half of the farmers participating in the study expressed that once they have the opportunity they would expand their spaces with BMA, mainly as makthi (50% of respondents), sage (25%), Lavandula (12.5%), and trumez (12.5%).

To show the importance of these plants have on the area of Malesia e Madhe, expressed quantitatively aspect, 70% of respondents considered the revenue from the collection of medicinal and aromatic plants as a basic income and only these average income can cover the cost of 6 months.

About the importance of taking part in information sessions as planting techniques as per the requirements of the market, 93% say that it is essential to inform such, so that the orientation of farmers to be proper planting crops that the market demands, and not to those cultures with which the market is supersaturated and goods remain stock. 71% of farmers expressed negatively to the question that they have a safe sales market.

Another very important element, is the fact that 64% of farmers are willing to form associations or groups for carrying and use of machinery together, which confirms once again the wrong use of the term "homo economicus" where everyone will work alone where goes the self-interest swoop term and embrace the concept of John Nash that each individual will contribute not only to their own benefit, but also benefits the group, after the maximum will be reached at the very moment in which all contribute to good common. Also, we note that 36% are against groups because they see that as a form of the past to be left behind.

The reply to the question whether they see as long-term the collection of medicinal and aromatic plants, 100% of respondents said they will continue to be among the activities in the main dominant in Malesia, because although this area has climatic conditions and morphological suitable for cultivation these plants, but also because it is seen as a tradition with which the area is identified

## Conclusions

- ▣ The area of Malesia e Madhe is identified a very important source of medicinal plants - aromatic, a superior quality in comparison with many parts of Albania.
- ▣ Medicinal - aromatic plants pose considerable economic potential for rural residents.
- ▣ Demand for medicinal aromatic plants from foreign market is steadily increasing.
- ▣ Sage culture is the most sought from foreign markets, especially the typical indigenous particular in the area of Dalmatia, which can not be found in any other area, which ranks Albania at the top of the list as biggest exporters worldwide.
- ▣ Sector of medicinal and aromatic plants in Albania face their damage or destruction. As a result of over-exploitation and use of improper harvesting techniques, many of MAP species are listed as endangered plants mountain tea, blueberries, juniper, black juniper, oregano, wild rose, etc.
- ▣ Among more exported plants are sage, oregano, black dellenja, wild grapes, laurel, acacia flowers, tisane, etc lulelavandula. Meanwhile, according to data from ACIT (Albanian Center for International Trade), for the first quarter of this year it exported about 2 thousand tons of medicinal plants. According ACIT, during these three months, exports of these products have a value of 3 million euros. Major importers of medicinal plants still remain Germany and America markets.

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## Specialized Foster Care as System Approach, Deinstitutionalization of Social Protection in Case of Adults with Developmental Difficulties in the Republic of Srpska – A Case Study

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### Abstract

Bosnia and Herzegovina, and thus its entities, has ratified the Convention on the Rights of Persons with Disabilities. In spite of that fact, adults with developmental disabilities daily face stigma and barriers in exercising their fundamental rights. Due to the inability of independent functioning, as well as the inability of the family to care for adults with developmental disabilities, a big number are placed in residential care. Foster care as a form of care in System of social protection can be functional for avoiding institutionalization, insurance of social inclusion of adults with disabilities, and enable them to function independently. Specialized foster care is one of the possible solutions in the deinstitutionalization of adults with developmental disabilities who are placed in residential care. This paper is focused on the particularities of specialized foster care for adults with developmental disabilities in the Republic of Srpska, which is regulated by the Social Protection Law and the foster care Rule book. Foster care, in terms of the Law, implies taking care of the care users in the family that provides fulfillments of basic needs, family that takes care of the person and helps in the rights exercise and the obligations fulfillment. This normative definition of foster care opens space for adults and the elderly foster care, which is not developed nor sufficiently represented in the countries of the region, Europe and the world as well. Foster care for adults with disabilities in the Republic of Srpska is performing through a form of specialized foster care. This paper presents case study of the specialized foster care as a possibility for adequate care of adults with developmental disabilities, with special points to the ability of supporting deinstitutionalization through specialized foster care. This case study is an example of a systemic approach to deinstitutionalization of adults with developmental disabilities. The study and results that were presented in the case has shown that it is possible to perform the deinstitutionalization of persons with developmental disabilities after twenty years spent in an institution.

**Keywords:** foster care for adults, specialized foster care, social work, deinstitutionalization.

### Introduction

It is estimated that more than a billion people, or 15% of the world's population are living with different disabilities. Existing data on persons with disabilities are incomplete. This situation can be explained by a number of factors including: stigmatization, isolation, low rate of registration of births, families hide children with disabilities, which is the main reason why children and later adults are not covered by the research, and remain in the sphere of "dark number". Adults with developmental disabilities are one of the most vulnerable groups, despite the fact that Bosnia and Herzegovina with its entities ratified the Convention on the Rights of Persons with Disabilities, many of the rights listed in the Convention are not implemented in practice. The aim of this Convention is to promote, protect and ensure the full and equal enjoyment of all human rights and fundamental freedoms for persons with disabilities, and promote respect for their dignity. The basic principles of the Convention are: respect for the dignity, individual autonomy including the freedom to make personal choices, independence, non-discrimination, full and effective participation and inclusion in society; Respect for difference

and acceptance of persons with disabilities, equal opportunities, accessibility, equality, respect for the evolving capacities of children with disabilities and respect for the right to preserve his or her identity (United Nations, 2006).

Through the centuries persons with disabilities faced stigmatization, significant problems and obstacles in exercising their basic human rights. Due to the inability of independent functioning, and the families inability of caring for persons with disabilities, many of them are placed in residential care. Those institutions continue to operate on the principles that impose depersonalization. In these conditions and cultural heritage, which has promoted concealment and isolation of persons with disabilities we can talk about social exclusion of these persons, especially when it comes to adults. Protective measures and involvement in the community through various programs and activities that take place through the support system for children and juveniles ensures a certain level of participation and inclusion in society, which is a prerequisite for equality of rights.

By entering adulthood persons with disabilities are becoming more socially excluded. It is evident that the interest of society for persons with disabilities to their age decreases.

If we looking the problems in the functioning of persons with disabilities from social work prospective, we can start from the very definition of social work as a professional activity. According to the definition of the International Federation of Social Workers (IFSW, 2014), social work as a profession promotes social change, problem solving through interpersonal relationships and the empowerment and liberation of people to enhance their well-being. In accordance with theories of human behavior and social systems, social work intervenes at the points where people interact with their environment. Principles of human rights and social justice are fundamental to social work. With this definition of social work on mind, undoubtedly it can be concluded that social work as a profession, is able to ensure optimal social functioning, participation and the implementation of the rights of persons with disabilities. Foster care as a form of care in Social protection system is one of the features for avoiding institutionalization and for social inclusion of persons with disabilities, as well as their training for the daily activities at the level that their condition allows. The process of deinstitutionalization is demanding and requires a systemic approach, especially when it comes to adults with developmental disabilities who placed in residential care in high percentage.

### **Foster care in the Republic of Srpska**

Due to frequent political and social upheavals which have resulted in a large number of conflicts, that inevitably led to the need for care of children and adult persons who cannot take care of themselves, Republic of Srpska and Bosnia and Herzegovina as well as the region has a long tradition of foster care. Foster care as a form of care and protection in the Republic of Srpska is applying since the establishment of the state. In 1993, Republic of Srpska brings the Law on Social Protection. In the context of the social protection rights this document defines the right to accommodation in another family (Official Gazette of the Republic of Srpska no. 5/93). The development of the social work profession, monitoring of global trends in the field of social work and social welfare, Republic of Srpska developing foster care. This kind of approach is particularly reflected in the positive legislation that Republic of Srpska established with adoption of the Law on Social Protection in 2012, after which were defined a number of by-laws that more closely regulate different areas in Social protection system. Significant contribution in the area of developing foster care was given by the Local communities as founders of centers for social work that are in their jurisdiction. Foster care in the Republic of Srpska is governing by the Law on Social Protection ( "Off. Gazette of the Republic of Srpska", no. 37/12) and the Foster care Book of rules ( "Off. Gazette of the Republic of Srpska", No. 27/14), which created the formal legal prerequisites for the development of foster care. Foster care, in terms of the Law, implies taking care of the beneficiaries in the family that provides fulfillments of basic needs, family that takes care of the person and helps her in the rights exercise and the obligations fulfillment. (Article 42, paragraph. 1 of the Law on Social Protection of the Republic of Srpska). Some authors define foster care as humane mission of the community and especially humane people-foster parents, through which foster family provide care, protection, education, training and requirements for the optimal development of children who, for various reasons, cannot live with their natural parents (Jugović, Pejaković, Stevanović., 2013: 7). Family placement is an organized form of social



and family-legal protection for children without parental care who are entrusted with other specially selected, motivated family in the care and custody, who received financial compensation for its work (Vidanović, 2006: 301). The foster family is a family with one or more adult persons who engages the services of care for children or for adults, which has been evaluated and training for foster care, which meets prescribed conditions and charges a fee for their work (Article 42, paragraph 2. Law on Social protection the Republic of Srpska). Normative framework of foster care in the Republic of Srpska defines the conditions and procedure for obtaining the status of a foster family, types and forms of care in foster families, beneficiaries, procedure of disposing the user rights in foster care, termination of foster care, as well as the manner of implementation of foster care. Thus, the Law on Social Protection stipulates that the right to care in a foster family can accomplish any child or adult who meets the requirements for placement in a social care.

Due to the fact that this paper focuses on adults with developmental disabilities, we will present conditions for their care as prescribed by law. Law on Social Protection of the Republic of Srpska in Article 18 defines the beneficiaries of social protection and makes distinction between children and adult persons as beneficiaries of social protection. When it comes to adult persons, in accordance with the Law, the beneficiaries of social protection are adults who do not have the necessary means of subsistence, unable to work and cannot provide funds for life on other grounds (Article 18, paragraph b. Paragraph 1. Law on social Protection of the Republic of Srpska), adults in which as a result of injury, disease or birth defects occurring loss or restriction of ability to perform activities that are necessary for everyday life (Article 18, paragraph b. Paragraph 2 of the Law on social Protection of the Republic of Srpska ), adults who due to permanent changes in psychosocial and health cannot meet their basic needs (Article 18, paragraph b. Paragraph 3 of the Law on social Protection of the Republic of Srpska).

This normative definition of foster care opens space for adults and the elderly foster care, which is not developed nor sufficiently represented in the countries of the region, Europe and the world as well, while in a few countries in which it is represented is not developed sufficiently, as it is a case in Republic of Srpska. Usually when we talk about foster care, having in mind the care of children who are unable to live in their biological family, because of various circumstances. Foster care for adults and the elderly in the Republic of Srpska, existing as foster care segment, which is governed by the Low and subordinate legislation. This opens opportunities for specific care for persons with disabilities, which creates a presumption of the exercise of rights, social inclusion and their optimal functioning in society. Specialized foster care for adults should have especially important role at the deinstitutionalization of adults with developmental disabilities.

Book of Rules on fostering in the Republic of Srpska defines three different forms of foster care: standard, specialized and urgent foster care. Standard foster care is provided for children, adults and the elderly through the foster care that provided family life and fulfillment the everyday needs related to the age of the beneficiaries who have difficulties in psycho-physical development, so they need extra care and support. Specialized foster care is provided for children, adults and elderly with disabilities, abused and neglected persons and persons with socially unacceptable behavior. Emergency foster care is ensured to children, adults and the elderly in various types of emergency situations (abandoning the child, inability of parents to care for the child, natural disasters, lack of or interruption of family care for persons with disabilities, etc. ). In addition, the Regulations on fostering regulate the procedure and method of placing of the child or the adult and the elderly person in a foster family, as well as the process of acquiring the status of a foster family. Particularly important part of the administration process through which families obtain the status of foster families. This process includes the assessment of the fulfillment of conditions for acquiring the status of a foster family, which is done by summing several elements: an insight into the prescribed documentation, interviews with potential foster parents, interviews with family members and members of the household of potential foster family, home visits and comprehensive treatment of teamwork. After a positive opinion on the assessment of the requirements for foster care, every potential foster parents are obliged to undergo training program for foster care, followed by family and officially became foster, which formalizes a certificate for foster care for a period of four years.



## **Case study**

In the focus of our research were two twin sisters who are adults with developmental disabilities. Specifically, research is about persons of whom one is with mild mental retardation, while the other is a person with multiple problems. Ever since the early years of childhood, they are placed in residential care because of inadequate parental care. The main reason for separation from the family was neglect due to lack of capacity for the care of the parents. Throughout their life, sisters were kept in an institution for children without parental care, then in institution for adults and the elderly, and later in an institution for people with disabilities. The total number of years spent in institutions is 20. Last institution of social care in which sisters were placed is the institution for female persons with disabilities. In this institution sisters stayed 6 years.

## **Methods and techniques of research**

To collect the data used in the displaying case study, we were used test method through interview techniques, analysis of document method and methods of observation. By analyzing the content of the documents we analyzed the sisters personal files in social work center that made an accommodation for sisters, documentation analysis which was conducted at the institution for accommodation for persons with disabilities, analysis of medical and other relevant documents concerning the documentation was conducted the school they attended, and documentation related to family functioning.

## **Research results**

Based on the assessment that is in the best interests of the beneficiaries to change the form of social protection, issued by the team of professionals for placement and care in the Center for social work. The team carefully planned change in accommodation establishments of social protection care in a foster family. This process included finding adequate foster family, preparing them for the acceptance of this category of beneficiaries of social protection, empowerment and preparation of beneficiaries to leave the residential facility, and to change the very form of protection and support as well as help in the adaptation of the beneficiary to live in a foster home after years spent in an institution of social protection for accommodation.

Tim assessment was based on analysis of the situation and monitors the functioning of the beneficiaries in institution of residential care in which they are placed, with the help and cooperation of the professionals from the residential institution. The research showed that the beneficiaries placed in an institution for children without adequate parental care at age 7 and 9. Placement is made after that team from Center for social work estimate that the sisters were neglected by the mother and her current partner, that parents do not have the competencies required for the care of children, that children are in neglected state of health, are not included in basic education, and that they compromised sisters growth and development. During this period, team has made a detail examination of all the circumstances in which children lived, and it was decided that is in their best interest to temporarily relocate the children. During the time sisters were placed in residential care, professional team from Center for social work worked with the family on individual parental skills improvement, and the preparation and training of family for the return of children from institution. They were also ensured financial security for the family. The children were returned to their family after a year and three months. During this period, children are included in the education system and monitored their health. From the documentation that was available it was not possible to conclude how the family functioned as there were no traces of monitoring family in the period after the children were returned from residential care. After more than four years, at a time when children were 13 and 15 years old, due to the inability to function within the family sisters are again placed in residential care. Health condition in both sisters deteriorated, with the appearance of pronounced mental health problems, during the period in which the children are staying with biological family. The children were educational, hygienic and developmentally neglected. No matter what kind of neglect that has been present consequences in physical, psychological, emotional, social and spiritual development in children remains. (Delaney, 1998; Brooks and Siegel, 1996). Nonetheless, it is important to emphasize the fact that the parents addressed to the Center for social work with a request for children's placement because they were not able to take care of them anymore. Children are placed in residential care for children without parental care, where they have been placed in the past. The analysis of the documentation shown that the family has been extended in period when the children were staying

in the biological family. Mother of the sisters gave birth to two sons. The files that were analyzed in Center for social work had no detailed data on younger male children, but we conclude that there were no problems regarding care for two boys in family, based on the data we were collected from interview with one of the social workers that earlier was working on the case. Functioning of twin sisters in residential care is monitored by an expert team from Center for social work, which was documented in their files, noting the progress that has been made in their functioning. The older sister was attended school under a special program, while the younger attended classes in the ordinary course of secondary education. Upon completion of secondary education in the three-year duration, given that both sisters were adults, but that were not in the full-time education, there was no legal possibility for an extension of their stay in the residential care. Because of this fact the sisters were moved to an institution for adults and senior citizens, where they faced with the serious difficulties in their functioning. Sisters shown resistance to the new environment where they did not belong, taking into account their characteristics and their age. Living in residential care was followed by a series of problems which are primarily reflected in a variety of unacceptable forms of behavior, deterioration in mental health, several attempts arbitrary leaving the institution and attempted suicide one of the sisters. During this period, the sisters have been repeatedly hospitalized at the clinic for psychiatry. Sisters were staying in an institution for adults and senior citizens for a period of about five years, which was marked by frequent absences from the institution for medical treatment. The expert team from Center for social work made a decision to change the residential institution. The sisters were moved to a social care facility for persons with disabilities, which was located in another city. Period of adaptation to life in the new institution passed satisfactorily. Data shows that in this period expert team from Center of social work resided in the institution several times, so that together with the expert team from the institution provide support and adaptation to life in an institution for twin sisters. The sisters have accepted the environment in which they are found, and they began to actively participate in all activities of the institution. During they stay in the institution for placement of persons with disabilities they are constantly expressed desire to return to the city where they were born and lived, as well as the desire to establish contact with mother and other members of their biological family. Expert team from Center for social work considered the possibility of moving sisters to a foster care. After decision was made to move sisters to a foster family, in cooperation with the expert team from institution, and in collaboration with sisters, individual care plans were draft. That included activities related to several segments: the establishment and maintenance of adequate mental health, activities related to mastering the skills needed to function independently (maintaining personal hygiene and space hygiene, cooking, washing, handling electrical equipment necessary for the functioning of the household, etc. ), activities related to the improvement of social skills, re-establish contact with their family. At the same time while the process of preparing for deinstitutionalization were taking place, in Center for social work was started a process of identifying, preparing and training foster family for the care of the sisters. Expert team from Center for social work has targeted the family, which is estimated to have the capacity to work with people with developmental disabilities. Aggravating factor was that the family had no intention to engage in foster care for adults. This obstacle was successfully overcome in a series of interviews with family, accentuating all the challenges and benefits of foster care for adults, especially specialized foster care for adults. The foster family was presented with the family and personal history of sisters. Plan for training and education of family care for adults with developmental disabilities was made and foster family has started the educational process. The education of foster family was conducted by expert team from Center for social work. According to information obtained in structured interviews with the professionals from Center for social work and professionals from institution where sisters were placed, we concluded the following: preparations for deinstitutionalization proceeded in accordance with the individual plan for each sister. The one with mild mental retardation has adopt planed skills within the given time frame, while the other one, with multiple problems had difficulties in the implementation of planned activities, and the adoption of different skills. She also had repeatedly deterioration in mental health. When it comes to contact with the biological family, the expert team of the social work center has made contact with the brothers who responded to the call for the cooperation and join into a support network at the meso level. Foster family has also established contacts with sisters as well as theirs brothers. In the process of deinstitutionalization foster family has repeatedly visited the sisters in the institution. After a year, sisters spent weekend in a foster family. After that expert team extensively worked on their departure from the institution. Before placement in a foster family, all the conditions for a change of placement are acquired. After two years from the beginning of the process, sisters were formally placed of in a foster

family. Foster family monitoring and providing professional support initially was carried out twice a week. After two months professional support and monitoring was conducted four times a month. A significant contribution to the functioning of the sisters within the foster family gives the brothers who have been involved in the support network and actively cooperated with the expert team from Center for social work. Foster parents have been involved in working with a group of foster parents, while the sisters has been included in the Day care Center for persons with disabilities for a period of three hours per day. The active support of an expert team lasted a year, after which the sisters started to led quality life in a foster family.

## **Conclusion**

Foster care as a concept in the protection and care for adult beneficiaries of social protection is not sufficiently developed, although there are all the legal requirements for the development of foster care for adults. There is as well need to reduce the number of adults who are placed in residential care due to various causes.

Particularly vulnerable categories of care users are persons with disabilities, who are rejected, discriminated against, denied the realization of basic human rights and institutionalized. Due to the inability of independent functioning and the families inability of caring for persons with disabilities, many of them are placed in residential care that continue to operate on the principles that impose depersonalization. In these conditions and cultural heritage, which has promoted concealment and isolation of persons with disabilities social exclusion of persons with disabilities is continuing, especially when it comes to adults. One of the potentials for improving this situation is the specialized foster care for adults with developmental disabilities. In relation to the level of difficulty we can certainly speak of a successful integration of people with disabilities that are not classified in the category of severe mental retardation. Specialized foster care can provide a stable environment for these persons and their functioning in the family, the higher the level of rights, but also participation in all spheres of life, which would lead to a higher level of equality and inclusion of adults with disabilities in the local community and the society in which they live. Our case study speaks in favor of specialized foster care for adults. In order to sufficiently provide the ability to care for adults with developmental disabilities in specialized foster families, it is necessary to carry out the recruitment and training of new foster families. In addition, an essential element is the promotion of foster care, but also the promotion of specialized foster care. To help with this type of care, and promote all the opportunities it brings, both for beneficiaries and potential foster families, we have to introduce with it wider public. Although financial motivation may not be crucial to foster care, cannot be excluded, especially if we keep in mind the high unemployment and very limited possibilities for securing their own existence.

In addition to promoting foster care for adults, recruitment and training of foster families, the professional social work is facing the challenge of improving foster care training programs to be developed separately for each of the forms of foster care are in accordance with positive legislation.

For this type of fostering improvements, systematic approach that would ensure the adequate development of fostering through the improvement of professional skills of social workers and other professionals included in fostering, continuing education of foster families and the promotion of foster care in general, is necessary.

Foster care, in terms of the Law, implies takin care the care users in the family that provides fulfillments of basic needs, family that takes care of the person and helps in the rights exercise and the obligations fulfillment. Although placement in a foster family is preferred to institutional placement, it is still far greater number of adults and elderly people placed in residential care. According to the Ministry of Health and Social Welfare of the Government of the Republic of Srpska, placement in foster care as a right was achieved in 1% of the total number of beneficiaries of social protection, while the right to placement in an institution achieved 2. 5% of users (Bulletin of the social, family and child protection, 2015). In real terms, in 2015, 830 adults were placed in social care institutions, while only 125 adults were placed in foster homes. Caring for people with disabilities, compared to the normative definition is done through a form of specialized foster care. This type of care provides special services for adults with disabilities, which is due to psychological and physical health status or need extra care and support. In the Republic of Srpska there are no unique data on the number of adults with developmental

disabilities cared for in foster families. This type of data collected by the Centers for social work, and there is no unique database.

Social work as a professional activity, can greatly contribute to the development of foster care for adults, and therefore specialized foster care for persons with developmental disabilities. Keeping in mind that foster care is realized only through social protection, the largest burden of responsibility for promotion, development and implementation of foster care is precisely at the social work. Positive regulations make it possible to approach the development of foster care for adults, especially specialized foster care, keeping in mind that in the Republic of Srpska are two placement institutions for persons with disabilities. Professionals agree that we have strong need for deinstitutionalization in Republic of Srpska that can be conducted through the concept of specialized foster care for persons with developmental disabilities. According to unofficial data, in the Republic of Srpska are only few foster families specialized in foster care for adults with disabilities. These families have successfully undergone the procedure of assessing the requirements for foster care, as well as a training program for foster care. All families have their place of residence in the city of Banjaluka.

Challenge for social work, as well as social workers and other professionals in social protection, at the local and at the national level, is recruitment families to become foster families, as well as their training for work in foster care. The Ministry of Health and Social Welfare in collaboration with UNICEF in 2014 was organized and conducted training of professionals who are trained to work with foster families, especially in the segment of their training for foster care. The training involved professionals from several regions of the Republic of Srpska who are employed in the centers for social work. This should thereby ensure that the profession of social work in the Republic of Srpska can meet the requirements of applicable legal regulations.

When we talk about the training program for foster care, it should be noted that training for foster families for adults is specially adapted by professionals who have been carrying out. During training, foster families processed contents related to the development of competencies foster parents, the needs of adults and the elderly, the continuity of life of adults and the elderly and their identity, the importance of family environment, cooperation of experts with foster families, modes and types of communication with adults and elderly people from different category of users, neglect and abuse of adults and the elderly, grief and losses as inevitable in the life process with special emphasis on ways of support depending on the categories of beneficiaries, preparing to begin the process of establishing foster care. All of these topics educators adapt to the group with which they work, especially caring about the form of foster care for families to be empowered, on the basis of which the elected approach to developing a theme. Special challenge for social workers is targeting and attracting families to engage in specialized foster care for adults, as well as their follow-up to the provision of the necessary kind of support.

Specific challenges for social workers are support that professionals need to provide to foster families on a daily basis. This correlates with a large number of working obligations and tasks that any professional worker in the center for social work has. One way to support foster families is group work with foster families, with dominant method of counseling, and capacity for development of self-help groups.

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## The Importance of Music in the Development of the Child

Iilir Ramadani

### Abstract

Music has tremendous power, fascinate, relaxes, entertains. Imagine the power that can play in a child's development in the womb. It is a given that in no way should not be neglected. The cry of child, the vocals of his first knowledge of the most recognizable voices, those who feel that in the womb or heartbeat of the mother, all this makes it clear that every human being has an innate sense of rhythm and musicality. According to a survey conducted by Disney for the relationship between music and educational process of the children, it was found that music is essential for the development of imagination and creativity of children, being a universal language, and representing a tool indispensable for development the least towards a more multi-racial. The importance of music in a child's development is demonstrated in different studies, research etc. These studies show that what music is and how capable is it affect the welfare of a child, from an emotional point of view, social, linguistic and motor.

**Keywords:** Music, children, development

### Introduction

Music is a way to recognize. According to Harvard psychologist Howard Gardner (1983) music intelligence is the same importance by the logic<sup>1</sup> (mathematical intelligence, linguistic intelligence) with intrapersonal and interpersonal intelligence.

Even television helps children to learn about music, in fact, although they don't want to watch television, many children have found a series of cartoons Disney called "Little Einsteins" and in which four children between 4 and 6 years ( of different ethnicities) joined with a great love for music.

In each episode the four children decided for a mission aboard a spaceship named Rocket music, discovering a world of classical music, art and natural beauty, experiencing unforgettable experience every time.

By adding a simple text - which follows the adventure of the day - to the music of classic songs, the same parts become attractive and easy to learn from children who find themselves singing to the house, without realizing it.

We help then, dear mothers and fathers, our children turn to music, maybe just to teach those old songs or to repeat what they have learned in kindergarten, so that we spend with our children our leisure time, nice and different.

By Thomas Armstrong (1994. 5) "Intelligence is galvanized<sup>2</sup> by participation in certain types of occupations culturally important and what characterizes the growth of the individual through such activities follows a certain pattern of development, meet and experience a period of growth and very important development during early childhood. "

Making music is an important skill base as walking or folur. Peery and Peery (1987) suggest that it is desirable for children to be exposed to music, being associated with the experience and education. This is a fundamental right for all people to

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<sup>1</sup> Gardner, H. *Frames of Mind*. New York; Basic Books, 1993.

<sup>2</sup> Armstrong, T. *Foundations of the Theory of Multiple Intelligences*. New York: Basic Books, 1994.

be able to sing in tune and go with the pace<sup>1</sup> (and Levinowitz Guilmartin, 1989, 1992, 1996). To ensure a complete experience of learning music should be brought in early childhood.

In practice, the idea that learning music is just a frill, is objectively unsustainable.

The importance of music education for the development of musicality in early childhood years has been widely studied since World War II.

Studies Pillsbury (1937 - 1958) (Moorhead and Pond, 1977), have taken a first look at the pre-school children's musical life and informed us about the nature of their spontaneous musical behavior. Their typical musical performance provides a window through which the music psychologists and educators are able to understand the sequence of development of musical abilities of children.

In general, we learned that children from birth to the age of about six years did not express music as adults. Early childhood - a period of rapid change and development - is the most critical period in the development of musical child and has been identified in the literature as phase "stuttering music"<sup>2</sup> (babble music) (Moog 1976, Gordon, 1988) or The main musical development (Levinowitz and Guilmartin, 1989, 1992, 1996).

Besides small child absorbs music and discriminate differences between frequencies, melody, and pulses<sup>3</sup> (Bridger, 1961; Trehub et al, 1990; Standley and Madsen, 1990; ZENTNER and Kagan, 1996).

The years from birth to six years of learning are critical for decoding the images that come from listening to music and to develop mental representations to organize music in the culture of reference (Holahan, 1987, Davidson, 1985). This process is similar to what unfolds to speak during "babble language. "

The body of knowledge gained so far through research supports the idea that, as language development, children develop musicality them through a sequence of predictable, to obtaining a basic musical competent, which includes singing tone and then the pace <sup>4</sup> (Levinowitz and Guilmartin, 1989, 1992, 1996).

Let's consider this analogy; satellite television, visual images are available for each channel; However, to see them you need a decoder to decode the signal. During primary musical development, children create a "box" or mental representation to decipher the music sound images.

Thinking is important, because it is necessary for all kinds of musical thought. Without experience, can not be developed any musical growth.

Early childhood is the time when children learn things about their environment mainly through the magical process of the game. The essence of the game for very young children is generally formed by surrounding objects and experiences to which they were exposed

Edwin Gordon<sup>5</sup> has identified early childhood as a period of evolution in music (1988). In recent years, position or musical potential, which is based on the complex structure of thought is in the process flow. For this reason, the child's musical attitude is susceptible to positive or negative impacts occurring through education or through the context.

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<sup>1</sup> K.K. Guilmartin. *Music and Your Child: A Guide for Parents and Caregivers*. Princeton, NJ: Music and Movement Center, 1989, 1992, and 1996

<sup>2</sup> Levinowitz, L.M., P. Barnes, S. Guerrini, M. Clement, P.D'April, and M.J. Morey. "Measuring Singing Voice Development in the Elementary General Music Classroom." *Journal of Research in Music Education*, 46:1 (1998): 35-48.

<sup>3</sup> Zentner, M. and J. Kagan. "Perception of Music by Infants." *Nature*: 383 (1996).

<sup>4</sup> *ibidem*

<sup>5</sup> Gordon, E.E. *Learning Sequences in Music: Skill, Content, and Patterns*. Chicago : G.I.A., 1988.



Like all children are born with the ability to learn to speak and understand their native language, all children are born with the potential to learn how to make music and to understand their culture.

When a child has developed the ability to mentally represent typical music of his culture (audiation), this will allow him to be more accurate in expressing themselves musically.

Research conducted by Geringer (1983) and Apfelsradt (1984) suggests that there is no correlation necessarily between internal understanding of music culture and the ability to accurately execute them.

The ability of a correct execution of the musical phrase can be attributed to two factors.

The first is audiation (acquisition and image processing sound). Next is the technical knowledge "means" singing and movement (Weikart, 1987; Bertaux, 1989)<sup>1</sup>.

Therefore, in addition to developing a mental representation or music audiation, early childhood years are also essential for the development of physical skills of singing and rhythmic movement.

Babies can imitate and experiment with their vocal instruments: they are able to play notes mostly in early childhood. The singing of intent can begin when the child is about twelve months. At this time, adults can recognize fragments of songs to which young people are exposed.

By this and through constant exposure to live singing, playing loud, children can develop their use of vocal skills during the remaining years of early childhood. If the environment has supported the development of their speaking, most children enter kindergarten when they already had a good hand of their vocal abilities. Unfortunately, a recent study (Levinowitz et al. 1998) showed a decrease in the ability of students to use these skills during the last two decades.

Modern research shows that two traditions of many cultures have shown a deep bond between rhythm and movement. Study of rhythm can be thought of as the study of all aspects of the music flow through time. We experience the pace as the course of our movement through space.

From the perspective of development, children need to experience the rhythm in their bodies before they can think (audiation). Early childhood years are crucial for using the body as a musical instrument, to react differently to different types of music.

Parents, teachers and others can do much to ensure the necessary stimulation through music experiences to cultivate musical abilities<sup>2</sup> of children. In fact, the importance of relational environmental factors in the development of musicality is supported by case studies undertaken by Kelley and Sutton-Smith (1987).

They studied three girls from their birth up to two years, the increase in households with three very different musical backgrounds. Some parents, professional musicians, a professional group but not another musical direction, and the third group without musical orientation - and therefore less oriented musical elements in their educational practices. Differences between family was not musical and directed by two other families were surprising because two little girls who have experienced the rich musical environments were significantly more advanced.

Similarly, it seems that this philosophy can actually be put into practice in music education for young children. Establishing partnerships between adults who care for young children and understand the specific processes of early childhood learning will contribute significantly to the overall growth and development of children.

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## Interviewing Practices of University Students in Restaurants and Cafes in Eskişehir: Ethical Perspectives of Restaurant and Cafe Managers and Student Job Applicants

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### Abstract

It is vital for organizations and job applicants to be hired by fair, ethical, and non-discriminating processes. This study aims at examining the employing processes of the university students hired by the restaurant and cafes in Eskişehir from the scope of both managers and job applicants considering the interview phase of hiring procedures. The findings of the study suggest that managers and student applicants have different perceptions of ethics in hiring practices. While managers consider ethics as performing hiring practices in accordance with the policies and procedures, students think that ethical hiring is all about verbal and non-verbal behaviors of the interviewer.

**Keywords:** Employment, ethical hiring, hiring practices, interviews, job applicants

### Introduction

Restaurant industry is a fast-growing sector in Turkey. The number of investors in restaurants and cafes is rapidly increasing. This growth heavily interrelates with the level of institutionalisation that the investors could achieve. Therefore, big companies are the key elements for the smaller companies and entrepreneurs in the food and beverage business to stimulate this institutionalisation. The total turnover of the food and beverage sector in Turkey is 17 billion dollars annually which is almost forty times less than in the USA. Considering this huge gap between Turkey and the USA in the food and beverage industry, the investors and entrepreneurs need to reconsider how serious they are and what accurate analysis they apply in designing their business. As every restaurant and cafe owner is and must be an artisan, their business would be bigger, turnover would be higher and their service will be better if they follow a certain systematic. The systematic which is used by big companies has various elements ranging from vision, mission, administration, corporate strategy, innovation design, change management, management systems to human resource managements. The focus of this study is on the human resource management rather than the other elements of the systematic used by the big professional companies. Human resource department briefly identifies the hiring need, develops the position description, conducts recruiting, organises interviews and evaluates the applicants. In the small business companies which have not got a special human resources department to monitor and involve actively in the hiring process, the employees are chosen by the managers or the owners of the small business companies, which would increase the risk of choosing the “wrong employee for the job. Poor hiring practices result in several negative effects on the performance of the company. The negative affect of poor hiring practices result in poor service and product quality, incompatibility with the corporate culture, inability to cooperate with the staff, difficulty in adapting to the company rules and principles, increasing customer complaints and not completing the dues assigned on time. Moreover, the wrong hiring products have a both cost effect on the finance system and psychological effect on the present employee of the company, which snowballs into a single fact in the long term that the

company might fade away from the sector. U. S. Department of Labor and the Society for Human Resource Management (SHRM) report that inappropriate recruiting mistakes have a great deal of impact in the long term for the organizations. In a competitive market, one faulty hire can have an effect on the whole year. The Harvard Business Review claims that eighty percent of employee turnover is because of poor hiring decisions. Another source indicates that poor hiring practices involve inefficiency in five categories such as job design, job ads, job promotion, response to candidates and screening candidates. There are some steps of hiring practices to create a system specifically tailored to the culture and values of a company which are reviewing job applications, testing candidates interviewing selected candidates, choosing candidates based on pre-determined selection criteria, perform background and reference checks, and sending selected candidates for a health check. In this study, the primary focus is the hiring interviews. The purpose of this study was to examine ethical hiring in Eskişehir restaurants and cafes from the perspectives of managers as well as student job applicants, with a focus on the interview step. The Eskişehir restaurant and cafe industry is a major contributor to the city's economy.

### **Purpose of the Study**

The main purposes of this study is to: examine current hiring practices and procedures used by managers in Eskişehir restaurants and cafes; determine managers' knowledge and attitudes in terms of ethical hiring in Eskişehir restaurants and cafes; explore interview experiences of student job applicants in the Eskişehir restaurant and cafes; literature review.

### **Hiring New Workers**

Bayraktaroğlu (2008) suggests that the process consists of several steps and is used to identify the most suitable person for the job. The compatibility of the applicants to the position described by the organization is evaluated for the targeted organisational performance as suggested by Tahiroğlu (2003), the human resource functions identified by the Society for Human Resource Management (SHRM) in America lists the elements of human resources as HP planning, personnel selection, recruiting facilities. These functions include job analysis, prediction of human resources, development and application of a plan, choosing the necessary human resources and recruiting the necessary personnel.

### **Effective Hiring Process**

Richardson (2012) defined the effective recruitment processes as follows:

development of a policy on recruitment and retention and the systems that give life to the policy;

needs assessment to determine the current and future human resource requirements of the organisation. If the activity is to be effective, the human resource requirements for each job category and functional division/unit of the organisation must be assessed and a priority assigned;

identification, within and outside the organisation, of the potential human resource pool and the likely competition for the knowledge and skills resident within it;

job analysis and job evaluation to identify the individual aspects of each job and calculate its relative worth;

assessment of qualifications profiles, drawn from job descriptions that identify responsibilities and required skills, abilities, knowledge and experience;

determination of the organisation's ability to pay salaries and benefits within a defined period;

identification and documentation of the actual process of recruitment and selection to ensure equity and adherence to equal opportunity and other laws.

### **Discrimination in Hiring**

Rees & Ray (2010) defines that perception is a process through which people get, categorise and interpret the input from the outside world. Therefore, their reactions towards anything in the environment in which people operate directly are

formed by the quality or accuracy of their perceptions. In the process of perceiving others, especially in simulated situations such as a limited job interviews, managers can make vital mistakes, even subconsciously. However, CAHRS (2011) figures out the fact that it is hard to spot the biased and discriminating processes in the hiring of an employee, so this can give managers great opportunities for discrimination precisely because it is usually ambiguous, there is no chance for applicants to complain. The interpretations and meanings related to hiring are the vital keys. The managers are aware of the unconscious biases they carry in hiring decisions. A study carried out in University of Bristol (2013) revealed that these unconscious biases are those individuals are not aware of and occur without our control. These automatic processes are started by our brains through instant judgements and criticism of human beings and the settings. One can see the reflection of his socio-cultural background and past experiences in this automated decision-making process.

### **Managing Workplace Diversity**

According to a recent study in Kenya by Wambui et al. (2013) the diversity is all about the tolerance of the different unique features of individuals within an organisation, and it allows individuals to use their potential capacity for the organisation's and their benefits positively. The concept of diversity in an organisation creates a great cultural awareness breaking down the prejudices and bias which negatively affect the performance of the organisations.

### **Hiring Practices in Turkey**

Aycan (2001) revealed that there is a great deal of legal and ethical issues to be considered about HR management in Turkey. The problem in general underlines within the fact that although there are the labour laws and regulations, the law enforcement in the social life is not sufficient enough. Therefore, the state must monitor the HRM activities ranging from recruiting an employee to making them redundant. Like all developed countries, HRM practices must be carried out by certified individuals or agents in Turkish organisations. The current situation in Turkey indicates that generally HRM practices operate through trial and error

### **Ethical Issues in Food and Beverage Organizations in Turkey**

Doğdubay and Karan (2015) claim in a very recent study in Turkey about the ethical issues that the ethical behaviors of the managers are important for ethical practices in the organisations. The following components are listed as the ethical behaviors of the managers.

Providing job security

Regulating a healthy and workable setting

Providing reasonable salaries

Tolerating union activities

Avoiding shadowing the employees

Grounding on employee competence while promoting and recruiting

Avoiding mobbing

Avoiding discrimination

Avoiding imposing employees

Preventing sexual abuse

Providing social rights

## **Significance of the Study**

There is a lot of literature about hiring practices in the restaurant and cafe industry. However, studies in Turkey do not value the need to study hiring practices as it has a potential value for organisations. It improves worker productivity. The purpose of this study was to examine the experiences of job applicants coupled with attitude and knowledge of human resources professionals. Thus the two parts in a holistic manner can be combined to promote fair and ethical hiring practices of university students in the restaurants and cafes in Eskişehir.

## **Methodology**

Structured interviews were used to collect data from the cafe managers and student job applicants to examine ethical hiring practices. Both cafe managers and a group of university students having involved in the hiring process completed an interview for jobs in Eskişehir restaurant and cafes. The interviews held by a convenience sample of cafe managers from Eskişehir. ( $N = 20$ ), which did not have any central hiring departments. The students who participated in this study and conducted the unstructured interviews were from the population of university students studying at Anadolu University in Eskişehir ( $N = 20$ ). Participants were found through classroom announcements. It was ensured to be made at least one male and one female while finding the students. The unstructured interview questions were developed based on a thorough review of the literature on hiring.

## **Results**

Revisiting the three purposes according to the information grasped from the participants revealed the following result.

### **Current Hiring Practices and Procedures Used by Managers in Eskişehir Restaurants and Cafes**

The data driven from the managers indicated that they tend to use their own personal qualifications and preferences in hiring practices. Most of them do not have any training or certification on human resources management. They primarily focus on the cost of the employee to the company and secondarily the qualifications of the applicant for the job. Traditional interviews often fail to capture the information needed to make good hiring decisions. They generally fail to focus on the social skills which are called the soft skills of the applicant. This tendency leads to hiring socially incompatible candidates for the job, have the service quality and higher personnel turnover rate. The final issue is that restaurants and cafes often do not have a long life span in Eskişehir because of these practices. It can be concluded that traditional interviews often fail to capture the information needed to make good hiring decisions.

### **Managers' Knowledge and Attitudes in terms of Ethical Hiring in Eskişehir Restaurants and Cafes.**

When considered the ethical issues in the hiring practices generally two keywords recycled by the managers were "legal" and "within the laws". They think that from the very beginning and the end of the hiring practices are all within the frame of both local and national governing rules and regulations. They tend to talk about their legal operations as a company. The issues range from being a member of a certain chamber to paying their taxes regularly. It can be inferred from this fact that a legally operating restaurant in Eskişehir is believed to be able to handle ethical and eligible hiring and interviewing processes. The issues related to ethical hiring practices such as discrimination in hiring, managing workplace diversity, providing job security and regulating healthy working environment, announcing the interview results and giving reasonable salaries are not independently mentioned by none of the managers interviewed. This indicates that their traditional hiring practices disregarded some new ethical issues by hiding their practices within the discourse of legality concept.

### **Explore interview experiences of student job applicants in the Eskişehir restaurant and cafes.**

The findings of the questions asked to the job applicants signal that job interviewing and hiring practices in the restaurants and cafes in Eskişehir have got certain incompetence. The CVs gathered by the managers or companies are scanned through thoroughly by incompetent so-called HR authorities of the organisations. Moreover, they just scan through your origins, physical appearance, gender, hometown and political views rather than their academic and professional skills

required for the position. Thus some competent applicants are eliminated even without having the chance of being interviewed. Job applicants call this a kind of favouritism that the managers abuse and think that it is part of the criteria for a good HRM from their traditional point of view. Another issue that arises out of the applicants' thoughts is that the timing of the interviews is generally not appropriate for the student applicants. Many of them complain that managers invite them to the job interviews which are pre-determined by the managers and not suitable for their school schedule. It is highly reported that if they inquire the managers to be flexible about these interviewing hours, they are generally rejected or even fired before they are hired. The third issue that rises out of the applicants' reports is about the private questions which are asked about their private life and personal preferences about religious practices, political parties, relationships, drinking and smoking habits and family problems. Even though these issues are not directly related to the competencies of the applicant for the job, the applicants do not find it to be ethical to be questioned during the hiring practices by the managers in the restaurants and cafes of Eskişehir. The final concern of the students is that they are not formally informed that they have not deserved the job. They complain that sometimes they expect a single information for weeks with the hope of being accepted for the job. Generally, managers do not contact back for the negative results of the interviews with the applicants. Applicants indicate that this puts them a lot of psychological pressure and affect their future interviewing performances.

### Discussion

Findings from the managers and student applicants of the restaurants and managers highlight that there is a certain problem with the hiring practices, carried out by traditional approaches of managers, which affects both the organizations' performances and applicants' upcoming lives. The poor hiring practices reflect on the work quality and which in turn reflect on the service quality of the companies. Companies think that by obeying the legal rules and regulations they are very ethical in hiring practices. However, they cannot see what they miss since they do not consider the ethical perceptions of their practices on the eyes of the applicants. The local governors or national authorities must organise HRM certification programs for this small scale traditional restaurant and cafe runners. Moreover, these certifications must be a prerequisite for running such organisations. This approach may help organisations to develop effective and standard HR policies resulting in diversity, service quality, and competent workers sand peacefully rejected applicants

### Limitations

The number of the participants were limited since this was a descriptive study for time and cost constraints. The study was also limited to the city of Eskişehir. For future practices, a quantitative research can be designed to figure out the deeper aspects of the issues with more participant in further locations.

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**Appendix: Semi- Structured Interview Questions**

**Job Applicants Definitions of Ethical Hiring**

**Interview Questions for Applicants**

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**Human Resources Managers' Definitions of Ethical Hiring**

**Interview Questions for Employers**

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## Improvement of Sports Technique Based on Biomechanical Indicators of Yurchenko Handspring Vault in Women's Artistic Gymnastics

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### Abstract

The main purpose of this paper is the biomechanical analysis of the kinematic and dynamic indicators of sports technique used in Yurchenko handspring vault by means of the macro methods for exercises learning during the training basic specialization stage. This scientific approach led to the organization of an experimental study, using the research methods as follows: 1. Method of theoretical and methodological analysis of literature related to artistic gymnastics. 2. Method of evaluation of gymnastics exercises sports technique using the algorithmic analysis of the motion. 3. Video computerized method, using "Pinnacle Studio", "Kinovea" and "Physics ToolKit" programs. 3. Method of movement postural orientation and evaluation of key elements of sports technique with complex coordination of movement structure. 4. Method of linear-branched programming of gymnastics exercises learning and improving. 5. Statistical method, by means of "KyPlot" program. The research was conducted from 2012 to 2014, when gymnasts' performances were monitored in three national competitions - handspring vaults event; a number of 7 athletes aged 12 to 15 participated in these competitions, all of them members of junior national team of Romania. The results of the research highlighted and identified the kinematic and dynamic characteristics of sports technique key elements of Yurchenko vault in women's artistic gymnastics. The implementation of the macro methods of learning in young gymnasts' training contributed to the improvement of sports technique and the effective experimental distribution of the difficult and highly difficult basic vaults.

**Keywords:** kinematics, key elements, dynamics, technical training, performance, vault.

### Introduction

Modern artistic gymnastics develops in line with the rules and trends of the world sport. The concept of artistic gymnastics development and improvement, the argumentation of methodology were created throughout the preparation of Olympic cycles, enabling the efficient management of multi-annual sports training (Arkaev & Suchilin, 2004).

In artistic gymnastics, technical training must be very demanding, because the primacy in competitions is determined by the accuracy of movement (amplitude, expressiveness, fluidity of movement a. s. o.). The analysis of technique reveals the following components: *technical element, technical procedure, style and basic mechanism of technical procedure*. Learning any technical procedure is based on models established by specialists following up numerous and thorough studies of biomechanics. The study of technique and the determination of its rules lead to increasing speed of execution, optimal coordination, identification of mistakes etc. (Dragnea & Mate-Teodorescu, 2002).



In this context, it is clear that each one of the modern sports is based on exercises that vary depending on general volume of the material and on specific structure; the problem of motor skills transfer is highlighted differently (Gaverdovkij, 2002, 2007). Biomechanical researches in artistic gymnastics can be performed using biomechanical methods and also methods taken from other fields of knowledge (pedagogical, mechanical, physiological, psychological, medical ones etc.), mainly intended to highlight the features of movement on various apparatus by selecting the means of recording, processing and analyzing the data obtained (Potop, 2007).

In order to group the gymnastics elements into parts, several criteria can be used, such as pedagogical, psychological, physiological, biomechanical ones etc. The increase of objectification level goes from the pedagogical criteria towards the biomechanical ones. That is why the biomechanical criteria are used for dividing the gymnastics elements into parts. Thus, the technical structure of gymnastics elements contains three levels – *periods, stages and phases* (Suchilin, 2010). Technique analysis relates to the highlighting of biomechanical characteristics and to motion parameters. The biomechanical characteristics are divided into kinematic (spatial, temporal and spatial-temporal) characteristics and dynamic characteristics (force and energy). (Arkaev & Suchilin, 2004).

Numerous studies and researches are scientifically applied for understanding and classification based on the clearly defined field of biomechanical study of gymnastics movements. Bruggmann, 1994, taken after Hochmuth and Marthold, 1987, made the most recent classification of movements in gymnastics. Handspring vaults represent the event with a single basic technical structure and variants of this one. The authors B. Bajin, 1979; G. P. Bruggmann, 1984; Y. Takei, 1984, 1990, 1991, 1992, 1996, 1998; Y. Takei and L. K. Kim, 1992; Li and J. Krug, K. Knoll and Zocher, 1998, examine the elastic parameters of the springboard, the parameters of contact with the floor, the handspring and landing parameters, also the correlation of mechanical variables and the score of the vault (Crețu, Simăr & Bărbuceanu, 2004).

Handspring vaults are the event with a single basic technical structure and variants thereof, the handspring rollover. That is why in most numerous studies and researches on the biomechanical issues of handspring vaults the authors (Boloban & Potop, 2014; Penitente, Sands, & McNeal, et al., 2010) examine the elastic parameters of the springboard, the parameters of contact with the floor, the handspring and the landing parameters, also the correlation between the mechanical variables and the score of the vault. In terms of Yurchenko vaults, most authors (Elliot & Mitcheli, 1991; Kashuba, Khmelniitska & Krupenya, 2012; Koh, Jenning, Elliot & Lioyd, 2003; Penitente, Merni & Fantozzi, et al., 2007; **Potop & Timnea, 2012, Potop, 2015**) address various biomechanical aspects regarding the biomechanical comparison of Yurchenko vault and two associated teaching drills, the improvement of sports technique key elements based on biomechanical analysis, the kinematics of springboard phase, the e-learning by computer video analysis of the key elements of sports technique etc.

In terms of structural relations, existing between movements, we emphasize two aspects of these relations – biomechanical and didactical ones. Researches have shown that there are several types of structural relations of movements, which can pass from an exercise to a similar one during the learning process ("intra-profiles" and "inter-profiles"). These "intra-profile" exercises refer, for example, to 4<sup>th</sup> group vaults – Yurchenko, while the "inter-profile" exercises are the relations of vaults belonging to different groups (Smolevskij & Gaverdovskij, 1999).

*The purpose of the paper* is to highlight the dynamics of the kinematic and dynamic indicators of Yurchenko-type handspring vault at 12 to 15 years old gymnasts in training basic specialization stage.

*Hypothesis of the paper.* We consider that the biomechanical analysis of Yurchenko-type handspring vaults based on the achievement of the macro methods of learning in the case of young gymnasts aged 12 to 15 will contribute to the development of sports technique key elements and to the improvement of movement dynamic and kinematic characteristics.

## Methodology

The methodological character of this research consists of the generalization and systematization of the large number of scientific data and the practical experience related to knowledge formation. Thus, the macro methods for learning the

gymnastics exercises are presented as a modern dynamic system that includes and integrates the technological, didactical, biomechanical and motor structures of the exercises to be learnt. The objective practical-scientific argumentation for elaborating the macro methods to learn gymnastic exercises with increased difficulty was possible thanks to the use of modern theories (Potop, 2015).

This scientific approach entailed an experimental study made within the pedagogical experiment of the post doctoral thesis of the first author, selecting - from the final stage of the research - the dynamics of the biomechanical characteristics of handspring vaults. The research was conducted throughout the period 2012 – 2014, monitoring gymnasts' performances in three national competitions in handspring vaults event. The subjects of the study were 7 athletes of 12 to 15 years old, members of junior national team of Romania. Research methods used: 1. Method of theoretical and methodological analysis of literature related to artistic gymnastics. 2. Method of evaluation of gymnastics exercises sports technique by using the movement algorithmic analysis (Gaverdovschi, 2007). 3. Video computerized method, by means of: "Pinnacle Studio", "Kinovea" and "Physics ToolKit" programs. 3. Method of movement postural orientation and evaluation of key elements of sports technique with complex coordination of movement structure (Sadovski, Boloban & Nizhnikovski, et al., 2009; Boloban, 2013). 4. Method of linear-branched programming of gymnastics exercises learning and improving (Potop, 2015). 5. Statistical method by means of "KyPlot" program.

To highlight the dynamics of the biomechanical characteristics of Yurchenko-type handspring vaults, a number of 11 Yurchenko-type handspring vaults (7 vaults YSS and 4 – YSS 360°) were analyzed in the competitive conditions of the Romanian National Championships, Onești 2012 and other 11 Yurchenko-type handspring vaults (3 handspring vaults YSS, 4 – YSS 360° and 3 – YSS 720°) during the Romanian National Championships, Bucharest 2014.

The phasic structure of the control routines within the research focused on the biomechanical analysis of key elements of Yurchenko round-off vault with backward stretched salto, taking into account the functional structure and the causes as a whole. The biomechanical analysis was made by means of Physics ToolKit Version 6. 0 program, monitoring the key elements of sport technique in preparatory phase – launching posture of the body (LP1), flip off of the springboard (preparatory movement) and multiplication of posture of the body – the 1<sup>st</sup> flight, half back rollover (MP1) and handspring on apparatus, flip off of the table (LP2); in basic phase – multiplication of posture of the body (MP2), the 2<sup>nd</sup> flight that highlights the shape of salto and the momentum of maximum height of GCG (1 ½ stretched salto backwards, 1 ½ stretched salto backwards with 360° and 720° turn); and in final phase – concluding posture (CP) of the body, moment of landing damping and freezing (fig. 1).



*a) Round-off, flic-flac on – stretched salto bwd with 1/1 turn (360°) off b) Round-off, flic-flac on – stretched salto bwd with 2/1 turn (720°) off*

Note: LP1 – launching body posture 1, MP1 – multiplication body posture 1, LP2 – launching body posture 2, MP2 – multiplication body posture 2, CP – concluding body posture, landing.

Fig. 1. Key elements of Yurchenko vault sports technique

This case study is part of the pedagogical experiment of the post-doctoral thesis; it is included in the research plan in the field of National University of Physical Education and Sport from Ukraine, with the subject matters: 2. 11 (Dynamic static

stability as a basis for technical training of those involved in sports gymnastics views ), 2. 32 (Technical training of qualified athlete based on competitive exercises technique rationalization) and plan of research for 2016 - 2017 of the Faculty of Physical Education and Sport, Ecological University of Bucharest.

## Results

The method of video-computerized analysis of Yurchenko-type handspring vaults consistent with the method of movement postural orientation allowed highlighting and identifying the key elements whose assimilation deepens the understanding of sports technique of acrobatic and gymnastics exercises and makes possible the development of modern programs for their learning.

Table 1. Gymnasts' anthropometric and biomechanical indicators necessary for the analysis of sports technique in Yuchenko-type handspring vaults (n = 10)

No.	HS	Statistical indicators*	½ body weight, (kg)	½ body height, arms up, (m)	IR (kg·m <sup>2</sup> )	RM – GCG, (m)		
						Toes	Shoulders	arms
1	YSS n = 3	$\bar{x}$	17.78	0.93	15.64	0.732	0.420	0.517
		S	2.04	0.05	3.52	0.07	0.03	0.08
		Cv%	11.46	5.29	22.51	9.70	6.05	14.66
2	YSS 360° n = 4	$\bar{x}$	19.06	0.96	17.81	0.684	0.368	0.462
		S	1.86	0.05	3.37	0.03	0.02	0.02
		Cv%	9.78	4.75	18.92	4.95	4.98	4.19
3	YSS 720° n = 3	$\bar{x}$	19.17	0.97	18.29	0.677	0.382	0.469
		S	2.62	0.05	4.25	0.07	0.02	0.03
		Cv%	13.65	5.46	23.32	10.03	4.51	7.35

Note: \*indicators were compared with the initial results of the ascertaining experiment of 2012; IR – inertia of rotation =  $\frac{1}{2} m \cdot \frac{1}{2} r^2$  ( $\frac{1}{2}$  body weight x  $\frac{1}{2}$  body height arms up<sup>2</sup>)

In table 2 are listed the results of the biomechanical analysis indicators which characterize the kinematic structure of the key elements of sports technique in Yurchenko-type handspring vaults according to joints angles data (by means of «Kinovea» program), executed in conditions of competition during the Romanian National Championships, Bucharest 2014 and the Romanian National Championships of Artistic Gymnastics, Onești 2012.

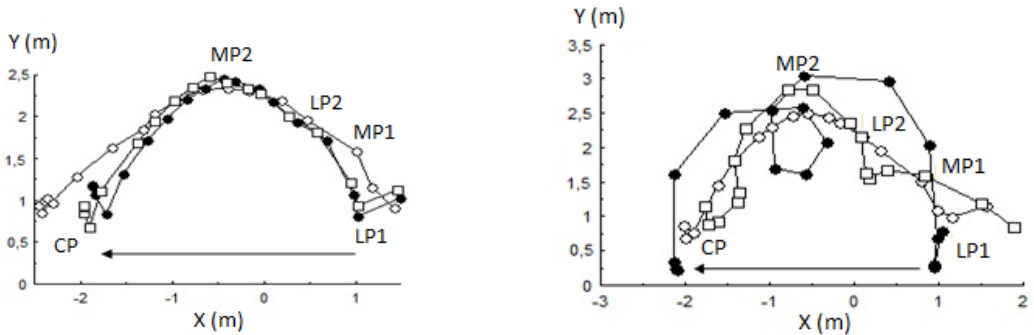
Table 2. Indicators of angular characteristics of body segments during execution of sports technique key elements in Yurchenko-type handspring vaults

Nr. Crt.	Handspring	Statistical indicator*	LP1, (deg)		MP1, (deg)		LP2, (deg)		MP2, (deg)		CP, (deg)	
			TI	TF	TI	TF	TI	TF	TI	TF	TI	TF
1	YSS 2012, n = 7 2014, n = 3	$\bar{x}$	97.57	98.0	92.86	121.0	83.43	66.67	133.7	143.67	126.0	139.33
		S	4.97	5.57	5.87	11.36	3.99	5.51	7.61	2.08	15.17	3.06
		Cv%	4.91	5.68	6.32	9.39	4.78	8.26	5.69	1.45	12.04	2.19
		t <sub>t-f</sub>	0.12		5.35		5.49		2.16**		1.46**	
		p	>0.05		<0.001		<0.001		>0.05		>0.05	
2	YSS 360° 2012, n = 4 2014, n = 4	$\bar{x}$	96.75	100.75	90.5	109.0	79.25	72.5	156.5	166.5	97.75	135.25
		S	1.5	2.06	5.45	3.27	7.54	2.08	10.02	7.77	21.53	3.59
		Cv%	1.55	2.05	6.02	3.00	9.52	2.87	6.40	4.67	22.03	2.66
		t <sub>t-f</sub>	3.13		5.83		1.72*		1.58		3.43	

p		<0.05		<0.01		>0.05		>0.05		<0.05		
3	YSS 720° 2014, n = 3	$\bar{x}$	-	101.33	-	99.67	-	71.00	-	161.67	-	125.00
		S	-	1.53	-	2.52	-	7.21	-	14.43	-	5.00
		Cv%	-	1.51	-	2.53	-	10.16	-	8.93	-	4.00

Note:  $t_{i-f}$  - Unpaired Comparison for Means; \* $p < 0,05$ ; \*\* $p < 0,01$  (F - Fisher); LP1 – launching body posture 1 – angle between joints of ankle – shoulders; MP1 – multiplication of body posture 1 – angle between toes - shoulders; LP2 – launching body posture 2 – angle between hand joint – foot 2; MP2 – multiplication body posture 2 – angle between hip - torso; CP – concluding body posture, landing– angle between hip – torso

Figure 2 shows the spatial characteristics of the key elements of sports technique used in Yurchenko-type handspring vault according to the data of joints movement trajectories of gymnast O. A-M., 15 years old, executed under the conditions of the Romanian National Championships of Artistic Gymnastics 2012-2014.

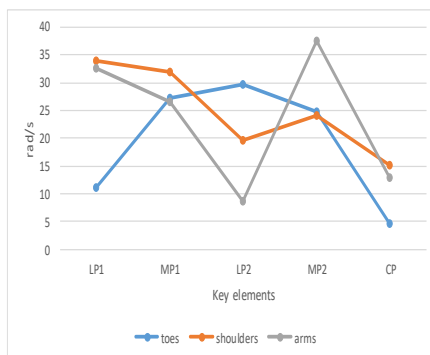
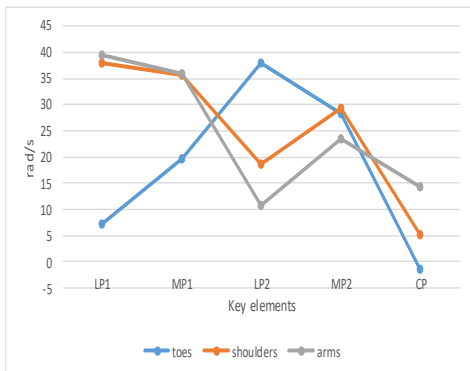


YSS 360°: ○ 2012; ● 2013; □ 2014  
shoulders

YSS 720°: ○ CGG; ● Toes; □

Fig. 2. Graph of body segments trajectories during execution of Yurchenko-type handspring vault, gymnast O. A-M.

Note: LP1 – launching body posture 1, MP1 – multiplication body posture 1, LP2 – launching body posture 2, MP2 – multiplication body posture 2, CP – concluding body posture, landing



2012

b) 2014

Fig. 3. Graphs of body segments angular speed during execution of Yurchenko handspring vault with stretched salto backwards with 1/1 turn (360°), YSS 360°, gymnast O. A-M

Note: LP1 – launching body posture 1, MP1 – multiplication body posture 1, LP2 – launching body posture 2, MP2 – multiplication body posture 2, CP – concluding body posture, landing

Figure 3 shows the graphs of body segments angular speed during the execution of Yurchenko handspring vault with stretched salto backwards with 1/1 turn (360°), of the gymnast O. A-M., 15 years old, executed under the conditions of the Romanian National Championships of Artistic Gymnastics 2012-2014.

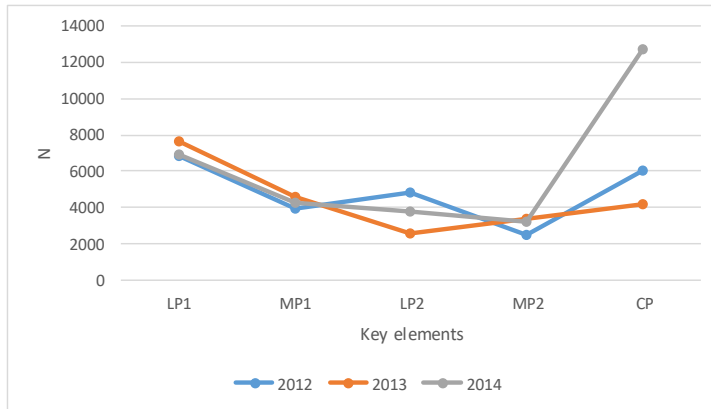


Fig. 4. Graph of GCG force resultant during execution of Yurchenko handspring vault with stretched salto backwards with 1/1 turn (360°), of the gymnast O. A-M., 15 years old

Figure 4 shows the force resultant of GCG displacement during execution of Yurchenko handspring vault with stretched salto backwards with 1/1 turn (360°) of the gymnast O. A-M., 15 years old, under the conditions of the Romanian National Championships of Artistic Gymnastics 2012-2014.

In table 3 are listed the results obtained in competition by the young gymnasts during the Romanian National Championships of Artistic Gymnastics Onești 2012 and Bucharest 2014, handspring vaults event – all around finals and apparatus finals (n = 7).

Table 3. Results obtained by young gymnasts at handspring vaults– Romanian National Championships of Artistic Gymnastics, (n =7)

Statistical indicators	All-around finals, (points)						Apparatus finals, (pts)	
	difficulty		execution		score		results	
	TI	TF	TI	TF	TI	TF	TI	TF
$\bar{x}$	4.74	5.08	8.911	8.475	13.64	13.56	13.36	13.28
S	0.32	0.70	0.15	0.38	0.36	0.87	0.22	0.16
Cv%	6.76	13.78	1.68	4.52	2.61	6.41	1.67	2.62
$t_{-f}$	1.18**		2.803		0.221**		0.57*	
p	>0.05		<0.05		>0.05		>0.05	

Note:  $t_{-f}$  - Unpaired Comparison for Means, \* $p < 0.05$ ; \*\* $p < 0.01$  (F – Fisher)

Table 4. Results of the correlative analysis between the biomechanical indicators of Yurchenko vault and the competitive results in 2014 (n = 7)

№	Indicators		Indicators											
			1	2	3	4	5	6	7	8	9	10	11	12
1	IR (kg·m <sup>2</sup> )			0.558	0.216	0.394	0.691	-	0.444	0.318	0.174	0.403	0.076	0.358
2	RM, (m)	toes	-		0.811	0.884	0.374	0.589	0.120	-	0.512	-	-	-
3		shoulder	-	-		0.833	-	0.670	-	-	0.757	-	0.089	-
4		arms	-	-	-		0.144	0.702	0.081	-	0.805	-	-	-
5	KE, (degr ees)	LP1	-	-	-0.020	-		0.669	0.38	-	0.339	-	0.094	
6		MP1	-0.132	-	-	-	-0.463		-	-	0.568	-	0.168	
7		LP2	-	-	-0.393	-	-	-0.237		0.735	-	0.507	-	0.234
8		MP2	-	-0.341	-0.802	-0.419	-	-0.538	-		-	0.781	-	0.597
9		CP	-	-	-	-	-0.230	-	-0.300	-0.557		-	0.161	-
10			difficulty	-	-0.449	-0.661	-0.408	-	-0.701	-	-	-0.264		0.183
11	AA, (point s)	execution	-	-0.057	-	-0.078	-0.407	-	-0.397	-0.075	-	-		0.469
12		score	-	-0.387	-0.493	-0.363	-	-0.491	-	-	-0.142	-	-	

Note: IR – inertia of rotation, RM – radius of movement of body segments, AA – all-around, r- Pearson's correlation coefficient, p<0.05, r = 0.786

Table 4 presents the correlative connections between the biomechanical indicators of Yurchenko-type handspring vaults and the results achieved in the Romanian National Championships, Bucharest 2014.

## Discussions

According to the Code of Points, in women's artistic gymnastics the handspring vaults are divided into 5 groups (\*\*\*) (FIG, 2013); the round-off stretched salto backward vault (Yurchenko) belongs to group IV. All handspring vaults have one thing in common, determined by the phases that compose their full development, namely: *running, hurdle onto springboard, first flight, support with hands on table (handspring), second flight and landing* (Vieru, 1997).

One made the analysis and gave the comparative score of sports technique improvement depending on the kinematic and dynamic indicators of Yurchenko-type handspring vaults under the influence of the macro methods of exercises learning during the basic specialization stage (end of the pedagogic experiment 2014) and made the comparison with the beginning and the intermediate stage of the ascertaining experiment and the results achieved in competitions.

The macro methods of learning difficult acrobatic and gymnastics exercises of coordination, also the logical-structural diagram for achievement in sports training are well presented by Prof. V. Boloban (1988). Structurally, the macro methods introduce the functional assembly of long-term programs for learning the exercises of "movement school", the basic level of specialization, of the arbitrary and final programs, also the development of physical qualities consistent with the technical training based on the influence of key concrete goals of gymnasts' sports training (Boloban, 2013).

Results of anthropometric indicators. For the handspring vault (HVT) YSS (n = 3), result of the mean (x; S) ½ of body weight is equal to 7.78; 2.04 kg; ½ of body weight, arms up – 0.93; 0.05 m; at HVT YSS 360° (n = 4) – ½ of body weight – 19.06; 1.86 kg; ½ of body weight, arms up – 0.96; 0.05 m; la HVT YSS 720° (n = 3) – ½ of body weight 19.17; 2.62 kg; ½ of body weight, arms up – 0.97; 0.05 m (table 1).

Results of biomechanical indicators, necessary for analyzing the sports technique of Yurchenko-type handspring vault (HVT): the inertia of rotation (IR kg·m<sup>2</sup>) of the subjects submitted to research during handspring vaults (HVT) YSS (x; S) is equal to 15. 64; 3. 52 kg·m<sup>2</sup> – increased by 1. 13 kg·m<sup>2</sup> (p>0. 05) in comparison with the data of 2012; HVT YSS 360° – 17. 82; 3. 37 kg·m<sup>2</sup> – increased by 3. 03 kg·m<sup>2</sup> (p>0. 05); HVT YSS 720° – 18. 29; 4. 25 kg·m<sup>2</sup>. The radius of movement (RM) of foot joint (ankle) (RM – toes) of the gymnasts during HVT YSS (x; S) is equal to 0. 732; 0. 07 m – increased by 0. 026 m (p>0. 05); HVT YSS 360° – 0. 684; 0. 03 m – increased by 0. 006 m (p>0. 05); HVT YSS 720° – 0. 677; 0. 07 m. The radius of movement of shoulder joint (RM – shoulders) at HVT YSS is equal to 0. 420; 0. 03 m – increased by 0. 001 m (p>0. 05); HVT YSS 360° – 0. 368; 0. 02 m – reduced by 0. 028 m (p>0. 05); HVT YSS 720° – 0. 382; 0. 02 m. The radius of movement of hand joint (RM – hand) at HVT YSS is equal to – 0. 517; 0. 07 m – is reduced by 0. 041 m (p>0. 05); HVT YSS 360° – 0. 462; 0. 02 m – is reduced by 0. 054 m (p<0. 05); HVT YSS 720° – 0. 469; 0. 03 m (table 1).

*Handspring vault YSS type* (n=3). The result of the mean ( $\bar{x}$ ; S) of the angle between ankle and shoulders joints in body launching posture (LP1) 1 is equal to 98. 0; 5. 57° – is diminished by 0. 43° (p>0. 05) compared to the data of 2012; during multiplication of posture (MP1) of body 1, the angle between ankle and shoulders joints is equal to 121. 0; 11. 36° – increased by 28. 14° (p<0. 001); in launching posture (LP2) of the body 2, the angle of the hand and ankle joints is equal to 66. 67; 5. 51° – reduced by 16. 76° (the execution of "Corbett" was improved) (p<0. 001); in posture multiplication (MP2) of body 2 – angle between hip and torso is equal to 143. 67; 2. 08° – increased by 9. 96° (F; p<0. 01) which characterizes the correction of gymnast's body posture in the concluding posture (CP) of the body – the angle between hip and torso is equal to 139. 33; 3. 06° – increased by 13. 33° (F; p<0. 01), which led to the improvement of vault landing (table 2).

*Handspring vault YSS type 360°* (n=4). The result of the mean ( $\bar{x}$ ; S) of the angle between shoulders and ankle joints in the launching posture(LP1) of body 1 is equal to 100. 75; 2. 06° – increased by 4. 0° (p<0. 05); in the multiplication of body posture (MP1), the angle between ankle and shoulders joints is equal to 109. 0; 3. 27° – increased by 18. 5° (p<0. 01), which characterizes the high-long flight of the gymnast; in the launching posture(LP2) of the body 2 the angle between hand and ankle joints is equal to 72. 5; 2. 08° – reduced by 6. 75° (F; p<0. 05); in multiplication of posture (MP2) of the body 2, the angle between hip and torso is equal to 166. 5; 7. 77° – increased by 10. 0° (p>0. 05); in the concluding posture (CP) of the body – the angle between hip and torso is equal to 135. 25; 3. 59° – increased by 37. 5° (p<0. 05), which characterizes the improvement of landing quality (table 2).

*Handspring vault YSS type 720°* (n=3). The result of the mean ( $\bar{x}$ ; S) of the angle between shoulders and ankle joints in the launching posture (LP1) of the body 1 is equal to 101. 3; 1. 53° (the gymnasts-subjects of this research did not execute this vault in 2012); in the multiplication of posture (MP1) of body 1, the angle between ankle and shoulders joints is equal to 99. 67; 2. 52°; in the launching posture (LP2) of the body 2, the angle between hand and ankle joints is equal to 71. 0; 7. 21°; in multiplication of posture (MP2) of the body 2, the angle between hip and torso is equal to 161. 67; 14. 43°; in the concluding posture (CP) of the body – the angle between hip and torso is equal to 125. 0; 5. 0° (table 2).

Out of 10 handspring vaults, the gymnasts had 3 vaults with steady landing, 4 vaults with hopping at landing and 3 vaults with unsteady landing.

The results of the comparative analysis indicators of spatial-temporal characteristics of sports technique key elements used in Yurchenko-type handspring vaults (YSS 360° and YSS 720°), according to the data of joints movement trajectories of the gymnast O. A-M., aged 15, executed under the conditions of Romanian National Championships of Artistic Gymnastics 2012-2014, are shown in figure 2, duration of the handspring vault YSS 360°- equal to 0. 5 sec ± 0. 033 sec. In the case of YSS 360° vault, during the execution of launching posture (LP1), the body posture before flipping off of the springboard has the torso inclination backward smaller by 5° than the inclination in 2014 (ankle-shoulders angle - 101°), as in the same vault – 2012; multiplication of posture (MP1) of the body 1 in ½ backward rollover higher and farther – GCG – 1. 816 m, in 2014; the launching posture (LP2) of the body 2 – has extension of the torso for legs braking for the supporting Corbett (from handstand) – angle – 70°, in 2014; multiplication of posture (MP2) of body 2 – raising of body GCG by 0. 086 m (2. 479 m) more than in 2012, the angle between hip and torso is equal to 157° (2014); concluding posture (CP) of the body –



farther landing in 2012 – 1.905 m, with improvement of body posture CP in 2014 by 47°, the angle hip - torso is equal to 131°.

In the case of YSS 720° vault (figure 2), during the body posture LP1 execution, the body inclination backwards before flipping off of the springboard is 101° (angle between ankle and shoulders); multiplication of posture (MP1) of body 1 (positioning of body GCG) in ½ rollover backwards lower and longer – 1.513; 0.784 m, in comparison with its execution in apparatus finals in the second handspring vault YSS 360° in 2014; launching posture (LP2) of the body 2 – posture with slight extension of the torso for legs braking in the supporting Corbett (from handstand) – angle – 77°; multiplication of posture (MP2) of body 2 – raising of body GCG higher by 0.020 m (2.499 m), that the YSS 360° in 2014, the hip-torso angle is equal to 180°; concluding posture (CP) of the body – farther landing – 2.096 m, compared to YSS 360° in 2014, the hip-torso angle is equal to 109°.

Results of the individual indicators of angular speed and force resultant of the gymnast OA-M (fig. 3 and 4). In 2014 the force resultant of GCG at LP1 during handspring vault (HVT) YSS 360° is equal to 6920 N – increased by 90 N, in comparison with the indicators of 2012, YSS 720° - 8920 N; the angular speed at LP1 YSS 360° in ankle joints is equal to 11.168 rad/s – increased by 3.953 rad/s, YSS 720° – 8.204 rad/s, the angular speed at LP1 YSS 360° in shoulders and hand joints decreased by 6.748 and 3.723 rad/s, YSS 720° – 33.426 and 38.79 rad/s; MP11 at YSS 360° – the force resultant of GCG in ½ rollover backwards is equal to 4270 N – increased by 310 N, at HVT YSS 720° – 3180 N; the angular speed in ankle joint at HVT YSS 360° – equal to 27.188 rad/s – increased by 7.416 rad/s, at HVT YSS 720° – 26.189 rad/s, the angular speed helped the gymnast to guide effectively the Corbett part LP2; the key element LP2 – posture of gymnast's body for flipping off of apparatus (force resultant of GCG) at HVT YSS 360° and YSS 720° was improved – 3750 and 4350 N; the angular speed at HVT YSS 360° in ankle joint is equal to 29.816 rad/s – decreased by 8.051 rad/s, in all vaults the gymnast has the hand joint indicators – 8.634 – 10.792 rad/s; the key element MP2 – maximum height of GCG raising (force resultant) was recorded at the gymnast who executed HVT YSS 360° equal to 3200 N – increased by 700 N and in HVT YSS 720° – 3320 N; the angular speed in ankle joint at HVT YSS 360° – 24., 886 and 29.058 rad/s, in shoulders – 24.164 and 26.142 rad/s (the bigger angular speed in angle joint in both HVT allowed a more effective execution of the rotation and preparation for landing); the force resultants of GCG in the key element (CP) at HVT YSS 360° and YSS 720° are – 12700 and 10300 N; the angular speed in shoulders and ankle joints in HVT YSS 360° has the indicators 4.751 and 15.289 rad/s, which help to complete the rotation effectively in the salto and to take the comfortable concluding posture for landing; in HVT YSS 720° these indicators are almost similarly equal to 5.101; 5.841 rad/s which enabled the gymnast to have a steady landing.

Comparative analysis of the performances achieved in competition (table 3). In 2014 the competitions were attended by 7 gymnasts who executed four types of handspring vaults: YSS, YSS 360°, YSS 720° and Tsukahara with stretched salto – their difficulty corresponds to 4.400 points, 5.000 points, 5.800 points and 4.600 points. The average difficulty score ( $\bar{x}$ ; S) in the all-around competition is equal to 5.086; 0.70 points – it increased by 0.34 points (for comparison, in 2012 is equal to 4.743; 0.32 points). In 2014 the average score for execution – 8.475; 0.38 points, it decreased by 0.436 points, because the gymnasts performed more difficult handspring vaults, but there are significant differences ( $p < 0.05$ ); in 2014 the general score – 13.561; 0.87 points, decreased by 0.08 points ( $F$ ;  $p < 0.01$ ), compared with the year 2012, which also certifies the execution of handspring vaults of high difficulty and the omission of technical mistakes. The analogical results obtained in the apparatus finals event. The gymnast O. A. -M. shared the 3<sup>rd</sup> place with the gymnast SŞ – 13.312 points; the gymnast CA who executed two vaults belonging to groups of different difficulty (YSS 360° and Tsukahara) was ranked the second, the gymnast ZS – was ranked the 6<sup>th</sup>. In this competition, the first place was taken by the finalist in the Olympic Games, the gymnast L. I.

Results of correlative analysis (table 4): there were recorded strong connections of the indicators at  $p < 0.05$  between the radius of movement (RM) of ankle joints and the RM of shoulders and hand joints; the RM of shoulders and RM of hand; the RM of hand and the hip-torso angle in the concluding posture (CP); the RM of shoulders and the angle of ankle and



shoulders joints in MP1; hip-torso angle and the score for difficulty of vault; the vault difficulty and the final score of the vault.

### Conclusion

The method of video-computerized analysis of Yurchenko-type handspring vaults, consistent with the method of movement postural orientation, helped to highlight, identify and evaluate the key elements of sports technique and the development of modern programs for their learning.

The results of the biomechanical indicators required by the analysis of sports technique specific to Yurchenko-type handspring vault reveal the increase of the value of rotation inertia and the diminution of movement radius in the joints of ankles, shoulders and hands.

The comparative biomechanical analysis of the angular characteristics of sports technique key elements used in Yurchenko-type handspring vaults executed by gymnasts of 12 to 15 years old highlights modifications of the angular values of body posture within movement phasic structure and significant differences between tests.

The introduction of the individual indicators regarding the increase of force resultant of GCG displacement and the angular speed of rotation movement of ankle, shoulders and hands joints compared to the initial values led to a more correct and effective execution of the key elements, which contributed to the improvement of sports technique used in Yurchenko-type handspring vaults.

The comparative analysis of the performances achieved in competitions reveals the type of executed vaults, the increase of the score for vaults difficulty, the diminution of the score for execution and the average score; even if the gymnasts executed more difficult vaults, the ratio between difficulty and execution did not influence positively the final score.

The biomechanical analysis of the Yurchenko-type handspring vaults based on the macro methods for teaching the young gymnasts aged 12 to 15 contributed to the development of sports technique key elements and to the improvement of the kinematic and dynamic characteristics of the movement, which confirms the proposed hypothesis of the paper.

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## Cross Border Shopping from the Perspective of Domestic Tourists in Padang Besar, Perlis

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### Abstract

Padang Besar is a border town in Malaysia and it is located in the northern part of Perlis, which shares a border with the province of Songkhla, Thailand. This border town is popular for shopping activities among Malaysian and Thai. Most visitors and tourists come during the weekends, sometimes up to thousands at one time. This research paper examines the motivations of cross border shoppers from the perspective of domestic tourists in Padang Besar, Perlis. The objective is to identify the consumer characteristics and analyze the relationship between market characteristics with cross border shopping. This study employs quantitative method and the data were collected using self-administered questionnaires. Statistical software was used to analyze the 375 returned questionnaires. The findings revealed that most of the domestic tourists came from the lower income group and most of them were day tripper. They tend to spend more on food and beverages, while their average spending is more than RM300. Moreover, market characteristics show strong positive relationship towards this shopping activity. The information gathered is beneficial for both neighbouring countries as the government can help to improve the shopping area by facilitating the development with related tourism infrastructure and amenities.

**Keywords:** shopping tourism, border town, consumer characteristics, market characteristics

### Introduction

Tourism is known as a social, cultural and economic phenomenon that involves a visitor's movement to destinations. The visitor travels from one destination to another for leisure or business purposes. Trippers may experience different environment while they are away from home. Meanwhile, tourists have intention to return home after visit and they stay for short term periods at the destinations<sup>[1]</sup>. In addition, many tourists visit Thailand on business leisure, or shopping trips. Padang Besar, Perlis, is a border town that lies between north Malaysia and south Thailand, and is famous for border shopping activities since the early 1950s. Padang Besar offers a huge market which houses varieties of items for sale and it is known as Padang Besar Business Arcade Complex or PBAC. Previous study indicates that the main attraction of tourism activities in Padang Besar is centered at PBAC as it hosts most shopping activities. Based on observations in Padang Besar, most visitors tend to shop at PBAC than the other shopping venues<sup>[2, 6]</sup>. Observation also reveals that most visitors were domestic tourists. Domestic tourists in this study are Malaysian visiting Padang Besar or specifically, those tourists travelling within a country and do not need passport or visa.

To date, there are few studies conducted in Malaysia based on the cross border shopping activities such as the study on behaviour of Bruneian in Limbang, Sarawak<sup>[2]</sup> and Singaporean outshopping activities in Johor<sup>[14]</sup>. Thus, only a number of studies were conducted on cross border shopping pattern in the borderland in between Malaysia and Thailand. Previous

researches on Padang Besar were focusing on shopping development and trading activities<sup>[6, 7]</sup>. Hence, this study is conducted to fill in the gap on cross border shopping activities of domestic tourists specifically those in Padang Besar, focusing on the consumer characteristics and market characteristics. Consumer characteristics are often used to predict how likely a group of people to purchase a product, while market characteristics are referring to cheaper price, variety of goods, lower tax, accessibility, communication, social status and opening hours<sup>[4]</sup> that attracts visitors to cross border shopping destination. Herein study, consumer characteristics are discussed based on the demographic profile, travel pattern, and spending pattern of the respondents in Padang Besar.

In line with the above notion, this study seeks to answer the following research questions:

1. What are the consumer characteristics in Padang Besar?
2. What is the relationship between market characteristics with cross border shopping activities?

### **Malaysia Cross Border Shopping**

Malaysia is located in the heart of Southeast Asia and neighboring with nations like Thailand, Singapore, Indonesia, and Brunei. Most of the border towns between Malaysia and Thailand are famous with shopping activities due to duty free areas. Malaysians cross the border to enjoy the tasty Thai food in Thai restaurants or stalls and also a lot of choices for shopping, meanwhile Thai tourists come to Malaysia to buy unique products. The duty free items offered to guests are clothing, cigarettes, alcohols, chocolates, cameras, beauty products, souvenirs, and others<sup>[5, 6, 7]</sup>.

Furthermore, the main factor that influenced the border movement between Malaysia and Singapore is the availability of the transportation links between the countries such as trains, buses, taxis, and cars<sup>[8]</sup>. For Malaysia and Indonesia, the border town is located at Serikin, Sarawak. Ever since long time ago, individuals from both sides have relations and social association, thus enabling people from both nations enjoyed shopping in the border areas in Serikin, Sarawak<sup>[9]</sup>. They like to shop due to such remunerations as affordable price which they can bargain price and variety of goods to be chosen from.

Apart from that, another border town in Malaysia that is known for cross-border activities is located between Malaysia and Brunei. Malaysian and Bruneian cross the border for tourism activities. Most Bruneian cross the border to Limbang to buy groceries. The factors that determined Bruneian to cross the border to Limbang, Sarawak, is a result of the higher discretionary cash flow as there is no wage charge for them in their nation<sup>[3, 10]</sup>. Furthermore, Limbang is known as the center for people to run illegal activities like prostitution. This activity attracts more Bruneian to visit Limbang and encourages them to fulfill their desire.

### **Research Methodology**

In this research, the researcher used simple random sampling in choosing the sample of respondents. The samples of the subject matter involving the domestic tourists who came from every state in Malaysia and having their own reasons to come to Padang Besar. It is mentioned that populations are characterized as individuals, people, associations, gatherings or groups that the researchers hope to answer the questionnaires<sup>[11]</sup>.

This research focused on local tourists who travel to North Malaysia especially to Padang Besar, Perlis, which is famous of its shopping areas. The researcher received 375 valid responses out of 400 self-administrative questionnaires distributed in the border town of Padang Besar. The respondents were randomly selected while they were shopping at major shopping arcade in Padang Besar. The instrument design for this study was adapted from prominent researchers<sup>[12, 13]</sup>.

### **Result and Discussion**

From the simple random sampling method, the result was obtained and 375 questionnaires were analyzed. For the demographic profiles, it showed that male tourists make up 48. 8% and 51. 2% female. Previous study mentioned that most Singaporean traveled to another country for shopping reason and spent on clothes, handbags, shoes, cosmetics, and

household items<sup>[14]</sup>. It shows that cross border shopping can undoubtedly attract female shoppers because of the speciality of the items which are offered to them. Most of the respondents are aged between 18 – 24 years old.

Majority of the tourists answered that they are single in terms of their marital status. 75.7% of the respondents have certificate/diploma/degree for their education background level. With two highest ranked, 44.5% are students and 36.5% are employed respondents which showed that these two groups always come to the researched area. Employment category (others) showed half percentage value (51.5%) as compared to other categories. Students and housewives are included in the other employment categories based on the survey. Most of the respondents were in the lower income group which was less than RM3000 per month while most of the respondents' household income was less than RM5000.

**Table 1: Demographic Profile of Domestic Tourist**

Variable	Response	Frequency	Percentage
<b>Gender</b>	Male	183	48.8
	Female	192	51.2
<b>Age</b>	18-24	170	45.3
	25-29	98	26.1
	30-34	49	13.1
	35-39	29	7.7
	40-44	12	3.2
	45-49	4	1.1
	50 and above	13	3.5
<b>Marital Status</b>	Single	251	66.9
	Married	94	25.1
	Others	30	8.0
<b>Education Level</b>	Primary	7	1.9
	Secondary	57	15.2
	Certificate/Diploma/	284	75.7
	Degree	27	7.2
	Others		
<b>Occupation</b>	Student	167	44.5
	Employed	137	36.5
	Housewife	28	7.5
	Unemployed	16	4.3
	Retired	10	2.7
	Others	17	4.5
<b>Employment Status</b>	Professional and Managerial	46	12.3
	Technical/Supervisory	27	7.2
	Clerical	38	10.1
	Production/Operatives	19	5.1
	Self-employed	52	13.9
	Others	193	51.5
<b>Personal Income</b>	Less than \$3000	298	79.5
	\$3000-\$5000	66	17.6
	\$5000 and above	11	2.9
<b>Household Income</b>	Less than \$5000	314	83.7
	\$5000-\$10000	48	12.8
	\$10000 and above	13	3.5

**Table 2: Travel Pattern**

Items	Frequency	Percentage
<i>Day tripper</i>		
Yes	264	70.4
No	111	29.6
<i>Frequency of border movement</i>		
Once a week	11	2.9
Once a month	13	3.5
Once in two months	22	5.9
Once in six months	127	33.9
Once a year	202	53.9
<i>Distance from residence to border town</i>		
Less than 50km	33	8.8
50km-100km	46	12.3
More than 100km	296	78.9
<i>Mode of transportation</i>		
Own Transport	212	56.5
Public Transport	44	11.7
Car Pooling	119	31.7
<i>Number of hour spent per trip</i>		
Less than 3 hours	74	19.7
3-6 hours	117	31.2
More than 6 hours	184	49.1
<i>Purpose of visit</i>		
Shopping	276	73.6
Visiting friends and relatives	39	10.4
Business	38	10.1
Transit	21	5.6
Others	1	.3

For the travel pattern, most of the domestic tourists basically were day trippers, who make the trips to Padang Besar, Perlis. From the survey, about 53.4% of the respondents cross the border at least once a year. The percentage of samples that resides more than 100km from border town was 78.9%, while 49.1% would spend their time more than 6 hours in Padang Besar (.). The respondents using public transport has the least percentage (11.7%). Although the availability of high-speed train of KTM, Electric Train Service (ETS) has routes from Kuala Lumpur, Ipoh, and Butterworth to Padang Besar, the tourists tend to use their own transport.

Shopping is the main purpose for domestic tourists to visit Padang Besar. As noted by many researchers, every author noticed that shopping was the primary reason why huge number of travelers taking their outings every year<sup>[14, 15, 16, 17]</sup>. It is also a stated that 51% of the travel study mentioned that the main purpose in having trips in the past year is for shopping activity<sup>[1]</sup>. In fact, similar results were discovered, which evaluated that 47% of all those shopping trips taken by visitors asserting shopping as their essential or optional purpose for travel<sup>[18, 19]</sup>

**Table 3: Spending Pattern**

Items	Frequency	Percentage
<i>Food and beverages (N=362)</i>		
Less than RM50	198	54. 7
RM51-Rm100	124	34. 3
More than RM100	40	11. 0
<i>Clothes (N=359)</i>		
Less than RM100	127	35. 4
RM101-RM150	151	42. 1
More than RM150	81	22. 6
<i>Shoes / handbags (N=256)</i>		
Less than RM100	121	47. 3
RM101-RM150	62	24. 2
More than RM150	73	28. 5
<i>Household items (N=62)</i>		
Less than RM100	41	66. 1
RM101-RM150	12	19. 4
More than RM150	9	14. 5
<i>Cosmetics and beauty products (N=109)</i>		
Less than RM100	66	60. 6
RM101-RM150	17	15. 6
More than RM150	26	23. 9
<i>Toys (N=41)</i>		
Less than RM100	35	85. 4
RM101-RM150	3	7. 3
More than RM150	3	7. 3
<i>Perfumes (N=84)</i>		
Less than RM100	64	76. 2
RM101-RM150	8	9. 5
More than RM150	12	14. 3
<i>Jewelries and accessories (N=75)</i>		
Less than RM100	50	66. 7
RM101-RM150	15	20. 0
More than RM150	10	13. 3
<i>Others (N=145)</i>		
Less than RM100	91	62. 8
RM101-RM150	46	31. 7
More than RM150	8	5. 5
<i>Average spending per visit (N=375)</i>		
Less than RM100	22	5. 9
RM100-RM200	86	22. 9
RM200-RM300	96	25. 6
More than RM300	171	45. 6

On average, most of the domestic tourists are found to spend more than RM300 per visit to Padang Besar. Domestic tourists tend to spend mainly on food and beverages. About 54. 7% of 362 of the respondents spent less than RM50 on food and beverages. Besides, tourists spent RM101-RM150 on clothes and less than RM100 on shoes/handbags. For the rest of the items, like household items, cosmetics and beauty products, toys, perfumes, and jewelries and accessories showed that tourists spend less than RM100 while they bought the products. Around 145 tourists also spent on other items.

### The relationship between market characteristics with cross border shopping activities

There is a significant correlation between market characteristics and cross border shopping which significant value equal to 0.00 less than 0.01 (sig. value = 0.00 < 0.01). The result shows that all of the factors in market characteristics showed the value less than 0.01. This is further supported by the positive coefficient of correlation value. The highest positive coefficient is physical factor and other factors ( $r = 0.765^{**}$ ) continued by product and service attributes ( $r = 0.708^{**}$ ), and shopping area and related attributes showed positive value of 0.699\*\*.

Therefore, market characteristics showed strong positive correlation to cross border shopping activities. Three main factors in the market characteristics strongly motivate shoppers to travel to border town. Table below reveals information on border shopping activities. Border shopping activities had strong relationship with market characteristics (p-value=0.000,  $r = 0.803^{**}$ ). The Correlation Coefficient shows the excellent relationship between the variables.

**Table 4: Relationship between market characteristics with cross border shopping activities.**

Market Characteristics	Correlation	.803**
Coefficient	.000	
Sig. (2-tailed)		

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

Table 4 shows there is a significant correlation between market characteristics and cross border shopping. All of the factors in market characteristics like product and service attributes, shopping area and related attributes, physical factor, and other factors show the significant value of 0.000. The finding is further supported by the positive coefficient of correlation value which is less than 0.01. Therefore, cross border shopping activities had strong relationship with market characteristics (p-value=0.000,  $r = 0.803^{**}$ ). The Correlation Coefficient shows the excellent relationship between the variables.

### Conclusion

There are a few studies on cross border shopping throughout the world, but limited studies are found in Malaysia and most of them only focused on retailer, trading rather than on discovering the motivation, behavior, and personal characteristics of cross border shoppers who purchase at the border town. In this study, the review is on the domestic tourist profiles, their spending patterns, border movement, and the factors motivating the tourists to travel. The relationship between the variables is discovered.

As a result, the product and service attributes, shopping area and related attributes, and physical factors are the factors perceived by the respondents, thus noting that the major factor that influenced shopping activities is product and merchandise offered in that place. This statement is also supported by other researchers who observed the range of prices as the factor that makes shopping activities as a pleasurable experience [20].

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## Discourse on the Narrative of Coexistence for Intercultural Education

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### Abstract

The changes are rapid and multi-faceted globally; and, the issues and people in the world are interconnected and interrelated. Transformative cultural change engages a process at the crossroads of our social and political, while challenging historical narratives. Intercultural education aims to achieve a developing and sustainable way of living together in multicultural societies through the creation of understanding of, respect for and dialogue between the different cultural groups. Narrative is a characteristic of human consciousness that draws the sequence of experienced events and proposed actions into unified episodes. Moreover, narratives are closely tied to culture and identity and serve as a medium for constructing our understanding of reality. It is the core of intercultural education that the members who participate in society understand the narrative that mutual cultures have. This paper explores the discourse on the narrative of coexistence for intercultural education. The circular interpretation to the process means narratives are tools for conceptualizing and creating change among diverse others in different cultures.

**Keywords:** Narrative, Intercultural Education, Multicultural Society, Coexistence, Relationship, Interpretation, Other

### Introduction

The era of globalism has changed the world; we move away from the self-centered period of nationalism which has dominated the world for the past years. As Korean society is in transition toward a multicultural society, the coexistence of people with others is crucial point of view. The narrative is dynamic and living as change occurs at the local and global levels. Transformative cultural change engages a process at the crossroads of our social and political, while challenging historical narratives. The exploration of culture and diversity is an interactive, continually expanding and shifting process that requires the inclusion of multiple voices and lenses. Educational knowledge and activities are part of the dynamic interchange of building relationships and creating bridges among different cultures. Intercultural education advocates for positive change are upholding the professional values of change toward social justice and respect for human dignity.

This paper explores the discourse on the narrative of coexistence for intercultural education. Every culture has its own narrative. It is the core of intercultural education that the members who participate in society understand the narrative that mutual cultures have. Thus, the narrative of coexistence for intercultural education deals with the dynamical exchange of these narratives.

### Theoretical Background

#### 1. Intercultural Education

In a world experiencing rapid change, and where cultural, political, economic and social upheaval challenges traditional ways of life, education has a major role to play in promoting social cohesion and peaceful coexistence. Moreover, education can make an important and meaningful contribution to sustainable and tolerant societies (UNESCO, 2006: 8). Intercultural Education is a response to the challenge to provide quality education for all.

The international cultural, political and economic globalization of intercultural education is essential to its understanding. Intercultural education is "the intentional and systematic effort to foster intercultural learning<sup>1</sup> through curriculum design, including pre-departure, on-site, and re-entry activities, and/or course content emphasizing subjective culture and intercultural interaction, and/or the guided facilitation of intercultural experience" (Bennett, 2009: 8).

Interculturality in education is "a space for dialogue which recognises and values the wealth of cultural, ethnic and linguistic diversity in the country, promotes the affirmation and development of different cultures which co-exist in the world and constitutes an open process towards cultural exchange with the global society" (Aikman, 1997: 469). This vision echoes themes found in most conceptualizations of intercultural education— especially those offered by people and organizations in positions of power and privilege. Moreover, intercultural education recognizes that "a genuine understanding of cultural differences and similarities is necessary in order to build a foundation for working collaboratively with others; a pluralistic society can be an opportunity for majority and minority groups to learn from and with one another" (Cushner 1998: 4). These views synthesize the sorts of goals most often identified within "definitions of intercultural education: the facilitation of intergroup and intercultural dialogue, an appreciation of diversity, and cultural exchange" (Gorski, 2008:7).

In order to strengthen democratic education system, UNESCO (2006: 18) suggests that two approaches: multicultural education and Intercultural education. Multicultural education uses learning about other cultures to produce acceptance, or at least tolerance, of these cultures. Intercultural education aims to go beyond passive coexistence, to achieve a developing and sustainable way of living together in multicultural societies through the creation of understanding of, respect for and dialogue between the different cultural groups.

## 2. The Concept of Narrative

The main claim for the use of narrative in educational research is that "humans are storytelling organism who, individually and socially, lead storied lives. The study of narrative, therefore is the study of the ways humans experience the world" (Connelly & Clandinin, 1990: 2). Narrative is based firmly in the premise that, as human beings, we come to understand and give meaning to our lives through story (Andrews, Squire & Tambokou, 2008). As everyone has its own narrative, every culture has its own narrative. Narrative inquiry then has evolved from the growing participatory research movement that foregrounds a greater sensitivity to social and cultural differences. "Narrative inquiry embraces narrative as both the method and the phenomena of study" (Pinnegar & Danes, 2007: 4) and "characteristically begins with the researcher's autobiographically oriented narrative associated with the research puzzle" (Clandinin & Connelly, 2000: 40).

Exploring the diverse experiences of learning and teaching through individual and collective narratives allowed to begin to understand the cultural embeddedness of learning and teaching knowledges and how these knowledges are "narratively composed, embodied in people and expressed in practice" (Clandinin & Connelly, 2000: 124).

Narrative can produce "insightful accounts of processes which go beyond the particular story itself" (Pring, 1999: 6), can contribute much to effective intercultural communication and education. Intercultural education does not just happen (Ottens, 2003), through narrative, it can be explicit about diversity in the contexts.

Narrative structuring is a characteristic of human consciousness that draws the sequence of experienced events and proposed actions into unified episodes. By being included in a plot, events take on significance and meaning. Narratives are but a recapitulation of the structure of everyday experience and action (Polkinghorne, 1991: 142). Achieving narrative coherence of events and actions in our life stories is not a once-and-for-all feat. Rather, it is an ongoing task, sometimes a struggle, and success is a real accomplishment (Polkinghorne, 1991: 145).

## Narrative of Coexistence for Intercultural Education

Why is it important to understand each narrative in intercultural education? It is necessary for coexistence. In this paper, it is called the narrative of coexistence. This study is to examine the discourse on the narrative of coexistence. Three issues in the discourse are discussed below. They do not exist individually, but are linked organically in a multicultural society.

### 1. With the Other beyond Sympathy

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<sup>1</sup> The definition of intercultural learning is "acquiring increased awareness of subjective cultural context (world view), including one's own, and developing greater ability to interact sensitively and competently across cultural contexts as both an immediate and long-term effect of exchange." (Bennett, 2009: 2).

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Levinas (1946) uses phenomenological structure, his general aim is to show that time is not the achievement of an isolated subject, but the very relationship which that subject has with the Other. This in turn leads to "a discussion of solitude and materiality, which is the existent identical to itself and occupied with itself" (Hand, 1989: 37).

The dissolution and decentralization of the subject, which has become the most acute issue in contemporary philosophy, has greatly contributed to reflection on the self-centered thought which is existed in the western culture. The question is how human's life goes after the deconstruction. Levinas criticizes western philosophy as a philosophy of totality, or a philosophy of war, that intentionally dominated 'the other' and 'the other thing'. He argues that 'philosophy of other' that represents the personal value of an individual who can not be reverted to anything and the responsibility to others.

(...) existence is pluralist. Here the plural is not a multiplicity of existents; it appears in existing itself. (...) To be sure, the other (*'l'Autre*) that is announced does not possess this existing as the subject possesses it; its hold over my existing is mysterious. It is not unknown but unknowable, refractory to all light. But this precisely indicates that the other is in no way another myself, participating with me in a common existence. The relationship with the other is not an idyllic and harmonious relationship of communion, or a sympathy through which we put ourselves in the other's place; we recognize the other as resembling us, but exterior to us; the relationship with the other is a relationship with a Mystery. The other's entire being is constituted by its exteriority, or rather its alterity, for exteriority is a property of space and leads the subject back to itself through light. (Levinas, 1946: 85)

Levinas does not regard the otherness of the other as a 'alter ego' that distinguishes itself from another, or the other being able to communicate with one another through sympathy or compassion. The otherness of the other is defined as absolute exogenousness which can not be compared with self.

The philosophy of Levinas is concerned with human suffering and concrete life, emphasizing the responsibility and solidarity of the sufferer. But he discusses it philosophically, rather than appealing to responsibility and solidarity, and portrays human life concretely and practically. Levinas' philosophy emphasizes the responsibility and solidarity of neighbors and others, while at the same time evaluating the position of human beings without making human beings absolute and not returning them to an object of natural science.

In this context, we have to accept the narrative of other without color, rather than treat the efficiency of diversity by judging the value of using other cultures in a multicultural society. What is needed in this era is, above all, the ethics of the other.

## 2. Democratic Relationship in Diversity

Global change is negotiated in the spaces between and across the personal and the social, political aspect. Multiple forms of diversity, including race, ethnicity, nationality, religion, gender, sexual orientation, disability, and class, were determined as core dimensions along which social system overlay structural mechanism.

Sleeter (1996) recognizes that, in order to reform power relationships in schools, we must first understand those relationships in a larger societal and global context. Grant and Sleeter (1998:164) include "promotion of awareness of the social issues involving unequal distribution of power and privilege that limits the opportunity of those not in the dominant group." By nurturing this awareness, multicultural education uncovers "policies and practices that are advantageous for some students at the expense of others" (Nieto, 2000: 315).

The power of relationships is vital to social justice. Relationship are key to our work with the people we serve and their families and communities, other professionals, and decision makers. Through relationship, an environment can be created that cultivates social and economic justice, respect for human rights.

"The pursuit of full humanity cannot be carried out in isolation or individualism, but only in fellowship and solidarity; therefore, it cannot unfold in the antagonistic relations between oppressors and oppressed. No one can be authentically human while he or she prevents others from being so." (Freire, 1994: 85)

Cultural synthesis affirms the worldview of actors who critically analyze the current reality and together "intervene as Subjects in the historical process" (Freire, 1994: 162). Narratives, which are socially constructed, are closely tied to culture and identity and serve as a medium for constructing our understanding of reality. The circular nature to this process means narratives are tools for conceptualizing and creating change. It is in re-negotiating the existing definitions of words or phrases that a new meaning or social purpose can be found for greater benefits to humankind.

Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, color, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. (United Nations, 1948)

As UN mentioned, we have to embrace multiple identities and have equity in multicultural society. The democratic relationship can be built by accepting diversity. Diversity holds the potential to ignite creativity, which underlies the development of new change models. The goal of the diversity conversation process was to create a format for engaging the discussion of diversity and the dismantling of oppression within a context that invites participation and inclusion.

### 3. Hermeneutic Communication through Interaction

Human existence finds at the very core of its being that it is perpetually underway to language. According to Ricoeur, it through language that the responsible human subject is revealed, a subject who speaks and acts in a world that is immersed in constant conflict, a subject who continuously suffers in life but still desires to live.

Ricoeur (1985) suggests the utilization of the overflowing creativity of language in highlighting the meaning of the self. The self, according to him, is like a text. This means that the self as an actor is like the unfolding of the text into a meaningful story. To understand oneself is to interpret oneself before this story. The narrative then is a story of a life lived expressed in and through language.

The narrative has “the same referential function of the metaphor. The metaphor brings us to a world, a world that is not known through a direct description. Narration brings us to the temporal dimensions of our existence by means of the poetic power of the narrative, a detour through the text of one’s life story. The narrative then illuminates human action and makes manifest its temporality. Thus, human action is shaped by mimetic activity which unfolds in the plot” (Ricoeur, 1985: 87)

Ricoeur’s idea of narrative “is careful to maintain the distinction between the inside of the text and its outside” (Ricoeur, 1991: 26). Moreover, “a life is no more than a biological phenomenon as long as it has not been interpreted.” (Ricoeur, 1991: 27-8). Ricoeur suggests that human lived or social reality is mediated by symbolic representations, which are waiting for interpretation. He seeks to develop “a theory of language which would provide the springboard for a hermeneutic philosophy”. The theory is premised upon a fundamental distinction between “system and discourse” (Ricoeur 1981: 11-13).

Ricoeur emphasizes the function respectively in the theories of discourse, text, and narrative. The understanding of meanings and the problems of interpretation and translation are on the rise. These are essential to the understanding of the relations, not only between past and present in a society, but also between diverse cultures. Thus, the Hermeneutics of communication is applicable both to the communication between past and present and to that between diverse cultures.

### Conclusion

The demographic and cultural composition of societies is rapidly changing as a result of greater mobility of peoples and persons. Racism, ethno-centrism, or xenophobia constitutes a serious threat to the life and well-being of present societies and to the dignity and worth of human beings.

The communicative situation of narrative is one that results in the “possibility of constructing a minority voice that confirms the hegemonic status quo” (Briggs, 2002: 911-912) rather than one that leads the individual with different life expedience. The coexistence narrative shows how culturally interacts with others.

Cultural diversity forms part of a socio-economic and political context and is related to power structures that influence the ways in which components of the world’s cultural heritage are perceived and socially constructed. Among the most significant skills are the ability to listen and observe beyond one’s socially constructed cultural base. While there is much discourse in the narrative about cultural competence and diversity, the language often appears contradictory and inadequate without a platform from which to build. What is needed is a context for understanding the dynamics underlying the issues and an exploration about why it is important to engage in learning about learning across cultures.

Intercultural education pursues the peaceful coexistence. The narrative of coexistence does not mean one-way learning, but interactive communication with others through equitable relationship and circulative interpretation. It can recognize and respect the cultural context and the transformative power of relationship. Intercultural education, a congruent learning with the core value domain of democratic society, supports a re-conceptualization of diversity, relationships and power.

## Acknowledgement

This work was supported by the Ministry of Education of the Republic of Korea and the National Research Foundation of Korea (NRF-2015S1A5A2A03048350).

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## Teacher Knowledge on Student and Its Relation with Teaching and Learning Process

Mohd Aderi Che Noh

### Abstract

Knowledge on students is needed for teachers so that they can provide the appropriate teaching and learning that meet the needs of every student as they come with differing backgrounds and culture. These differences should be noted to ensure that the strategies, approaches, methods and techniques selected are able to represent all ethnic groups in the class. Therefore, this study explores teachers' knowledge on students, especially the socio-economic and socio-cultural aspects of students. Qualitative research design was used in this case study which involved four teachers of Islamic education in Sarawak via purposive sampling. Data were analyzed thematically using the Atlas.ti7. 1. 7software. The results showed participants in the study have the initiative to find out the background of the students, especially the economic and cultural aspects of students. Knowledge about both these aspects helps them in conveying the teaching of Islam. The results also indicate that the socio-economic and family culture can have positive and negative implications for the students' learning processes in the classroom. Hopefully, these findings provide a paradigm shift for teachers of Islamic education in creating meaningful lessons for students.

**Keywords:** knowledge on students, cultural diversity, Islamic education, socio-economic, socio-cultural

### INTRODUCTION

Apart from delivering the content of the subject being taught, the teacher has a role in knowing who their students are. Knowledge on students is necessary to help teachers choose strategies, approaches, methods and techniques used in delivering content of the lesson. Knowledge on these students include aspects related to the background, level of maturity, cognitive level, the level of understanding, preparedness, intelligence and differences found among them including the characteristics that they possess. Knowledge of students is necessary so that the teacher can use the appropriate strategies, approaches, methods and techniques that can meet the needs of entrepreneurship students based on their different backgrounds. The selection of teaching methodologies, including appropriate teaching materials will assist teachers in understanding the students, as well as to make the learning process enjoyable thus leaving a positive impact in the students. This is also consistent with the distribution of cognitive levels in determining the learning outcomes to be achieved, so teachers must be sensitive to these different groups.

### KNOWLEDGE ON STUDENT

At the implementation stage of the teaching process, teachers should have the teaching skills, including the skills on the social worlds of their students. This includes the students' backgrounds, socio-economic status and socio-cultural elements. According to Azizi Yahya et al. (2005), socio-economic status also determines whether the physiological needs of pupils are met or not. For low income families, educational opportunities might be slimmer than the pupils whose families have high income. The same goes for the influence of community and students' socio-cultural background. The community, which consists of a variety of cultures and attitudes, has a different and distinctive way of life. This influence is vital in the evolution process of the school children because it can affect and change significantly if the students do not get basic nurturing of strong common values.

This opinion is in line with Abdullah Ishak (1989), which stated that the effectiveness of teaching and learning is not only dependent on the charisma, intellect, personality and maturity of a teacher, but it depends also on how well a teacher knows the students' background such as the student's family, mental, physical, cultural characteristics and inclinations. The need to take cognizance of the students' family, community, nation and cultural background has been discussed by Muslim scholars such as Ibn Sha'ban (1997), Ibn Khaldun (2000) and Abdullah Ishak (1989), and Sharifah Alwiah (1988). This is because the knowledge of these matters will enable teachers to interact effectively in their relationships in the classroom and during the process of teaching and learning. It is also because the duties and responsibilities of teachers do not stop in the classroom, in addition, they also need to discuss and communicate with parents so that the growth of students can be informed through the relationship. Contact and discussions will also help and support the teaching process.



The importance of discussion and communication in relationships between teachers and parents is also fundamental to teachers in selecting appropriate approaches in their teaching. In terms of the cultural diversity that exists in the classroom, teachers need to avoid boredom and confusion by choosing approaches and methods that can celebrate the students who come from diverse cultural, language, practice, beliefs, race, and dialects as well as cultural sensitivity. Therefore, Islamic Education teachers should be sensitive to these diversities. This is because the students are different in their attitudes toward other groups, which are not their own group. In fact, there are students who are very ethnocentric and treat people who are different from themselves in terms of race, colour, economic status, religion and values as inferior, whilst some other students consider the other person as unique and distinctive and are able to see the similarities between themselves and others, and appreciate and accept the different attributes (Sharifah Alwiah Alsagoff, 1988).

The Prophet PBUH highly celebrated every individual's differences in learning whether those who received the calling through da'wah or those who asked (Abu Ghuddah, 2009). He interacted with each individual based on the person's understanding and appropriate to their position. He also took care of the feelings of the new student, which the Prophet PBUH did not teach them what is being taught to those who has been studying for a long time. He answered the questions raised, based on the person's interest and situation.

Therefore, a teacher of Islamic education (GPI), which simultaneously acts as a preacher, should have in depth knowledge of the students. Through knowledge of the these students either in terms of the students' backgrounds, socio-economic and socio-cultural details, teachers will be able to identify the problems faced by the students, it is easier for them to lend a hand, build the potential of students and boost the students excellence in academics as well as character. Knowledge on students who come from various backgrounds, different ethnicity and race will also help teachers to provide guidance and attention to them.

This is because these students have different needs and requirements, and it is the responsibility of each teacher to meet these different requirements. This diversity of needs and requirements will lead to the diversity of learning styles which in turn gives implications for the process of teaching in Islamic Education.

## **THE TEACHING OF ISLAMIC EDUCATION**

Teaching is a process that encompasses the activities of planning, implementation, evaluation and feedback. It aims to disseminate knowledge or skills. The function of teaching is to produce effective learning, a person that is well-adjusted and harmonious, knowledgeable and honourable. Thus a good learning session should involve the skills of teachers in matching the teaching methods to the learning objectives and learning styles of their students (Shahabuddin Hashim et al., 2003).

Meanwhile, learning is a mental, physical or spiritual activity to the students themselves. It is a process where individuals can change their attitudes and behaviour to grow continuously and consistently and is able to use the knowledge and skills acquired for the development of themselves in particular and society or the nation in general. Thus learning occurs when there is a change in behaviour, thoughts, perceptions and affective including feelings, attitudes and values (Shahabuddin Hashim et al., 2003).

In the context of Islamic education, the teaching and learning of this subject should look into the purpose of Islamic education itself as stated by Hassan Langgulung (1980), the process of preparing the younger generation to fulfil their role, transfer of knowledge, Islamic values are aligned with the function of man to do good in the world and reap the rewards in the hereafter. Through the process of teaching and learning of Islamic education, the individual student will be formed, guided spiritually and physically to be an Islamic personality and able to prepare them better in facing the surrounding community (D. Marimba, 1980).

Hence, curriculum development in general or Islamic Education in particular, will not be complete and perfect if teaching and learning methods are not given emphasis (Ismail Ibrahim et al., 2011). The acquisition of knowledge and the development of a perfect personality are not only due to the charisma and personality of the teacher, but also due to a curriculum that is complete and supported by a broad range of teaching methods. The effectiveness of teaching and learning of Islamic education also includes a few things namely motivation, needs and interests of students, ensuring the learning objectives, determining the level of maturity of the students, knowing the individual differences, observing their comprehension, integration of existing knowledge with the original, and making the process of education as an experience that delights students (Azyumardi Azra, 2012).



However, the Cabinet Committee report (1979) to review the implementation of the education policy, found that the practice of teaching and learning of Islamic education is still of a low quality (Ministry of Education 1988). Similarly, Mohd Aderi (2008) also found that instructional practices of teachers in Malaysia are still at a moderate level. Teachers are still found to be using simple or old approaches (chalk and talk), the approach of delivering information to the students in one way only. Approaches that use teaching aids and practical assignments are less practiced (Muhamad Suhaimi, 2008), in other words, learning strategies are more focused and centred on the teacher.

By examining the above issues, it is clear that these teachers are still using teacher-centred approach, while in reality the use of such strategy is not able to meet the diverse needs of the students. This is because in the teaching of Islamic Education we cannot deny the existence of multiple levels of achievement, a variety of backgrounds and cultures brought by the students into the classroom. Hence it is the responsibility of the Islamic Education teachers to meet the diverse needs of the students so that education can be fairly given to them.

#### THE PRACTICE OF TEACHING OF ISLAMIC EDUCATION BASED ON CULTURAL DIVERSITY

The Quran states that the Prophet Muhammad P. B. U. H. was a great teacher and educator throughout the ages. As Allah the Almighty stated in Surah Al-Jumu'ah 62:2 which means

"It is He who has sent among the unlettered a Messenger from themselves reciting to them His verses and purifying them and teaching them the Book and wisdom - although they were before in clear error."

(Abdullah Basmeh 2011)

In carrying out education of the companions, the Prophet highly celebrated the distinction of each individual who learns whether those who were given the da'wah or those who inquires (Abu Guddah, 2009). He interacts with each individual based on his understanding and in line with his position. He also takes care of the feelings of people who are just beginning to learn, where the Prophet did not teach them what is taught to those who have been learning for a long time. He answered the questions posed based on the interests and circumstances of the person. Here it shows that although he strongly encourages people to go for jihad and migrate, but in this case he looks at the situation and the ability of the companions and the situations of the people who are asking. Sayyidina Abdullah bin 'Amr bin Al-As said: a man came to the Prophet, who then said:

"I gave the oath of allegiance to you for emigration and to wage jihad in order to get the reward of Allah. The Prophet said: Are any among your parents still alive? Yes, in fact they both are: the man replied. The Prophet said: Do you want the reward of Allah? The answer is: Yes! The Prophet continues by saying: Go home to your parents and serve them."

(Sahih Sunan An-Nasa'i, Kitab al-Jihad, 3103; Sahih Sunan Tirmidhi, Kitab al-Jihad, 1671)

Based on the above hadith, it is clear to us that he really took into account individual differences and needs while imparting knowledge or advice. The use of his method or celebrating the diversity of students as used by the Prophet P. B. U. H. is applicable in implementing the values of cultural diversity in the teaching of Islam and this has made the teaching of the Messenger effective on the companions.

The same goes to the effectiveness of teaching and learning of Islamic Education which includes motivation, needs and interests of students, ensure learning objectives, identify the level of maturity of the students, knowing the individual differences, observing the understanding, integration of existing knowledge with the origin, and the process of education as a pleasing experience for students (Maimun Aqsa Abdin Lubis et al., 2013). In the teaching of Islamic Education based on cultural diversity, the culture of the school should be driven to make the elements of culture such as values, symbols, beliefs and norms are supported and cultivated and inserted incidentally in the teaching (Federal School Inspectorate, 1993).

Atan (1980) has highlighted three important aspects in shaping the effectiveness of a teacher, which is the teachers' personality, knowledge background on the lessons to be taught and the methods or means of delivery. Meanwhile, Al-Shaibani (1979) argues that the concept of teaching and learning is a good method to help students acquire the knowledge, skills and to change attitudes and behaviour and also to instil the desired values. Teachers are also suggested to deliver lessons in accordance with the level of students' level of thinking (Al-Shaibani, 1979; Al-Ghazali, 1988; Ibn Khaldun 2000). Usually the existing skills and knowledge of students will become blurred and more complicated if the teacher delivers a lesson without any advance regardless to the level of students' thoughts and achievements.

In the context of the teaching of Islam, cultural diversity based instruction is a perspective and a strategy to understand the culture of students of various races and cultures in the class. Teaching based on cultural diversity is needed to help students understand the diversity of cultures in the country and they are directly involved in teaching and learning. The aim of education should be able to bring awareness to students about the existence of different cultures and language in the community and that there exists similarities in culture and language variety (Asmah Haji Omar, 1992). Mastery of the mother tongue for example, help students avoid using a language without violating the norms or rules of language that has been set by a society that uses the language. Thus a more harmonious relationship can be created during the interaction.

According to Banks (2001), education based on cultural diversity is a concept or idea related to beliefs, admission and recognition of diversity and the diversity of cultures and ethnicities that exist that affect the lifestyle, social experience and personal identity of a nation. Multicultural education aims to: (1) develop an understanding of other cultures, (2) shape attitudes towards cultural and racial diversity, and (3) a process to learn new experiences about the values and culture of others. Banks (2001; 2005), states that multi-cultural education from a variety of programmes, courses and practices carried out by educators are responses to the needs, desires and aspirations of various groups. These include gender, nationality, age, gender, marital status, race, ethnicity, social class, religion and culture.

Based on the above discussion, the teaching of Islamic Education based on students' cultural diversity can be illustrated by Figure 1. 1 below:

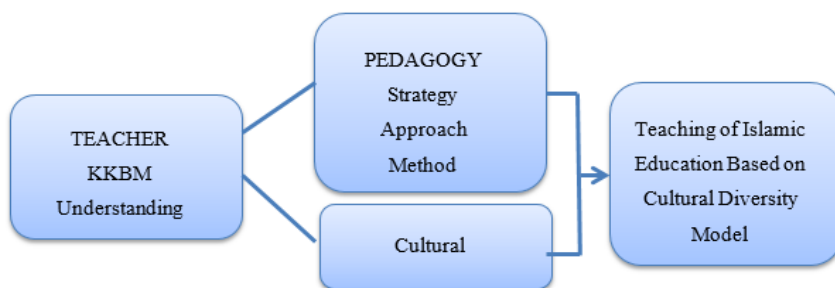


Figure 1. 1: The practice of teaching of Islamic Education Based on Cultural Diversity

In terms of its importance, educational system which based on the cultural diversity is important for a developing country with a multiracial population. This step can shape and create a united people, to create and maintain the identity of the country and improve the quality of life and spirituality of the humanity as a whole. Lewis (1994) pointed out that an understanding of the culture of other ethnic groups will increase tolerance. This will make one more inclined to practice the values accepted by society. At the same time, one would know and understand more cultures.

Ibn Khaldun (2000) also explains that, in order to see the civilization of a nation, one must refer to the nation's culture, including elements of the language, lifestyle, religion and habits of dressing and practiced values. While acknowledging the existence of the tribe or nation in human society, Islam recognizes the existence of varying cultures and ways of life. According to Ismail Hamid (1996), some jurists argued that *urf* (custom) for a nation that does not conflict with the legislation can be considered as a source of law that was not already explained by the Quran and Hadith.

Education on cultural diversity is not only meets the requirements of Islam as in Surah Hujurat 49:13, but can also achieve the National Education Philosophy. Education on cultural diversity is also compatible with the Islamic concept of the issues related to ethnic relations. This is because, multi-cultural education views mankind as a macro and micro creature thus tied to each culture and ethnicity (Rina Hanipah Muslimah, 2010). Islam has always provided a procedure on relationships between Muslims and non-Muslims based on a solid, sturdy and tidy foundation which include tolerance, justice, charity and compassion that has never been seen in human history before Islam.

## THE CONCEPT OF CULTURAL DIVERSITY IN THE TEACHING OF ISLAMIC EDUCATION

Religion is the basis of culture and cultural practices, while faith is the foundation of religion. Therefore, faith, religion and culture can be summed up as a union called the Islamic *ad-din*. Although culture comprises of relationships between humans can be differentiated with religion, which is a relationship with Allah the Almighty, these two cannot be separated. Ibn Khaldun (2000) also pointed out that, in order to see the civilization of a people, we should refer to the nation's culture

including elements of language, way of life, religion and dressing habits as well as values that are practiced. In addition to acknowledging the existence of tribes or race in human society, Islam recognizes the existence of varying cultures and ways of life. In fact, some jurists are of the opinion that the *urf* (custom) of a nation that does not conflict with the Islamic law can be considered as a source of law that is not explained by the Quran and the Hadith (Ismail Hamid, 1996).

Sociologists explain the cultural variations of the two approaches, i. e. functionalism and ecological. The functionalism approach analyses the components of culture in terms of the functions of those components to determine the social order as a whole. According to this theory, culture and society are mutually dependent on each other. Some elements of culture cannot be separated by the entire social system and culture as a whole. Concurrently, the ecology approach also sees culture as one way to adapt to the environment. Thus, the cultural practices of a community are closely linked to its environmental opportunities (Sharifah Alwiah, 1988). It is a fact that the school plays a role as an agent of cultural transmission, and without an agent it is difficult to expand the culture of a generation (Hussein, 1993).

This view is consistent with the view of sociologists Nik Safiah (1985), and Mohd Taib (1988), which also describes the birth of a culture as coming from the energy of the mind, spiritual effort or the energy of moving the soul to meet its biological and social needs and can be adapted to its surroundings. Through these efforts, the formation of thoughts, beliefs, opinions and habits are ultimately inherited and determine the behaviour of a society. Cultural behaviour can be studied through three indicators, namely; (i) language, (ii) religion and belief and (3) the inherited customs (Ahmad Man, 2005). These are the indicators that according to him assert ethnic identity and display the unique characteristics.

Based on the discussion of the background of the study, this study was carried out to fulfil the objectives and answer the following research questions:

#### RESEARCH OBJECTIVES

Exploring teachers' knowledge of the students in a multicultural classroom.

#### RESEARCH METHODOLOGY

This study used a qualitative approach using a case study design. Qualitative methods are used for this study because it is very suitable in reviewing a case in an in depth and comprehensive manner (Slavin, 1992) and in gathering information about a case. In addition, qualitative methods can provide an opportunity for researchers to observe and examine the participants' knowledge on the real study environment of the students (Merriam, 1998). Creswell (1988) put forward several reasons for choosing a qualitative approach. Among them, because (i) the nature of the research questions that need answers on how and what had happened, (ii) the exploratory title of the research, (iii) research that requires detailed observations, and (iii) the qualitative approach emphasises the researcher as the main instrument who can tell the story from the perspective of non-participants or emic perspective as opposed to etic perspective (Merriam, 1998). Researchers had information based on what actually happened in the classroom. Data was collected by using interviews and direct observation of the teaching sessions.

The sample selection is done using purposive sampling by Miles & Huberman (1994). Study participants had to be selected and identified in advance so that he can give appropriate and adequate information. In this study, a total of four Outstanding Teacher of Islamic Education (DG44) subject at SMK Sarawak State were selected in this study. Selection of study participants went through a screening process through the Islamic and Moral Education Sector of the Sarawak State Education Department and they have volunteered to participate in the study. Data was analysed in a thematic manner and organised using Atlas. ti 7. 1. 7 software.

#### RESEARCH FINDINGS AND DISCUSSION

The data obtained were coded as in Table 1. 0.

Table 1. 0: List of Codes, Categories and Themes

Code	Category	Themes
	Knowledge On Students	
PTM- SE		Socio-economic
PTM- SB		Socio-cultural

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## KNOWLEDGE ON STUDENTS' SOCIO-ECONOMIC ASPECT

After analysis and coding, emerging research themes found that nearly all research participants agreed that some of the themes of knowledge on the students can be categorised into several aspects of general information such as the level of socio-economy of the students.

Based on the research findings, research participants indicated that, in implementing teaching based on cultural diversity, Islamic Education teachers have knowledge of the socio-economic status of their students. This knowledge on the socio-economic level is necessary because economic factors influence discipline and academic achievement of a student. According to Fatima and Badri, in their school, they found that the students which have good economic backgrounds tend to have good discipline and academic achievement as compared to the students who are from low-income families.

This point is illustrated by the following interview; "If we do research here in this school, if the economic background of the family is ok, the discipline of the student is ok, usually his academic is also ok, I suppose he might have made his parents as his idol? Ok, then if we were to look at the students in the last class, if the parents are labourers, perhaps he/she will be less motivated". For these students, they also seem to think that education is a matter of no importance. This is stated in the following interview; "For them it is like... in themselves there is no realisation... education is not seen as important".

Ustazah Fatimah also linked socio-economic background of the students with the students' motivation to learn. According to her; "We must see if his/her parents are labourers, perhaps he/she is less motivated" (Ustazah Fatimah). Ustazah Fatimah's statement is also supported by Ustaz Badri who is also clarified that the socio-economic level of the students indeed highly influences the culture of their attitudes. According to him, students who come from the poorest households will have humility due to their meagre condition and they are also lacking of adequate school supplies. This is his explanation; "Socio-economic background indeed influenced the culture and the attitude of the students, some have low self-esteem... while studying. Why? They don't have enough. Only has a pen, school uniform not ironed, and all. They are lacking in supplies". In the situation that the students are not motivated, the Islamic education teachers need to have an approach to motivate them.

Meanwhile, for Noor, she also agrees that teachers should have the knowledge of their students' condition including their socio-economic background. Based on her observations at the school, she found that students, who come from families with relatively low economic situation, will be lethargic when at school. Hence in this case, the teacher should first investigate why the students are in such a situation and not punish them at will. This was stated by her through the following quote; "If he comes to school, and he is weak and so on, for us I cannot immediately scold him. Perhaps he did not eat right? Parents might have no money to cook food for breakfast. This is usually the case... Need to really... ", and according to Badri; "Most of the students having learning difficulties in this study are those who are under privileged". This is stated in following quote; "...coming to school, bus fares have to be sourced on their own. Finally, they seem to give up".

Badri and Noor both agree that the economic background of the students is also related to their discipline. Students who come from families with financial difficulties will cause problems at school such as coming late to school and truancy. This is explained by the following interview; "He has discipline problems, and such... who violate the school rules, arrived late at school", "most of the troubled students in this study are the ones facing relatively difficult lives... ". For Noor, it is difficult for families whose parents are busy working and do not give attention to the application of Islamic values or education, it will have an impact on students' achievement and their acceptance of Islamic education compared to families who do not have economic problems. This is her explanation; "Certainly has an impact. Compared to students whose family gave attention on anything related to Islamic education, when we teach, they are easier and faster to receive".

## STUDENTS' SOCIO-CULTURAL ASPECT

Apart from knowledge on the socio-economic background of the students, participants of this study also felt that teachers also need to know their students socio-cultural backgrounds. Knowledge of the socio-cultural background of the students is greatly needed as there are those among the students who are unclear and do not understand the true teachings of

Islam. This problem occurs especially among students with a background of a family who has newly converted to Islam. This was stated by Noor through the interview as follows; "There are students who converted to Islam who are very unclear of the teachings. It seems that they do not understand at all. When asked, owh, the family has converted to Islam!". This is because the family has just embraced Islam but is still not practicing Islam such as fasting and not fasting.

In the situations like this, the teacher should teach according to the level of ability and the aptitude of the students and ensure that all lessons are in the syllabus. Effective teachers will group the students based on their ability and mastery of a certain skill. Cognitive level based teaching approach is acknowledged especially for the students who are new converts. This is admitted by Noor in the following interview; "I just know that there are Muslim converts, which family did not practice, I can say it is not a direct practice. No prayer, no fasting, right? If I can touch her feelings, she is like, she is interested".

Also, in such situations, teachers need to apply touching the feeling approach to them. The use of this method is to make the students interested in the teaching of Islamic education. This socio-cultural knowledge can help teachers provide examples relating to their experiences at home either in terms of practices and ways of life, where the teacher can use a significant approach to the students so that they can more easily understand the day's lessons.

For Hamni, she stated that knowledge on socio-cultural of the students is needed so that teachers can give examples and relate to what is taught during the day with the events in their lives. Teachers' knowledge about who their students are, their siblings, race, family, and what revolves around them can help them in dealing with those students. This is because the practice of their parents at home has implications for the practice and appreciation of the students' knowledge and skills that they have learned in school. This is expressed through the following interview; "...culture will influence them indirectly and brought to school".

Hamni also stated that there are among parents of students who do not fast, causing some students who are not fasting while in school. But what delighted her is that there are those among the students who fasted but did not take the pre-dawn meal until it causes them to be weak and sleepy while studying in the classroom. This was stated by her through the following quote; "I have had a student who, during the month of fasting, were weak... at 8, 9, 10 am and sleepy. I wondered why? No pre-dawn meal. But he fasted, best of all he fasted. I wondered why do you not take the pre-dawn meal? Mother does not fast, father does not fast. Haa, that's a fact".

Based on the findings above, there are two major components related to teachers' knowledge on students in a multi-cultural class, which are: the socio-economic and socio-cultural backgrounds of students. This is illustrated by Figure 1 below:

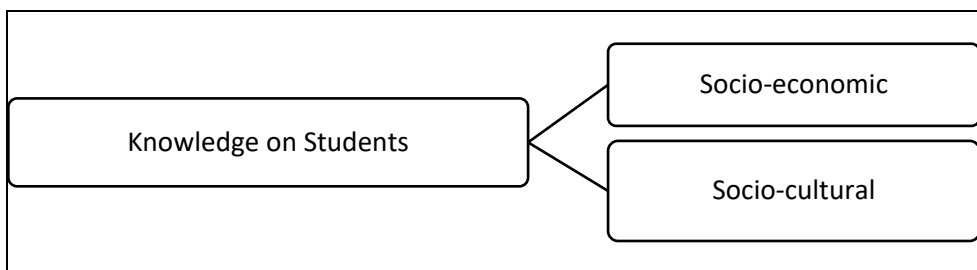


Figure 1: Knowledge of Teachers on Students

## DISCUSSION

Knowledge of the students have been discussed in previous writings and is an important component in the production of quality teaching (Shulman, 1986, 1987; Ibn Khaldun, 2000; Aintley & Luntley, 2007; Coombs, 2009; Kamarul Azmi, 2010). Based on the findings of this study, it is indicated that participants of the study have the knowledge of the socio-economic and socio-cultural backgrounds of their students. This finding supports the findings of Ahmad Yunus (2011) which states

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that GCPIs are knowledgeable and sensitive to the diversity of the students' characteristics. **This has led to the selection of methods and techniques which are appropriate to the students** in the teaching of Islamic Education.

The research findings showed that teachers provide a special biodata form for each student who was taught. This is indicating their determination to know more about their students. The findings are consistent with the views of Coombs (2009) that the use of a brief profile of the students can help teachers to become more familiar with the background, progress and specific needs of a student. Therefore, it is highly important for the Islamic education teachers to realise that the classrooms they teach are filled by a variety of students who wish for recognition as individuals, are called by their names and have distinctive requirements that must be met.

Teaching of Islamic Education should also be coordinated with the students' level of thought and their knowledge. Furthermore, the Prophet PBUH himself was very concerned with the aspects of individual differences in the delivery of his teaching (Abu Ghuddah, 2009). Similarly, in implementing multicultural education in the teaching of Islamic Education, the Subject teachers need to have knowledge about the diverse backgrounds of students in the classroom to determine the suitability of the subject matter and methods which are used in the teaching and learning. Selection of subject matter and appropriate teaching methods will facilitate teachers in implementing the teaching and learning process. This is consistent with the study of Ahmad Yunus (2010) in which students must also be understood in the context of their different background, past knowledge and readiness of mind to help teachers implement their treatment and delivery of teaching materials effectively. Consideration of the diversity of this difference provides an opportunity for practical learning experiences to students (al-Syaibani, 1991).

Socio-cultural knowledge also helps the teacher to know who their students are and so that they can use the examples close to the students and as a way for teachers to facilitate their coexistence with the local community. Students' interest can also be nurtured and developed if teachers take into account the socio-cultural differences of students because there are students who do not practice what they have learned in the classroom due to lack of encouragement at home. It is these groups' interests that should be enhanced as well as their motivation to learn so that they are keen to learn and teachers will do not simply punish them if they do not practice what they have learned. This is in line with Kamarudin (2006) who stated that the teaching which is not consistent with the cognitive level of the student and acceptance will create boredom among students. The Prophet PBUH as a leading teacher also took into account individual differences in the educational and enlightenment processes (Abu Ghuddah, 2009).

Specific knowledge relating to the students allows the Islamic Education teacher to determine the selection of teaching materials and approaches, as well as appropriate and effective methods and techniques in the teaching of Islamic Education. Teachers' relevant knowledge of the students will enable content knowledge held by the teacher to be adapted to suit the students and delivered to the target accurately and effectively. Thus, the ability and knowledge of teachers on pupils' socio-cultural and socio-economic background assist teachers in selecting materials, methods and techniques appropriate when implementing the teaching of Islamic Education, especially in the classroom which consists of various cultures.

## CONCLUSION

The socio-economic background of students that are retained in the minds of teachers indirectly facilitates the planning of quality teaching, thus attracting the students' interests as well as increasing their level of motivation. Concurrently, knowledge about the students' socioculture connects the teachers with the local community lifestyle and will shape the teaching of Islam in multicultural classes with the descriptions and examples of the variety of different ethnic groups. Ultimately, the goal of the creation of man from various race and ethnicity (syu<sup>u</sup>uban wa qabailalita<sup>a</sup>arafu) is indirectly achieved in the teaching of Islam in a multicultural classroom.

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## Managing Diversity and Capabilities

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### Abstract

As a powerful driver, small and medium enterprises (SME) has a huge contribution to the German economy. The shortage of skilled workers underlines an emerging and resilient German economy. However, the future prospects of SME depend on creative employees as key actors. Nevertheless, demographic change is perceptible so that the labour integration of resident immigrants becomes more important. But several studies investigated inequalities especially discrimination in the labour market intensifying brain drain. Social discrimination has great impact on the capabilities of people, particularly in labour. Disadvantages are exposed to a lack of opportunities with the result of a capability gap. Diversity management offers competitive advantages but is mostly a management tool of bigger enterprise performances. This paper will present a process of enabling and empowering management process of capabilities. It is presented by the example of the solution cycle which will be called a *participatory process design* contributing to the lack in the classic management of diversity.

**Keywords:** Labour, inequalities, managing diversity, empowering, participatory process design.

### Introduction

The technical potentials and the shift to a new economy have effects on social values and thus, when regarding workplaces, preferences and roles are changing. The German Federal Ministry of Labour and Social Affairs (BMAS 2015) contributes the term 'work 4. 0' in this respect. In the special case of German economy, its driving force is attributed to the powerful position of small and medium enterprises (SME) as the engine, of the German economy. About 99 per cent of the companies in Germany are SME which highlights their great significance for the economy (Destatis 2010). There are strong industries and successful services which are in demanded worldwide. Their special feature is that entrepreneurial actors and stakeholders take responsibility and are liable for the company's obligations with their assets. This follows the intention of Adam Smith (Cannan 1976, Eckl and Ludwig 2005). The study of Florida (2002) drew big attention on regional development by innovative promoters, viz. technology, tolerance and talents. According to Jacobs (1969) and Glaeser (2000), talents are the stimulators of economic development and innovation. In this context, a resilient economy resp. organization as well as their future prospects depend on an innovative development by key actors and creative employees. The rise of human creativity and diversity becomes a driving force and a key factor in the economy and society. In practice, however, rural and regiopolitan areas are suffering from brain drain movements. Following an OECD (2013) survey, nearly 90 percent of SME report shortage at medium skill areas and 65 percent in high skill areas. Both areas are expected to increase in the future which leads to the next challenge that is about retaining highly skilled staff and recruiting qualified employees.

Considering these circumstances, labour integration of disadvantaged groups, these are mainly women and resident immigrants resp. (new) Germans with migration background, become more important. However, several studies still highlight ethnic and gender inequalities especially discrimination and disadvantages in the labour market faced by women and migrants by unequal employment opportunities and career prospects. Women are still minorities in top positions (Holst, Busch-Heizmann and Wieber 2015). They hit the glass ceiling, an invisible barrier set up consciously or unconsciously by traditionally male-dominated ruling class, with the result that the German government introduced a 30 percent-quota for women on boards in 2016. Both mentioned groups do not have the best possible opportunities for development as they are not valued equally with the dominant groups in labour market.



Studies light out less success of particularly low-educated applicants especially in the case of migrants in the German labour market. In their study, Granato and Kalter (2001) describe the impact of the endowment with human capital to the job market position. Skilled staff with migration background seem more likely to be vulnerable experiencing discrimination than native applicants, especially in SME (Kaas and Manger 2012). Social and human capital of migrants has changed and their educational skills open up further opportunities in new markets. In Germany, approximately every fifth person is a migrant (Stadt Siegen 2013). To exclude people from labour according their capabilities would mean an expensive undertaking for a country like Germany.

Companies and organizations respond to the problem of discrimination and inequalities with a management strategy which is called Diversity Management. Diversity in organisations is concerned to different dimensions of human diversity and raised its significance in terms of becoming multicultural in a global world. It is claimed to change the organisational culture. Nevertheless, diversity management has the disadvantage to make differences of human beings visible. Now, the challenge consists of rethinking an approach that shows how management can enable human diversity and capabilities in companies. For that reason, this paper will present a process of enabling and empowering management process of capabilities. This is called managing capabilities and will be introduced by the process design of the so called Solution Cycle. The *participatory process design*, presented in this paper, contributes to the lack in the classic management of diversity that can be used by SME, too.

The rest of the paper is structured as follows: Inequalities in the labour market, diversity management, management in dynamic complexity and finally, conclusions.

### **Inequalities in the labour market**

*Discrimination* is more than a distinction. It is mostly associated with unequal treatment or disadvantage. The influence to define social norms and codes, at least how discrimination is to be understood, may be described as the definitory power of a social system. Belonging to a particular social group flows in formation of a social identity.

There are two conducting neoclassical theories of discrimination which can be described as forms of hidden discrimination experiences of ethnic minorities. Firstly, discrimination is based on tastes or personal preferences (Becker 1971). All labour market actors try to maximize their profits and benefits, i. e. they ignore interactions with other economic actors with the result of paying costs. Secondly, discrimination is the result of employers' incomplete information (Phelps 1972) so that false group beliefs are imputed instead, e. g. competences of migrants are considered to be lower (Liebig and Widmaier 2009). "The notion of discrimination involves the additional concept that personal characteristics of the worker which are unrelated to productivity are also valued on the market. Such personal characteristics as race, ethnic background and sex have been frequently adduced in this context" (Arrow 1971, p. 1).

Despite of the previous theories, institutional mechanisms (e. g. trinomial German school system) have also negative impacts on the educational success of migrants which is described as institutional discrimination (Gomolla and Radtke 2009). Furthermore, structural discrimination arises from institutional regulated and formal policies and practices.

*Ethnic inequality* in the labour market has been investigated in various studies such as Kaas and Manger (2012), Damelang (2011), Granato (2003), Heath and Cheung (2007) and Platt (2011). It is commonly described that migrants have less success in the labour market.

Regarding *gender*, Agócs (2002) points out that female migrants deal with discrimination affected by sex and their ethnicity. With respect to ethnicity, a survey underlines that people with Turkish and Vietnamese origins face discrimination more often than people with Italian, Serbian and Croatian origin. Hence, it turns out to be difficult finding reasons for a disadvantage by a higher endowment of migrants with human capital (Plahuta 2007). An OECD study confirms that tertiary educated migrants are less successfully placed in the labour market than nationals especially in SME (Liebig and Widmaier 2009).

*Self-fulfilling-prophecy*. Considering the results of stereotypes and assumptions about members of a group release expectations that in turn may affect the behaviour of group members toward them, finally causes expectations to be fulfilled (Rosenthal 1995; Merton 1968; Watzlawick 2006). The risk of confirming negative stereotypes is called *stereotype threat* and impairs cognitive performance (Steele, Spencer and Aronson 2002). In various studies, the impacts of stereotypes have been investigated (e. g. Myers 2008; Bosson, Haymovitz and Pinel 2004).

To protect employees against discrimination, political reactions in Germany led to the introduction of a General Equal Treatment Act in 2006. A few years later, the Federal Anti-Discrimination Agency in Germany started an experiment with anonymous job applications with positive effects for applicants with different origins. Researchers picked up this result and developed a suitable system platform working with software which evaluates the competences of applicants (Bohlouli et al. 2013). Nevertheless, in the field of antidiscrimination and gender equality policy, Germany ranks 22nd on MIPEX (British Council und Migration Policy Group 2011). There are no available calculations about the costs of discrimination but economic costs by under-utilisation of human resources and brain waste can be assumed. Brain drain is an additional cost factor as well. The implementation of diversity promoting and including management strategies could save 21 billion Euro (Berger 2011) - this outcome should be handled with great care as the calculation of the number is not transparent.

*Gender inequality and discrimination* make it more difficult for women to participate in political, social and economic life. The International Labour Organisation (ILO 2012) reports that women worldwide are more affected by unemployment. Precarious employment of women has increased (Bispinck and Schulten 2011; see also Fudge and Owens 2006). The equality of opportunities between men and women in Germany lags behind its Scandinavian neighbours and Switzerland as countries with a high degree of gender equality (World Economic Forum 2013). In technology, women still belong to disadvantaged groups (Hewlett et al. 2008) and even in the Silicon Valley, there are diversity problems in terms of gender discrimination (Leas et al. 2015).

Steadily increasing part-time jobs are occupied by women with children. Women's policy of its neighbours is more active and progressive according to better compatibility of family and work (Luci 2011). Even if oppression and disadvantaging of women is older than capitalist systems, the whole economy with its top positions produces male monocultures (Holst and Busch 2010). Initiated by Dalla Costa (1973), feminist researchers emerged and brought the debate into the field of unpaid care and domestic work. The term of double socialization of women addresses the conflict between paid employment and unpaid and caring work at home (Becker-Schmidt 2002). As a result, women are discriminated in multiple ways, most of all in their ethnicity and the existence of family ties reducing flexibility.

### **Diversity Management**

A widely known management tool to handle diversity and prevent discrimination in organizations is called *Diversity Management* (DiM). Its strategy is defined by promoting the implementation of diversity and heterogeneity in organizations. DiM is a part of the change and development in the organisation. Generally, diversity is characterised by four areas (Gardenswartz and Rowe 2002):

personality (e. g., traits, skills and abilities),

internal factors (e. g., gender, race, ethnicity, sexual orientation),

external factors (e. g., culture, nationality, religion, marital status),

organizational (e. g., position, department).

In the 1980s, this approach was first used in the United States. Historically, it is rooted in the social unrests of the 1950s (Brazzel 2003). With the subsidiaries of US conglomerates, the idea came to Germany in the middle of the 1990s. The diversity of employees, cultures, strategies, functions etc. are used as a strategic resource to develop and solve complex challenges. Focused dimensions are visible features (e. g., gender, ethnicity, dress, age, race, physical attributes) and

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invisible ones (e. g., religion, skills, education, socioeconomic status, political views). Over the years, the following main concepts of diversity management have been developed (Thomas and Ely 1996):

Fairness and discrimination approach.

Access and legitimacy approach.

Learning and effectiveness approach.

All three concepts are not yet pleasing. The first and the second approach try to adapt the organization to changing environments but disregard the management view and internal integration. The third approach manages diversity internally. Actually, research projects about diversity management mostly reflect bigger companies' performances (Maxwell 2004, McDougall 1996, Süß and Kleiner 2005 and Köppel et al. 2007). According to the results of Klaffke (2008), DiM is not yet known extensively at Hamburg's SME. In a study, the European Commission (2008) explored the creation of diverse workplace of SMEs across Europe. It is stated that SME are too small and consequently don't have the financial conditions for diversity management. Finally, DiM is a strategy mostly used in bigger organizational performances than SME. These findings appear to be consistent with the case study of SME in Siegen, a regiopolis in Germany (Özdemir 2014). DiM is not directly implemented resp. an unknown management strategy, however there is respect to gender, older and younger employees.

Positioning DiM as a part of the changing and developing process in organizations, there are various approaches discussed in management and organisational literature so far, among them Morgan (2006). Bolmann and Deal (2013) reframe the organization with the focus on four distinctive frames: structural (focusing on goals, effectiveness and task), human resources (behaviour and action), political (power, conflicts, influence) and symbolic or cultural (social interactions and symbols). On the political frame, the question of power and its distribution in organizations is emphasized here which is blinded-out in the conventional literature of DiM. According to further critical perspectives on DiM, Purtschert (2007) states that instead of considering social justice, DiM is much more focussing on maximizing the profits and thus, it is mainly reduced to economic efficiency variables (cost/benefit ratio).

The following part introduces this paper will present a process of enabling and empowering management of capabilities.

#### Management in dynamic complexity

DiM is known as a strategy to promote diversity and reduces disadvantages in organizations. Actually, it is seen in a critical light due to fact that diversity is recognized for economic reason and finally, to lift the corporate profits (*business case*). Bührmann and Schmidt (2014) propose to reform and change the frameworks in the company to fulfil the requirements of a good workplace. Newer management and organisational developing discussions especially for small and medium enterprises are less focussing on productivity increasing methods rather than the goal to develop a human and democratic management (Sattelberger, Welpé and Boes 2015). This approach will be affiliated so that in the following another way of management will be introduced that promotes peoples' capabilities. In their study of human capability reported in New Zealand workplaces, Byson and O'Neil (2008, 2009) point out various drivers and barriers of human capability in workplace that covers management as barriers, too. They produce a model of human capability development. Empowering people in terms of enlarging peoples well-being and agency will increase the opportunity to enlarge their achievements.

Developing human potentials vs. capabilities is the managers resp. leaders responsibility by creating supportive conditions and frameworks in the organizational context. Companies are subject of a dynamic complexity so that these turbulent systems can be characterized as organically, spontaneously and self-organizing. The main features of structures in this context are self-organisation and heterarchy. Organizations have to rethink about their future vitality that is a continued existence and further development by trying to design a manageable future in defining diversity as a chance. Conventional management approaches interpret companies as easy handling machines with obvious behaviour. With respect to the

accelerated economic dynamism, the pressure for companies to innovate and change and to use human capital resources more effectively intensifies.

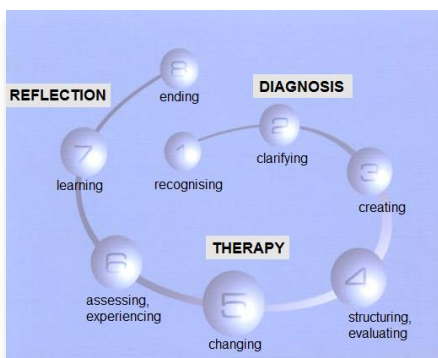
In this context, monocultural companies are past-orientated, too rigid and less able to learn from experiences and adapt accordingly with a lack of creativity and innovation. The particular challenge of management lies in a change of perspective to self-discovery, self-distance, empathy and xenophile (Bergmann and Daub 2012).

Following Ashby's law, also known as Law of Requisite Variety, we know that: "The larger the variety of actions available to a control system, the larger the variety of perturbations it is able to compensate" which creates challenges for the management (Ashby 1958). Following Lewin (1951), organizations can only be changed if their people also changes. To change an organisation is a process and all change is part of a learning process. DiM as a widely known management tool to handle diversity and prevent discrimination in organizations was presented. However, it is mostly used in bigger organizational performances than SMEs. It may offer competitive advantages but it is mainly reduced to economic efficiency variables.

This paper presents a concept to handle diversity beyond DiM in workplace. It is called the *Solution Cycle* (SC) and evolved from the systemic approach of management and several consulting works of Bergmann and Daub (2008) which primarily focuses on plurality and the integration of all actors in its first steps. Hence, the SC will be called a *participatory learning process design* towards a changing culture in organizations. According to Luhmann (1975), all organizations form social systems and constitute themselves by communicative actions which have decisive influence on the corporate culture of the systems. Effective and successful communication comes from within by active engagement in a *dialogical corporate culture* leading to corporate results. The contextual preconditions have to be created by the management and following the model of the SC it makes reaching decisions in dialogues more likely.

This theory is a process consisting of eight stages (Bergmann 2014): (1) recognizing, (2) clarifying, (3) creating, (4) structuring/evaluating, (5) changing, (6) assessing/experiencing, (7) learning and (8) flow. Managers can use this methodology in order to open their corporate culture to a diversity and capability friendly one.

**Figure 1: The Solution Cycle as a Process Design**



Source: Bergmann 2014, p. 23

Every interaction of people begins with special occasions, a salutation or a welcoming speech. The first steps are defined by diagnosis of the current space and defining a common ground. It starts with recognising team members and relevant participants, a common description of the problem and arrangement on issues. Members of the same team might have different backgrounds and opportunities. On this account the manager has to place great importance on generating different views explained by diverse socio-demographic characteristics of team members at the beginning. That supports the project with a great deal of commitment.

Creating a common perspective on the task is possible by jointly clarifying the context and working on common rules. The second step is called the diagnosis constitution of a common ground which is the agreement on common goals, competences, visions and problems. Visions and guidelines serve the purpose of identification, orientation and development. Given the importance attached to this issue, the first steps require time and space (Bergmann and Daub 2006). Step three is about creating more opportunities, solutions and differences. Promoting creativity is likely by abduction; free zones causing team members to dissociate from the problem (Bergmann 2005). Well known creativity methods are e. g. usability, brainstorming, mind mapping, brainwriting, method 635, morphological boxes. After developing forward-looking ideas, team members evaluate and plan possible solutions together and come to common decisions.

Realizing a change in step five, one can intervene in the context, in actors or institution which is possible by changing 1. language/images (e. g., concerned and respectful interaction, positive expressions by changing the words), 2. design/architecture (e. g. pleasant working atmosphere), 3. structures in organization (e. g. flat hierarchies) and 4. managing of time (e. g., idleness, flexible working hours) (Bergmann and Daub 2008). Project members are invited to report and evaluate the results and praise or complain at the next stage. In the best-case scenario connection, participation and common decisions allow experiencing flow which leads at stage seven to patterns by reflecting and learning. Finally, the project comes to an end where all participants give final feedback. Team organization is founded on the motivation of the members by decentralized and participatory nature promoting success. The main task of the manager or facilitator is to provide new impulses and irritation, generating a framework by interactively developing standards and goals and creating fearless atmosphere where vitality and the overall development are gently enhanced. The development of a shared culture and conducive atmosphere for dialogues (Böhme 1995), communication, engagement, lasting relationships become more likely. People in flow are more friendly, cooperative, generous and happier (Csikszentmihalyi 2015). This management approach provides the possibility to integrate the heterogeneity in organizations. Particular importance is given to the manager in the role to guide a changing process and to form and create relationships to other actors, to the environment and other things such as products. Managing means creating and forming the context by intervening in the (a) language, images, culture, (b) time, (c) organization and rules, (d) rooms and spaces and (e) people (Bergmann and Daub 2012).

In conclusion, contextualizing capabilities in organizations depends on the caring commitment of people for other people and their environments. It is not possible to change people but a different behaviour of people is more likely. This can be reached by intervening in the frameworks and working conditions. Changes of images and language, design or architecture, structures in organization and flexibility in time increase the possibility for a different behaviour of people and their relationships. That is the message of the systemic approach (Baecker 2005; Simon 2004; Foerster 2002; Luhmann 2000) which is closely linked in this work.

## Conclusion

This paper outlined that there are inequalities especially in the highly-skill section in the German labour market. Disadvantages are realized very often, recently demonstrated by two judgments of the European Court of Justice (ECJ Judgements 2011, 2012). Transferring Ashby's law, companies have to face impacts of pluralisation of life-styles with variety in order to stay attractive employers (Ashby 1958). The contingent world requires companies to raise the heterogeneity. Cultural mixed teams increase multiple perspectives in knowledge and learning exchange. Concerning the various challenges for companies and the shift to work 4. 0, labour integration, empowerment and promoting potentials are considered to be of big importance for resilient and innovative companies.

Diversity Management as a widely known management tool to handle diversity and prevent discrimination in organizations was presented. However, it is mostly used in bigger organizational performances than SMEs. It may offer competitive advantages but it is mainly reduced to economic efficiency variables (Krell 2015). For that reason, this paper presented a process of enabling and empowering management process of capabilities towards a changing culture in organizations that is based on the idea of cooperation and participation. Managing capabilities is compared with the idea of the systemic approach of management. In conclusion, contextualizing capabilities in companies depend on the caring commitment of

people for other people and their environments. It is not possible to change people. However, the possibility becomes more likely by changing the framework and working conditions in the institutional and organisational context. Changing the context frameworks leads to a behavioural change of people and their relationships. The *participatory process design* presented in this paper contributes to the lack in the classic management and diversity management literature.

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## Formative Assessment in Higher Education: From Theory to Practice

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### Abstract

The aim of the research is to emphasize the practical implementation of the formative assessment. The research leads to the conclusion that lecturers implement the findings of different theories and researches on formative assessment rather slowly in their daily work and practice. This article shows the way from theory to practice in the study course Human molecular biology at Rīga Stradiņš University. Quantitative and qualitative data collection methods are used to research the influence of formative assessment both on individual and institutional levels. The results show the importance of feedback information both for lecturer and student. It is concluded that immediate feedback is important for the improvement of student's achievements. The road towards initiating formative assessment on institutional level has been outlined.

**Keywords:** feedback, formative assessment, higher education.

### Introduction

A contemporary study process is seen as interaction based on the relationship between lecturers, students and content of the studies, where lecturer and student are equal partners. Some serious questions arise: how the lecturer should organize the study process in order to promote student learning; how students can guide their own learning, how to get feedback in this process? Centre for Educational Growth organized further education seminars for Rīga Stradiņš University lecturers about actualities of formative assessment within the 2014/2015 academic year. In those seminars theoretical concepts of formative assessment and learning theories (Vygotsky, Black, William, Fullan, Colby-Kelly, Turner, Shute, Falchikov, Race, Irons) were discussed. Importance of the feedback and feed-forward was emphasized as well as self-assessment and peer-assessment, shift of the assessment culture was analysed. The experience from those seminars encouraged more precise formation of examples of formative assessment both for lectures and practical workshops within the 2015/2016 academic year.

### The study aim

The study aim is to approbate created formative assessment examples in the lectures and practical workshops of the study course Human molecular biology through the available technologies in the department, such as voting consoles, interactive whiteboard. In this study qualitative and quantitative data collection methods are used: questionnaires for students and lecturers, structured pedagogical observation, focus group discussion.

### **To find a place for formative assessment**

Formative assessment has positive impact on student's achievements (Black, & Wiliam, 2009; Furtak, Kiemer, Circi, Swanson, de Leon, Morrison, & Heredia, 2016). J. Hattie characterizes feedback as information about aspects of one's performance or understanding and consequence of performance (Hattie, 2009). Researchers emphasize importance of feed-forward that provides guidance for improvements in future activities and it is important for students and lecturers (Frey, Fisher, 2011; Wheatley, McInch, 2015). Formative assessment through feedback and feed-forward promotes learning.

P. Black and D. Wiliam in their early publications on formative assessment name five most important types of activities identified from the evidence on the potential effectiveness: to acquaint students with the criteria of achievement; to question during the lessons; to do assessment only with comments; to introduce self-assessment and peer-assessment; summative use of formative tests. Subsequent activities also prove exactly how they correspond with formative assessment concept (Black, & Wiliam, 2009). The authors' approach suggests that any evidence on formative interaction should be analyzed by reflecting on lecturer's chosen plan to develop student learning.

Pedagogy is effective when teaching activities focus on participation, for example, questioning, feedback on the responses and actions, and developing special forms of dialogue between lecturers and students as well as between students (Ecclestone, Davies, 2010). D. R. Sadler characterizes new doctrines by emphasizing the meaning of feedback in the study process (Sadler, 1998). I. Clark uses the term "formative learning environment", in which, as demonstrated by the research, the student is actively involved and is protected from academic failure (Clark, 2014). Prior to that, P. Black and D. Wiliam point out that teacher is responsible for the establishment and implementation of an effective learning environment while student is responsible for learning in this environment. Consequently, both the lecturer's and the student's responsibility is to do everything possible to minimize the impact of any failures, it is common liability (Black, Wiliam, 2009).

P. Black recommends to allocate more time for questioning and answering (two sided) so that less confident students have time to respond or ask questions. Student involvement initially can be increased by asking to discuss the ideas in pairs. Questioning becomes an important part of teaching in order to promote learning. Questioning from the lecturer without grades promotes student activity and awareness that learning is promoted rather by the ability to discuss their knowledge than the ability to answer questions more accurately (Black, 2003). Responsibility of the lecturer is preparation of quality questions that are designed to explore and challenge common misunderstandings as well as encouraging students to resolve mistakes together, reaching answers in cooperation (Black, Harrison, Lee, Marshall, & William, 2003).

S. Bloxham and P. Boyd, writing on effective assessment in higher education, describe formative assessment as valuable for students to monitor their progress and identify difficulties, but it may be a considerable force, if it provides information to the lecturer about the teaching work. It is important to change the teaching plans in response to information about student learning, and this information can come from the most diverse sources: the students' questions, exercises in class. More information on student progress increases the lecturer's chance to help them (Bloxham, Boyd, 2007). Summarizing research on assessment for learning, K. Sambell points out several recommendations: complex learning advances, when feedback is seen as interrelated process, is dialogical and is integral throughout the teaching and learning process (Sambell, 2011). Formative assessment is not a fixed process with a single formula, but a set of ways how lecturers can find out the information about what students know and can do, and then this information is useful both for feedback to students and future lesson planning (Black, Harrison, Lee, Marshall, & Wiliam, 2003).

There must be a place for formative assessment in the study programs, by reducing formal lectures, where students are not actively involved in the learning process. Another option is to make wider use of rapidly developing information and communication technologies, for example, automated testing with immediate feedback (Yorke, 2003; Nicol, & Macfarlane-Dick, 2006; Nicol, D. J., & Milligan, C. 2006). K. D. McConnell and P. E. Doolittle emphasize voting consoles as one of the technology-supported techniques pointing out that it helps students to assess their knowledge anonymously (McConnell, & Doolittle, 2011).

## Research design, procedure and results

With the aim to find out formative assessment practices in everyday pedagogical process at Rīga Stradiņš University during the academic year 2015/2016, research was implemented in first year study course “Human molecular biology” in Dentistry faculty. The study course is performed in Latvian and English languages, 53 students acquire this course, and it is carried out by two lecturers, one of them works only with international students conducting lectures in English, while the other lecturer works with Latvian students. For this research the group of students who acquired course in Latvian was selected because lecturer was interested in starting a formative assessment in the study process while the other lecturer intends to start it next academic year if the result is successful. Thus, the selected group constitutes an experimental group of 22 students, who acquired the study course Human molecular biology in Latvian. The control group was not created deliberately because the research was not intended to measure the correlation between students' achievements in summative and formative assessment. It is a well known fact as evidenced by theoretical conclusions of other scientists (Yorke, 2003; Nicol, & Macfarlane-Dick, 2006; Black, & Wiliam, 2009).

The lecturer created diverse and relevant to content 8-10 formative assessment tasks for each lecture and workshop before the beginning of formative assessment. The classification matrix of the tasks was set in order they meet the criteria (diversity and relevance to content). The study results to be achieved and task division according to level of cognitive activity was taken into account while creating the tasks (elementary algorithm task and problem-task) as well as task division according to type of response (short answer tasks, structured essay tasks), task division according to type of implementation (in writing, orally, electronically executed through voting consoles) (Table 1).

Table1. An example of the task classification matrix.

Topic No 1	Task classification	Task classification
Lecture Classical genetics basics	Problem-task: Structured task and essay type, for example: to explain the process to assess the claim to make a definition to formulate conclusions	4 writing/4oral;
Practical lesson Classical genetics basics	Elementary algorithm task: for example: test (multiple choice) and short answer (yes/no) and others voting system task	use the voting system

The questionnaire was created for the students to assess whether the tasks examine the substantive content, and whether the tasks are diverse. All (22) students of the experimental group filled in the questionnaire at the end of the study course. The questionnaire included only open-type questions and the results obtained were processed in a standard way using Microsoft Excel, grouping by similar and different features, as a result the categories were established.

Structured pedagogical observation protocol was created and other lecturers were invited to participate in lectures and practical workshops in order to get not only the students' point of view, but also professionals' view. Observation was held 12 times during the study course, and generally engaged 12 lecturers, which by specialization could be classified as follows: six lecturers of department working with similar content and can later use formative assessment in their pedagogical activity; two professionals of information technology who examined the applications of information technology as well as provided valuable advice to the best use of voting consoles and interactive whiteboard; three representatives of administration that from the results obtained could contribute to the promotion of formative assessment approaches on a wider level of Rīga Stradiņš University; and one lecturer from another university, who examined the meaningful application of pedagogical causalities of formative assessment in practice. The observation protocol was structured by three criteria:

student's activity at the lecture or workshop, indicating her/his involvement in the formative assessment on the merits (for example, students are not passive listeners, but active participants in the study process: they ask if they do not understand, they justified their answers, analyzing their mistakes, not afraid to make mistakes, etc. );

lecturer's activity giving evidence of meaningful application of formative assessment in the study process (for example, does not ignore the students' doubts, misunderstandings; responding to students' questions, even provoke them, challenges students to prove their answers; provide feedback immediately; encourages students to think, analyze, etc. );

use of information technology indicating the meaningful application (for example, using the voting consoles for gaining immediate feedback, using interactive whiteboard features for the best explanation etc. ).

During the observation lecturers filled the protocol with evidence or confirmations according to the criteria. Lecturer involved in this study and the observer analyzed the accumulated information at the lecture or practical workshop after each observation. The results of structured pedagogical observation were processed in a standard way using Microsoft Excel, grouping by similar and different features, as a result the categories were established. At the end of the study course focus group discussion was organized for the students of experimental group with the aim to find out their key benefits when formative assessment is going on at lectures and workshops, and students gain immediate feedback as well as whether the students also applied acquired skills in other study course. The focus group discussion transcription and establishing of the categories was done after data collection. The following categories of the competences were obtained by analysing and comparing results of student surveys and focus group discussions (Table 2).

Table 2. **Categories of the student's skills due to formative assessment.**

Category	Evidence obtained in the focus group discussion
students develop the self-control skills	.. easy to control oneself; .. I can quickly find out whether it is understood; .. I find out own mistakes immediately; .. better to make a mistake in a lecture than a colloquium; .. work for myself
students develop the communication skills	.. for me it is useful that we can mutually discuss the task; .. the most difficult is to tell in your own words
students develop collaboration skills	.. it is a good opportunity to learn together; .. the best tasks were working in pairs because one does not feel safe about understanding
students develop the skills of solving different types of tasks	.. I like to create small summaries; .. helps when at the end of the lecture are questions about what was at the beginning of lecture; .. I like the tasks, where should be arranged sequentially one process; .. multiple choice tasks are helpful
students develop the skills of perception and memory improvement	.. usually my attention is for 45 minutes, but now I am involved all time of lecture - 90 minutes; .. really it is, when I go to a lecture, then I do understand.. all and then in the workshop it is easy to remember and understand; ... start thinking
students are active participants in the process	.. I feel engaged the whole lecture period; .. acquiring content completely during the lecture; .. sometimes the theory seems so "abstract" and it is difficult to understand hoe to use it, but if there is a task during lecture, then immediately it is clear why tho learn it; .. all the time I have been toned; .. no possibility to sleep, relax; .. I can see my progress

Students also gladly recommend improvements for the formative assessment tasks during lectures and practical workshops, like “.. even more and more difficult tasks...”, “.. insert the tasks in e-learning environment for solving them at home..”, “.. questions more specifically differentiate from easiest to hardest..”. Students' opinions help lecturers to improve their work, it is double-sided and meaningful feedback. This data confirms the theoretical conclusions in pedagogy (Yorke, 2003; Bloxham, & Boyd, 2007; Clark, 2014), that in case formative assessment is organized purposefully and student

involvement occurs essentially, then self reflection and communication are all important features of a student's employability and will be invaluable to them throughout their lives. Transfer of acquired skills to other situations is one of the most important basic conditions for formative assessment, therefore it was essential to inquire in focus group discussion whether students applied the acquired skills in other study courses. The discussion in focus group serves as evidence: "... I began to think similarly in other subjects, such as histology..." , "... it helped me when I learned about tooth eruption, grooves..." , "... while in another lecture, I began to think, as I wanted to check myself..." . Of course, there are also students' recommendations: "... I would want such learning in other study courses". This is a serious challenge for university lecturers in general. Students also discovered their view: "... I do not want to be a passive listener..." .

The following categories were obtained in analyzing the lecturers completed protocols of structured pedagogical observation:

the compliance of formative assessment tasks with the essential content of the course;

the student involvement;

the effect of the feedback;

the use of information technology.

The first category was most accurately assessed by the lecturers who work with similar content. Their observed and fixed comments evidenced, for example: "... the questions raised examined the most important topics..." , "... questions help students easily perceive the contents of genetics..." , "... regular and varied tasks of the lecture..." , "... the task set is effective, because the tricky answers are covered in multiple-choice tasks" , "... the created material is innovative, it is placed in the RSU (Rīga Stradiņš University) e-learning environment and available to every lecturer as a successful model..." , "... transfer and adaptation of the model established in other study courses should be promoted..." .

Whereas on observation of students' work the records of observation protocols confirm that student involvement is essential rather than formal: "...students participated actively and looked motivated. They focused on the class subjects to understand deeply..." , "...students are ready to comment on why given the exact answer..." , "... comments themselves, why is it wrong..." , "... the unclear issues were immediately discussed..." , "...are able to get each student's answer..." .

A few extracts from the lecturer's observation protocols as evidence of the feedback immediate effect: "... at the lecture feedback is being continuously obtained on the students' understanding..." , "... lecturer explained all subjects very nicely and explanation was easily understandable. Talking speed is also good. Taking care of all students equally and individually..." , "... continuous involvement of the students by asking questions and asking to continue the sentence" .

Lecturers and information technology professionals also observed the effectiveness of information technology usage: are voting consoles used purposefully and effectively; whether use is not only formal. The observation confirms that: "... interactive whiteboards and voting consoles create maximum visibility of the use of formative assessment examples..." , "... feedback is immediate and personalized..." , "... technologies are used, focusing on goal..." , "... diversity of the questions..." , "... the voting system is very good to see the students understanding levels and weak points..." , "... the possibility of preventing the wrong answers before the colloquium..." . Students in the focus group discussion said: "... yes, it is better to make a mistake in lecture than colloquium..." .

Lecturers together with their colleagues conducted an analysis of each observation, discussing what worked, what didn't, what is improvable. For example, some colleagues recommendations to the lecturer: "... clarifying the objective at the beginning of the class..." , "... clarify the terms in genetics..." , "... to clarify the formulation of several questions..." . Several recommendations are consistent with the students' suggestions.

As a result of such organized pedagogical observation, a new refocusing was initiated at Rīga Stradiņš University from visitation having more control function to lecturers' mutual cooperation and analysis of the experience. Thus, the main emphasis are: exchange of experience, discussion of different pedagogical solutions, including questions on the formative assessment, for example, differences in the methods according to the specifics of the study course, what is their justification, as well as being searched for solutions to similar problems.

## Conclusions

In general, the following conclusions about formative assessment basic framework are drawn at Rīga Stradiņš University:

clearly defined and measurable learning outcomes of study programs, study courses, lectures, seminars, practical workshops;

creation and provision of supportive and promotive learning environment. Organization of such environment, where there is no fear of making mistakes neither for teachers, nor students. Appropriate learning resource availability and choice;

feedback for reflection. Such assessment information that helps move forward;

the main emphasis of lecturers professional development are: exchange of experience, discussion of different pedagogical solutions, including questions on the formative assessment, for example, differences in the methods according to the specifics of the study course, what is their justification, as well as being searched for solutions to similar Problems;

formative assessment is organized purposefully and student involvement occurs essentially, then self reflection and communication are all important features of a student's employability and will be invaluable to them throughout their lives; one of the future directions of university should be change of the accent, not only in understanding of the need for formative assessment in everyday work, but to a much wider definition: formative approach at a class level to quality assessment at a institutional level. Thus, the major change envisages activation of formative approaches in pedagogical and administrative procedures at the institution as a whole.

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## Turkish Geoeconomics and Its Influence in Albania

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### Abstract

Geopolitics is often used in reference to the use of geography in determining and shaping the international relations/foreign policy agenda of individual nation states. According to the proponents of the concept of geopolitics, political predominance in the international political system is not just a question of the general power and human resources at a country's disposal, but also of the geographical undertones within which a particular country exercises its available chunks of power. The rise of geoeconomics as an eminent replacement to geopolitics even becomes more significant in place of Turkey owing to its geopolitical position. The country is strategically surrounded by Europe, Asia, the Middle East and former Soviet states. The dynamics provided by the geopolitical position Turkey ushered in increased calls for the country to take up an active role in its foreign policy endeavors, and with it, a utilization of geoeconomics as a formidable strategy to push for Turkey's agenda in the Balkan region, especially Albania. Based on the geoeconomic and geocultural conception of the Balkan region, Davutoglu, the architect of new Turkish foreign policy, contents that the only way Balkan states can maintain their strategic importance is by reestablishing their success through intensive political dialogues and pursuing integrated economic policies. These are the endeavors of a country keen on utilizing economic values and principles to cement its political power in the Balkan region, and supplement its political influence over Albanian territories.

**Keywords:** geoeconomics, international economic system, economic diplomacy, foreign policy strategy, strategic depth

### Introduction

The field of international relations has witnessed immense changes especially in the post Cold War period. Such changes emanate from the fact that the end of the Cold War ushered in a completely new era in the global international system as represented by the rise and the consequent collapse of the Soviet Union and the inception of multi-polarity in the international political system. In addition to a realignment of the global political scene, the post Cold War period has also witnessed a rise in economic aspects and their roles in the international political scene or other, transformation of geopolitics to geoeconomics. Countries are now utilizing different economic aspects to bolster their presence in international relations. The case for economic values in international relations is further supplemented by the present day wave of globalization and increased bilateral economic and trade interactions among countries. Countries cannot resist the urge to forge formidable economic interactions among themselves given the fact that the international economic system is now more or less interconnected (Kiniklioglu, 2011).

However, borrowing from the precedents of the realist theory of international relations, state relations are guided by a number of principles. The first one is the need to maximize their selfish national state interests. A state would therefore, relate with another state depending on what such a relationship confers certain positive benefits in the form of state interests. State interests are also supplemented by the need to safeguard ones' existence through military developments and forging of good regional or global military relations. Finally, countries are also always keen on maximizing their political and economic power both within the global and regional scenes. Most international relations move by any state would confer one or all of these principles, at least, when viewed from a realist perspective (Larrabee, 2010).

State interactions in the Balkan region have attracted wide attentions in the global academic world partly due to its historical background, geopolitical position and significance in the politics of the Cold War period. At the centre stage of the theoretical inquiries on state interactions in the larger Balkan region and the former Ottoman Empire, are the relations between Turkey and a vast majority of its neighbors specifically Albania, Kosovo and Macedonia. The increased interest in the ensuing relations between Turkey and each of these countries is attributed to the fact that these countries largely share identical



historical backgrounds cutting across their physical proximity, shared religious values and populations among others. Population wise, close to 1.3 million of the current Turkish population boasts of partial Albanian origins and there is also a considerable number of Turks in Kosovo (Akcakar, 2007).

Historically, Turkey has often emerged the strongest and high ranking of the above four countries, largely due to its geopolitical position, economic wellbeing and period of independence among other factors. The country has since tried to utilize its supreme position to amass an influence over most territories in the Balkan region and specifically, those territories occupied by Albanians. Different political regimes in Turkey have tried to review their country's foreign policy agenda to reflect the emerging global and regional political trends. Based on an aggregate of existing international relations literature, Turkey chose to pursue a rather passive and reconciliatory approach when relating with its immediate neighbors. Such a move was considered by the country's policy making clout as a sure way of safeguarding Turkey's territorial integrity and sovereignty in a rather tumultuous region (Bal, 2004).

The end of the cold war altered the international political scene thereby precipitating a revision of Turkey's historical approach in its relations with other countries in the Balkan region. Such a revision was represented by the taking up a more active role by the country in Balkan territories and most importantly, the adoption of a new economic and multidimensional approach in international relations. Emboldened by the significance of the Balkans region in politics, the new Turkish foreign policy strategy, under the stewardship of AKP and the strategic views of Ahmet Davutoglu, Turkey has once again re-established itself as a force to reckon with in the Balkan region (Davutoglu, 2009).

At the centre stage of Turkey's new foreign policy approach are its economic capabilities and the consequent transition of the global international relations scene from the geopolitical principles to geoeconomic principles. In the wake of these developments, this paper seeks to look at the extent to which Turkey is playing with the card of geoeconomics in its political influence on Albania and other territories inhabited by Albanians, specifically, Kosovo and Macedonia. The paper is organized into four major sections including the literature review section, which gives a short review of previously works on the relations between Turkey and the above three territories. The literature review is followed by an analysis and discussion on geoeconomics in Turkey's present day foreign policy in Kosovo, Macedonia and Albania. A short conclusion summarizes the main findings of the entire paper.

## **Methodology**

### *Purpose and objectives of this paper*

This paper focuses on explaining the basic concepts related to Turkish geoeconomics in Albania, as part of Turkey's foreign policy strategic vision. This is intended by the new principles of Turkish foreign policy and the "strategic depth" doctrine since the AKP came to power. Therefore, this study has a special importance because it identifies and analyzes the mechanisms explaining why Turkish policymakers have adopted these concepts during this period. In this regard, there is a special focus on the perception of actors, their discourses and strategic documents. In view of achieving the goal, the objectives in this paper are: analyzing key concepts that explain Turkish geoeconomics; analyzing Turkish and Albanian geopolitical elements; explaining the major shift in Turkey's foreign policy, providing the level of Turkish involvement in the Western Balkans; and analyzing how Turkey is currently playing the geoeconomic card.

### *Research questions and hypothesis*

Basic research questions are: How are the principles of foreign policy materialized into Turkish influence in Albania? How is Turkey playing the geoeconomic card?

The basic hypothesis is: Geoeconomics, as part of Turkey's foreign policy strategic vision, has created direct influence in the Balkans, especially Albania and territories inhabited by Albanians.

Given that the main purpose of this paper discusses the influence of Turkish geoeconomics, the methodology used is based on qualitative approach - analysis of discourse - focused on the operationalization of key concepts. Due to holistic nature of the problem, the methodology used is based on secondary approach. Regarding secondary sources, the author has used some theoretical perspectives of well-known authors in the field of international relations and political science. Regarding the theories used, there is a combination between two perspectives of international relations: realism and liberalism. It is also used the geopolitical orientation, which means that researchers in this area build certain ideas of the country, and these ideas have political influence and reinforce their behavior; these are ideas that influence how we, the people, process our notions of countries and politics (Bryman, 2004, fq. 24).

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## **Literature Review: Historical Background and Development of Turkey's Foreign Policy towards Albania and other countries in the Larger Balkan region**

Historically, the Republic of Turkey has formulated its foreign policy along certain identical lines including the later 19th century Ottoman heritage, the safeguarding of a strong existence in the wake of the dismemberment of this particular empire, and finally, a push for the cementing of the country's legitimacy and territorial integrity in the international scene. In addition to this was also western positivism and rationalist orientation emanating from the country's position as newly founded republican state. All these developments have in one way or the other ensured that respective political regimes construct this particular country's foreign policy along the lines of security, territorial integrity and sovereignty (Buyukcolak, 1999).

Throughout the process of pushing for these main foreign policy agendas, Turkey is forced to progressively adopt the principles of geopolitics and cautious real public diplomacy as key shapers of its foreign policy for the later parts of the last century. The above factors greatly influenced Turkey's relations with most states in the Balkan Peninsular in the 20<sup>th</sup> century. Turkish political authorities sought to maintain the status quo and prevent the escalation of any formal conflict with any of the Balkan states; a conflict capable of putting into risk the integral sovereignty status of the country. This explains why the country promoted its diplomatic endeavors through the establishment of strong multilateral relations with other states in the Balkan region (Deringil, 2004).

Major changes in the foreign policy agenda of Turkey have however been witnessed across different periods in the history of the world. The first of such changes, and one which partly disoriented the above outlined structure was the Second World War. In the views of Murinson (2006), the inception of the World War II greatly reorganized the political structure at both the global and regional levels. By the time this war came to an end, power arrangements in the international political scene had changed greatly and a significant chunk of the Balkan region had lost its significance for Turkey in as far as its geostrategic endeavors were concerned (Dautovic, 2011).

Another major shift in Turkey's foreign policy strategies was realized in the course of the Cold War where the country became an important ally of the Western political alignment in the Balkan region. This particular realignment greatly went against the grains given that most countries in this region chose to align their foreign policy agenda with the Eastern socialist bloc. This meant that the country maintained seemingly limited ties with Balkan states during the Cold War period and the country was further forced to change its foreign policy interactions' model after the end of the Cold War. This was necessitated by the emergence of multi-polarity as the dominant model in the international political system (Larrabee, 2010).

Turkey was as result of the multi-polar global political structure, rendered with a wide range of foreign policy challenges including a questioning of the credibility of its largely traditional strategy in its foreign relations. In order to properly react to the changes brought about by the ensuing Cold War, Turkey streamlined its foreign policy and adopted a more passive and reactive approach, at least up to the early/mid 1990s when it began taking up a more assertive foreign policy approach, especially on matters involving the Balkan region. Such a shift was largely in response to the ensuing wars and security concerns in this region although this assertive approach was changed in the end of the 20<sup>th</sup> and the beginning of the 21<sup>st</sup> centuries (Szigetvári, 2012).

A final turn in Turkey's foreign policy strategy was realized after the 2002 elections and the rise to power by the Justice and Development Party (AKP). The ascendancy into power by the AKP is often cited as representing a major shift in Turkey's strategy in the global political scene. This not only created a new foreign policy agenda for Turkey, as a country, but also invoked a much needed momentum to the Turkish foreign policy agenda (Uzer, 2010).

The chief drafter of the then new Turkish foreign policy was Professor Ahmet Davutoglu, who took over the country's chief foreign policy advisor's docket and was tasked with advising the Turkish prime minister. Davutoglu later took over a prime role after becoming Turkey's minister of foreign affairs in 2009, and later he became Prime Minister. Since its publication in 2001, his book, "Strategic Depth: Turkey's International Position" provided the basic principles and objectives of Turkey's present day foreign policy and has gone a long way in influencing the country's relations with Balkan countries and the rest of the world in the AKP regime (Bechev, 2012).

### **Geopolitics and the Rise of Geo-economics in International Relations**

Geopolitics is often used in reference to the use of geography in determining and shaping the international relations/foreign policy agenda of individual nation states. According to the proponents of the concept of geopolitics, political predominance

in the international political system is not just a question of the general power and human resources at a country's disposal, but also of the geographical undertones within which a particular country exercises its available chunks of power. It is however worth noting that geography does not solely shape a country's conduct and relations with other countries, but rather does present countries and their individual policy makers with a path to align their foreign policy strategies with (Oktav, 2013).

Of major significance in the utilization of geopolitics in guiding a country's foreign policy agenda is the geopolitical code. This is rather the mapping of the main priorities, weaknesses and opportunities provided by the geography of a given country. Here, a country has to critically assess its neighbors, potential enemies, and ways of fostering good ties with its friends at the same time countering the prospective threats of its enemies. Forging a formidable way to achieve all these however calls for the utilization of a number of values ranging from economic strengths, cultural values and educational linkages among others (Uzer, 2010).

The rise of geoeconomics as an eminent replacement to geopolitics even becomes more significant in place of Turkey owing to its geopolitical position. The country is strategically surrounded by Europe, Asia, the Middle East and former Soviet states. This does not only provide opportunities for the country, but also presents with it a wide range of difficulties in as far as the drafting of a sound foreign policy strategy is concerned. The dynamics provided by the geopolitical position Turkey ushered in increased calls for the country to take up an active role in its foreign policy endeavors, and with it, a utilization of geoeconomics as a formidable strategy to push for Turkey's agenda in the Balkan region. Such calls and the coming into the fore front of Ahmet Davutoglu ensured that Turkey had to redefine geopolitics and adopt more of geoeconomics, especially in its relations with its immediate neighbors (Oksuz, 2007).

### **Turkey's Relations with the Balkans**

What constitutes the present day Balkan countries was once under the traditional Ottoman Empire, at least up to the end of the Balkan Wars in the early 20<sup>th</sup> century. Ottoman viewed the Balkan region as part of his most treasured territories both politically and economically. These territories not only provided an avenue through which Ottoman could reach out to Europe, but also presented good grounds for the expansion of the larger Ottoman Empire thereby raising the stakes of the same empire in Europe. The Balkan region would however serve as the main naval for the consequent decline of the Ottoman Empire. Additionally, the foundation of the present day Nation state of Turkey, owes its existence to the Balkan region given the fact that nationalist and reformist escapades leading up to the creation of Turkey as a nation state, traces their origins in the Balkan territories (Winrow, 1993).

According to Oktav (2013), the Balkan wars, the dissolution of the Ottoman Empire, and the First World War complicated the international relations and political situation of the newly created Turkish state. This ensured that Turkey would concentrate on internal stabilization, maintenance of state sovereignty and territorial integrity as its main international relations priority as envisaged in the details of Treaty of Lausanne signed in 1923. Turkey was as a result of these particular foreign policy priorities, less focused on territorial expansion or other, a scramble over the former Ottoman Empire. The country was rather keen on co-existing with its neighborhood Balkan states under the principles of state cooperation and territorial integrity.

To push for the realization of state sovereignty, Turkey signed friendship treaties with the Balkan states of Albania and Yugoslavia in 1923 and 1925 respectively. These particular treaties coupled with similar two other identical ones with Bulgaria and Greece in the late 1930s, further emphasized Turkey's foreign policy priorities in the Balkan region immediately after its establishment as an independent nation state. In the views of Winrow (1993), the seemingly less aggressive foreign policy course pursued by Turkey in the late 1920s and early 1930s can be attributed to the fact that the country was yet to establish itself as regional political and economic powerhouse. Limited capabilities therefore ensured that Turkey could not categorically align its foreign policy agenda with the precedents of geoeconomics (Grigoriadis, 2010).

The great economic crisis of the late 1920s provided a good opportunity for Turkey to pursue an aggressive foreign policy towards the Balkan states. This was firstly necessitated by the fact that the region lacked a strong economic and political leader. This presented the first clear chance for Turkey to pursue the geoeconomic approach in its relations with a good number of the Balkan states as indicated by the establishment of strong bilateral relations between Turkey and some of these states. However, peace, political neutrality and a maintenance of the status quo still remained at the forefront of Turkey's foreign policy priority in as far as its relations with Balkan states were concerned (Szigetvári, 2012).

The politics of the Cold War period and consequent political realignments towards either the eastern or western blocs further represented another major shift in Turkey's foreign policy towards a good number of countries in the large Balkan region. During earlier times of the Cold War, the country was more or less keen on abolishing its political neutrality stance, possibly as a way of checking the spread of communism. This forced the country's foreign policy crusaders to develop a cold shoulder towards any Balkan state whose foreign policy agenda drifted towards Communism and the Soviet Union while maintaining some good ties with those states aligning themselves with the Western ideologies (Mitrovic, 2014).

The above trend was to be changed later in the late 1960s after western countries started opening up to their eastern counterparts. In response to this shift of course, Turkey became more open to the idea of re-establishing a new wave of ties with a good number of Balkan states through an expansion of trade and cultural ties. There was for instance an increase in the trade and economic interactions between Turkey and other Balkan states although these states accounted for less than two percent of Turkey's total imports and less than four percent of its exports.

Turkey began giving due emphasis on its economic wellbeing and that of its neighbors during the late 1980s. This was demonstrated by the country's political leadership's inclination towards a push for the attainment of greater heights of economic liberalization both domestically and regionally. This course was further supplemented by the then emerging geostrategic significance of Yugoslavia following the collapse of the bipolar system after the end of the Cold War. Turkey got more concerned with the economic and political plight of Yugoslavia and its other Balkan neighbors thereby cementing the utilization of geoeconomics in its foreign policy (Pope, 2010).

### **Davutoglu's Doctrine and Turkey's New Foreign Policy in Practice**

Immediately after the end of the Cold War, Turkey was forced to reconsider its foreign policy stance in a much changed post-Cold War period. There was seemingly a wave of uncertainty regarding the country's actual foreign policy path, especially when it came to its relations with the neighboring Balkan states. This precipitated a wave of reactions from different players both in the political and academic fields with most of them pushing for an adoption of a completely new Turkish foreign policy. A dominant figure in the push for a new Turkish foreign policy was Ahmet Davutoglu, whose work, as was noted earlier in this paper, formed the background for a new foreign policy strategy in Turkey. Davutoglu's key argument was that the collapse of the bipolar system led to seemingly major geopolitical and geoeconomic vacuums in the Balkan region and this provided a good opportunity for Turkey to re-establish itself as a political/economic power to reckon with in this region (Grigoriadis, 2010).

In one of his 2009 speeches, Davutoglu defined the Balkan region from a geopolitical, geoeconomic and geocultural perspectives. From a geoeconomic point of view, the Balkan region represents a "transaction area," cutting across the sea and land borders. The Balkan is also representative of wide cultural interactions and major cultural diversities often come into the play in most Balkan countries' foreign policy endeavors.

Based on the above geoeconomic and geo-cultural conception of the Balkan region, Davutoglu contends that the only way Balkan states can maintain their strategic importance is by reestablishing their success through intensive political dialogues and pursuing integrated economic policies. Turkey's traditional legacy and position places it at the core of activities in the Balkan and it is therefore upon itself to oversee the state of affairs in this region (Hale, 2012).

At the center stage of Davutoglu's views, as demonstrated by his arguments in the book "Strategic Depth: Turkey's international position", was the taking up of an assertive economic role by Turkey in the Balkan region. His assumptions were actually built on the principles of Neo-Ottomanism and multi-dimensionality in foreign policy. New-Ottomanism was largely furthered by former Turkey president, Turgut Ozal and strongly dealt with the issue of economic liberalization and a cementing of Turkey's economic influence in the larger Balkan region (Mitrovic, 2014).

Since 2009, Turkey has formulated its foreign policy towards Balkan countries, along Davutoglu's ideas. The Balkan offers strategic geographical and economic advantages to Turkey partly due to its historical background. Countries in this region consequently aid Turkey's political ambitions in Europe and the country is therefore indebted to closely monitor economic, social and political developments in most of these countries, at least for its political benefits. Turkey's present day foreign policy is hinged on the principles of regional ownership and inclusiveness-attainable through a preservation of multi-ethnicity, economic integration and the construction of multi-cultural and multi-religious structures. The country has in turn shown major interests in the creation of good cooperation and integrative platforms as demonstrated by the formation of the Southeast European Cooperation Process (SEECP). The push towards integration has on the other hand laid the

ground for Turkey to utilize the card of geo-economics, especially when it comes to its relations with Albanian-settled countries.

## Analysis

### Geo-economics in Turkish Relations with Albania, Kosovo and Macedonia

Turkey's adoption of geo-economics strategies to cement its political relations with countries in the Balkan territory is firstly indicated by its decision to sign a wide range of bilateral economic agreements with most of these countries. One of such agreements was signed between Turkey and the Republic of Macedonia in 1999 and was generally aimed at strengthening existing relations between the two countries, especially in the area of economic integration.

Apart from the signing of general economic and trade Agreements, Turkey's foreign trade with the above three countries has been on the rise from the onset of the 21<sup>st</sup> century. The country's exports to almost all of these countries grew by a couple of percentages largely due to the signing of free trade agreements and Turkey's push towards cementing its economic wellbeing in the large Balkan region. Additionally, Turkey has more than doubled its foreign policy investments in Macedonia, Kosovo, and Albania. Within the larger Balkan region for instance, Turkey's foreign policy investment jumped from mere 30 million dollars in 2002 to close to 190 million dollars in 2011. Such increases indicate the seriousness with which Turkey is viewing geo-economics as a formidable tool to cement its political influence over the Balkan countries. Kosovo enjoys the largest share of Turkey's foreign direct investments in the Balkan region.

From a country point of view, Turkey initially recognized the state of Macedonia immediately after the latter successfully caved out of Yugoslavia in 1991. According to most foreign policy scholars, Turkey's prospective pursuit for a geo-economics approach in its foreign policy relations with Macedonia was largely supported by the fact that the latter was one of the least developed regions of Yugoslavia. The country faced brutal economic challenges and neither was it doing well socially, given the then ensuing ethnic squabbles pitting people of Albanian decent and other majority ethnic groups. From an international relations perspective, Macedonia was also reeling from the seemingly hostile political and economic policies adopted by Greece. Greece had objected the recognition of Macedonia by European Union countries and even curtailed EU's economic assistance to Macedonia (Szigetvári, 2012).

Staring at the pit of economic and social collapse, Macedonia had to establish some friendly economic and political ties with Turkey, the second country to recognize Macedonia as an independent state. The former took up this opportunity and laid the background for strong political and economic relations with Macedonia as firstly indicated by its position as the first state to open up a fully functional embassy in Macedonia (Mitrovic, 2014).

Turkey's utilization of the geo-economics card is consequently highlighted by the swiftness with which the country took advantage of ensuing economic difficulties in Macedonia to cement its foreign policy and political influence over Macedonia. The country's seemingly strong will to cement its ties with Macedonia when the latter was still grappling with the problem of attaining a full international recognition, was informed by geo-economic motives. This should not however imply a disregard of Turkey's quest to safeguard the plight of its Turkish population in Macedonia. It is all the same worth admitting the fact that Macedonia was at this time facing more of an economic than a social challenge and Turkey's decision to build good ties with this state had more to do with economic factors than social factors.

Additionally, Turkey's geo-economics steps are further indicated by its active roles in the establishment of economic bilateral and multilateral agreements with Balkan states. For instance, the country was at the forefront in pushing for the establishment of the South East Europe Cooperative Initiative (SECI) in 1996, with the sole aim of advancing regional cooperation, especially in the economic and environmental areas. The country was at took active part in improving the SECI and even engineered the creation of a platform through which member countries could cooperate in stock exchange markets. This particular move generally represents the endeavors of a country keen on utilizing economic values and principles to cement its political power in the Balkan region, and by far, supplement its political influence over Albanian territories (Rubin & Kirisci, 2001).

Albania was more or less sailing through similar conditions with Macedonia. The country was for instance, one of the least developed Balkan states after the end of the Cold War largely as a result of its previous inclination towards communist economic policies on the course of the Cold War. There was therefore an urge to change the economic plight of the country by adopting market economy principles in the early 1990s - given the fact that Albania is one of the most significant territories for Turkey's foreign policy strategies in the larger Balkan region.

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The significance of Albania to Turkey is shown by the fact that Albania was at the centre stage of the seemingly difficult relations between Turkey and Greece. In a sharp response to the ensuing political squabbles between Albania and Greece, Turkey quickly took the initiative of supplementing its political influence over Albania by signing a bilateral trade and economic Agreement with Albania in the late 1980s (Pope, 2010).

Progressive slow, but rather far reaching economic in-surges by Greece in Macedonia and Albania and the swiftness with which Turkey moved to counter Greece, further a go a long way in highlighting the extent to which Turkey played and is still playing with the card of geoeconomics to cement its political influence over Albania, Macedonia and Kosovo. For instance, significant investments by Greece in Macedonia and Albania at the beginning of the 21<sup>st</sup> century precipitated a swift move by Turkey to cement its economic and political relations with the two countries above. Turkey was therefore keen on utilizing geoeconomics to fend off the prospective threat offered by Greece's ensuing political influence over Macedonia and Albania (Mitrovic, 2014).

As noted above, Turkey still considers Albania as one of its main economic partners in the larger Balkan region. This is because, Albania not only boasts of favorable investment opportunities, but also offers a good outlet between the Balkan region and other countries in Europe and the Mediterranean region. Realizing the economic potential and worthiness of Albania, Turkey has seized the opportunity and moved towards establishing strong trade and other commercial ties with this particular country and such ties have in one way or the other placed Turkey in a better place to master strong control over Albania and other Albanians' settled territories. The two countries have since the late 1980s sought to cement their trade and economic ties through the signing of the two trade/economic related agreements between 1986 and 1988 (Oksuz, 2007).

A similar free trade agreement between the two countries was also signed in May 2008. Although these agreements point out to seemingly mutually beneficial trade and economic interactions, Turkey has used the same agreements to bolster its political influence on Albania. These particular Agreements set the tone for an increase in Turkey's exports and foreign direct investments in Albania. Such moves definitely serve as representations of the former's push towards cementing her political influence on Albania. For instance, the 2008 Agreement gives Turkish exporters an upper hand in their trade endeavors with Albania and this definitely gives Turkey a formidable chance through which it can politically influence Albanians' inhabited territories (Szigetvári, 2012).

The 2008 Free Trade Agreement consequently provided an avenue through which Turkey could economically endear itself to Albania and consequently cement its political influences on a large part of the Balkan territory. In these agreements, Turkey offered what could be termed as economic and trade goodies to Albania as indicated by a decision to nullify custom duties on all Albanian originating commodities in exchange of only 80% customs duty waiver on Turkish goods in Albania. The fact that the terms of most agreements between Turkey and Albania offer significant advantages to Albania is a clear indication of Turkey's intentions to utilize the card of geoeconomics in its international relations with Albania (Mitrovic, 2014).

From a different perspective, Turkey has further taken advantage of the significance of the Agricultural sector to the economic prospects of Albania, and as a result, tries to get into trade/economic agreements with the latter, all with the aim of bettering its political influence on Albanians' inhabited territories in the large Balkan territory. To date, Turkey imports a wide range of agricultural products for Albania and such imports only supplement Turkey's political influence (Blitz, 2006).

However, Turkey is not the biggest export or import trade partner to Albania, but, the two countries still enjoy a boom in their trade and economic relations. For instance, Turkey was ranked among the top ten Albania's biggest export partners with an export market share of close to 2. 0% in 2008. This was way below the 11. 8% and 6. 6% export shares commanded by Greece and Kosovo respectively. The country ranks a little bit higher among Albania's leading import partners although this particular country's rank is still way below that of Greece and Italy. Based on these 2008 export and import market share figures, it is evident that Turkey is not necessarily the leading economic and trade partner to the state of Albania. However, it is only fair to acknowledge the fact that Turkey is partly using geoeconomic principles to supplement its political influence over Albania. It still ranks among the first three import partners to Albania and such a rank shows how the country is still keen on utilizing economic practices like trade partnerships to amass a considerable political influence on Albania and other neighboring states (Grigoriadis, 2010).

## Discussion

The recently adopted, Turkish foreign policy strategy consequently goes a long way in highlighting the extent to which this country is committed to the utilization of geoeconomic principles to amass a significant influence on the Albanians' inhabited



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territories of Albania, Kosovo and Macedonia. Since Davutoglu's appointment as minister of foreign affairs, Turkey adopted a new foreign policy strategy built on five main operational and methodological principles (Davutoglu, 2008).

The first methodological principle guiding Turkey's foreign policy agenda promotes the establishment of good relations with neighboring states, purely based on a clearly set out vision. It is however the third methodological principle that sets the ground for the use of geoeconomic principles in Turkey's foreign policy, especially in the larger Balkan region. The third principle emphasizes on the use of instruments of soft power, and creating a balance between these same instruments and other hard ones, all with the aim of creating a new discourse and diplomatic approach whose main priority is "Turkey's civil-economic power" (Ozcan, 2008).

The above principle largely highlights the focus with which Turkey views economic practices as practical avenues through which the country can flex its muscles as far as amassing greater influence on Albania, Kosovo and Macedonia is concerned. From a different perspective, one of the 2009's Turkish foreign policy operative principles further leaves a wider room for the use of geoeconomics to bolster the country's political influence on Albania and its neighboring countries. This is basically what Davutoglu denotes to as the "zero problem policy towards Turkey's neighbors" and authorizes Turkish foreign policy implementers to maximize the country's cooperation with neighboring countries by utilizing both multilateral and bilateral cooperation measures (Kosebalaban, 2011).

Additionally, Turkey has also pursued the maintenance of high levels of activity across the social, political, military, and most importantly, economic divides. This new operational principle paves way for the conception of neighborhood as an opportunity rather than as a security threat and surely puts Turkey in a sole position to use existing economic avenues to marshal strong political influence over its neighbors. The newly incepted neighborhood approach consequently serves as a solid ground for soft power tools such as economic values in shaping the relations between Turkey and other Albanian territories. It is on the basis of this approach that the country has prioritized the improvement of its trade, energy and other economic-related interactions with its neighbors. Alongside the second operative principle is also a push for greater levels of regional economic integration as way of promoting peace and security in the large Balkan region (Elsie, 2010).

A major incentive for Turkey's new push towards marshalling a strong influence on Albania and its other Albanians' neighboring territories are the sure positive prospects wielded by the Turkish economy in the past few years. Turkey was ranked at position 16 in the world economy in 2010 and at the 18<sup>th</sup> position in 2011. This seemingly good prospect in the country's economy has ensured that Turkish authorities embrace economic expansion as a key component of their country's foreign policy (Hale, 2012).

Turkey still views the line cutting across the geographical territories of Middle Bosnia, Kosovo, Albania, Macedonia and a significant part of Bulgaria, as a critical geocultural and geopolitical vein in the larger Balkan region. Turkish foreign policy makers are therefore keen on ensuring that this line remains intact. To attain this course, the country remains devoted to supporting Albania and other Albanian territories, and this support is always aimed at strengthening Turkey's political influence in the region (Pope, 2010).

Any consequent division of Albanians in the Balkan region will not only lead to their economic weakening, but also pave way for the disintegration of the traditional Ottoman legacy. Turkey is therefore bound to fend off any prospective disappearance of the Ottoman legacy since such a disappearance only implies significant reductions in the country's political influence in the Balkan region. The only way Turkey is to supplement its political influence in the region is by pursuing geoeconomics as a key driver of its foreign policy towards Albania and other Albanians' dominated territories. Geoeconomics principles offer a sure way through which Turkey can maintain internal stability in Albania, Kosovo and Macedonia, strengthen cultural identity in the Balkan region, and strengthen both social and economic connections among Albanians and between Albanians and other Muslim communities (Hale, 2012).

The stake for Turkey is even much higher when it comes to its relations with Kosovo. As noted by Bechev (2012), Kosovo plays a vital role in maintenance of stability and togetherness among Albanians in the Balkans. Any prospective political/economic unrest in Kosovo can therefore easily spread over to other Albanians' settled territories, thereby destabilizing most states in the Balkan, and with that, a threat to Turkey's political influence. The same also applies to Macedonia which has had a previous history of ethnic and religious sensitivities. In fact, the presence of huge Albanian populations in Macedonia and more than 90 % in Kosovo means that any crisis in these countries can easily draw the attention of Greece and Serbia (Pope, 2010).



Given the fact that Serbia and Greece are often in the opposing ends of Turkey's regional political maneuvers, the latter would definitely not dream of the presence of an anti-Turkish regional alliance pitting Greece, Serbia and Bulgaria. The country thus remains with no choice other than using geoeconomics to bolster its political influence on Albania and the other Albanians' settled territories of Macedonia and Kosovo. This is why Turkish political players are keen on pushing for a progressive economic support for, interconnectedness and cooperation among Albanians across the three countries of Albania, Kosovo and Macedonia (Mitrovic, 2014).

Apart from any trade imbalances, the larger Balkan region still does not feature among the top trading partners to Turkey as would be expected. For instance, the European Union and a large number of European countries have seen their economic/trade relations with Turkey improve at the expense of those of most Balkan states. The EU still remains Turkey's biggest trade partner and such non-Albanians' settled countries like Serbia still ranks high among Turkey's trade partners ahead of Albania, Macedonia and Kosovo. It can therefore be possibly argued that Turkey is yet to exhaust its geoeconomics potential in the above three countries.

### Conclusion

Emboldened by the significance of the Balkans region in politics, the new Turkish foreign policy strategy, under the stewardship of AKP and the strategic views of Ahmet Davutoglu and his doctrine, "Strategic Depth", Turkey has once again re-established itself as a force to reckon with in as far as the political control of Balkan states is concerned. As indicated in the detailed discussion above, Turkey is increasingly using geoeconomics values such as foreign direct investments, signing of free trade agreements and other forms of economic support to cement its political influence on Albania, Kosovo and Macedonia. Critical in Turkey's continued use of geoeconomics is not only the strengthening of the country's political influence, but also the maintenance of greater level of stability in these regions to fend off prospective threats from Greece and Serbia. Progressive trade imbalances in the economic-trade relations between Turkey and the above countries however, imply that Turkey might not be effectively playing with the card of geoeconomics in the large Balkan region.

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## Influence of Turkish Foreign Policy in Albania

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### Abstract

This paper inquires into the overall picture of the Turkish foreign policy toward Western Balkans, and especially Albania, on the geopolitical plan. It explores the new Turkish policy principles, Davutoglu's strategic vision, and the extent to which the geopolitics of both Turkey and Albania inform Turkish foreign policy. This paper also delineates the perceptions of Albania towards Turkey's foreign policy and contradictions of the same policy. According to Davutoglu, the architect of Turkish foreign policy, Turkey is a Middle Eastern, Balkan, Caucasian, Central Asian, Caspian, Mediterranean, Gulf and Black Sea country, can simultaneously exercise influence in all these regions and thus claim a global strategic role, rejecting the perception of Turkey as a bridge between Islam and the West, as this would relegate Turkey to an instrument for the promotion of the strategic interests of other countries. To achieve this, Turkey should capitalise on its soft power potential. Davutoglu argues that Turkey possesses "strategic depth" due to its history and geographic position and lists Turkey among a small group of countries which he calls "central powers". Taking such a role Turkey has also great interest in Albania as it is considered the best state to promote Turkish interests within the Western Balkan region. However, there are several obstacles limiting Turkey's full penetration into the Western Balkans.

**Keywords:** strategic depth, soft power, proactive foreign policy, geopolitical influence, regional power

### Introduction

Turkey's influence on the Western Balkans and particularly Albania is related to their geographical proximity (Cogos, 2013). When the Western Balkans encounters any instability, Turkey is affected politically. That is why promotion of peace and stability in the Balkans region is one of the priorities of the Turkish foreign policy. Turkey has great interest in Albania as it is considered the most appropriate state to promote Turkish interests within the Western Balkan region. Though there are several obstacles limiting Turkey's full penetration into Albania, the transformations are increasing gradually (Bagci and Doganlar, 2009, 14).

The new Turkish foreign policy is built on a holistic apprehension of historical trends and a sense of vigorous action. Turkey has rejected a reactionary foreign policy approach by developing its priorities on international and regional issues with meticulous consideration of its own situation. Most importantly, the country's position is a reflection of its geographical location, historical depth, and great legacy in international affairs. Thus, Turkey designs its policies in line with the historical trends and the apprehension of the country's situation in the larger trajectory of the world history. The country steadily questions and contemplates on its status and makes revisions where necessary. Through this deep-rooted approach to current issues, it is able to constantly handle the challenges of the serious transformations happening in the global system (Ersoy, 2004, 15).

While going through reform processes and domestic transformations, Turkey's major focus is to consolidate ties with its region. The country is devising mechanisms to reconnect with the people in Albania with whom it shares a common history and is deemed to share a common destiny. This objective is useful in shaping the foreign policy priorities of the country. The implication of this objective is that the country should work toward reconciling its differences with the neighbors through soul-searching efforts and going beyond the divisive disputes. The ties are intended to place the country in a better position to act as a responsible state at the global level.

Turkey's foreign policy has provided a basis for the country to adopt different approaches in dealing with the neighboring countries (Cogos, 2013). Turkey was previously an aspiring candidate to the European Union and a close ally to the United States. Currently, the country behaves autonomously and even at times at cross-purposes with the United States.

Currently, there is a severe crisis in the international community. This has resulted in a substantial process of political transition in the countries surrounding Turkey. Turkey's foreign policy is designed in a way that reflects the long-standing historical trends and the country's location in the broader course of the world's history. Turkey has made efforts to help neighboring countries such as Albania to achieve peace and stability, as it considers Balkans a necessary geopolitical area for its own security.

Another asset for Turkey's foreign policy is its reintegration with the neighboring states. While going through domestic reform processes and transformations, Turkey has also moved to consolidate ties with Balkans countries. Thus, a significant strength of Turkey's foreign policy is the continuing process of reconnecting with the people within the region with whom Turkey shares a common history and tend to have a common destiny. In this regard, Turkey is working toward reconciling its differences with neighboring countries and moving beyond such disputes through cooperation. Turkey envisions close ties with neighbors as a gateway to the achievement of its global goals.

## **Methodology**

### *Purpose and objectives of this paper*

This paper focuses on explaining the basic concepts related to Turkish foreign policy in Albania. This is intended by the new principles of Turkish foreign policy and the "strategic depth" doctrine since the AKP came to power. Therefore this study has a special importance because it identifies and analyzes the mechanisms explaining why Turkish policymakers have adopted these concepts during this period. In this regard, there is a special focus on the perception of actors, their discourses and strategic documents. In view of achieving the goal, the objectives in this paper are: analysis of key concepts that explain Turkish foreign policy; analysis of Turkish and Albanian geopolitical elements; analysis of the situation in Turkey, as the sending country, taking into account its position to influence regional and global expansion; and analysis of the situation in Albania, as a receiving country, considering Turkey a strategist partner.

### *Research questions and hypothesis*

Basic research questions are: How are the principles of foreign policy materialized into Turkish influence in Albania? How are the geopolitical concepts materialized into Turkish foreign policy? What is the Turkish geopolitical position for influence in the region and Albania?

The basic hypothesis is: The new perceive in foreign policy and Davutoglu doctrine have created direct influence in the Balkans, especially Albania.

Given that the main purpose of this paper discusses the current Turkish foreign policy and Turkish geopolitics, the methodology used is based on qualitative approach - analysis of discourse - focused on the operationalization of key concepts. Due to holistic nature of the problem, the methodology used is based on secondary approach. Regarding secondary sources, the author has used some theoretical perspectives of well-known authors in the field of international relations and political science. Regarding the theories used, there is a combination between two perspectives of international relations: realism and liberalism. It is also used the geopolitical orientation, which means that researchers in this area build certain ideas of the country, and these ideas have political influence and reinforce their behavior; these are ideas that influence how we, the people, process our notions of countries and politics (Bryman, 2004, fq. 24).

## **New principles of Turkish policy**

Turkey also enjoys the ability to achieve progress through a peaceful and stable domestic order on which it can create a proactive foreign policy. Recently, Turkey formulated a balance between domestic security and personal freedoms. This enmeshment was inspired by the country's belief that it is not possible to build stability and peace on force alone. From this perspective, the country was convinced that countries that achieve stability and peace usually have tools in place to promote political legitimacy and the respect of freedoms. Despite the fact that Turkey lagged behind in the 1990s in terms of democratization and did not embrace fundamental human rights, the country has gone through a chief domestic restructuring process over the recent years. Turkish official say that Turkey has fixed many of its weaknesses with regard to its human rights records, but lately there are signs of an authoritarian rule on the part of Erdogan. However, according to Davutoglu (2001), when he outlines the foreign policy principles, "this significant process has been facilitated by several democratization reforms executed in a determined way through strong political authority and visionary leadership" (p. 3). Particularly, the country is avoiding its past incorrect habits of perceiving the society as a possible enemy. When the country stopped worrying about the domestic challenges as a result of its expanded scope of basic freedoms, Turkey developed

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more self-confidence regarding its international position. This has made the country to be trusted by the international community and its regional neighbors. The formulation of the security-freedom balance has secured Turkey from huge challenges of withstanding pro-democratic transformative signals in the region that would compromise its security (Davutoglu, 2001, 2).

There are various principles that stand out as guidelines for the implementation of Turkey's foreign policy. The first principle involves pursuing a value-based foreign policy. Turkey has set out objectives that portray it as a wise country in the international community. These values place Turkey in the position of a wise country to carry out such functions as development assistance, conflict resolution, mediation, or conflict prevention. As a wise nation, Turkey aims at enhancing its capability to shape the course of development around it and develop significant contributions to the resolution of international and regional issues.

The second principle of Turkey's foreign policy is that the country should act confidently in tackling policy issues. Playing the role of a wise country requires Turkey to meet many expectations and adopt numerous tools that may be missing in the country's conventional foreign policy toolkit. Turkey endeavors to act independently and confidently in pursuing mechanisms that had not been there in the traditional foreign policy. It has also actively participated in new areas such as mediation, peace-making and international development assistance.

The third principle is that Turkey's foreign policy is to be implemented in an autonomous manner. Turkey is moving away from the psychological sense of inferiority where other powers used to design regional politics and the country only performed the roles assigned to it. This perception of inferiority is said to be deeply-rooted in many dimensions of the Turkish society, and among political elites. The country's new foreign policy is designed in relation to national priorities, irrespective of whether they will fail or succeed. The policy aims at putting off instructions from other powers and avoiding the grand schemes of others. Particularly, Turkey's foreign policy is designed in a way that puts into account the country's own situation.

The fourth principle is to seek a vision-oriented foreign policy. Turkey, as a wise country, requires a proper balance between vision management and crisis management. Currently, the world is experiencing significant global economic crisis while Turkey's neighbors are going through a difficult political transformation. Turkey is playing an active role in these transformations by applying its crisis management mechanisms and multi-dimensional diplomacy. As the country struggles to tackle the conjectural challenges in Europe, Caucasus, Balkans, and the Middle East, it seeks to maintain the wider trends and the country's holistic approach. This principle is in line with the long-standing vision of Turkey (Sulu, 176).

### **Ahmet Davutoglu doctrine "Strategic Depth"**

The Turkish Foreign Policy under the AKP is attributed to Ahmet Davutoglu, who was the chief advisor of Prime Minister Recep during the period 2002-2009, and the Minister of Foreign Affairs during 2009 – 2014, and afterwards Prime Minister (2014 – 2016). Davutoglu (2009) envisions Turkey as a central state which should play a proactive economic, political and diplomatic role. Davutoglu argues that Turkey's new geopolitical status should be viewed "as a means of gradually opening up to the world and transforming regional influence." The "strategic depth" concept lies on two major elements: geographic and historic depth (Cogos, 2013).

Even though the earlier publications of Davutoglu were derived from rather old-fashioned geopolitical approaches, his vision went through substantial modifications between the late 1990s and the early 2000s (Sayari, 2000, 143). This was not an ordinary approach for the typical AKP leadership. While geopolitics was the major framework of Davutoglu's strategic thinking, he supplemented it with liberal aspects such as encouragement of "win-win" solutions, conflict resolution, and soft power. Davutoglu (2001) points out that Turkey's strategic history and geographical position places it among the world's central powers. Thus, Turkey should go beyond its regional role, and expand throughout the entire international community (Sayari, 2000, 144).

According to Davutoglu, Turkey should establish a proactive policy in line with its geographic and historic depth that is strengthened by its Ottoman heritage. The achievement of this objective requires Turkey to utilize its soft power potential. The soft power is drawn from the historic and cultural connections that Turkey has with all regions to which it belongs, its thriving market economy, and democratic institutions. This implies that the country has to do away with the militaristic image that a military tutelage history and its strong military have portrayed to the society. Rather, Turkey should focus on the promotion of dispute resolution and economic cooperation that is capable of obviating the need for regional intervention by great powers (Yavuz 17).

Departing from his earlier arguments, Davutoglu establishes two requirements that must be met for Turkey's foreign policy to effectively influence surrounding regions such as the Western Balkans. First, Turkey needs to resolve its domestic politics. The domestic conflicts have also been manifested in the conflicts between the secularist and Islamist elements of the Turkish society. From an international perspective, Turkey needs to settle all bilateral conflicts that have hindered the country's relations with its neighbors (Kaddorah, 2010). The Turkish government, under Prime Minister Recep has followed an "idealistic" foreign policy referred to as "zero problems with neighbors" as an important aspect of its "strategic depth" advance to Turkey's foreign policy. Thus it has enhanced relations with almost all its neighbors, including Albania. It is worth noting that "zero problems with neighbors" has worked with Albania, but lately Turkey's involvement in the Middle East crises has undermined this policy – for many reasons.

In a general sense, Turkey has close geo-political ties with several states in the Western Balkans, which play a noteworthy role in Turkey's entry to continental Europe. Turkey has significantly focused on creating an environment of mutual understanding and peaceful co-existence with the Western Balkans through trade relations (Turbedar, n. d. ). This is because the stability and peace in the region are perceived as the basis for Turkey's geo-political prosperity.

Davutoglu's Doctrine has been instrumental in strengthening Albania's role in the Western Balkans (Cogos, 2013). Though Davutoglu's opponents have made attempts to destroy his policy with connotations of colonialism, there are significant positive influences of the policy on the Balkan countries, mainly Albania, Kosovo, Macedonia and Bosnia-Herzegovina. Albania and other states in the Western Balkans are considered as a "central place in modern Turks' Neo-Ottomanic self-perception of identity" and therefore, it is "of key importance for shaping of the Neo-Ottomanic concept and policy". Turkey's foreign policy with the Western Balkans revolves around exploitation of prevailing instabilities in the bid to redefine its status in the new world order following the end of the Cold War (Tase, 10).

There are some analysts who feel that Davutoglu's foreign policy with the Western Balkans has not caused much influence than the previous policy (Kucukkeles (2012). Ozal's administration also made similar attempts at ideological renewal of the foreign policy. Similarly, Ismail Cem, who was the Minister of Foreign Affairs for the DSP administration between 1997 and 2002, had criticized the absence of cultural and historical components in Turkish foreign policy. He also emphasized the importance of systematically and vigorously adding a historical element on bilateral relations with states that share a common Ottoman past. In this regard, Davutoglu's visions go in line with the policy and intellectual efforts of previous regimes (Pawel, 2010).

Through its foreign policy, Turkey has directly influenced the Western Balkans using regional cooperation (Turbedar, n. d. ). However, Turkish Balkan policy became a matter of dispute. The Albania – Bosnia-Herzegovina initiative brought up the question of whether Turkey was introducing "Neo-Ottomanism". Critics have accused Turkey of promoting inclinations similar to the Ottoman state. Conversely, the Turkish government is using all possible opportunities to prove that it has no intentions other than contributing to the consolidation of peace and stability in the Western Balkans (Turbedar, n. d. ). Currently, the Western Balkans are poorest compared to the rest of Europe. Moreover, there is a significant diversity within the region, with Albania and Kosovo being considerably poorer than others. This is somehow attributed to the fact that the two countries are not integrated in the European Union (Grigoriadis, 2010: 44).

The influence of Turkey's foreign policy on Albania is founded on the belief that Albania is a strategic country for Turkey's penetration into the Western Balkans. Both Turkey and Albania are NATO members and candidate members to European Union. There are 1.3 million people of Albanian origin in Turkey, and most still feel a connection to Albania. Furthermore, there is a well-built Turkish minority in Kosovo, a state which is mainly Albanian. The bond between Albania and Turkey emanates from historical setting of the Ottoman Empire. Albania was the last state in southeast Europe to gain independence from the Ottoman regime. To date, the two countries enjoy a stable relationship (Pawel, 2010: 66).

The recent diplomatic initiatives by Turkey are aimed at strengthening its good relations with traditional Western Balkan partners, making openings to states that Turkey has problematic relations, and playing the role of a mediator and leading multilateral projects in the bid to promote regional stability. Cooperation in the defense sector involves a well-built dimension of Turkish-Albanian bilateral relations. Teams assigned by the Turkish Air, Naval and Land Forces have been training Albanian Armed Forces and helping them in modernization and logistic elements, while Albanian soldiers dispensed to Afghanistan under the NATO framework have been serving their function under the Turkish troops deployed in this region (Pawel, 2010).



### **Turkish geopolitics**

Apart from Russia, Turkey is the only country that has territories in both Asia and Europe. This implies that the country is affected by and affects international politics in the east of the Mediterranean, the south-east of Europe, the south of the former Soviet Union, Transcaucasia, and the north of the Middle East. From a historical perspective, the most important strategic asset for Turkey has been the country's control of the straits of Bosphorus and Dardanelles. Russia had depended on these straits for express maritime way into the Mediterranean. This was also the route on which France, Britain, and the United States challenged Russia in the Black Sea in the First World War. The geographical position of Turkey makes it a point of intersection for various great powers. This has made Turkey's policy makers to apply flexibility in dealing with states such as Albania that are vulnerable to domination by a single great power (Hale, 2001: 56).

Turkey rose to a regional power in the Balkan region during the Post-Cold war period. In this regard, Turkey aimed at building reliable ties in the Balkan region for the enhancement of its position against Greece. The rivalry between Greece and Turkey compelled Turkey to obtain the support of Balkan states. Albania, on the other hand, was attempting to gain the support of a great power to tackle its international and domestic affairs.

In the entire Balkan region, Albania was the least developed country. It was extremely necessary for Albania to get external aid in order to sustain its democratic domestic political order and to recover its economy. Consequently, Albania established relations with the European countries and the United States. The support of the United States was important for Albania because Albania intended to balance the influences of Greece and Italy (Yel, 37).

Turkey's interest in Albania is greatly amplified by its rivalry with Greece. Both Greece and Turkey claimed a leading role in the Balkans. These countries have always been considering each other's actions and policies towards the Balkan region in a suspicious and accusing manner. The hostility of Greece towards some Balkan countries has been based on the perception that Greeks are the only indigenous race with the region and that they are the only ones with the capacity of integrating the whole of Balkan Peninsula. Greece has also pointed accusations on Turkey for establishing an Islamic arc and pursuing a strategy of protecting the Muslims in the region. Turkey has strong connections with Albania and Bosnia, countries that have majority of Muslim populations but with secular systems. At the same time, Turkey is closely linked to countries such as Bulgaria and Macedonia whose population majority is the Orthodox Christian. As a result of Turkey's closeness to Albania, the immigration of Albanians to Greece in search of labor increasingly caused tensions between Greece and Albania.

### **Albanian geopolitics**

The human factor plays an important role in drawing Turkey into the Balkans (Turbedar, n. d. ). An approximated nine million people in the Balkans are Muslims and they form majorities of populations in Albania, Kosovo, and Bosnia-Herzegovina (Oktem, 2010). Turkey has been enabled by the region's Ottoman legacy to use its Muslim populations as securities for its proactive involvement (Poulain & Sakellariou, 2011). Until the AKP administration assumed power in 2002, Turkey's presence in the Western Balkans was restrained by the secular aspect of the Kemalist philosophy. However, it is worth noting that following centuries of migrations, unbreakable relations have been created between Turkey and the Muslim communities from the Balkans. Accordingly, Turkey remains to be the major ambassador of the Muslim part of the Balkans, the Albanian and Bosniak one, through publicizing of their interests and advocacy (Tanaskovic, 2010: 106).

Whether through political necessity or coincidence, the military and political cooperation of Turkey with Albania was the same as that of the United States in the 1990s. As a matter of fact, Turkey did not have to rely on the United States to push for such cooperation because it already had cordial relations with Tirana. However, the fact that Turkey's and United States' interests were similar was a boost for Turkey to promote its military ties with Albania (Ulutas, 123).

There are numerous military agreements and high-level visits between the Turkey and Albania. In fact, many Turkish troops were dispatched to Albania. The 1991 visit by Turkey's chief of general staff to Tirana was the start of such contacts. The visit opened the way to the signing of a military cooperation accord. This was followed by a Turkish warship visit to the city of Durres. This event was considered a very significant one that marked the commitment of Turkey to Albania's security and it received a warm welcome from the Albanian public. In addition, Albania and Turkey conducted joint naval exercises off the shores of Albania to indicate their cooperation (Rubin and Kirisci, 2001: 55).

Turkey promoted the creation of a strong democratic state system for the proper protection of the borders of Albania. These moves are in line with Turkey's principles of peace and stability under its foreign policy. But one of the most significant



Turkish foreign policy in the Balkan region is to prevent the dominance of any other super powers over the Balkans (Ozcan, 2009: 78).

Due to a century of shifting of borders, the ethnic Albanians were left scattered across Greece, Macedonia, Montenegro, Serbia, and Kosovo (Ayduym and Progonati, 2011). The strategic geo-political position of Albania is considered an appealing and unique country of the Balkans. One reason for this is Albania's constant attempts to attain unity among its population divided by three separate religions, and a historical path filled with typical Balkan disputes. The drastic political changes within the Eastern European countries as well as in Albania in the late 1980s led to the attraction of the international attention towards the Balkans. The disputes that arose from the Balkan Peninsula hindered the European Union's steps to further its enlargement (Hale, 2001: 7).

After long years of isolationist policy, Albania has made efforts to establish a democratic country and develop multilateral and bilateral relations with international organizations and other countries (Ayduym and Progonati, 2011). Albania's geographic position as a Balkan country has made it to design its policy in a way that harmonizes the different nationalisms that have become more influential in the peninsula. This is being achieved through the preservation of the various religions and cultures while strengthening the efforts of becoming the EU member. The integration Albania to the European Union is not only a political requirement but also a moral responsibility following the whole of Albania's national interest. However, the European Union recently has conditioned Albania's interest to open negotiations on grounds that the country has to reform the judicial system. The country is undergoing a slow democratic transformation because the shift from isolationism and underdevelopment has to take time and resources. The western mentors seem nowadays interested in assisting Albania following the European path - significant developments as well as democratic progress in the country.

Kosovo solely relies on Albania for support in the international arena. This implies that Kosovo's government is usually affected directly by the developments or underdevelopments of Albania. Turkey views Kosovo as an inseparable part of its culture and history due to the five-century coexistence of Balkan aspects under the Ottoman Empire. Many Ottoman Albanians became Muslims and were quickly integrated into the Ottoman society with no discrimination (Oktem, 2010, 17). Presently, there are many Turks with Albanian origins and relatives within the Balkans. In particular, Kosovo contains a strong Turkish minority that has been left behind since the Ottoman regime. Thus, this is a good political ground for Turkey to strengthen its effect on the domestic affairs of the Balkan region (Abazi, 2008: 4).

The major challenge facing the Balkans is the different ethnicities (Ayduym and Progonati, 2011). With regard to this problem, Balkan countries need to work towards achieving regional security without international community intervention. Amongst all Balkan countries, Albania seems to be in the in the hardest position to make progress in all these transformation processes due to its previous isolationist policy. Nevertheless, Albania is endowed with the structure of a non-expansionist state. Thus, the struggles of Albanians are focused on tangible objectives such as stability, self-governance, and national freedom. The foreign policy of Albania focuses on reinforcing its stance in the Southern Balkans and the Southern Europe by establishing effective systems for fostering peace, prosperity, and democracy in the region.

Albania is the second country, after Turkey, with the largest Muslim majority population in the Balkan region. An estimated 6.5 million Albanians live in the Balkan region, though only about three million reside in Albania. There are many Albanians living in Greece, Macedonia, Montenegro, and Kosovo. Albanians who reside in Turkey regard themselves as Turks rather than Albanians. Albanians who live in Macedonia and Kosovo are considered a significant element that might affect the unity and stability of Macedonia. Albanians form about thirty percent of Macedonia's population.

Due to the fact that Kosovo's Albanian population is ninety percent, Turkey by extension to its interests in Albania, has tried to favor Kosovo's territorial integrity. Turkey had to help in solving regional issues before claiming the position of a regional power. The fact that Turkey's foreign policy considers Albania its close friend and ally in the Balkan region has made Turkey to actively support the stability of Kosovar Albanians (Kaddorah, 2010: 5).

The "Davutoglu's Doctrine" plays a very instrumental role in the proper application of AKP's principles. With regard to the Western Balkans, the most important short-term and medium-term goals of Turkish foreign policy include the need to reinforce Albania and Bosnia, and to set up a global legal structure that might place the minorities of Turkish origin under the protection of Turkey. In line with the global legal system, Turkey aims at ensuring that there is a basis for the country's involvement in matters related to the Muslim minorities in Albania. To facilitate Turkish foreign policy's interests, Davutoglu proposes a guideline which involves the utilization of intra-and-extra-regional balances that aim at preventing the formation of a Balkan coalition. In the recognition of the three historical fields of influence – the Ottoman Empire, the Orthodox-Slavic

heritage and the German Nation – he suggests that the United States will opt for supporting the Turkish influence in the region than allowing the growth of the influence of Russia or Germany (Christianna, 2013).

Despite Turkey's indicative interests in Albania and Kosovo, between 1991 and 1999, Turkey refrained from unilateral involvements with these countries (Abazi, 2008: 58). In fact, the country pursued policies related to international community. Turkey facilitated the participation of Albania in international and regional organizations as a way of promoting peace and security (Huseyin and Doganlar 16).

NATO has constantly requested the Turkish government to assist Albania. This indicates that NATO perceives the military cooperation between a peculiarly significant country and one of NATO's members as an important aspect for stability within the volatile region. Turkey played an important role in supporting the membership of Albania both in NATO and other organizations.

The promotion of political integration and diplomacy as a way of resolving problems has helped in raising Turkey's soft power profile. In the bid to promote her active diplomacy efforts, Turkey's presence has become increasingly significant in diplomatic mediation of various conflicts in regions extending from the Balkans and the Middle East to Southeast Asia and the Caucasus. Factors that promote Turkish influence on Albania include: common history, geographical proximity, Turkey's growing economical influence and a foreign policy which focuses on securing allies in Turkey's integration to the European Union through the creation of friendly relations with the Western Balkans. Turkish and Albanian people are familiar with each other and this secures an ample basis for regional cooperation. Turkish prime Minister stated that "Albania is Turkey's strategic ally in the Balkans" (Likmeta, 2012: 1).

### **Albania's new perspective with Turkey considering Turkey a strategic partner**

According to Turkey's Prime Minister, Recep Tayyip Erdogan, the Turkish government is ready to side with Albanians in their self-determination and establishment of a greater Albanian nation (TESEV Foreign Policy Programme). Albanians greatly welcomed the president's assertions, though Serbia and Greek criticized them. However, in 2012, Albanian-Turkish relations went low following the Albanian vote for the motion which gave Palestine a non-member observer state position. Prime Minister Recep Tayyip Erdogan's attempts to persuade Albania to abandon the plans failed. Erdogan was surprised by this and he said that the world "heavily consisted of cowards" in reference to Albania and that Albania's move would upset their bilateral relations.

In line with Turkey's foreign policy towards Albania, Albanians also view national security, stability, and peace as the first priority objectives before any other policy objectives such as cultural enrichment, national honor, or prosperity. The complicated security situation in the Balkan region makes Turkey a very crucial player in helping Albania attain stability and peace.

On the official website of the Prime Minister's Office of the Republic of Albania, it is emphasized that Albanian new government, as soon as it came to power in 2013, welcomes Turkey as a strategic partner of Albania:

"Prime Minister Edi Rama... thanked Minister Davutoglu for the continuous support that Turkey has given to Albania. During their meeting, Rama stressed that the strategic partnership between the two countries will further strengthen the cooperation in the future... Prime Minister Rama and Foreign Minister Davutoglu also discussed the development of joint meetings of the two governments, and welcomes Turkish advisors in the fields of energy, economy, health and public order, which would assist in the respective sectors. "

In line with Turkey's foreign policy towards Albania, Albanian officials see an Albania which is guaranteed national security, stability and peace - as priority targets. Complicated security situation in the Balkans makes Turkey a very decisive player for helping Albania to achieve stability and peace. Despite these declarations, Albania itself, since becoming a NATO member, has not faced security problems. Therefore, referring the above statement, issued by the Prime Ministry, Albania is more interested in economic assistance rather than achieving stability. On the other hand, Turkey continues to implement the doctrine of "strategic depth". It seems like a "win-win situation" - only that Albanians have a short-term plan - to overcome the economic crisis, while Turks want to ensure long-term influence in this strategic area of Europe.

## Conclusion

The principles of Turkey's foreign policy aim at portraying Turkey as a friendly, though powerful country that prioritizes its cooperation with neighboring countries. In addition, because these principles were specifically intended for Turkey's neighboring countries, the country was trying to change its image from an Ottoman empire to a soft power country.

Through its foreign policy, Turkey has invested a lot of time and resources in its neighboring regions, particularly the Western Balkans (Poulain & Sakellariou, 2011, 67). The influence has been greatly based on Turkey's emphasis of its positive historical ties to the region. Since Albania is considered the strategic center for Turkey's involvement with the Western Balkans, Turkey has developed a great geopolitical influence over the country.

The steadily changing and significantly inter-related global realities have made predictions of future developments to be extremely difficult (Kaddorah, 2010). However, analysts indicate that the New Turkish policy has two contradicting trends. First, Turkey is growing extremely fast, with high development rates, as it takes advantage of the economic wealth in the neighboring countries such as Albania to support its implementation of the strategically planned, well-structured, and well-thought foreign policy. On the other hand, there are several geopolitically inconveniencing issues both internally and externally that have not been resolved, and they keep being replaced by others. As far as the foreign policy can enable Turkey to reap short-term benefits, the long-term achievement of Turkey's strategic goals is under a serious risk if the major issues are not resolved.

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## Virtual vs. Traditional Environments and Their Influence on Students' Listening Performance in a Foreign Language – A Case Study in Albania

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### Abstract

The essential role of the listening competence in Second Language Teaching, and the new rhythm of advancement in the new Internet epoch call for a paradigmatic reform of teachers' roles, contents and functions in teaching listening skill in order to guarantee a successful forward-looking process. Considering this context, this study highlights an innovative academic experience in Albania consisting of a special class website integrated in teaching English listening skills to Albanian university students as well as creating and implementing a demanding listening curriculum at an FCE level; this project and the analysis of its results follow a comparative approach at all stages. This paper aims at examining the efficiency of website compared with traditional means of teaching listening in English, by analyzing and assessing the difference between the level of the experimental group's performance and that of the control group during the listening practice. The actual comparison of results, which involves the assessment of their scores in two special tests, one taken before the project and one after its completion, shows that both learning environments have their merits in helping them progress with their listening competence. However, the amount of progress made by the students of the two groups is not identical, as there is a significant difference in favour of the experimental group, which, as our statistical analysis carried out by the help of the SPSS program shows, is ample proof of the advantage that the use of websites brings to the process of developing one's listening competence in a foreign language.

**Keywords:** listening competence, control group, experimental group, website, performance.

### Introduction

Studies have shown that we spend 50% of our communication time listening. <sup>1</sup> Listening is, as a matter of plain fact, one of the most basic and important abilities that we make use of in the course of our lifetime (a great part of its importance derives from the fact that listening precedes and stands as a necessary foundation for other communication skills and abilities). While listening we manage not only to understand each-other, but also to broaden the horizons of our experience.

Long regarded as a complex and difficult process, the development of listening abilities by learners of foreign languages has largely been ignored by academic studies. Traditional listening materials used in foreign language classes have, likewise, proved rather inadequate for the aims they are meant to serve. With the ever-increasing penetration of digital technology into the field of education it seems only natural to suppose that the immense resources of the internet could serve as a great facilitator for the necessarily long learning process whereby foreign language students acquire and perfect their listening abilities. <sup>2</sup>

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<sup>1</sup> See R. A. Gilman and L. M. Moody, "What practitioners say about listening: Research implications for the classroom", *Foreign Language Annals*, 17, 1984, pp. 331-334.

<sup>2</sup> See J. C. Richards, "Beyond the text book: The role of commercial materials in language teaching", *RELC Journal*, 24/1, 1993, pp. 1-14.

Following this assumption, the present study seeks to present and analyse some of the results of an experimental teaching project involving, among other things, the employment of websites in the teaching of English as a foreign language, with a particular view to enhancing the development of the students' listening abilities. The presentation of the results follows the comparative approach of the project itself, which involved the actual assessment and comparison of the listening achievements of two groups of students – those working in a traditional learning environment and those that worked in and through the digital medium of the website.

In more concrete terms, the following presentation and analysis can be interpreted as constituting a detailed answer to the principal question of our project: do the results of the students listening performance, measured by a set of tests taken both before and after the completion of the project, suggest any difference between the influence of traditional and digital learning environments in advancing the listening abilities of foreign language students?

### **The participants in the project and their demographical context**

"English for the Net Generation", the teaching project that formed the basis of the present study, involved the voluntary participation of 24 Albanian first-year students of English at "Fan S. Noli" University, Korça. For a 10 week period, as part of their 2013 course in Communication and American Civilisation, the students took part in an intensive program intended to promote their listening skills to the advanced "First Certificate" level. The students were divided into two groups of 12 members each – one group was assigned to work through the medium of the website<sup>1</sup>, the other in an essentially traditional learning environment. The division of the students into these groups was made after subjecting them to a preliminary standard listening test, so as to ensure that there would not be any significant overall differences in their original listening competences.

In the course of this study we will be using the term **experimental group** in order to refer to the students that worked on the website. The 12 students of the experimental group made constant use of our special website not only during the course of their ordinary classroom sessions, but also while they were physically away from the school environment, all in an effort to develop and consolidate their listening, reading and cultural competences of English. The term **control group**, on the other hand, will be used to refer to the 12 students that worked in the traditional classroom environment.

### **Method and procedure**

The method used in this study makes use of well-established statistic principles commonly employed in comparative analyses of a similar nature. The quantitative results that were used in order to give an answer to our principal question were arrived at after a series of tests and comparisons: the students of each group were tested with regards to their level of listening competence both before and after the project. The resulting scores of the control and the experimental group were then compared with each-other in order to bring out any significant differences in their achievements. The tests that were used for both groups, both before and after the project, were identical and in full accordance with the standards of the level of English aimed at by our project.<sup>2</sup>

More concretely, our procedure involved calculating the difference in results between the mean scores of the tests (the test before and the test after the project) taken by the students of each group. The results of this initial comparison were then subjected to the special statistical comparative analysis offered by the SPSS program (the *paired t-test* method)<sup>3</sup> which drew out the various differences in mean scores between the two groups. The decision whether such differences can be

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<sup>1</sup> The name chosen for our special teaching website was the same as that by which we have referred to the whole project – "English for the Net Generation".

<sup>2</sup> See N. Kenny and L. Luque-Mortimer, *First Certificate Practice Tests*, Longman, 2000, pp. 129-149.

<sup>3</sup> On this method of statistical analysis see <http://www.statisticssolution.com>, <http://www.academic.udayton.edu>; see also [http://www.gla.ac.uk/sums/users/jdbmcdonald/PrePost\\_TTest/pairedt1.html](http://www.gla.ac.uk/sums/users/jdbmcdonald/PrePost_TTest/pairedt1.html)

viewed as statistically significant, and, thus, as mirroring a true difference in the progress of the listening competence of the students of the two groups, or whether we are to regard them as merely accidental or negligible, was not left to subjective considerations, but was established mathematically, as a way of further guaranteeing the reliability of the conclusions of our study.

### Analysis of the results

As already mentioned in the previous section of this study, our first step in the complex procedure of finding out whether the use of websites enhances the development of the listening competence of foreign language students was to give a preliminary test (T1) to the students of both the control and the experimental group (the test was also used as a means of making sure that the student's original level of listening competence was, on the average, essentially the same in both groups). More precisely, the mean scores of the students in the preliminary test were  $M_{w1} = 64.16$  for those who would work on the website (the lowest score in the experimental group was 40%, while the highest 70%) and  $M_{k1} = 61.42\%$  for those who would follow the traditional approach (the lowest score in the control group was 45%, while the highest 78%). The comparison of these figures by using the *Paired Samples T-test* in the SPSS program showed the resulting 2.74% difference between the mean scores of the two groups to be statistically insignificant. Our assessment of the students' scores also showed that none of them actually failed the test. The same was true with the final test (T2) taken by the students of both groups after the completion of the project, a fact which shows that this parameter – the percentage of students passing the tests – can't be used to indicate anything about any possible differences between the progress made by the students working on the website and those working in the traditional environment with their listening competences.

The following tables contain detailed information about the scores of every student in the two groups:

Table 1. 1.: Results of the two tests for the experimental group

Group members	Preliminary test (%)	Final test (%)
S1	60	80
S2	78	92
S3	70	85
S4	73	90
S5	68	88
S6	62	80
S7	45	60
S8	58	62
S9	75	88
S10	48	60
S11	73	90
S12	60	78
<b>Mean scores</b>	<b>64.16</b>	<b>79.41</b>

Table 1. 2.: Results of the two tests for the control group

Group members	Preliminary test (%)	Final test (%)
S1	68	80
S2	70	82
S3	68	82
S4	60	70
S5	65	78
S6	65	75
S7	40	47
S8	62	70
S9	60	68
S10	62	68



S11	60	70
S12	57	66
<b>Mean scores</b>	<b>61.42</b>	<b>71.33</b>

As can be seen in the table above, the mean scores of the final test were  $M_{w2} = 79.41\%$  for the students of the experimental group (the lowest score was 60%, the highest was 92%) and  $M_{k2} = 71.33\%$  for those of the control group (the lowest score was 47%, the highest was 82%). Given these figures and those already presented for the preliminary test, the crucial question that needs to be answered is: What do they show about the students' achievements by the end of the project and about the influence of the two learning environments on their results?

A simple comparison of the scores of the students of the experimental group in the two tests shows that, by the end of the project, they have gone up by 15.25% ( $79.46\% - 64.16\% = 15.25\%$ ). An improvement in the students listening performance is also shown by comparing the scores of the two tests for the control group. This time, however, the resulting difference of 9.91% ( $71.33\% - 61.42\% = 9.91\%$ ), while clearly an indicator of the value of traditional methods of teaching in helping the students develop their listening competence, is obviously inferior to the respective figures for the experimental group. More precisely, a simple calculation shows that the progress made by the students who worked on the website is 5.34% greater than that of the students who spent the ten weeks of the project working in the traditional foreign language classroom ( $15.25\% - 9.91\% = 5.34\%$ ).

The results presented above can be viewed schematically in the following table and graph.

Table 1.3.: The progress in students' scores – a comparison of the *preliminary test* with the *final test*.

	Preliminary test	Final test	Progress
Listening in the <i>website</i>	64.16%	79.41%	15.25%
Listening in the traditional classroom	61.42%	71.33%	9.91%
Difference	<b>2.74%</b>		<b>5.34%</b>

### Statistical analysis of test results

The charts shown above can be viewed as constituting a graphic representation not only of the progress that the students of both groups have made with their listening skills during the course of our project, but also of the advantage that websites bring to this process. In order to increase the reliability of our interpretation of the results of the tests, we have decided, however, to read them through the lens of statistical analysis. The aim of such statistical analysis of the data is to provide a well-founded answer to the question whether the progress in scores achieved between the two tests by the students of both groups is statistically significant. Likewise, it will also be decided whether the difference between the amount of progress made by the students of the experimental group and that made by the students of the control group is significant, or whether it can be considered as simply accidental or negligible.

Firstly, thus, using the SPSS program we have applied the method of statistical analysis to give an answer to the question: is the improvement in students' scores from the preliminary test (T1) to the final one (T2) significant?

The *Paired Samples T-test* in the SPSS program is initially applied to the test results of the students of the control group. For these students who worked in the traditional learning environment the mean scores were 71.33% for the final test and 61.42% for the preliminary one. The resulting difference of 9.91% between the mean scores of the two tests marks in quantitative terms the amount of progress made by the students of the control group with regards to their listening competence. Now, the value of our coefficient for significance –  $p$ -value  $= 0 < 0.05$  – clearly shows that the measure of the improvement in scores made by the control group students from T1 to T2 is statistically significant. In other words, the

traditional methodology employed in helping students develop their listening competence in a foreign language brings positive results which are far from being negligible.

The same procedure was followed with the test results of the students who worked with the website. Their mean scores were 64. 17% and 79. 42% for T1 and T2 respectively. The amount of progress made by the students of the experimental group – the 15. 25% difference between the mean scores of T2 and T1– is once again shown by the application of the *Paired Samples T-test* ( $p\text{-value} = 0 < 0. 05$ ) to be statistically significant, a clear indicator this of the value of websites in fostering the development of the listening competence of foreign language students.

The next step in our statistical analysis involves determining whether the difference of 5. 34% between the amount of progress made by the students of the experimental group and the amount of progress made by the students of the control group is itself statistically significant. In this case too, the figures for our  $p\text{-value}$  ( $< 0. 05$ ) point out clearly enough to the significance of the difference in question. The progress made by the students who worked with the website is thus proved to be significantly greater than the progress made by the students who followed the traditional approach to developing their listening competence. In other words, it has been shown that using websites is not only a valuable practice in helping students develop their listening competence, but also that it is significantly superior in achieving its intended results to the more traditional approaches followed while teaching a foreign language.

## Conclusions

The importance of finding the right methods to help foreign language students develop their listening competence cannot be overestimated, since it is one of the most basic and essential requirements of communication in a foreign language. The ever-increasing role of digital information and communication technology in the field of education calls for a new and more active engagement on the part of foreign language teachers and specialists, who should make full use these resources in order to help their students develop their listening competence. It was in accordance with this general context and with the need of Albanian students to keep up with the latest developments in the field of education in more developed countries that we decided to embark on a project that involved building a special teaching website and analysing whether and to what extent it contributed to the development of the listening competence of Albanian students of English. The project and the analysis of its results followed a comparative approach as the listening achievements of the students who worked on the website (the experimental group of our project) were systematically compared with those of other students who worked in the traditional foreign language classroom (the control group).

The actual comparison of the results achieved by the students of the two groups, which involved the assessment of their scores in two special tests, one taken before the project and one after its completion, shows that both learning environments – the traditional and the digital one – have their merits in helping them progress with their listening competence. However, the amount of progress made by the students of the two groups is not identical, as there is a 5. 34% difference in favour of the experimental group, which, as our statistical analysis carried out by the help of the SPSS program shows, is ample proof of the advantage that the use of websites brings to the process of developing one's listening competence in a foreign language.

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## The Importance of Clinical Psychologist in the Process of Divorce

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### Abstract

The Family Code in Section 6, 155 is foreseen to include clinical psychologist in the process of divorce in court in cases where the parties are in conflict, when it is claimed elements of physical and psychological violence perpetrated by one or both parties towards each - other or child. The aim of this study was to reveal the importance of the involvement of a clinical psychologist in the process of divorce. So study aims to highlight the necessity of the presence of a clinical psychologist in the process of divorce within the framework of the general principles of the Family Code as long as it guarantees the right to be heard by the parties involved they also guarantee the right presence of a psychologist in the process. The study was conducted on the basis of qualitative methods which deal mostly with history and stories and include subjective meanings, feelings, thoughts and beliefs. The approach used in the study is the epistemological interpretation. Qualitative data were collected on an examination of 60 cases of divorces filed in the District Court of Elbasan in the period January - May 2016. This study emphasized the importance and necessity of a clinical psychologist as an expert in the process of divorce as the expertise provided is a guarantee of the process and respect for the rights of the child in the first place and for the parties involved in the process.

**Keywords:** Importance, Clinical Psychologist, Process, Divorce

### Introduction

#### The role of the clinical psychologist in the process of divorce in court.

The Family Code in Section 6, 155 is foreseen to include clinical psychologist in the process of divorce in court in cases where the parties are in conflict when the claimed elements of physical and psychological violence are perpetrated by one or both parties towards each - other or child.

The inclusion of a psychologist as an expert in family issues (Bestine, R. 1997) is a revolution in terms of mode of judgement and the treatment of subjects involved in the process of divorce. The expertise offered by this professional is a guarantee of the process and respect for the rights of the child in the first place, and for the parties involved in the process. And through the involvement of expert clinical psychologist, the court has the opportunity to assist the examination of the opinion of the parties and of minors. This happens when the family judges or judges for children in advanced countries have been trained in interviewing and assessing the information received from the child and the two parties.

The presence of clinical psychologists as a professional in the process of divorce is necessary in some important aspects (Bestine, R, and Tuschen, B; 1996):

1. Guarantee to the appropriate parties the state of psycho-emotional in expressing opinion and get valuable information (thinking, feeling, way of feeling) about the issue.
2. Ensuring the institution of the court a specialized professional expertise in the process of assessing claims of the minor and parties and mainly based on two criteria are age and ability of the child to understand.
3. Ensuring the evaluation of the morale and material of the family.
4. Provide mental health assessment

Applying the principle of involvement in the divorce process is expressed in detail in the specific provisions of the Family Code such as Article 6, 155, 225, 230, 267 etc.

The importance of clinical psychologist in the process of dissolution of marriage (divorce) consists in providing professional expertise to assist the parties and the minor to express their selves and court to realize their opinions, assess climate in the family environment, family dynamics, the presence or not of physical violence or psychological, to assess emotional and social situation of minors and the parties to the court to make a decision as right as possible. (Dehmel at. al, 1974).

So, clinical psychologist involvement in the process of divorce comes as a determination within the framework of the general principles of the Family Code and as long as the parties are guaranteed the right to be heard in the process they are guaranteed and the presence of clinical psychologist.

Being that national legislation does not provide any guidance on whether in case of dissolution of marriage should be the same psychologist who will do the evaluation report psycho-social and at the same time will manage to have a view of the parties and the minors involved in the process. Albanian practice so far has followed the rule of involvement the same psychologist who performs both functions.

### **Clinical psychologist tasks set by the court in the process of divorce.**

- 1) What is the family history of the parties already seeing positive and negative sides in order that the parties are released from the crisis on their personal relationships to be seen in the perspective of the child's interest?
- 2) What are the capabilities of each parent effectively?
- 3) What are the parental duties for every parent that have performed in the past?
- 4) What is the relationship of each parent with the child?
- 5) How parents can cooperate effectively together in well-grown of the children?
- 6) How is the mentally healthy of the parents?
- 7) What is the coping ability and personality of the child?
- 8) What are the moral and material conditions of the parties?
- 9) Is it possible for parents to provide adequate care for children?
- 10) What is the clinical psychologist's opinion regarding to the evaluation of statements of minors in accordance with their age and development of their mental and social situation?
- 11) What is the clinical psychologist's opinion regarding the evaluation of the statements of the parties?
- 12) The evaluation of the personality of minors within the dynamics of the family situation in which they are located.
- 13) Are there indicators of domestic violence or child abuse?

The purpose of this assessment from the clinical psychologist is to help the judge to understand family dynamics and take appropriate measures in relation to the best interests of the minors and the parties involved in the divorce process.

Measuring elements to the present assessment are scientific based, who verify its reliability and validity.

In accordance with the evaluation cases are used these instruments:

- Semi-structured interviews.
- Family Evaluation System by Darlington.
- Psycho-legal assessment by G. B Camerini, L. Volpini, Sergio G., G. De Leo (2009)
- Guidelines for the evaluation of child custody in family (Family Psychological -Association APA).

### **Definition of terms and their operationalization**

**Keyword:** Clinical psychologist, Family Code, Psychodiagnosis, structural diagnostics,

**Clinical psychologist** - is the individual who has received academic formation in clinical psychology as a scientific discipline. Clinical psychologist deals with the evaluation and diagnosis of mental and psychological health, family dynamics with the appraisal, family functioning as a healthy system or not, the provision of therapeutic services etc.

**Family** - is a key part of the Constitution of Albania, Law No. 9062, dated 8. 5. 2003. Family. Pursuant to Articles 53, 54, 81 and 83 paragraph 1 of the Constitution, proposed by the Council of Ministers.

**Psychodiagnosis**- consists of psychological diagnosis made upon request. The request may be submitted by the individual himself, from family or from a third entity as a legal institution or school facilities (Deusinger, D, 1986).

Analysis Psychological realizes its goal thanks to psychological tests on psychosocial issues, related legal and case evaluation entity, would give his view, in assessing the personal capacity of the mental health of the man, or the injustice of his treatment, has also cases of prisoners, criminals, definitely go to such a test in order to have the punishment, treatment and judgement of mental health grounds deserved.

Structural Diagnosis - is a traditional form of psychodiagnosis which enables psychologist to identify and interpretate the results obtained from the development of psychological tests, consultations during psychotherapy sessions, avoiding subjective psychological attitudes (Dieterich, 1976).

### **Methodology**

The study was conducted on the basis of qualitative methods which deal mostly with history and stories and include subjective meanings, feelings, thoughts and beliefs. The approach used in the study is the epistemological interpretation.

#### **The purpose of research:**

The purpose of this study has highlighted the importance of the involvement of a clinical psychologist in the process of divorce.

So study aims to highlighted the necessity of the presence of a clinical psychologist in the process of divorce within the framework of the general principles of the Family Code as long as it guarantees the right to be heard the parties involved they also guarantee the right presence of a psychologist in the process.

### **Sample**

Qualitative data were collected on an examination of 60 cases of divorces filed in the District Court of Elbasan in the period January - May 2016.

### **Study measuring instruments**

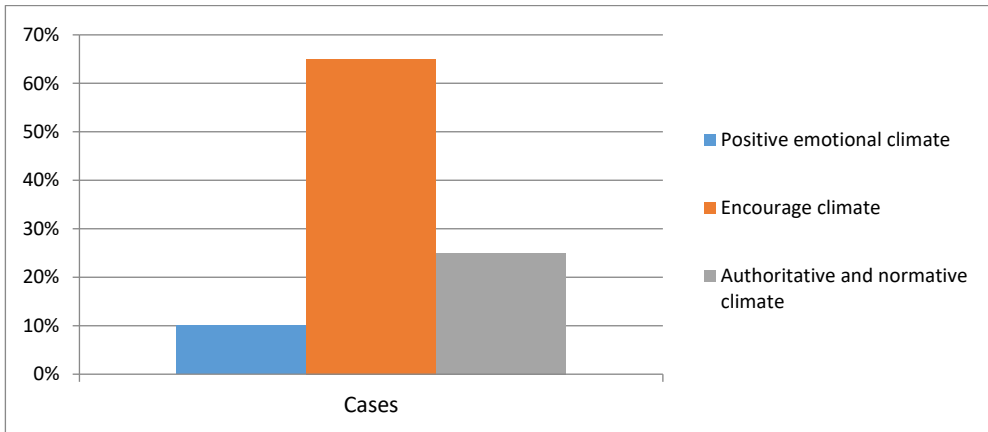
- Semi-structured interviews.
- Family Evaluation System by Darlington.
- Psycho-legal assessment by G. B Camerini, L. Volpini, Sergio G., G. De Leo (2009)
- Guidelines for the evaluation of child custody in family (Family Psychological -Association APA).

### **Results**

Qualitative data were collected on an examination of 60 cases of divorces filed in the District Court of Elbasan in the period January - May 2016.

The following results highlight the importance of clinical psychologist in the process of divorce in terms of the necessity of the process needs.

Assessment of climate in the family as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.

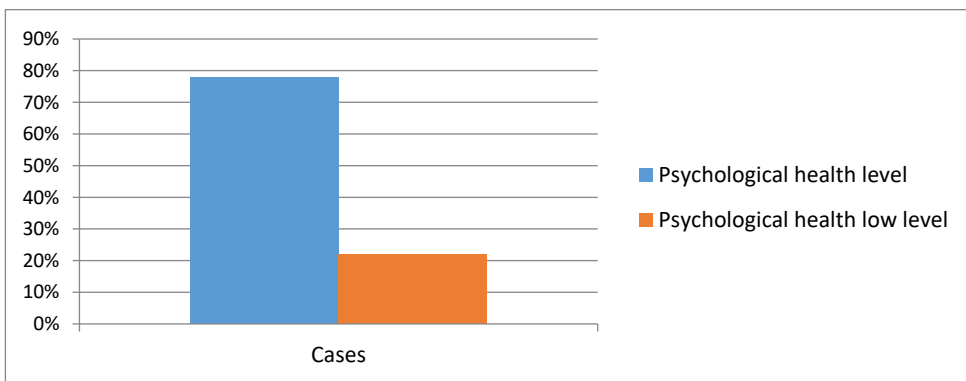


From the above qualitative data obtained from the cases included in the study clearly shows the necessity of the need for environmental assessment of clinical family psychologist as:

In 65% of cases for divorce prevails a climate of violence and encouraging ongoing conflicts constitute and the basic motivation that drove the parties to this process.

In 25% of cases for divorce prevails a climate of authoritarian violence and constant conflicts constitute the basic motivation that drove the parties to this process and only 10% of the cases the climate in the family was quiet, not tense in higher level.

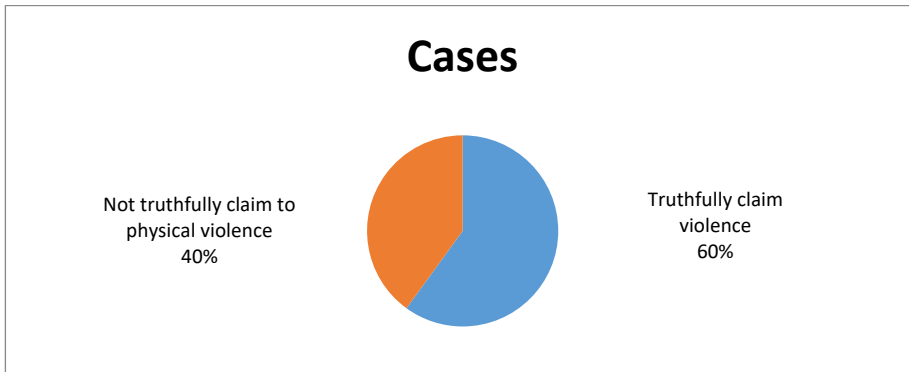
Assessment of psychological health of the parties as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.



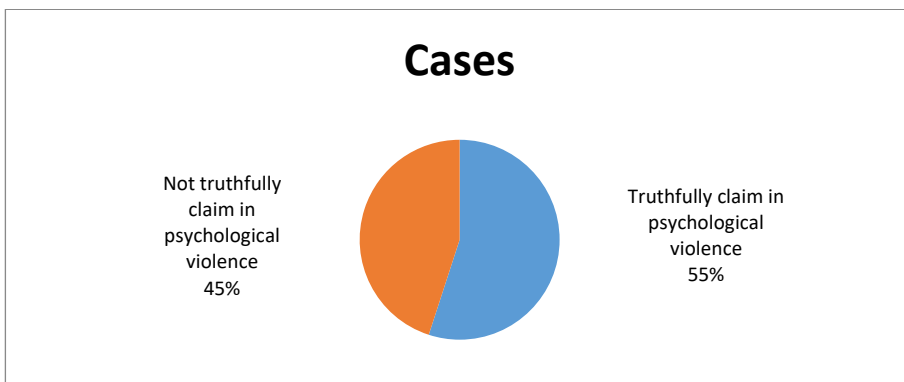
From qualitative data above obtained from the cases included in the study clearly shows the necessity of the need for assessment of psychological health psychologist clinical as 78% of cases after evaluation by the expert result in psychological health on average and 22% with low levels psychological health.

Assessment of the authenticity of claims for the exercise of physical or psychological violence by the parties as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.





Qualitative data cases included in the study after evaluation by a psychologist clinical expert in the process of dissolution of marriage it shows that in 60% of cases claim the exercise of physical violence Amongst the parties is true the only 40% of cases not proven legally its authenticity.



Qualitative data cases included in the study after evaluation by a psychologist clinical expert in the process of dissolution of marriage it shows that in 55% of cases the claim to exercise psychological violence amongst the parties is real and only in 45% of cases not proven legally its authenticity.

### Conclusions

This study emphasized the importance and necessity of a clinical psychologist as an expert in the process of divorce as provided expertise is a guarantee of the process and respect for the rights of the child in the first place and the parties involved in the process.

The above results of qualitative stressed the importance of the clinical psychologist in the process of divorce in:

- Assessment of the climate in the family as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.
- Assessment of the psychological health of the parties as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.
- Assessment of the truthfully of the claims for the exercise of physical or psychological violence by the parties as a necessity of the evaluation process by clinical psychologist as an expert in the process of divorce.

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## Protection of the Rights of All Migrant Workers and Members of Their Families Within the Albanian Context

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### Abstract

The purpose of this exploratory study is to investigate about the changes in legal framework and the role that legislative measures play in promoting and protecting all the people rights, especially of all migrant workers and members of their families. The study employs a mixed methodology, comprising a review of the legislation, institutional framework, statistics data and some of the relevant literature in the field of international law, regarding the conventions, bilateral agreements and some other documents for promoting and respecting migrant workers' rights. The findings of this study are supported in prior research in analyzing a lot of documents, strategies, prepared by NGO-s and other government institutions. The in-depth analysis of the qualitative data revealed a basic understanding of promoting and protecting migrant workers and members of their families in my country.

**Keywords:** international law, social cohesion, migration, migrant worker, work, education, social protection, promoting and protecting migrant worker's rights, legal framework etc.

### Introduction

In fulfillment of international obligations arising from the conventions on human rights, in which our country is a party, the Albanian institutions have a legal obligation to periodically report on the implementation of the provisions of the United Nations Conventions on the Rights of man, in which our country has signed and ratified. Through reporting, the key is fulfillment of international obligations in the field of human rights, especially the fulfillment of obligations related to the protection and respect of human rights in all aspects of life.

Albania has ratified a number of conventions and international agreements on the protection of human rights, particularly in the field of labor migration, making them part of domestic legislation. Among them are: the Convention of the International Labour Organization (ILO) No. 97, "Migration for Employment"<sup>1</sup>, Convention no. 143 "For migrant workers (additional provisions) in 1975", as well as the Council of Europe Convention "On Legal Status of Migrant Workers"<sup>2</sup>.

One of these conventions is the UN Convention for the Protection of the Rights of All Migrant Workers and Members of Their Families<sup>3</sup>. The entire spirit that permeates this convention relates to the obligation of States Parties, in accordance with international instruments concerning human rights, to respect and ensure to all migrant workers and members of their families within its territory or subject to the jurisdiction their rights under the present Convention<sup>4</sup>.

In all provisions of the Convention is foreseen taking necessary legal, institutional and administrative measures by member states, and they have to follow within the guarantee specific rights identified in the Convention.

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<sup>1</sup> Ratified with law no.9320, dated 25.11.2004

<sup>2</sup> Ratified by Parliament with law no.9555, dated 8.6.2006.

<sup>3</sup> This Convention is ratified by Parliament with law no.9703, dated 2.4.2007.

<sup>4</sup> *In Article 7 of the Convention stated that: "... States Parties, in accordance with international instruments concerning human rights, undertake to respect and ensure to all migrant workers and members of their families within its territory or subject their jurisdiction, regardless of gender, race, color, language, religion, belief, political or other opinion, national origin, ethnic or social origin, nationality, age, economic status, wealth, marital status, status of birth or other rights theirs..."*

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### **National Report, obligation deriving from the Convention**

Each State Party shall submit to the Committee of Experts of the Convention a report on measures taken on the implementation of the Convention, beginning from the entry into force of this Convention for that State Party<sup>1</sup>.

Our country has reported periodically and during the current reporting period on protecting the rights of migrant workers and members of their families, what stands out is the dynamic movement of migration flows (in particular those Albanian)<sup>2</sup>.

The report presents information on the implementation of 93 articles of the UN Convention, "On Protection of the Rights of All Migrant Workers and Members of Their Families" and the measures taken by the state authorities responsible of the development of legal, institutional and policy regarding the fulfillment of the obligations arising from the Convention for the period 2011-20<sup>3</sup>.

The report contains information on the implementation of the provisions of the Convention, the Committee's recommendations on the Protection of All Migrant Workers and Members of Their Families, and is based on the closing remarks (December 2010). Important place in this report, occupies the progress achieved in the legal, institutional, policy, difficulties/ challenges to guaranteeing the rights of migrant workers and members of their families.

Also, IOM has published a study "Assessment for the Protection of the Rights of Migrant Workers in Albania", which was prepared within the framework of the project "Promotion of good employment opportunities and protection of migrant workers in Albania"<sup>4</sup>. In preparing the report were consulted international conventions on migrant workers, particularly the rights of women migrant workers and other issues related legislation and regulatory framework on migration in Albania. They met and discussed with several key players, individual interviews with stakeholders and immigrants in Albania<sup>5</sup>.

### **Legislative measures in compliance with obligations of the Convention**

In the context of fulfillment of all obligations arising from being a member state to the Convention, our country has taken a series of legislative, economic and political measures, that for this category to be offered assistance and be guaranteed rights and fundamental freedoms, in the framework of obligations to the European Convention for the Protection of Human rights.

So, one of the legislative measures is the adoption of the Law on Foreigners<sup>6</sup>, which guarantees improvements related to social protection for the treatment of foreigners to prevent discrimination in the treatment of employees. In the area of integration of foreigners, provides design and implementation of the National Programme of Social Integration of foreigners by institutions. Also, the circle of rights of migrant workers is enlarged in terms of revoke and not on the cancellation of the residence permit for health reasons, inability to work after issuing residence permits, changes in the labor market or unemployment for a certain period<sup>7</sup>. The law provides that the revocation and cancellation of the residence permit and therefore, the removal from the territory to persons employed or self-employed does not apply to health reasons or disability after obtaining a residence permit, changing labor market or financial difficulties due to the interruption of work for a period specified by law.

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<sup>1</sup> Article 73 of the UN Convention "On Protection of Rights of All Migrant Workers and Members of Their Families". Second periodical national report, submitted pursuant to Article 73 of the Convention for the Protection of All Migrant Workers and Members of Their Families (CMW), was developed in accordance with the instructions on the form and content of reports to be submitted by states parties, for the period 2011-2015.

<sup>2</sup> According to official data, about this situation, by the relevant state institutions are taking important measures of legal, institutional and practical to address them.

<sup>3</sup> Concretely, the report determine the definition of migrant workers, the rights and freedoms that should be guaranteed as a right to life, freedom of movement from the country of origin, the prohibition of torture, prohibition of forced labor, freedom of thought, conscience and religion as well as information on the recommendations of the Expert Committee after reviewing the first report of Albania in 2010.

<sup>4</sup> This study was made possible through funding by the Government of the Kingdom of Sweden, through the Coherence Fund "One UN".

<sup>5</sup> The full study can be read it in: <http://www.albania.iom.int/publications/reports/assessment-of-the-protection-of-the-rights-of-migrant-workers-in-albania>

<sup>6</sup> Law no.108/2013, "On Foreigners", as amended, approved on dated 28.3.2013 and published on Official Gazzete, no.48, pg.2111.

<sup>7</sup> Article 41 and 42, paragraphs 3,4 and 5.

In National Strategy for Employment and Skills 2014-2020<sup>1</sup> are including labor migration policy for 2014-2020. The measures of the action plan of this strategy contribute directly or indirectly to guarantee protection from various forms of discrimination.

Another one law that provides protection for migrant workers is the law on Emigration of Albanian Citizens for employment purposes<sup>2</sup>, which stipulates the establishment and functioning of counters migration, which provide information for Albanian citizens who wish to emigrate, as well as support for reintegration returning migrants.

### **The obligations arising from bilateral agreement in this field**

Our country has signed several bilateral agreements, through which guaranteed the provision of mutual assistance to employment for migrating to different countries.

So, in April 2014 it signed an agreement with the State of Qatar, between the Government of the Republic of Albania and the Government of the State of Qatar regarding the regulation of employment of citizens of the Republic of Albania in the State of Qatar. The employment agreement with Qatar aims at defining the rules and regulations of employment of Albanian citizens will be employed in the State of Qatar<sup>3</sup>.

Agreement in Article 9 provides that the terms and conditions of employment of the worker in the State of Qatar defined by an individual employment contract concluded between the employer and the employee. The individual contract contains the main work conditions, and the rights and duties of the parties, which are in accordance with the provisions of the agreement and labor law of the State of Qatar<sup>4</sup>.

In May 2012, with the German Party was signed memorandum of understanding on cooperation in the framework of pilot project "Triple Win Migration"<sup>5</sup>. The main purpose of the pilot project is to reconcile the divergent interests of the German labour market, the home countries and the workers themselves so that everyone benefits. For the skilled workers, labour migration is an opportunity for personal and professional development. Many of them take their new-found skills back home later, thus benefiting their country of origin. In home countries with high unemployment, the scheme helps to ease the pressure in the labour markets and boosts the economy, as labour migrants generally send money back home to support their families. And German employers gain access to well-qualified staff.

### **Defensive measures within a social benefit – contributions from social and health insurances**

In accordance with international experience in the field of social protection, protection of migrants is regulated through adherence to international legal instruments in the field of social protection, signing of bilateral agreements between the respective countries, as well as national legislation.

Rules for the coordination of social security schemes to employed persons, self-employed persons and members of their families who move within the community are defined in Council Regulation Nr. 1408 / 71 and Regulation Nr. 883 / 2004 of the European Parliament and the European Council.

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<sup>1</sup> Approved with decision no.818, dated 26.11.2014, of Council of Ministers, "On approval of National Strategy for Employment and Skills 2014-2020".

<sup>2</sup> Law no.9668, dated 18.12.2006 "On emigration of Albanian Citizens for employment purposes", as amended with law no.10389, date 3.3.2011.

<sup>3</sup> In the text of the agreement is set out in a detailed way procedures to be followed by the Ministry of Labour and Social Affairs of the State of Qatar, for the submission of applications for recruitment by employers of this state, determining the employer shall take all the necessary procedures for the selection of workers and their journey to the State of Qatar. Also, the government of the State of Qatar will take over the prosecution of restoration procedures Albanian workers when their contract work is completed.

<sup>4</sup> The contract specified the details of that employer obligations related to employee housing, salary, medical treatment etc.

<sup>5</sup> With the Triple Win Pilot Project, the Federal Employment Agency's International Placement Services (ZAV) and GIZ have jointly developed new, sustainable and effective approaches to recruiting foreign skilled workers for the German labour market in response to German demographic trends. Under the pilot scheme, applicants from countries outside the EU are recruited to fill vacancies in German companies. This form of labour migration complements domestic labour market measures such as improving training, raising the retirement age, and increasing the percentage of women in employment. In the recruitment of skilled workers from countries outside the European Union, the Triple Win Pilot Project focuses on the interests of German companies, foreign skilled workers, and the countries of origin – benefiting all three groups.

Our country has guaranteed and continues to guarantee, through the improvement of the legal framework, protection of foreign nationals and stateless persons, who work in Albania. In this sense, the Government has adopted a number of bilateral agreements with EU countries and not only in the field of social protection <sup>1</sup>.

These agreements consist of the provision of social security benefits and is based on the principle of equal treatment of workers in employment, dealing with benefits and income. Also, coordination rules ensure that persons moving from one country to another and their dependents and survivors preserve the rights acquired or are being acquired. Union of periods provided under the various national legislations will be taken into consideration to ensure the right to benefits and their calculation.

The object of these agreements are the benefits from the Albanian scheme of mandatory social insurance, which include specifically mandatory social insurance for pensions, work accidents, occupational diseases, maternity and sickness, and about the other party, the benefits associated with benefits for health insurance, accident insurance and pension insurance, etc. The parties have agreed to give these benefits based on their respective social security legislation.

It is currently in process of approval of the decision of the Stabilisation and Association Council on the coordination of social security schemes between the Republic of Albania and the EU, pursuant to Article 48 of the SAA.

### **Protective measures in the fight against human trafficking**

New Action Plan for Social and Economic Reintegration of women and girls victims of trafficking<sup>2</sup>, helps in socio-economic development of women and girls VT / VMT in the field of economic empowerment, such property rights, employment and vocational training, housing, education and social care. In this context, the function is set and the state authority responsible for the identification, referral, protection and reintegration of victims / potential victims of trafficking. This authority on the foundation of his work has the harmonization of the existing legal framework in practice and international experience, which provide mechanisms to monitor the situation of migrant female, including those employed as domestic, with national practices in order to obtain protective measures and providing appropriate guarantees that protect these categories of exploitation and violence

### **Conclusions**

Nationals of one of the member countries of the European Union and the Schengen area, who are legally resident in the Republic of Albania enjoy the right to employment as well as Albanian citizens, they didn't granted the employment permit or registration certificate<sup>3</sup>.

The employer has a legal obligation to guarantee employees the principle of equal treatment with regard to the salary and other working terms and conditions of employment, social security, the right to health care, minimum and maximum duration defined working hours, duration annual leave pay, minimum salary, including rising salary for overtime, health and safety, safeguards for the work of pregnant women, women who have recently given birth or breastfeeding, as well as minors, ban discrimination, etc.

The child's right of a migrant worker to have the name, registration of birth and nationality, access to education on the basis of equal treatment, respect for cultural identity of migrant workers and their family, should be to the attention of state authorities responsible. So, the main laws and bylaws drawn up by education institutions in the Republic of Albania and to

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<sup>1</sup> Agreement between the Republic of Albania and the Republic of Turkey, for social protection, which entered into force in 2015. The cooperation with Belgium government in the field of social protection is finalized with the approval of the Law No.35/2014 and, agreement has entered into force in January 2016. Cooperation with Macedonia for social protection agreement, adopted by the Council of Ministers decision No.228, dated 3.11.2015, of the Council of Ministers and was signed in Skopje on March 17, 2015, from ministers social issues counterparts. The agreement with the Grand Duchy of Luxembourg, was ratified by the Parliament of the Republic of Albania, Law no.42 / 2015, dated 16.04.2015. The agreement with Hungary was approved with the decision nr.531, dated 06.08.2014, of the Council of Ministers and was signed in Tirana on 10.12.2014. Currently, this agreement is in the legislative procedure for ratification. Signing of the agreement on social protection between the Republic of Albania and Romania took place in Bucharest, on February 27, 2015, between the ministers of social affairs counterparts. Currently, this agreement is in the legislative procedure for ratification by the Assembly of the Republic of Albania. Other arrangements could be: with Canada, the Czech Republic (approved by the decision of CoM).

<sup>2</sup> Approved with decision no.115, dated 17.2.2016, of Council of Ministers.

<sup>3</sup> Articles 25, 27, 28: Principle of equality of treatment in respect of: remuneration and other conditions of work and terms of employment; social security; and right to receive urgent medical care.

serve the education and integration of children of migrant workers, with a focus on providing and improving opportunities and services related to legal aspects and political have related to education and the right to education<sup>1</sup>.

Also, public institutions should cooperate, based on their competencies, with social partners, non-governmental organizations and international organizations for the promotion and implementation of programs of integration of foreigners into society. In all the activities exercised, public institutions and NGOs provide foreigners with protection against any form of discrimination. As above, it recommended increased efforts by the State party to combat smuggling of migration, especially of women and children, making the necessary steps to detect the illegal movement or clandestine migrant workers and their families and bringing them to justice.

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The Law no. 108/2013, "On Foreigners", as amended, approved on dated 28. 3. 2013

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The decision no. 115, dated 17. 2. 2016, of Council of Ministers.

The decision no. 115, dated 17. 2. 2016, of Council of Ministers "On approving of National Action Plan of economic and social re-integration of women and girls, victims of trafficking".

Links:

[www.kryeministria.al](http://www.kryeministria.al)

[http://www.albania.iom.int/publications/reports/assessment\\_of\\_the\\_protection\\_of\\_the\\_rights\\_of\\_migrant\\_workers\\_in\\_Albania](http://www.albania.iom.int/publications/reports/assessment_of_the_protection_of_the_rights_of_migrant_workers_in_Albania)

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<sup>1</sup> Articles 29, 30, 31 of the Convention: Right of a child of a migrant worker to a name, registration of birth and nationality; access to education on the basis of equality of treatment; respect for the cultural identity of migrant workers and members of their families.



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## An Introduction to Program Accreditation in Foreign Language Schools in Turkey

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### Abstract

The aim of this study is to examine the process of accreditation and the widely preferred accreditation institutions in the preparatory programs of universities in Turkey. Accreditation process in English language teaching requires the involvement of all employees in the process from the upper management level to the lower level. It develops and evaluates language teaching in a multifaceted way as physical facilities, education, academic staff and management. Conducting an action research in a preparatory program which is planning to begin an accreditation process is suggested for further research following this review.

**Keywords:** Accreditation, Language teaching, Preparatory program

### Introduction

With the impact of globalization, information technologies and competitiveness, the higher education sector is heading towards "mass education" and there is an increase in number, size and program diversity in universities. Growth and development in higher education leads universities to institutional quality processes and program / faculty-based accreditation processes (Aqlan, Al-Araidah & Al-Hawari, 2010).

The necessity of conducting teaching in accordance with accepted quality standards is the subject of research and applications. Universities apply for accreditation to ensure that they meet or exceed international standards of education and training. In addition to accreditation, many different quality control tools can be used to increase institutional effectiveness. Total quality management, six sigma, corporate reporting, benchmarking can be given as examples (Alstete, 2007).

Evaluation processes in higher education, program and field evaluation studies have begun to gain importance since the 1980s. In this sense, the first examples are France, Finland, Holland, England and Denmark. The first country to use accreditation in terms of quality assurance is England (Süngü & Bayrakçı, 2010). It is after the Bologna Process that accreditation applications increased in universities. With the signing of the Bologna Process in 1999 by higher education representatives from 29 European countries (today 49 countries), the formation of the European Higher Education Area was targeted; a close relationship between national and international higher education systems was established and student and instructor mobility was initiated. Moreover, in 2001 accreditation was proposed as a quality assurance tool at the Bologna management conference

(Haug 2003; Sin, Tavares & Amaral, 2016).

### What is accreditation?

Accreditation, which provides quality control and assurance in higher education, can be defined as a certified quality assurance in which competence, authority and reliability are approved; the conformity of an institution program to certain standards in the process is inspected / measured (Adelman 1992; Herdman, 2010; Kopelow & Campbell, 2013). Accreditation also indicates that the program has internationally recognized accreditation standards and the program is introduced to students, other institutions and public in this regard (URL 1).

In a program that is in an accreditation process; topics such as management, academic staff, physical environment features and facilities, library, registration procedures, students, academic calendar, teaching methods, measurement-evaluation, teaching-learning tools and laboratories are subject to a multifaceted study and evaluation. Every topic mentioned here is handled directly in relation to education and training. For example, beyond being a place where books are located when the library is handled, how the library is incorporated into teaching & learning, how it is used to improve education, how many learners can use the library, numbers of books, students and academic staff are handled by their place in practise (Aqlan, Al-Araidah & Al-Hawari, 2010).

## Accreditation process

Accreditation processes are mostly similar because accrediting institutions/agencies set similar goals and standards. Since the school makes its decision at the point of applying for accreditation, the process requires volunteering. First, the school / program sends a report showing its own status to the accrediting institution/agency that reviews accreditation standards.

Relevant documents such as the standards of the accrediting institutions and the preparation of the institutional reports are usually shared on the institutions' websites or a representative can be contacted for guidance. The accrediting institution and accreditation-candidate school carry out studies in accordance with the accreditation standards and school visits of the authorized person. And after the inspections, the accrediting institution makes the final decision consequently (Prasad & Bhar, 2010).

One of the most important issues in the accreditation process is the support & involvement of all employees in the process from the top management to the bottom level similar to the other quality improvement tools' processes. Motivation, interaction and support of all employees in the process from the top to the bottom level are of great importance (Aboelmaged, 2010; Jenicke, Kumar & Holmes, 2008).

In research on school experiences that are in the process of accreditation or have completed the process, it is seen that academic staff may perceive this process as challenging and exhausting in terms of time and workload due to increased demands. Academicians may find it difficult or unpleasant when they see the accreditation process solely as the extra workload that must be met to provide standards. However, in this process, if they set goals in order to develop themselves professionally and work in order to achieve that instead of working with the perception of "solely following the standards of an outer institution", then there could be a more effective process for both parties (Talbot, 2016). Therefore, encouraging academicians to set objectives for professional as well as institutional goals during the accreditation process can be encouraged.

## Accreditation of prep programs in foreign language schools in Turkey

Universities in Turkey have schools / programs that have completed or are in the process of accreditation. There are various accreditation institutions/agencies with a program-based accreditation authority. These institutions have been accrediting education faculties, pharmacy education programs, science-literature faculties, language and history-geography faculty programs and nursing education programs. For the accreditation of prep (preparatory) programs in foreign language schools in universities it is seen that CEA and Pearson Assured institutions are mostly preferred. Those two institutions' - the CEA and Pearson Assured - accreditation processes have some differences in some respects, but they also have some similar orientations.

When the background of the standards in English language teaching is examined it is clearly seen that English language teaching has been explored and developed continuously as a professional field especially since the 1940s. For more effective and efficient language teaching processes, standards have been developed. There are various institutions around the world that work on the development and recognition of those standards. Accreditation UK (administered by British Council and English UK), American Council on the Teaching of Foreign Languages (ACTFL), European Association for Quality Language Services (EAQUALS), International Association of Teachers of English as a Foreign Language (IATEFL), Commission on English Language Program Accreditation (CEA) and TESOL International Association are some of these institutions (Pennington & Hoekje, 2014).

Prep programs of foreign language schools in universities are increasingly applying to accrediting institutions to meet the international standards in language teaching as well as to be respected for it. When those programs with accreditation processes are examined, it is seen that CEA and Pearson Assured accrediting institutions are mostly preferred in Turkey.

CEA (Commission on English Language Program Accreditation) is an institution that provides accreditation of English language programs and institutions. The CEA Standards for English Language Programs and Institutions comprise 44 individual standards in 11 standards areas. And the accreditation process consists of six steps (URL 2):

**Table 1. CEA Steps in Accreditation Process**

Step 1: Application for eligibility	A school / program applies by completing the documents showing that the eligibility criteria are met.
Step 2:	Participation of the school / program representatives in a 2-day workshop (in CEA office abroad or at

Workshop	TESOL events) to receive guidance on the preparation of the standards and the self-study report.
Step 3: Self-Study plan	One month after the workshop, the site submits a plan for its self-study and CEA staff provides feedback on the plan.
Step 4: Self-Study report	The school / program explains how it believes it meets each of the 44 CEA standards, documents compliance, evaluates how well it meets the standards, and recommends areas of improvement in a self-study report.
Step 5: Site visit	A three-person team reads the self-study report prior to conducting a 3-day on-site visit. The visit includes class visits, a tour of facilities, and interviews with administrators, faculty, and students in order to verify the contents of the self-study report. The team applies the CEA Standards in its review process. The review team-report includes its findings related to each of the 44 CEA standards. The school receives the report and writes a response to the findings.
Step 6: Review by the Commission	The 13-member CEA Commission uses the self-study report, the review team report, the response from the site, and a review of finances to make its accreditation decision. For initial accreditation, the Commission may grant 1-year or 5-year accreditation. For re-accreditation, the Commission may grant 1-year of 10-year accreditation. Sites that receive 1-year accreditation must respond to requirements before being considered for continued accreditation.

In the first step of CEA accreditation application, information of those subjects is prepared in a report (CEA Standards for English Language Programs and Institutions, 2016):

Mission of the program/school;

Informational materials:

Introductory information about the program/school e. g. academic calendar, website and other marketing materials.

Curriculum:

Provide a curriculum overview that includes course objectives and student learning outcomes for all courses and levels.

Faculty:

Submit a document describing the general requirements for faculty hiring and a list of current staff showing their qualities.

Facilities:

Provide materials showing the facilities at which courses are offered.

Administrative structure:

Submit an organizational chart showing the lines of reporting within the program and its outer operational relationship.

Student services:

List services available to students, such as counseling and advising, housing, health insurance, social and recreational activities.

Other

Provide documents showing evidence of student enrollment for the past three instructional periods.

Pearson Assured (formerly Edexcel Assured), is an independent organization with training or learning programmes designed for in-house delivery and assessment. Similar to the CEA, first the school / program needs to supply evidence to support their quality systems against each objective of the Pearson Assured. Then the Quality Advisors of the organization carry out very thorough assessments before awarding Pearson Assured status. The accreditation process is consisted of four steps (URL 3):

**Table 2. Pearson Assured Steps in Accreditation Process**

Step 1	Contact the local representative.
Step 2	The relevant Pearson Assured Guidance and Policy Documents are sent to the school / program, they are completed and returned including the application form.
Step 3	A Quality Advisor visits the site to conduct a review of the quality management system.

Step 4

If all quality measures are met, the program will receive Pearson Assured Status for 1 year, as well as marketing information and files for using the Pearson logo. However, if not all quality measures are met, Pearson Assured works with the school to improve quality systems and a second site visit is arranged.

Once Pearson Assured Status is received, it is valid for 1 year. At the end of the year, a different Quality Advisor visits the site to inspect whether quality standards are still being maintained. If there are problematic things in the system, they are resolved. However, if they cannot still be resolved, Pearson Assured has the right not to award the status or to withdraw the Pearson Assured brand if serious quality issues are found. The topics to which the Pearson Assured determines the quality objectives of the school / program to be accredited are listed below. A detailed report on the sub-topics regarding the framework of these topics is required to be prepared by the applicant school / program (Pearson Assured Handbook, 2016):

Managing the organisation:

The organisation structure, staff resources (roles and team-working), physical resources and administrative systems.

Managing learning/training:

Design of education/training, maintaining and improving quality, learner/trainee recruitment, malpractice, appeals and complaints.

Managing assessment (if applicable).

Even though the CEA and Pearson Assured accreditation processes differ in some respects, they have similar orientations on topics such as education, physical facilities, academic staff and management.

### **Conclusion and Further Research**

In the twenty-first century, universities have become massive with the influence of globalization, information technologies and competitiveness, and they have a much more interactive structure than they had in the past. It is getting much more important to apply internationally accepted education and training standards. Therefore, the use of quality improvement tools such as accreditation is increasing in a variety of programs and schools/faculties.

The effectiveness and efficiency of teaching English is very important both in Turkey and in the world. Thus, the application of English language teaching at internationally recognized standards and the fact that the school has a reputation in this respect is leading to an increasing number of school accreditations.

In this study, the concept of accreditation is dealt with and two different accreditation institutions, which are widely preferred in the preparatory programs of universities in Turkey, are examined. Following this review, an investigation of how the accreditation process is experienced in an English preparatory program, which will start the accreditation process, is suggested through an action research method. This method is often used by researchers in the field of education to find solutions to contingent problems or to improve their situation (Beyhan, 2013; Glesne, 2013).

In this way, the process of accreditation process will be discussed such as how the unit passed through the process, the place / role of the academicians in the work done, the emerging problems and solutions, and the communication processes among the academicians themselves and with the administrators in the process. It is believed that by carrying out an action research method in the process of accreditation as a quality development tool it will be possible to look at the process critically, to identify possible problems and solutions in the process, and to improve the institution itself. Moreover, the study can constitute an application sample for the institutions that will start the accreditation process by transferring these experiences.

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## Teachers' Professional Training for the Implementation of Learning Technologies

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### Abstract

Regarding to the rapid development of technique and technology in all areas of life, also in the education field such developments have a great impact. The frequent use of technologies and their advancement influence on students for the main purpose to achieve faster the knowledge. For this reason teachers should be in trend with new technological developments and they should be familiar with the technology usage in schools. In order that teaching process to be attractive and at the same time to achieve the highest quality of education there is a need that teachers should know the usage and application of technology during the process of teaching. The effect and the progress of teaching labor are gained with usage improvement of teaching technology. The purpose of this research is related to the professional training of primary school teachers in Gjakova municipality for the use of learning technologies as computers, projectors, laptop, etc, and their application in teaching practices in order to improve the quality of teaching and learning facilitation.

**Keywords:** professional training, teaching, learning technologies (computer, laptop, projector)

### Introduction

What do we understand with learning technology from didactic part and teaching technology in schools' practices? If it can be seen from the didactic perspective we are dealing with tools, ways and educational activities to achieve learning outcomes (Murat, 2002). Closely to this we have the definition of Riza Brades where with the notion of teaching technology it means the learning management and here can be included such as: planning, organizing, and adherence to the principles, the use of methods, teaching methods, examination and assessment of students' knowledge (Brada, 2008).

Whereas if it can be analyzed from different perspective the usage of technology that is being applied at school practices it means we are dealing with the most modern tools used in the teaching process as computers, projectors, laptops, television, radio, the internet.

With the implementation of technologies in the learning process we achieve high results, the students' success checking is more systematic, activity of students is increased in the learning process, and also it facilitates the information transfer and teaching duties. (Ismaili, 2012)

Students and teachers at the rapid developments of this century through modern technologies are able to profit from the usage of technology, in order to fulfill their needs and abilities.

The usage of modern technology helps teachers in organizing tasks and activities of students, also it assists in the presentation and research of various resources and at the same time provides interactive and learning experiences. (Musaj 2014)

Since teaching as many other professions is a occupation, which needs to be developed, improved and perfected, if so then the training of teachers refers to knowledge and skills that can be used to find all the ways to enhance and improve their profession (Garo, 2013).

Among the priorities of education in Kosovo is the preparation of professional training of teachers, organization and development of training programs for teachers.

The concentration of these professional training programs was focused on new teaching philosophies, such as inclusion, interaction and greater concentration of skills. By seeing the importance and necessity of the use of technology in the

teaching process, according to a strategy for the development of university education in Kosovo 2007-2017, all teachers by 2010 should be taught to use basic computer and information technology applications. (MEST, 2007).

MEST considered as remarkable issue in order to achieve higher results and a better quality of education, in compliance with Administrative Instruction 04/2010 accredited bidders and professional training programs for teachers. Among these bidders were also accredited Trade Union of Education, Science and Culture (SBASHK) which organized ECDL (European Computer Driving License) courses.

The ECDL is an internationally recognized qualification, which enables individuals to prove their knowledge in computer skills and knowledge (ECDL, 2005).

Teachers through this program must understand the work with the computer, to achieve the necessary results in the acquisition of computer literacy, to be trained for passing exams by the ECDL program, to use the most contemporary methods in the development of learning for the purpose to facilitate the acquisition of learning by pupils. (MEST, 2011)

ECDL program consists of seven modules, in which the first module includes the basics of computing, then other modules include Windows XP, Word, Excel, Access, Power Point and Outlook Last module and Internet Explorer. At the end of the program participants should be examined and reach 75% of the points for each module and then receive ECDL certificates.

### **Research methodology**

The research concerns the impact of learning technology in school practices, their implementation and professional training of teachers for its use and implementation.

The method which is used in this research is qualitative method, and as a research instrument were used interviews.

### **Sample**

As participants of this research were taken 10 primary teachers of primary school "Kelmend Rizvanolli" in Gjakovë.

Age of teachers: 40-50 ages

Gender: female

Work experience: 15-25 years of working

Interview questions:

Do you think the usage of learning technology increases the quality of learning and teaching?

Have you attended any program for professional training ECDLA (European Computer Driving License) or another course for computer usage?

Do you use computers, laptops, projectors in school practices?

If yes, when do you mostly use them, and in which subjects?

If not, why do not use them?

Conclusions on teachers' response:

According to teachers' response, the usage of teaching technology impacts the quality of learning and teaching process, they think that teaching process is more attractive and effective if it is followed by the usage of technology.

All of the interviewed participants have finished the ECDL course computers, and in most of the cases they use technology in order to compile the students' tests, and they use it less during the process of teaching. In teaching classes they use



sometimes in other subjects, in subject such as nature cognition they use about once a week, but they cannot use it more often because of the small number of computers and projectors in school.

The reason why they do not use it more often is that they are not sure in its usage (the responses of 4 teachers, of the 48-50 age) even though they have completed their courses, but if they use once a week they still need a help from younger primary teachers, because primary teachers who are younger they are well informed for the usage of technology.

#### **Recommendations:**

A few recommendations conducted from the research:

MEST, Departments of Education, school principals, should organize additional courses for those teachers, who are not yet sure about the usage of modern teaching technologies,

Each class should be equipped with computers, or laptops, and also each class should have a projector

School principals should enable the exchange of experiences with other schools and teachers within the school.

Teachers who are in older age, and also who seldom use computers should be given assistance from other teachers in order to facilitate them the technology's usage and to gain confidence in using modern teaching technologies.

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## Development of a Predictive Model of Elderly Patients at Risk of Future Hospital Admission at Primary Care Centres in Valencia (Spain)

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### Abstract

This paper presents the development of a new predictive model of elders at risk of suffering hospital admissions in the subsequent year in Valencia (Spain), based on primary care experts' discussions and consensus. The study involves three main stages. Firstly, Focus Group methodology with six primary care experts to design the first set of variables of the model. Subsequently, two retrospective studies to analyse the performance of the selected variables in a pilot sample (n=107) and to design the predictive model in a development sample (n=343). Data was collected from electronic medical records and consulting the professional of reference. Logistic regression analysis identified five variables as predictors of hospital admissions during the subsequent year of the development cohort: diagnosis of chronic heart diseases, chronic respiratory diseases, diabetes, presence of palliative care and number of previous visits to the hospital emergency department. A risk scoring system was developed for each patient from 0 to 1, with a cut-off point of 0.5. The model had a sensitivity of 42%, specificity of 96% and AUC of 0.764. Our predictive model identifies with moderate efficiency elderly patients at risk of suffering future hospital admissions. Additionally, this first screening could be extended through a second phase aimed to assess social variables which are very relevant in the current economic context in Spain. Further research is needed to validate these results with larger samples, and to explore their applicability in other health and social care settings.

**Keywords:** Risk prediction model; primary care; elderly; future hospital admissions; chronic diseases

### 1. INTRODUCTION

The care and management of chronic diseases – those with a long duration and generally with slow progression – is one of the big challenges that public healthcare systems are currently facing within developed countries. In Spain, chronic diseases represent around 70% of the total costs in healthcare (García-Goñi et al., 2012) and are associated with a high use of several healthcare services and resources, such as visits to general practitioners (GPs), hospital admissions, pharmacological treatments or long-term care (LTC).

The approaches to these types of diseases are complicated by the fact that most of these patients do not suffer a unique chronic condition, but they present several of them at the same time; which is known as multimorbidity. Moreover, cases of multimorbidity are strongly associated with age (e. g. Salisbury et al., 2011). For instance, a study carried out in a sample of Spanish adults shows that the group of persons aged 65 and over presented the highest prevalence of multimorbidity; concretely, 67.3% of women and 52.9% of men (Garin et al., 2014).

In this regard, elderly people do have a high number of visits to GPs at primary care centres as they suffer more chronic conditions than other groups of population (Salisbury et al., 2011). However, according to a systematic review carried out by Sinnot et al. (2013), the current model of primary care is fragmented and lacks a patient-oriented approach, which does not facilitate an efficient management or an appropriate care of chronic patients. It is necessary that the model addresses an individualized perspective with special focus in continuity care (Garcés et al., 2011). Nonetheless, the identification of the most vulnerable patients in need of a more specific and comprehensive care is not always simple, so tools or strategies are required that facilitate this task to GPs in their daily work.

The systematic use of stratification tools and prediction models can be useful and support GPs in the decision-making processes, especially regarding elderly people with multimorbidity (Orueta et al., 2013). These types of initiatives would

enable early implementation of intervention or prevention programmes to avoid adverse situations that would foster: (a) the support to GPs in the management of patients with more efficiency according to their clinical profile; and (b) savings for the system related to the use of health resources that these patients imply, such as hospital admissions.

In the current literature there is a wide number of population stratification tools aimed to identify patients at risk in accordance with different output variables; for instance, risk of frailty (Sternberg et al., 2011), individual risk of high healthcare cost (Coderch et al., 2014) or risk of suffering future hospital admissions (FHA) (Kansagara et al., 2011). Avoiding emergency hospital admissions in elderly population is a major interest for public administrations. Thus, early identification of profiles of patients at risk may facilitate the implementation of interventions to save potential costs related to healthcare utilization (Lehnert et al., 2011) and to avoid and/or decrease the functional decline and impairment of quality of life and physical and cognitive status in elderly people (Boltz et al., 2012; Merino & Cruz-Jentoft, 2012).

In previous studies, the author has implemented stratification tools – originally developed and validated in the United States (USA) – in a Spanish sample of elderly patients using electronic health information systems (EHIS) as main source of data. Results showed a moderate efficiency in the identification of elderly patients at risk of suffering FHA (Doñate-Martínez et al., 2014). In spite of that study, it meant a starting point for the application of these types of strategies in the author's context (Ródenas et al., 2014), it is important to take into consideration the limitations associated to the use and extrapolation of tools in contexts that are different to the original one. The features of each healthcare system impact on numbers related to clinical variables (e. g. visits to primary care centres or emergency departments) and, therefore, to the results derived from stratification.

Thus, the objective of this study was the development of a new predictive model of elderly patients at primary care services from the Valencian Healthcare System (Spain) according to their risk level of suffering hospital admissions in the subsequent year.

## **2. METHODOLOGY**

### **2.1. Overall study design**

#### ***Design***

The stratification model was developed between May 2014 and November 2015 in three main phases. In a first step, it was organized several sessions of focus groups (FG) with the participation of primary care professionals aimed to design the first set of variables for the model. In the second phase the preliminary version of the model was piloted through a retrospective cohort study in order to analyse its performance in a small sample from our study setting. Finally, based on the results of the previous step, a refined set of variables was implemented in a larger sample following a retrospective cohort design.

#### ***Setting***

The study was carried out in the Comprehensive Healthcare Centre of Burjassot in Valencia (Spain), which combines primary and specialized care. In this municipality the population that was 65 years old and over were 6,905 people in 2013. The activity related to primary care in this municipality in 2012 is summarized in 90,312 visits to general medicine, 11,569 to nursing and 1,366 in social work services (AVS, 2013). The hospital of reference of this centre is the Hospital Universitario Arnau de la Ribera, which received a total of 14,338 admissions in 2013; 67.31% out of them were urgent (AVS, 2014).

#### ***Ethical issues***

The project was approved by the Ethical Committee of the Hospital Arnau de Vilanova. During all phases of the study the data collection was undertaken by primary care professionals involved and the subsequent handling and statistical analysis was carried out after removing any type of personal data. In the second and third phases informed consents were not

requested to patients as data was collected following a retrospective revision of clinical and administrative records of clinical histories.

## 2. 2. Stage 1 – Focus Groups: selection of variables

### **Participants**

Six primary health care experts from different fields (general medicine, nursing and social work) – with strong experience dealing with older people, chronicity and LTC – participated in different sessions of FG.

### **Organization of the sessions**

Five sessions of FG took place aimed to agree and design a list of potential items to be included in the stratification model of patients. Every session lasted around 90 minutes and took place in the Comprehensive Healthcare Centre of Burjassot (Valencia). Sessions were coordinated and conducted by a researcher with previous experience in stratification models. Discussions were recorded on a digital recorder – after previous agreement of experts. A second facilitator also took notes on observations, summaries and reflections derived from the discussions.

Discussions were structured, so for every session organizers prepared in advance materials and defined a goal to be achieved. After each meeting organizers analysed the content recorded and in the following session they shared main results and consensus obtained to promote experts' commitment and motivation. Table 1 specifies the protocol followed along the FG and the main goals obtained in every session. In some sessions the Nominal Group Technique (NGT) was used to achieve consensus on key points for the scheduled discussions.

**Table 1. FG protocol (6 experts)**

Session	Task	Objective
1	Introduction of the project, organizers and experts.	To present the objectives and tasks of the study.  To establish the first contact of the working group and rapport.
2 & 3	Study of 10 clinical cases (selected by experts) with a profile characterized by: a) 65 years and over; b) multiple chronic diagnoses; c) with and without previous hospital admissions.	To draw enabling and protective variables of suffering FHA.
4	Presentation by the organizers of variables selected from the analysis of sessions 2 and 3.  Assessment and prioritization by every expert of variables according to: a) their rate in the prediction of future hospital admissions; and b) relationships between variables.  Share assessments and discussion.	To reach an agreement and to select the most relevant variables for the identification of patients at risk of suffering FHA.
5	Presentation by the organizers of agreed variables at session 4.  Discussion to define every variable and to establish how to measure them.	To operationalize the selected variables.  To detect the information sources for data collection.

## 2. 3. Stage 2 – Pilot cohort

In the second stage a retrospective study was carried out to identify the variables – those previously detected and designed in the first stage – with a higher contribution in the prediction of hospital admissions in the subsequent 12 months.

### **Target population and sample**

Target population of this study were patients aged 65 years and over attended by primary care services at the Comprehensive Healthcare Centre of Burjassot.

The sample was screened and recruited through consecutive sampling from the quota of assigned patients of the six healthcare experts participating in the FG. Patients were selected from the available population which fulfilled the selection criteria on the established reference date (February 2013). Exclusion criteria for inclusion were: a) aged under 65; b) absence of data at the EHIS; c) no permanent residence in Burjassot; d) exitus; e) being institutionalized; and f) hospital admissions in the subsequent 12 months not associated to long-term diagnosis (e. g. cataract) and/or programmed admissions.

Finally, the pilot sample was composed of 107 patients, with a sampling error of 2. 3% yielding a 95% confidence level.

### **Data collection**

Data related to independent variables were collected with reference date February 2013 using several sources:

Most of the information was collected through different EHIS of the Valencian Healthcare System available for primary care professionals:

Abucasis, with information related to clinical history, diagnostic tests, medical alerts, appointments, demographic variables, etc. ;

GAIA, which registers the prescribed medications to patients through electronic prescription; and

MDS (Minimum Data Set), which registers patients' discharges and associated information (main and secondary diagnosis, clinical and/or surgical procedures, etc. ).

Some information was gathered through consultation of the professional of reference (GP, nurse or social worker).

Finally, a search was carried out of hospital admissions of each patient during the subsequent 12 months at MDS. In this regard, the author knew if patients were admitted or not, the number of admissions and the length of stay in days of every admission.

Once all the data had been collected, any type of personal or identifying information was removed and was assigned a random number to each patient to preserve privacy.

### **Statistical analysis**

The processing and statistical analysis of data collected during the whole study was done using PASW Statistics 22 software (SPSS). Firstly, descriptive analyses were made to characterize the sample according to the variables agreed through the FG. Subsequently, logistic regression analysis was conducted with the independent variables obtained in the FG to identify the most significant variables associated to FHA.

## **2. 4. Stage 3 – Development cohort**

This third stage is also characterized by a retrospective study. In this case, on the basis of the findings of the previous phase, the objective was to develop the prediction model through an appropriate and accurate combination of the set of variables analysed in the previous stages.

### **Target population and sample**

Target population and the exclusion criteria were the same than used in the pilot cohort (see Stage 2, at section 2. 3). The development sample was composed by 343 patients with a sampling error of 2. 2% yielding a 95% confidence level. In this case, the sample was screened and recruited through quota sampling in order to distribute a representative number of patients with FHA for the subsequent logistic regression analyses.

### **Data collection**

The set of variables included in this study was based on the results obtained in the previous stage: number of visits to emergency department (ED) at hospital, visits to ED at primary care centres, emergency visits at home and emergency phone calls to the primary care centre in the previous 12 months. Moreover, other variables that could be easily accessible from EHIS were included: sex, age and active diagnosis.

The procedure for data collection of independent and dependent variables was the same as in the previous study. However, in this case the sources employed were only EHIS (Abucasis, GAIA and MDS).

### Statistical analysis

Descriptive analyses were made to characterize the sample according to the variables studied.

Logistic regression analyses were performed to identify those variables with a higher contribution for the prediction of FHA; creating a risk score from 0 to 1 to describe the estimated probability of admission in the subsequent 12 months.

From results achieved by logistic regression, a predictive risk model was developed based on adjusted odds ratios (OR). For this purpose, the author randomly divided the sample in two groups. The first one included the 80% of the sample and was used to estimate the model with a 95% of confidence; the remaining 20% of the sample was used to validate the model.

The goodness of fit of the model was evaluated by Nagelkerke R-squared and Hosmer-Lemeshow tests, which determine the proportion of variance of the dependent variable explained by the model.

The predictive accuracy of the model was assessed through sensitivity, specificity, positive predictive value (PPV), negative predictive value (NPV) and the area under the receiving operating characteristic (ROC) curve (AUC).

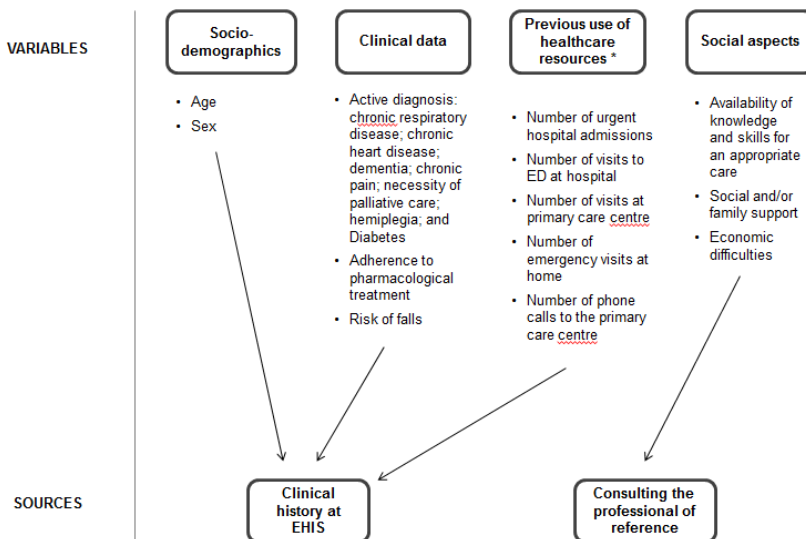
Finally, the sample was divided into two groups (low and high risk) according to scores' of the predictive model. Comparisons between both groups were made using the t-test for normally distributed continuous variables or Mann-Whitney U test for non-normally distributed continuous variables; and Chi-square tests for categorical variables.

## 3. RESULTS

### 3. 1. Stage 1 – Focus Groups: selection of variables

Six health and social care professionals from a primary care centre participated in five FG sessions. The output derived from these meetings was a list of potential variables to be tested for the development of the predictive model. Figure1 presents these variables and the source where to find the related data.

**Figure 7. Selected variables from FG for the development of the predictive model**



\* The use of healthcare resources is referred to the previous 12 months

### 3. 2. Stage 2 – Pilot cohort

Table 2 shows dataset of the sample (n= 107) in which the first proposal of variables was tested. Average age was 77. 05 ± 6 years, and most of the sample was women (67. 29%).

The most prevalent diagnoses were diabetes (39. 25%) and chronic heart conditions (31. 78%).

Out of 107 patients, 9 (8. 41%) suffered hospital admissions in the subsequent 12 months. The mean number of hospital admissions was  $0.12 \pm 0.49$  and the length of stay was  $7.08 \pm 6.22$  days. Most of the causes of 12-months admissions (44. 44% patients) were diagnosis derived from diabetes, as hypoglycaemia or diabetic foot.

**Table 2. Characteristics of pilot sample**

Variables	N = 107
Active diagnosis, n (%)	
Chronic respiratory disease	20 (18. 70)
Chronic heart disease	34 (31. 78)
Dementia	11 (10. 28)
Chronic pain	17 (15. 89)
Palliative care	4 (3. 74)
Hemiplegia	0
Diabetes	42 (39. 25)
Availability of knowledge and skills for an appropriate care, n (%)	102 (95. 33)
Adherence to pharmacological treatment, n (%)	102 (95. 33)
Risk of falls, n (%)	47 (43. 93)
Number of previous urgent hospital admissions, $\bar{x}$ (SD)	0. 20 (0. 52)
Number of previous ED visits at hospital, $\bar{x}$ (SD)	0. 77 (1. 37)
Number of previous visits at primary care centre, $\bar{x}$ (SD)	1. 54 (2. 81)
Number of previous emergency visits at home, $\bar{x}$ (SD)	2. 21 (9. 81)
Number of previous phone calls to the primary care centre, $\bar{x}$ (SD)	0. 17 (0. 57)
Social and/or family support, n (%)	89 (83. 18)
Economic difficulties, n (%)	14 (13. 08)
Age, $\bar{x}$ (SD)	77. 05 (6)
Sex, n (%)	
Men	35 (32. 71)
Women	72 (67. 29)

Logistic regression determined that 'number of previous visits to ED at hospital' [OR= 913. 52 ( $p < 0.064$ )] and 'number of previous emergency visits at home' [OR= 0. 008,  $p < 0.092$ ] were the variables most associated with hospital admissions within 12 months.

### 3. 3. Stage 3 – Development cohort

In this last stage of the study, several logistic regression analyses were conducted including those variables that showed significance in the previous phase ('number of previous visits to ED at hospital' and 'number of previous emergency visits at home'). Other variables related to the use of primary care resources detected in the first stage were also taken into consideration but, in this case, only if they were urgent cases ('number of previous visits to ED at primary care centre' and 'number of previous emergency phone calls to the primary care centre'). Additionally, variables of 'active diagnosis', 'age'



and 'sex' were included as researchers and experts from FG considered and agreed as relevant for clinical assessments and socio-demographic clusters.

Socio-demographic, clinical and use of resources data of the development sample (n=343) are presented in Table 3. Mean age was  $75.20 \pm 6.89$  years and 61.81% of the sample was women. Diabetes (36.44%) and chronic heart conditions (29.74%) were the most prevalent conditions.

Out of 343 patients, 99 (28.9%) suffered hospital admissions in the subsequent 12 months. The mean number of hospital admissions was  $0.39 \pm 0.76$  and the length of stay was  $3.76 \pm 14.35$  days.

**Table 3. Characteristics of the development sample (N= 343) and by risk categories**

Variables	Total sample (n= 343)	Low risk group (0 – 0.49) (n= 291)	High risk group (0.5 – 1) (n= 52)	p
Active diagnosis, n (%)				
Chronic respiratory disease	72 (21)	53 (18.21)	19 (36.54)	0.003
Chronic heart disease	102 (29.74)	67 (23.02)	35 (67.31)	< 0.001
Dementia	43 (12.54)	32 (11)	11 (21.15)	0.042
Chronic pain	22 (6.41)	18 (6.19)	4 (7.69)	0.68
Palliative care	15 (4.37)	0	15 (28.85)	< 0.001
Hemiplegia	6 (1.75)	3 (1.03)	3 (5.77)	0.016
Diabetes	125 (36.44)	100 (34.36)	25 (48.08)	0.058
Number of previous urgent hospital admissions, $\bar{x}$ (SD)	0.70 (1.12)	0.36 (0.60)	2.60 (1.45)	< 0.001
Number of previous ED visits at primary care centre, $\bar{x}$ (SD)	0.75 (1.25)	0.68 (1.13)	1.10 (1.73)	0.001
Number of previous emergency visits at home, $\bar{x}$ (SD)	0.15 (0.52)	0.09 (0.40)	0.47 (0.90)	< 0.001
Number of previous emergency phone calls to the primary care centre, $\bar{x}$ (SD)	0.09 (0.42)	0.04 (0.24)	0.40 (0.87)	< 0.001
Age, $\bar{x}$ (SD)	75.20 (6.89)	74.58 (6.72)	78.65 (6.87)	0.589
Sex, n (%)				
Men	131 (18.19)	111 (38.14)	20 (38.46)	0.97
Women	212 (61.81)	180 (61.86)	32 (61.54)	
Cases with 12-months hospital admissions, n (%)	99 (28.9)	57 (19.59)	42 (80.77)	< 0.001
Number of 12-months hospital admissions, $\bar{x}$ (SD)	0.36 (0.76)	0.23 (0.54)	1.23 (1.13)	< 0.001
Length of stay in days, $\bar{x}$ (SD)	3.76 (14.35)	1.81 (6.37)	14.69 (31.74)	< 0.001

Table 4 shows the main details of the variables being part of the predictive model. Logistic regression analysis determined that the variables presence of 'chronic respiratory disease', 'chronic heart disease' and 'palliative care', and the 'number of previous visits to ED at hospital' were statistically significant as predictors. The diagnosis of 'palliative care' was the most significant predictor with an OR of 22.53 (95% CI, 2.70 – 188.60); and the 'number of previous visits to ED at hospital'

was the weakest one with an OR of 1.82 (95% CI, 1.39 – 2.37). ‘Age’, diagnosis of ‘dementia’, ‘chronic pain’ and ‘hemiplegia’, or the number of previous contacts with the primary care centre (‘visits to the ED’, ‘emergency visits at home’ or ‘emergency phone calls’) were not of any significant result on the regression analysis.

**Table 4. Summary of variables included in the predictive model**

Variables	OR	95% CI	<i>p</i>
Chronic respiratory disease	2.32	1.18 – 4.59	0.015
Chronic heart disease	2.10	1.13 – 3.91	0.019
Palliative care	22.53	2.70 – 188.60	0.004
Diabetes	1.94	1.06 – 3.54	0.032
Number of previous visits to ED at hospital	1.82	1.39 – 2.37	< 0.001

The percentage of variance explained by the final model was 31% (Nagelkerke’s  $R^2 = 0.31$ ). Moreover, the estimated risk showed very good agreement with the observed incidence (Hosmer-Lemeshow  $\chi^2 = 1.24$ ,  $p = 0.975$ ).

The model determined a risk score from 0 to 1 for each patient, classifying patients as high risk of future hospital admission at a risk score threshold of 0.5 or higher. The model had a sensitivity of 42% and specificity of 96%, and the PPV was 81% and the NPV 80%. The Figure 2 shows the ROC curve illustrating the trade-off between sensitivity and 1-specificity for the model. The AUC was 0.76.

**Figure 8. ROC curve for presence or absence of future hospital admission based on risk scores derived from the predictive model**

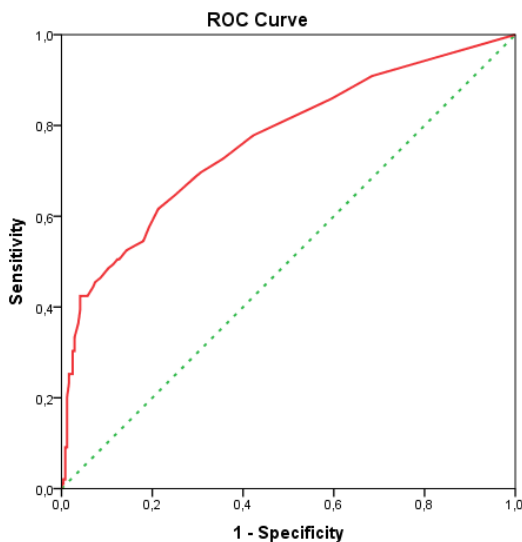


Table 3 shows baseline data on socio-demographics, health conditions and health service utilization measures, as well as data related to future hospital admissions for low- (risk scores 0-0.49) and high-risk groups (scores 0.5-1). The high-risk group (15.16% of the sample) had significantly higher prevalence of chronic diseases (with the exception of ‘chronic pain’) and reported higher prior emergency visits’ or contacts’ (both to hospital, primary care centre, at home or emergency phone calls) rates. Low- and high-risk groups did not differ in the mean age or sex rates. Table 3 also presents data from the sample on the subsequent 12 months. In this regard, the high-risk group showed a significantly higher rate and mean of FHA, as well as more days of length of stay.

#### 4. DISCUSSION

This paper presents the development of a new prediction model to identify elderly patients at risk of hospital admission in the subsequent 12 months using routine data from EHS from the Valencian Healthcare System. For this purpose, the author followed a combined methodological approach using both qualitative and quantitative techniques. Thus, on the basis of different sessions of FG with a panel of primary care experts the set of variables were selected that subsequently were tested and analysed in two retrospective studies aimed to assess their predictive ability on FHA.

The model incorporates five predictor variables which are associated with an increased risk of hospital admission: diagnosis of chronic heart diseases, chronic respiratory diseases, diabetes, presence of palliative care and number of previous visits to ED at hospital. These findings are close to those variables found in other studies on the general population and on elderly people. For instance, "Probability of Repeated Admission" (Pra) and "The Community Assessment Risk Screen" (CARS) tools (Boult et al., 1993; Shelton et al., 2000) include as relevant variables diagnosis of different chronic conditions (such as diabetes or heart diseases), as well as previous use of hospital resources (admissions or ED visits).

The performance of the model was good, with acceptable ability to identify patients at high risk of hospital admission which really were admitted (sensitivity of 42%) and excellent ability to identify patients at low risk which really did not suffer any admission (specificity of 96%). The accuracy detecting patients was similar to other comparable studies (e. g. Hippisley - Cox & Coupland, 2013) or even higher (Billings et al., 2006; Lyon et al., 2007; Chandra et al., 2015) with reported AUC of 0. 764.

In our model, the presence of palliative care had a strong effect on the prediction of FHAs, with an OR of 22. 53 ( $p=0. 04$ ). In the current literature we did not find similar prediction models or tools considering this variable as relevant. However, palliative care has shown a strong association with the risk of death in hospital or soon after discharge (Cardona-Morrell & Hillman, 2014; Cowen et al., 2014), since people receiving palliative care suffers a notable irreversible deterioration of health outcomes as well as in their quality of life.

The regression model derived a risk scoring system ranking each patient from 0 to 1, with a cut-off point of 0. 5. The development sample was stratified following this threshold, so it was divided into two risk-groups. High-risk group (84. 84%) differed significantly from the low-risk (15. 16%) in almost all diagnosis and previous emergency visits' or contacts' measures. Moreover, high-risk patients suffered significantly more FHAs and they spent more days at hospital than low-risk individuals. These numbers support the main goal and utility that author expected with the development of this predictive model and stratification system: to help primary care professionals in decision-making processes through early detection of vulnerable patients with a higher trend to use healthcare resources and, therefore, which mean higher costs for the administration.

The final predictive model is composed by variables that can be collected automatically from EHS. In this way, as other stratification and predictive systems available in the literature (e. g. Billings et al., 2012), the associated algorithm could be easily introduced into the health administration system of the Valencia Region. Nevertheless, experts interviewed in the FG – carried out in the framework of this study – highlighted other kind of variables that usually are not registered within EHS of special relevance to identify vulnerable elders. These variables are: 'availability of knowledge and skills for appropriate care', 'social and/or family support' and 'economic difficulties'. Firstly, due to the long duration and irreversible nature of chronic conditions it is vital that patients are empowered and confident in the self-management of their diseases with appropriate knowledge and skills adapted to their own needs. There is evidence suggesting that self-management education improves health outcomes and can reduce hospitalizations for some kind of chronic diseases (Bodenheimer et al., 2002). Secondly, social isolation and lack of social support may have negative impact on the health and wellbeing of elderly people (Hawton et al., 2011). Moreover, according to an exploratory study (Jakobsson et al., 2011), elders with low utilization of inpatient and outpatient care were characterized by having a larger social network or feeling less loneliness than those with higher consumption of these resources. So, it is very important that elders have some kind of social support by their circle of support (family and/or friends) or by social services from the public administration or private companies. And finally, Spain is currently facing a financial crisis which has entailed budget cuts in health; and pensioners suffer these effects through pharmaceutical and assistance co-payments (Aguilera et al., 2013). Moreover, older adults and elders have become the main source of economic support for the family due to the return of adult children to the parental home as a consequence of the lack of work opportunities and extremely high unemployment rates (Foessa & Cárítas, 2013). These issues mean that many elders do not spend part of their pension or acquisitive power to acquire prescribed pharmacological and therapeutic treatments not covered by social security (as blood glucose test trips in the case of patients with diabetes),

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which may affect the stability of chronic conditions' symptomatology and higher rates of hospital admissions (Fernández-Ruiz et al., 2015).

Variables discussed in the above paragraph may have a relevant potential to identify vulnerable elderly patients, especially in the current context of financial crisis in Spain. For this reason, it would be interesting to propose a 2-phase stratification system, as other methods we find in the literature (Reuben et al., 2002). The first phase would entail the calculation of the developed algorithm through the use of EHIS; and the second one, the assessment of social variables by consulting the professional of reference.

From this comprehensive evaluation and screening, professionals may implement individualized care plans, which can potentially improve quality of care and reduce costs in comparison to usual population-based guidelines (Eddy et al., 2011). In order to guarantee these care pathways respond patients' clinical and social needs the decision-making should be shared by multidisciplinary case-management teams composed by different primary care professionals, as GPs, nurses and social workers (Garcés et al., 2013; Garcés & Ródenas, 2015). According to the conclusions derived from a European Conference on Multimorbidity Policies (European Commission, 2015), these interventions should increase patient-centeredness and empowerment through a higher involvement of patients' and families in the care of their chronic conditions. Educative and training approaches should be introduced, as they are effective increasing patients' knowledge and skills, self-management of symptoms or self-efficacy (Barlow et al., 2002). Moreover, new information and communication technologies (ICTs) play a crucial role. In this line, a recent study focused on a telemonitoring programme addressed to chronic patients show that, after one-year of use, users became more aware of the importance of controlling their diseases and symptoms and improved their self-perceived health-related quality of life as well (Doñate-Martínez et al., 2016). Last but not least, continuity of care should be a common point in all care plans addressed to chronic patients – especially elders – as it is essential to guarantee quality of care over time. In this regard, higher continuity of ambulatory care has been associated with lower rates of preventable hospitalization in elderly Medicare beneficiaries (Bayliss et al., 2015).

Our study has several limitations that deserve mention. First, in spite of our study includes a large number of elders from a specific setting of Valencia (Burjassot), it is not representative of the whole elderly population in the Valencia Region. Secondly, pilot and development studies followed a retrospective design; however the use of unified EHIS enhances and guarantees the accuracy of the collected data, both independent variables and those to be predicted. Thirdly, there is an increasing interest of developing risk prediction tools aimed to detect adverse effects in a short period of time; within 30 days from a previous discharge (e. g. Fabbian et al., 2015). However, the authors' goal was to identify patients at risk allowing primary care professionals have enough time to implement the most appropriate care pathways to prevent FHAs in the following 12 months. Moreover, during this period of time it is favoured that the benefits of the established interventions are visible; recommendations to change lifestyles, introduction of new pharmacological treatments or modifications in previous ones, establishment of additional social services increasing patient quality of life, etc. And, finally, the model considered and included a limited number of predictors. It is possible that other variables could be useful as predictive factors, nevertheless we followed the opinion and consensus achieved by our panel of primary care experts, which are in line with those obtained by other authors.

## Conclusions

In conclusion, our results suggest that our predictive model composed by a reduced number of variables agreed by primary care experts and collected from EHIS (automatically or manually by primary care professionals) identifies with a moderate level of efficiency elderly patients at risk of suffering FHAs. The algorithm associated to this model is intended to be introduced computationally in EHIS in order that healthcare professionals can carry out regular analysis of datasets containing specific quota to identify and alert high risk patients for further assessment of social variables and subsequent management. So, the screening of high risk patients is just the first step of a comprehensive and patient-centred strategy to improve both the quality of life of this profile of patients and also the quality of their management at primary care centres.

Future studies are needed to validate these results with a larger sample from the Valencia Region and other regions in Spain; as well as to explore their applicability in other health and social care settings, as hospitals or nursing homes.

## Acknowledgements

Thanks to the Polibienestar Research Institute at the University of Valencia; the Valencian Ministry of Health (Agencia Valenciana de Salud); and the Comprehensive Healthcare Centre of Burjassot (Valencia).

The study presented in this paper received financing from, the Valencian Government through the project Prometeo-OpDepTec Fase II (Project reference: PROMETEUII/2014/074) and the Spanish Ministry of Innovation and Competitiveness (Project reference: CSO2014-54490-R). A. Doñate-Martínez was supported by a predoctoral FPU fellowship of the Spanish Ministry of Education (AP2010-5354).

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## The Functions of Women Branches in Political Parties, in Terms of Social Entrepreneurship Activities- A Case Study from Izmir-TURKEY

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### Abstract

In the solution of some social and economic challenges where the States, governments become short. The persons or groups that activate in order to maintain their responsibilities to the membered community are called as Social Entrepreneurs. Issues such as poverty, environmental pollution, women and child abuse, human rights violations, unemployment, refugee and immigrant rights and their integration, and minority rights are the main subjects that Social entrepreneurs are involved in finding solutions. In this study, representatives of women's branches of political parties operating in Izmir both in power and opposition were elected by random sampling and in-depth interview chosen as research method. As a result of the interviews, the activities related to social entrepreneurship dimension were evaluated. Findings showed that the political party women's branches have access to resources, and they conduct social entrepreneurship activities to solve problems in a shorter way by removing the bureaucracy as much as possible.

**Keywords:** Social Entrepreneurship, Political Parties, Woman Social Entrepreneurs.

### Introduction

In every part of time Women have struggled to make themselves receptive in the society which they live in. They have fought against discrimination, and they have tried to explain that they are individuals. Women have always been hidden heroes of many social changes in the world. With these experiences, women are the most sensitive individuals against all the negativities that occur in society.

Social entrepreneurship activities do not belong to non-governmental organizations. However, there are number of studies in the literature about the fact that big businesses and organizations also play an active role in these activities. Foundations, fellowship organizations, network builders such as Skoll Foundation, Ashoka, CAN are the organizations which are working for promoting benefits of social entrepreneurship, affecting policy makers and creating awareness in the society (Nicholls, 2010).

Political parties offer various products to various sections of the public, to meet their needs and requests, by explaining the resources would be used, as they indicated in their party programs (Islamoglu, 2002 Divanoglu, 2008). But in reality they generally cannot be fully successful. While they can satisfy one part of the society, they can make the other unhappy. At this point NGO's and social entrepreneurs should be in charge. In order to provide the desired benefit, some resources needed for these actors. In practice It is not easy to reach these resources. Women Branches of Political Parties identify

problems more easily because they are as isolated as politicians and because of officially member of a political party, they easily reach the resources and Women are individuals who have the power of repression within the party.

### **Literature Review**

Social entrepreneurship distinguishes itself from other types of entrepreneurship, because priority of this type entrepreneurship is social benefit, social welfare to the human community than capturing economic value (Mair & Marti, 2005; Peredo & Mclean 2006). Social entrepreneurs are also facing the problem of resource scarcity and they have pressure on them to make right decision to create social value in return rather than personal wealth for the leader-manager (Chell, 2007).

Social entrepreneurship is innovative way of to deal with complex social needs which society always needs (Dess, 2001; Peredo & McLean, 2006). Social entrepreneurs realize the social disruptions that arise in the society they live in, and they combine social innovation, responsibility and sustainability principles in order to create a social value (Denizalp, 2007; Wolk, 2008; Gorun & Kara, 2010). Social entrepreneurs are those, who define a gap and associate it with an opportunity, in order to find resources needed, and come over the obstacles (Thompson, 2002).

According to Austin, Stevenoson & Wei-Skillern (2006) "social entrepreneurship as innovative, social value creating activity that can occur within or across the nonprofit, business, or government sectors". Social entrepreneurship is an activity that creates products and services that address the basic human needs that existing economic and social institutions can not meet (Seelos and Mair, 2005). According to another definition, social entrepreneurship is the gathering of resources to create value (Mair and Marti, 2006) The primary objectives of social entrepreneurs are individuals, groups or organizations to whom they provide innovative solutions based on volunteering for the social, economic and cultural well-being of the nation rather than providing financial profitability personally (Leadbeater, 1997; Zadek and Thake 1997; Shaw and Carter, 2007)

The characteristics of social entrepreneurs can be listed as follows (Sanger and Levin, 1992; Noruzi, Westhover, Rahimi, 2010) Social entrepreneurs are not only composed of individuals, but also various teams, social networks and communities can be defined as social entrepreneurs. They are looking for sustainable, large-scale change. Social entrepreneurs' priority is to create social value. Certo & Miller (2008) defines social value as meeting the long-standing needs of society's water, food, housing, education and health care. Guler (2011) summarizes basic features of social entrepreneurship as; To be able to notice social problems, draw attention to social needs,

To have a mission to create social value, to double or triple

(Economic, social and / or environmental oriented) organization, problem solving

To adopt innovative approaches to the solution of problems,

Do not accept restrictions on sources

Commercial entrepreneurs have tendency to gain value from their investments, while social entrepreneurs are struggling to use the funds provided to them within certain limits, legal regulations and short periods to meet the needs of the target groups (Letts, Grossman and Ryan, 1999, Austin, Stevenson and Wei -Skillern, 2006).

### **Women Branches in Political Parties**

Women came out massively to the scene of history during French Revolution for equality, freedom (Gokcimen, 2008). In Turkey, The women's movement has been started since the second half of the 19th century under Ottoman Empire. Reformist transformation on law end education, made the women actively engage the life outside of their house (Caha, 1996). During Sultan Abdulhamit's time reforms on education revealed two different types of women: worker and intellectual women. These women are the founders of the politicization of women (Hotar, 2003). According to Kuyaksil (2009), if we compare the Western civilization with the Turks about implementation of human rights and women rights before the 18th century, it is possible to declare that improvement of human rights in Turkish Civilization was relatively beyond the West. In the 5<sup>th</sup> of December, 1934 Turkish Women had right to vote and to be elected.

### **Methodology**

The aim was to investigate and find out the roles of Women Branches in Political Parties in the context of social entrepreneurship. Their capabilities and abilities of acting as social entrepreneurs in their political parties analysed.

According to our literature review, there were no specific studies conducted related with social entrepreneurship in the context of women and political parties. Because of exploratory nature, in depth interviews was chosen as research method. Purposive sampling approach was used and 4 participants from power and opposite parties selected. Series of 4 interviews made with the participants. The duration of interviews was approximately 30 minutes duration per participant. Collected data inductively analysed. Quotas and themes were revealed according to transcribed documents. To support our research, activity reports of women branches of political parties, have also been examined. Limitations of this study are; limited number of interviewees, chosen city, and only two parties selected from 4 parties represented in Turkish parliament. Our next step with this study, is to cover all parties and whole country to generalize the findings of our study.

## **Findings and Conclusion**

All interviewees define themselves as social entrepreneurs and they have the same idea of NGO's are more effective than the women branches of political parties. But they do not deny the social entrepreneurial role of women members. They find solutions for social problems as they get to the upper levels. We found two main themes, Bridge Between Society and Authorities in order to Create Value, Acting as Pressure Group.

### ***Bridge Between Society and Authorities in order to Create Social Value***

"We as social entrepreneurs have gathered data by listening to these problems and transmitted them to the upper authorities, ie lawmakers" (HU, Power)

"I believe that being a member of a political party will be effective in solving social problems. "I have worked both in Ak Party and civil society. I am still Secretary General of KADER (Association for Supporting Women Candidates). I think civil societies are more effective in solving social problems. Because neutrality can open up more doors, and NGOs are better able to express themselves in public interest"(AE, Power)

"I did not see the advantage of this. I believe that social entrepreneurship is a subject that should not go by using authority and with mutual tolerance. In this regard, I believe in equal opportunity". (AE, Power)

I am not a member, but I think that being in the management team is a serious influence. They were opening doors for people and institutions because I was the vice president of the political party. I participated in projects on children with disabilities. As the Capital City Women's Platform, we organized vocational courses for the parents of the handicapped children. It was a job for women's employment and it was very effective" (SY, Power)

While the mission of business entrepreneurs is to make money, the mission of social entrepreneurs is to provide social benefits (Mort, Weerawardena & Carneige, 2002). They also play a role in policy development to ensure that this social benefit is permanent by using their credibility ( Lewis, 1980; King & Roberts, 1987).

### ***Acting as Pressure Group***

"Top level members of political parties are beneficial to the 1st circle in their surroundings, rather than others. Even if these people can be reached, social issues lag behind the politicians' agenda. As a social entrepreneurs, we have to look for and remind politicians repeatedly for a solution of social issues" (FT, Opposite)

During the first years of the AK Party, social work for disabled people in women's branches have been effective during the process of legislation for disabled people"(HU, Power)

According to Bornstein (2004) social entrepreneurs are those "with new ideas to address major problems who are relentless in the pursuit of their visions. And Entrepreneurial activities require effective use of resources, and correctly managing of network relations, it should not be ignored that, entrepreneurship socially embedded in network structures (Aldrich and Zimmer, 1987; Casson & Della Giusta, 2007). Politicians are under pressure of providing social justice, social equality and be sensitive to the environment, (Bernauer and Caduff 2004). Due to their social entrepreneurial characteristics, and close distance to authorities, women members of political party's may act as pressure groups in their own organizations.

Below quotation shows us that, women in branches of political parties actively engaged in social issues. By these efforts, they expected votes also in return.

"I witnessed women in rural areas like Diyarbakır, Urfa and Balıkesir working more self-sacrificing and willing in social issues. I saw these women climbing the hills to win one vote more" (AE, Power)

Especially transformation from industrial society to the information society, entrepreneurship has been gained importance in the world and 1980's the period when women's entrepreneurship begins to increase more than men's. (Soysal, 2010). Despite these efforts of women, the necessary support is not provided. When the subject comes to social entrepreneurship, especially in developing countries like Turkey, the situation is changing. Seeing women as social entrepreneurs is a positive, acceptable and supported situation in the society.

It is not only the main motivation for members of the party women's movement to increase the voting potential. Social and economic problems in the various layers of society are one of the attracting factors in adopting the social entrepreneurial role of them, the ease of accessing resources to solve as a member of a party, is more crucial.

Power party members mainly focus on, dissemination of women entrepreneurship, providing scholarships to students in need, financial support for widows and unemployed women. One of the basic reason of their vote potential will be close relations between society. Opposite party members mainly focus on women rights, women and child abuses, and intensively political issues. These results are also should be investigated in the context of political marketing.

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## German Political Foundations in Central Asia: Promoting Democracy Through Civil Society

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### Abstract

The paper offers a critical analysis on the role of German political foundations as actors in democracy assistance and is aimed at detecting similarities and divergences in their operation with the civil society of the region. To this end, the article investigates the concrete programs implemented by two major German foundations – the Friedrich Ebert Foundation (FES) and the Konrad Adenauer Foundation (KAS) - in Central Asia, with emphasis on the specific case study of Kyrgyzstan.

**Keywords:** German political foundations, democracy assistance, civil society, social capital, democratization in Central Asia

### Introduction

In the past decade, the promotion of democracy in third countries has become an essential element of the European Union's external policies and development agenda wherein democracy is seen as necessary condition for ensuring inclusive and sustainable development. A role of pivotal importance in the development process has been assigned to civil society conceived as the primary actor in sustaining the democratization process by ensuring grassroots political participation and holding the governments accountable. This applies also to German political foundations (in German *parteinahe Stiftungen* or *politische Stiftungen*) that are involved in the promotion of democracy abroad through the empowerment of civil society. Their agenda includes political education aimed at the strengthening of information and press freedom, the promotion of the administrative capacity for local (self-) government and the improvement of the rule of law. Noteworthy, although they are funded through federal state budget, the *politische Stiftungen* operate independently from the German government and are free to choose their priorities and fields of involvement.

The paper focuses on the role of German political foundations as actors in democracy assistance in Central Asia and on detecting similarities and divergences in their operation with the civil society of the region. For this scope, the paper investigates the concrete programs implemented by two major German foundations – the Friedrich Ebert Foundation (FES) and the Konrad Adenauer Foundation (KAS) - in Central Asia, with emphasis on the values and systems of meaning spread through their activities. Particular attention is given to the conceptualizations of civil society and of its contribution to democracy in which the initiatives carried out with the support of FES and KAS are grounded. It also looks at the mechanisms through which they influence the operation of civil society and the opportunities which civil society organizations have at their disposal to safeguard their autonomy and independence. In addition, the paper delves into the ways in which these two *parteinahe Stiftungen* interact with the government, the media sector and the public in the specific case study of Kyrgyzstan.

### 1. German Political Foundations: an historical overview

The establishment of German political foundations in the post-war period should be interpreted as a reaction to the experience of the Weimar Republic (1918-1933) and its failure. More precisely, in the aftermath of World War II, foundations were established or re-established by political parties with the aim of re-building the democratic institutions that went destroyed in the time of National Socialism and of stabilizing the young democracy of the Federal Republic of Germany through the creation and spread of a democratic political culture. As a matter of fact, the existence and work of these organizations find their constitutional basis in the German Basic Law (*Grundgesetz*) approved in 1949 and, more

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specifically, in Article 5 on freedom of expression, in Art. 9, par. 1 on freedom of association and in Art. 12, par. 1 on professional freedom.

In the first two decades after the end of the war, four political foundations – Friedrich Ebert Foundation (FES), Friedrich Neumann Foundation (FNS), Konrad-Adenauer Foundation (KAS) and Hanns Seidel Foundation (HSS) - received funding from the West German treasure for the conduction of activities in the field of democratic education in Germany. Since 1962, German political foundations have received government funds also for the conduction of projects in developing countries in the field of socio-political education and support for social structures. The engagement of these organizations in international political projects should be contextualized in West Germany's attempt to counteract communist influence in the Third World. It is noteworthy in this regard that "at a time when memories of the Nazi era were still fresh, payment were thought to be more acceptable abroad if they came in the name of political parties [and political foundations] rather than from the German government" (Pinto-Duschinsky, 1991: 34). The function of German political foundations in international cooperation was refined through the joint declaration with the German Ministry of Economic Development and Cooperation (BMZ) of 1971 where it was stated that "the political foundations support their partners in developing countries who are striving to meet the aims of the United Nations' Universal Declaration of Human Rights by taking effective structural action to promote social justice, encourage wider political participation and increase their countries' economic independence. [...] The main focus of this development policy is on helping disadvantaged sectors of society to help themselves"<sup>1</sup>.

## 2. German political foundations: current developments

Nowadays, German political foundations are assigned a role of pivotal importance in the development of democracy and the strengthening of civil society inside and outside of Germany<sup>2</sup>. As private, non-profit entities under German law, they are non-governmental organizations (NGOs) which are economically and organizationally independent from the parties to which they are ideologically affiliated. Altogether, there are six national political foundations active in Germany: the Friedrich Ebert Foundation (FES) which is related to the Social Democratic Party, the Friedrich Neumann Foundation (FNS) which is linked to Free Democratic Party, the Hanns Seidel Foundation (HSS) which is closed to the Christian Social Union, the Henrich Böll Foundation (HBS) which is related to the party "The Greens", the Konrad-Adenauer Foundation (KAS) which is affiliated to the Christian Democratic Union, and the Rosa Luxemburg Foundation (RLS) which is related to the Party of Democratic Socialism<sup>3</sup>.

Although they act independently from the government, they are mainly (about 90%) supported by the federal state budget (Mohr, 2010: 23; 25). The annual support to political foundations on behalf of federal ministries is decided by the Budget Committee (*Haushaltsausschuss*) of the German parliament (*Bundestag*) and the distribution of the resources to the foundations is proportional to the weight of their affiliated political parties. State budget is also available for socio-political and democratic education in forms of "global grants" awarded by the Federal Ministry of Interior. In addition, political foundations can finance their scholarship programs and activities in the field of development cooperation with resources made available by the Federal Ministry for Economic Cooperation and Development (BMZ), Federal Foreign Office and other ministries such as the Federal Ministry of Education and Research. As a matter of fact, between 2005 and 2014, the federal budget allocated to German political foundations registered an increase of about 50%, reaching the amount of 466 million Euro in 2014. At present (2016), the FES received 30.29 % and the KAS 29.57 % of the overall federal budget; they are followed by the HBS with 10.51%, the FNS with 10.21%, and the HSS and the RLS with 9.71 % respectively<sup>4</sup>.

The increase of the budget available to German political foundations has gone hand in hand with the increasingly important role assigned to them as foreign policy tools. In particular, their engagement in the promotion of democracy abroad has been focused on strengthening key democratic institutions such as parliaments, political parties and an independent judiciary as well as the promotion of good governance through the participation of civil society. As envisioned by the BMZ, a central objective of German political foundations abroad shall be the strengthening of civil society organizations in developing and transition countries and their involvement in transnational structures and global policy networks as well as in international and global dialogue processes on development-related issues. The political relevance of the international engagement of these organizations is testified by the police inspections of the bureaus of the Friedrich Ebert Foundations

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<sup>1</sup> [http://www.kas.de/wf/doc/kas\\_7742-1442-1-30.pdf?120928104105](http://www.kas.de/wf/doc/kas_7742-1442-1-30.pdf?120928104105)

<sup>2</sup> [http://www.bmz.de/de/ministerium/wege/bilaterale\\_ez/akteure\\_ez/polstiftungen/](http://www.bmz.de/de/ministerium/wege/bilaterale_ez/akteure_ez/polstiftungen/)

<sup>3</sup> Noteworthy, every party which has been represented in the German parliament for at least two consecutive legislative sessions is authorized to establish an affiliated foundation.

<sup>4</sup> <http://www.kas.de/wf/de/71.3712/>



and the Konrad Adenauer Foundation taking place in St. Petersburg and Moscow in 2013. These episodes can be interpreted as an evidence of the influence attributed to German political foundations and of the difficulties that they might face when they operate in environments which are not so conducive for civil society development.

In the next section of the paper, the engagement of the foundations in development assistance will be investigated more in details, taking into consideration the involvement of the Friedrich Ebert Foundation and the Konrad Adenauer Foundation in Central Asia. The analysis will be enriched with the empirical data collected through semi-structured interviews with representatives of the selected foundations as well as with partners and implementers of their projects in Kyrgyzstan.

### 3. Friedrich Ebert Foundation (FES)

The FES is the oldest German political foundation and is grounded in the basic values of social democracy: i.e., freedom, justice and solidarity. As published on its web presence, the organization sees itself as part of the social democratic community of values and the trade union movement in Germany and the world and, through its work, it seeks to help people in shaping their societies and in fighting for social democracy<sup>1</sup>. The central task of the FES consists of political education and consulting; as international think tank, it endeavors in offering an impetus for a policy of social democracy not only in Germany but worldwide. With a budget of 152 million Euro in 2014, and 660 employees and 150 offices in Germany and abroad in 2015, the FES represents the biggest foundation in the country.

The FES is active in four Central Asian republics with exception of Turkmenistan and is present in the region through its bureaus in Almaty and Astana (Kazakhstan), in Bishkek (Kyrgyzstan), in Dushanbe (Tajikistan) and in Tashkent (Uzbekistan).

Civil society is conceptualized by the FSE as the space between the state, the market and the private sphere which is made up by NGOs, volunteers, neighborhood and community groups and other associations<sup>2</sup>. A central aim of the foundation is to intensify the cooperation between the state, the market and civil society seen as a fundamental element of the modern state. Therefore, the FSE seeks to strengthen civil society in Central Asia by providing it with the necessary freedom to operate as powerful and independent actor and by promoting a public dialogue on the importance of CSOs<sup>3</sup>.

While the empowerment of civil society is one of the main declared objectives of the foundation common to the whole region, differences in its agenda emerge when looking at its engagement in the single Central Asian republics reflecting the socio-economic and political peculiarities of the target countries. For instance, the involvement of the FES with Kazakh civil society is linked to the state's attempt to diversify its economy which, at the moment, is mainly based on the export of natural resources such as petroleum. In this framework, the foundation is engaged in promoting the social and political conditions of the labor market by assisting trade unions in improving the existing mechanisms for solving labor disputes. At the same time, it supports Kazakh NGOs by fostering the cooperation between the government and the non-profit sector and by supporting the latter to become independent from foreign donors. Remarkably, the independence from the international community is seen as a necessary condition for Kazakh civil society to become an autonomous force and follow its own agenda.

In Uzbekistan, the engagement of the foundation with civil society is focused on promoting a strong and independent non-profit sector with an emphasis on enhancing the participation of women in the economic and political life. Hereunto the foundation seeks to improve the framework in which Uzbek CSOs operate also in collaboration with government bodies. In this framework, two public events were organized in 2015 to foster the exchange on civil society developments between Uzbekistan and Germany and, more precisely, to familiarize Uzbek civil society with the German experience. During the seminars that saw the participation of the National Association of NGOs and the Academy of Public Administration the German model of civil society was presented and a critical overview of the its current challenges was offered also through a comparison with the Uzbek case.

Similarly, the FSE involvement with civil society in Kyrgyzstan and Tajikistan is focused on gender awareness and women inclusion in political processes as well as on the empowerment of younger generations. More specifically, in Kyrgyzstan the foundation aims at promoting democratic institutions and a democratic political culture through the development of a diverse civil society. An example of the Foundation's work in the field of women empowerment in Kyrgyzstan is offered by

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<sup>1</sup> <https://www.fes.de/de/stiftung/ueber-die-fes/>

<sup>2</sup> <http://www.fes-centralasia.org/de/themen/zivilgesellschaft.html>

<sup>3</sup> *Ibid.*

the Women's Forum which was organized in 2015 in occasion of the 90th anniversary of the Kyrgyz women's movement in collaboration with the Rosa Otunbajewa Foundation. The event brought together more than 1200 activists from all the regions of the country providing a platform for debating on political and economic participation of women as well as their access to justice and education. As reported by the foundation itself, the forum enabled the formulation of gender specific demands at a peculiar time characterized by the parliamentary primaries. In addition, a Youth Leadership Project was conducted in Kyrgyzstan between 2012 and 2014 and which was aimed at fostering the participation of young people in social and political life. The project, which was implemented with the collaboration of the Institute for Youth Development, provided young activists with capacity-building seminars focused for instance on project management skills for social entrepreneurship. The Youth Leadership Project and the engagement of the FES with Kyrgyz Citizen media will be described in more detail in the next section.

### 3.1. FES and the empowerment of civil society in Kyrgyzstan

The FES has been working for several years with the Kyrgyz youth by providing capacity buildings to youth civil society organizations and centers; the latter are state-supported institutions created by Akimats at city- and town-level. The foundation describes its engagement in this field as successful as testified by the establishment of the Confederation of Youth Organizations (*Verband der Jugendorganisationen*) in 2012 which nowadays comprises 23 groups<sup>1</sup>. In the same year, the FES introduced the Youth Leadership Project which was conducted in collaboration with the Institute for Youth Development and which was aimed at "creating conditions for successful and efficient fulfillment of youth organizations, youth capacity building and its application towards innovation development of the social sphere and civil society in Kyrgyzstan"<sup>2</sup>. More specifically, the project was focused on attracting young people to participate in decision-making processes and raising their awareness on the importance of youth participation in solving the problems surrounding them<sup>3</sup>. Therefore, in the framework of the Youth Leadership Program, capacity building activities were offered to young NGO representatives through which they could increase not only their knowledge on youth issues but also their managerial skills.

In addition, since 2000, the FES has been involved in the professionalization of independent media and, more precisely, in the development of citizen media by providing non-professional journalists with thematic trainings. These seminars are focused on political topics such as political parties in Kyrgyzstan, gender politics and the meaning of parliamentary republic according to the western tradition<sup>4</sup>. The initiative is conducted in collaboration with the Deutsche Welle Academy and the Confederation of Citizen Media (*Verband der Bürgermedien*) which comprises 27 members including radio and multimedia in the region. The final goal consists in the establishment of a one-hour weekly broadcast on current political themes (*Politische Stunde*) made by ordinary citizens for ordinary citizens. In the framework of this project, study trips to Germany were organized for the most engaged people's correspondents (*Volkskorrespondenten*) to familiarize them with the German experience and best practices.

### 4. Konrad Adenauer Stiftung (KAS)

The KAS is grounded in the values of peace, freedom and justice and is particularly concerned with the consolidation of democracy, the promotion of European integration, the intensification of transatlantic relations and development cooperation. As think tank and consulting agency, the KAS endeavors in providing scientifically-based analysis of political activity<sup>5</sup>. The KAS Academy in Berlin together with conferences and seminars it organizes are presented by the foundation as a venue for exchange on future-relevant issues pertaining politics, economics, religion, society and science. Its scholarship programs are aimed at supporting materially and ideally talented young people from Germany, Central and Eastern Europe and other developing countries<sup>6</sup>. With a budget of 140 million Euro in 2014, 640 employees and 70 offices and projects in 120 countries, the KAS is the second largest foundation in Germany.

The KAS is present in Central Asia through its bureau in Astana (Kazakhstan) and the Regional Project Central Asia based in Tashkent (Uzbekistan). The engagement of the foundation in the region is focused on education and, especially, on political education, media development and the strengthening of parliamentary institutions and local self-governments.

<sup>1</sup> Interview conducted with FES Head of Office in Kyrgyzstan (Bishkek, November 2016)

<sup>2</sup> Interview conducted with two representatives of Institute for Youth Development (Bishkek, November 2016)

<sup>3</sup> Ibid.

<sup>4</sup> Interview conducted with FES Head of Office in Kyrgyzstan (Bishkek, November 2016)

<sup>5</sup> <http://www.kas.de/wf/de/71.3628/>

<sup>6</sup> Ibid.

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In the field of education, the KAS supports young talented people in Kazakhstan and Kyrgyzstan through the Sur-Place Scholarship program providing a five-month-financial support to students in social sciences and humanities. The program is described by the foundation representative in Kazakhstan as a way to serve the process of democratization and development of civil society<sup>1</sup>. Besides the scholarship granted, the KAS organizes events and conferences for current participants and alumni of the Sur-Place initiative, during which politically relevant topics are discussed. The aim of these initiatives is to offer young people a venue where to learn how to build up their own mind and to voice their opinions<sup>2</sup>. The attendees are also offered professionalizing workshops on how to plan their future career; as a matter of fact, as reported by one of the KAS representatives, many alumni occupy higher position in the public (at the ministerial level) and private sector.

The foundation's involvement in Central Asia comprises activities in the field of media development and the professionalization of journalists aimed at increasing the reliability of and trust in the media. To this scope, in the past two years, seminars were held in Uzbekistan to foster the development of the media landscape in the country in partnership with the National Association of Electronic Mass Media in Uzbekistan; a focus on energy and environment-related issues characterized these capacity building activities. Workshops were offered to Uzbek journalists focused on how to develop a youth-oriented news broadcasts using modern methods and international standards which was facilitated by the know-how exchange with media experts from Germany. Similarly, seminars were organized in Uzbekistan on how to produce social advertisements for electoral campaigns and Uzbek journalists took part in a study exchange program in Germany where they visited and learnt from the experience of German public and private channels. Noteworthy, the work of the foundation in the field of media development in Kazakhstan is conducted in close cooperation with the International Center for Journalism Medianet whose declared mission is to support civil society development in Kazakhstan and Central Asian countries through the empowerment of independent and objective mass media, to support public organizations and protection of human rights and fundamental freedoms<sup>3</sup>.

In addition, the foundation is involved in strengthening parliamentary institutions and local self-governments in Central Asia. For instance, in the past years, KAS has offered several conferences and experts' roundtables on topics such as the development of a multi-party system and party competition in Kyrgyzstan and Uzbekistan and the importance of the parliament as a public control instrument to ensure the protection of civil and political rights of ordinary citizens. Likewise, seminars were conducted in Tajikistan to discuss the development of parties and parliamentarism in partnership with the National Association of Independent Mass Media in Tajikistan. Furthermore, workshops on the fundamentals of local-government were held in Kazakhstan which were attended by members of the parliament and the local administration. These events were organized in collaboration with international partners such as the Organization for Security and Cooperation in Europe and the National Democratic Institute and national partners such as the Regional Policy and Local Self-Government Development Department of the Ministry of National Economy and the Rosa Otunbajewa Foundation.

#### **4.1. KAS and the empowerment of civil society in Kyrgyzstan**

A very good example of the KAS' engagement in promoting democracy through the strengthening of civil society in Kyrgyzstan is provided by the project "Fostering and Monitoring of the Education Reforms in the Kyrgyz Republic". This initiative is implemented by the foundation with the assistance of the local organization BIOM Ecological Movement and the financial support of the European Union (EU); it has a duration of 1,5 year - between January 2015 and June 2017 - and an overall budget of 500.000 EUR.

The main objective of the project is to improve the work of the Public Advisory Council of the Ministry of Education and Science (EPAC). Remarkably, the Public Advisory Councils (PACs) were established by law in 2014 to monitor the activities of public authorities and to contribute to the decision-making process concerning the formation and implementation of public policy. The above-mentioned project is focused on the work of the EPAC and, more precisely, on improving its capacity of monitoring the education reform process and of representing public views on education issues. To this scope, trainings are offered to the members of the EPAC and representatives of civil society to improve their capacity to design and implement public policy and to increase the understanding of the education reform process by looking also at best practices coming from the EU. In addition, new mechanisms of exchange and interaction between EPAC, civil society and media are established through which civil society representatives can be involved in consultation activities and mass media can be

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<sup>1</sup> <http://www.kas.de/kasachstan/de/about/>

<sup>2</sup> Interview conducted with the representative of the KAS in Kazakhstan (Astana, June 2014)

<sup>3</sup> <http://www.kas.de/kasachstan/en/about/partners/>

informed on the education reform taking place in the country. As reported by the implementing organization in this regard, the project will provide a platform for a structured dialogue between the government and civil society through which the latter will be involved in consultation, policy-making, and policy implementation processes in the educational field. Through the project, the transparency and accountability of the government will be enhanced and this will then contribute to the strengthening the democratic foundation of society itself<sup>1</sup>.

### Concluding remarks

The paper was focused on the work of German political foundations in Central Asia. After a brief introduction on their history, development and mission, the article described the concrete engagement of the two major German political foundations – the FES and the KAS – in Central Asia. The analysis was enriched with empirical data collected on the ground during a fieldwork taking place in Kyrgyzstan between October and November 2016. Since the study is still a work in progress, at this point only a few and very general concluding remarks can be offered to the reader.

As showed by this preliminary analysis, both the Friedrich Ebert Foundation and the Konrad Adenauer Foundation attribute to civil society a role of pivotal importance in the process of democratization and seek to strengthen the participation of (civil) society in the decision-making process. The foundations are active in the region as norm diffusers and, through their activities and seminars, contribute to the spread of similar representations and systems of meaning related to the role of civil society and media as well as the social, political and economic rights to which specific groups of the population (such as youth and women) should be entitled. Noteworthy, the German experience and best practices are used as a point of reference and as a model by both foundations.

Nonetheless, interesting divergences emerge if we look at the strategies adopted by the *politische Stiftungen* in Kyrgyzstan. For instance, the KAS' support to the youth takes place especially through the Sur-Place Scholarship program and a series of conferences and seminars addressed to individuals. On the contrary, the FES prefers to work with youth civil society organizations and promote youth empowerment by strengthening the organizational capacity of the groups working in this field. In addition, whereas the FES' initiatives are mainly addressed to civil society representatives and ordinary people (especially women and youth), the capacity-building activities of the KAS include also parliamentarians, local authorities and government bodies. Here the main difference characterizing the engagement of the two foundations with civil society come to light. Indeed, the work of the FES tends to focus on the empowerment of different civil society groups and representatives especially at the local level and in remote areas of the country to ensure the representation of pluralistic and diverse interests in the decision-making process. Conversely, the KAS is engaged in establishing structured channels of interaction between the non-profit sector and the state through which monitoring and consultation processes can take place at the government level. Therefore, both the foundations are active in Kyrgyzstan as infrastructure builders. However, whereas the FES is more focused on the creation of "bonding" social capital (Putnam 2000) strengthening civil society by building or reinforcing relations inside the non-governmental sector, the KAS supports civil society through the creation of "bridging" social capital (Ibid.) linking state with non-state actors.

### List of Acronyms

BMZFederal Ministry for Economic Cooperation and Development

CSOCivil Society Organization

EPACCouncil of the Ministry of Education and Science

EUEuropean Union

FESFriedrich Ebert Foundation

FNS Friedrich Neumann Foundation

HSSHanns Seidel

HBSHenrich Böll Foundation

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<sup>1</sup> Interview conducted with BIOM director and project implementer (Bishkek, November 2016)

KASKonrad-Adenauer Foundation  
NGONon-Governmental Organization  
PACPublic Advisory Council  
RLS Rosa Luxemburg Foundation

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Interview conducted with BIOM director and project implementer (Bishkek, November 2016)

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## Explaining, Cultural, Educational and Social Needs of Faculty Members of Farhangiyān University - According to the Predetermined Goals of Education's Fundamental Transformation Document

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### Abstract

The present work is an applied and descriptive analysis survey method. Mixed techniques were applied. The Sample population in the qualitative section of the research consists of 19 thinkers; they were selected by purposeful sampling. The sample population was constituted by 181 faculty members of Farhangiyān Universities in six provinces. 150 of them were randomly selected. Research data was gathered by semi-structured interview and the researcher made the needed questionnaire. The most significant educational needs are: religious needs with emphasis on Islamic training and ethical, cultural and social needs which are discussed in four sub - categories: Cultural, Social, Ethical, Political. Quantitative results indicated that the need of such teachings is higher than intermediate level stated below. The most important need of faculty members in the cultural field is "being aware of the role of the university teachers about preserving, transferring, correcting and recreating culture" and their most important need as regards religious teaching is "the ability to use educational methods obtained from the Qoran and Nahjolbalaghe" (book of religious teachings).

**Keywords:** educational need, needs assessment, cultural social educational needs, faculty members, Farhangiyān University

### 1. Introduction

Changes occurring in cultural systems over time create new needs in any society (Chalabi, 2008:22-245). Moreover, in any society universities are institutions which have great responsibilities such as transferring the cultural heritage, the strengthening ethical awareness in students (Thaerpur, et al 2009). Considering the heavy responsibility of the branches of Farhangiyān University in responding to increasing cultural and social demands in students there is the need for effective programming with the aim of reaching the favorable situation. The first step here can be defined as the identification of the current situation through educational need assessment. In the Farhangiyān University, since what the student - teachers learn is to be put to direct practical use, the integrity of their teachers is of magnified importance.

Accordingly the aim of the present study is that by educational need assessment clarifies cultural, educational and social needs of faculty members of Farhangiyān University. In order to examine related studies were explored and it was indicated that no prominent work have been conducted in this field but some studies were performed about cultural needs of the



students which Mahdavi(1999) can be mentioned; its results indicated that many cultural problems among youths. Thus university must be able to internalize norms among students. Blo<sup>o</sup>meke, Kaiser(2012) think that the curriculum of teacher education has been described as heterogeneous across countries and influenced by the context in which it is implemented.

Russell et al (2013) showed that at least twenty-three distinguishable elements of culture interact with every component of the design process in the: 1) goals and funding decisions of the client; 2) goals and design decisions of the design team; 3) perceptions of the training program of all stakeholders; and 4) the observable outcomes of the training program. By empirically illuminating the pervasive presence of cultural interactions across the instructional design process, this study advocates for culture to be recognized as a construct of importance in our field and demonstrates the powerful capabilities of using a comprehensive descriptive model as a lens for exploring cultural dynamics in the instructional design process.

The article argues that even though deconstruction has indications for action in religious education, the action should be subordinated to the notion of deconstruction as event. Three strategies can be used in the curriculum of religious education inspired by deconstruction. The first strategy is to emphasize the spirit of religion as different from the corpus of rituals. The second strategy concentrates on the common core of religions as a basis for translatability among different religions. Finally, the third strategy deals with providing compatibility between faith and knowledge(Bagheri,Khosravi,2011). Culture as a determinant factor of behaviors is an important subject in a society. Until recently, culture as a collectively held set of values, traditions, beliefs, and assumptions was not considered as a factor in the process of development. Now, however, culture is recognized as the heart of the development process. Culture is the fourth pillar of sustainable development. It can determine the human's priorities to gain the material and spiritual goals. The relation between culture and sustainable development is considerable and outstanding(Haghighi,2009).

Vahedchokadeh(2005) also emphasizes that educational program must be designed in a way that promote favorable social cultural education(p15). Fathi, Vajargah et al (2006) believe that cohesive consideration of cultural values in different education levels is intransitive (p32). Some researchers believe that considered cultural needs as top priority education s' (Hamidi 2005, Ahmadi et al 2008, Esmaili and Rabiee, 2008, Asare et al, 2012) Lohmanniya and khamesan (2010) believe that irrelevance of content of lessons to sub-cultures and also multi level concept of national cultural identity are the cause of weak observing of cultural identity. Saboktakin and Khosrojerdi(2013) believe that alone education is meaningless, but education trend includes teaching culture too(55). Other researchers believe that knowledge centered culture must facilitates educational innovation (Safae and Fakhri, 2012, p. 5). To some researchers, higher education institutes of the country can play a significant role in social, cultural transformations and can have a more prominent status in cultural responsibility of the society which is adjusted to Islamic Iranian identity (Manafisharafabadi andZamani, 2012, p. 85). In other related studies (1996-2009) the following factors were introduced as causes of keen weakness in field of teaching culture and national identity:a) weakness of educational institute in considering genteel Iranian culture and attaching to foreign cultures(Kafash and Faridi,1996, p12, and Tavakolinik 2001). B). Not satisfactory curricula in playing their role for crating identity in personal, social and national arenas (Rabani, 2003, p. 65). c) Lack of congruence between religious-Islamic, historical, geographical and worldly identity (Rabani, 2002). Not congruence between national and cultural identities and it results in weakening of such issues in educational curriculum (Lohmannia, 2009, p. 171). Unfortunately, however, in spite of the fundamental relationship of 'spirituality' to the very basis of what it means to be a human person, and in spite of the fact that spirituality is acknowledged in educational literature as a priority for schools, evidence suggests that we, as a society, could do a lot more to support the spiritual development of teenagers in our care( Waters,2010)

Universities as models and as the most important institution in transferring cultural values must promote not only scientific aspects which contain cognitive awareness but also must promote cultural and social behaviors (Zokae, 2003, p. 53). It seems that higher education can move forward positively in this domain only when pays deep attention to its education curricula (Sharafi and Taherpur, 1999, p. 26).

role of curricula traditional approach -centered in transferring culture includes subjects such as reading and also familiarity to literary choices and education of history, and accordingly they use prescribed cultural values for forming national behaviors (Gutak translated by Pakseresht, 2002, p. 78), but, Delanti(2007) believes that ideal of index for cultural education are open widened university which differs greatly from traditional university (Delanti, 2007, 258-259).

In this field studies conducted in foreign countries are also inspiring. For example results showed that considering cultural, social needs and valuing different cultures are significant cultural need and cultural, social political knowledge is highly correlated to current curricula of universities(Lee Kuang Wu,2000, An Ran and Viv Edward,2006, Teny Green 2008, Brendan Bartaram,2009, Riveilli2010, Reynher, Gillbert and Lockard 2011). Kallen(2005) believes that making



internationalization curricula in universities creates cultural opportunities (an cited of Jang 2009). Sikart(2008) also showed that globalization phenomenon influence over national cultural identity of faculty members. Fass and Ross(2012) showed that there is no assimilation between cultural content of experienced and performed curricula Beuckleer, etal (2012) indicated that cultural variety is considered as a positive potential for improving quality of education of faculty members. LeedjiaSvec (2014) showed that cultural knowledge will enable person for saving resources, improving life conditions and also accomplishing responsibilities. Generally education if considered alone is meaningless and education flow in university also includes instruction culture. It is advised that consider a more active role for higher education in the arena of cultural mission of society.

Professors are considered as key factors. Considering their educational needs is a priority in developmental programs of the country. So Farhangian University has changed into a center for fighting against unsuitable training habits and considering the appearance of new cultural needs in society, according to those innovations in cultural, educational fields are cooperated into the process of training future university professors.

According to Mehrmohamadi (2013)"teaching is a extensive activity in universities especially in Farhangian university and one important aspect of it is based on cultural, educational and social needs of students teachers in curricula, thus if it is expected that educational plantings pare the way for this purpose and accordingly they acquire merits in this area, so teaching trainers is crucial importance (Mehmohamadi, personal interview, 2013).

The researcher aimed to assess needs of faculty members in cultural, educational and social fields. It must be noted that in promotion for faculty members of Farhangian University four main activities are considered:a) Cultural, educational and social activities) Educational activities. c) Inquired and technologic activities) Scientific, executive activities (promotion Bylaw of faculty members, 2011). In the present study, only cultural, educational and social activities are considered and these are divided more into two sub branches of 1) religions studies with emphasis on Islamic education, 2) ethical, cultural and social issues.

## **2. Research Method**

### *2. 1 Type of research*

The present research is of analytical-descriptive and surveying method. Depending on the theme of the research, two qualitative and quantitative approaches were employed in performing the different sections of this research work. Qualitative method was used to collect information from specialists and authorities in education while quantitative method was employed to collect information from full-time instructors and the academic members of Farhangian University. The findings of the qualitative section were used not only to answer the research questions but also to construct the tools for the quantitative section. After the implementation of the interview texts, the basic statements related to "teaching skills"were extracted and added to the text of the questionnaire to construct the tools. Therefore, the combined exploratory method was also used in this research (Plano Clark, et al. 2008:372; Creswell and Plano Clark, 2007:62-72 quoted by Sharifiyan, et al. 2013:54).

### *2. 2 Population and sample*

The population in this research work consists of two sections:A) the authorities and high-ranking experts in education at the country level form the qualitative section of the population in this research work. Nineteen authorities in education who were the sample of this research work were interviewed in a semi-structured manner. B) The full-time instructors and the academic members of Farhangian University from the fourth axis of the country consisting of Esfahan, ChaharmahalvaBakhtiyari, Lorestan, Yazd, Khuzestan, and Ilam formed the population of the quantitative section of this research work.

The initial sampling method for the selection of the authorities and experts in education in this research work was targeted (Creswell, 2007). In fact, the authorities and experts selected for the subject of research work were "significant samples"(Williams, 2006:79). In addition to targeted sampling, network-sampling method was also used during the interviews (Noori, 2008:330). The first interviewees were asked to recommend those whom they considered competent for the topic of the interview. Regarding the authorities in education, the size of the sample was not quantitatively calculated, but to obtain some standards like data saturation and information redundancy show the adequacy of the sample (Onwuegbuzie and Leech, 2007:242; Guest et al. 2006:59 quoted by Sharifiyan et al. 2013:54). The stratified random sampling was also used for the selection of the full-time instructors and academic members of the desired provinces so

that all the full-time instructors and academic members of the desired provinces were selected. The sample of the quantitative section of this research work included 150 teachers in total consisting of 45 (30.6%) teacher holding PhD, 102 holding MA/MS (69.4%), and three unspecified teachers. The size of the teachers and academic members was calculated by different methods. In the first method, Cochran sample size was used to specify the number of the teachers and academic members required. Additionally, after performing the research work, the test statistical power was calculated and with regard to the fact that the statistical power was equal to 1, the adequacy of the sample was confirmed.

### 2.3 Data collecting instrument and determining validity and reliability

A semi-structured interview and a researcher-made questionnaire were used in this research work. The researcher interviewed the authorities to acquire their views. The validity of the interview form was investigated and confirmed by those who examined the validity of the questionnaire. The reliability of the questionnaire form was examined by three experts knowledgeable in the qualitative research methods. They studied the summary of the issues and the determined the categories by the use of the triangulation method. Since there was no standard questionnaire regarding the research subject, a researcher-made questionnaire was used to collect information from the intended sample. To determine the content validity of the two tools of interview and questionnaire, the views of 12 academic members of the Faculty of Education and Psychology at Esfahan University who enjoyed the required specialty were employed. The Cronbach's Alpha was used to estimate the reliability and internal correlation of the questionnaire questions. After performing the preliminary studies on 36 individuals of the population and analyzing the questionnaires, the reliability of teaching skills background was estimated to be 0.910. To study the construct validity of the responses, they were analyzed by the use of factor analysis and Varimax rotation method. Therefore, the number of the statements and the components remained unchanged. A minimum factorial load of 0.4 was the standard for the statements to remain in the questionnaire. The results of KMO test was 0.900 and the Bartlett test for the study of sphericity of the data was 742.144  $P < 0.01$  which was meaningful and satisfactory. The amount of the specific values and the justifiable variance percentage for the factor of teaching skills were 62.936 and 5.035, respectively, indicating the suitable validity of the tools.

### 2.4 Data collection and data analysis methods

Some methods have been presented for the analysis of the information obtained from the interviews that can be used to analyze the propositions and the views of the interviewees (Campbell et al. 2004:125-147; Mason 2002:91-96). Normally, to analyze the data obtained from the interviews, several stages or steps including data preparation, data organization, and data reduction within the framework of the propositions by encoding and condensing the codes are used and ultimately, the data are presented in an image, table or discussion format (Creswell, 2007:148). In this manner, the stages of data analysis are also performed as the above in the present research work. It is done in so that the interviews are performed in person by recording and then by transcribing the interview; the statements are categorized by MAX. QDA Software and after the determination of their reliability they are categorized. To collect the data by the in-person questionnaire related to the academic members, the questionnaires were distributed among them and 150 copies were collected. To analyze the qualitative data, the descriptive-inferential statistics were employed and the average and frequency were calculated at the descriptive level. At the inferential level, the data were first examined for two specifications of normality and homogeneity of variances. In cases when the data enjoy these two specifications, the parametric tests were employed; otherwise, the non-parametric tests were used. The tests used in this research work consisted of multi-way analysis of variance, factor analysis, and single-variable t with a hypothetical average of three

## 3. Research findings

Since the method of this research work is a combined approach, the findings are therefore presented based on the research questions. The data are analyzed in the qualitative section by the use of categorization method. After the transcription of the text of 19 interviews, 168 propositions (codes) were extracted. After the analysis of the content based on the propositions, 107 propositions were obtained in the second stage and 77 propositions in the third stage and the main categories were determined. With regard to the importance of the subject in this article, the category of "teaching skills" has been studied. In continuation, the needs related to the intended background are presented in Table (1).

**Table 1. The most important educational needs expressed by the interviewees in the area of "cultural, educational and social needs"**

Main categories	Educational needs

<p>A) Religious studies with emphasis on Islamic education</p>	<ol style="list-style-type: none"> <li>1. learning of Quran in order to answer students, teachers Questions</li> <li>2. Ability to transfer Ability of transferring religious ideas values and creating strong faith to Islam</li> <li>3. Familiarity to Islamic rich resources (Nahjolbalaghe, Nahjolfesaheh, affect and narratives, valid books )</li> <li>4. Ability of understanding and extracting of educational commitments from Islamic recourses</li> <li>5. Familiarity with philosophy of Islamic education</li> <li>6 Familiarity with religious aims in students -teachers curriculum</li> </ol>
<p>B) Ethical, cultural and Social issues</p>	<p>A) Cultural domain</p> <ol style="list-style-type: none"> <li>1. Acquaintance with the role of university professors in preserving, transferring, Correcting and recreating culture.</li> <li>2. Initial familiarity to collection of human sciences (Sociology, History, Art, Philosophy and Social science).</li> <li>3. Familiarity with comparative education for knowing other cultures.</li> <li>4. Need for internationalizing of curricula.</li> <li>5. Familiarity with aims and bases of cultural direction in Education's fundamental transformation document.</li> <li>6. Recognizing signs of cultural attack and exposing it.</li> <li>7. Ability of registering of educational sources content to religious cultural sources</li> <li>8. Familiarity with the aims of students -teacher's curricula in cultural social educational issues.</li> </ol> <p>B) Social domain</p> <ol style="list-style-type: none"> <li>1. Recognizing the mission of Farhangiy university as the main center for education</li> <li>2. Need to internalization of curricula</li> <li>3. Familiarity with the role of education in social growth among teachers and students</li> <li>4. Familiarity with cultural -social needs and problems of students</li> <li>5. Familiarity with problems of the current society and new social phenomena's</li> </ol> <p>C) Ethical Domain</p> <ol style="list-style-type: none"> <li>1. need to Familiarity with life's of types people</li> <li>2. Familiarity with the applied style of prophet Mohamad and Imams and Fatemeh Zahra</li> <li>3. Teaching ethics and character teaching and methods for being teaches</li> <li>4. Need to the teaching norms and values (honesty, professional truth and respecting people's domain)</li> </ol> <p>D) Political Domain</p> <ol style="list-style-type: none"> <li>1. Being knowledgeable about political issues (political thinking and politic understanding)</li> <li>2. Ability of analyzing current issues in Iran and world</li> <li>3. Being conscious about teacher's role in political training of students-teachers</li> </ol>

3. 1 The first question:What are the educational needs of the faculty members in the area of religious teachings with emphasis on Islamic training?

According to interviewees six educational needs mentioned in table 1 were among the most important needs of Farhangiyān University faculty members; in the following they are presented briefly:

3. 1. 1 Need to learn Quran and religious thoughts in order

This need was approved by 14 people participating in the study (73. 68%). They believed that usually religious questions are proposed by students (interviewee 1). Also considering quick cultural social transformations, teacher must be able to answer such questions (interviewee 2). Such as development a course called “familiarity with Nahjolbalaqeh”(interviewee 6 and 7). A main issue which deserves special consideration is that in religious teachings we have to look for those who have faith in religion. In fact teachers have to be able to educate students who have strong faith. (Interviewee 13).

3. 1. 2 Ability of transferring religious believers and values and creating

This educational need is pointed to by 12 participating subjects (63. 15%). When, the values have explained Interviewee 3 believes that familiarity with religious must be the priority of those who are supposed to work in education field Therefore it is suggested that religious consultant be defined as a permanent post in order to answer students and teachers questions (interviewee 4).

3. 1. 3 Familiarity with educational necessities

It is the other need that mentioned and emphasized by 11 respondents (57. 89). Interview 6 believes that Islamic educational methods in Islamic sources are available then must be consequently thought to university professors. When rich educational methods are available then they can be transferred to teachers.

3. 1. 4 Familiarity with philosophical

12 interviewees (63. 15%) consider it as one of the most basic issues which a teacher must acquire it both theoretically and practically, these are philosophical issues and principals mentioned in philosophy of education of Islamic republic of Iran ( interviewee 6,9,17).

3. 1. 5 Familiarity with religious goals in curriculum of students teachers and domination

12 respondents (63. 15%) deemed it necessary that in Farhangiyān university, teachers must be acquainted to religious teachings practically. They must gain needed capabilities in their own major to express religious goals; this university must not be limited to transferring mere scientific knowledge (interviewee 12).

3. 1. 6 Familiarity with pure Islamic

Five of the interviewees (26. 31%) explicitly referred to this need. They believe that lack of attention to pure Islamic mysticism have resulted in formation of forged fake mysticisms (interviewee 7). If pure Islamic mysticism, Nahjolbalaghe, SahifeSajadiye and living methods of Imams be included in university teachings of duration service, then import roads for such fake teachings will be blocked practically.

3. 2 *The second research question: To what extent do the faculty members of Farhangiyān University require training in the area of “religious teachings with emphasis on Islamic education?”*

Based on research findings 64/1 percent of the respondents in quantitative section had MA degree and 34/4 percent had PhD degree and 57/7 was male and 39/7 was female. 46/2 percent of the respondents have worked between 21 to 30 years.

**Table 2. Comparison of Average needs of Farhangiyān university faculty members to education in religious teachings with emphasis on Islamic education with three hypothetically mean**

Factor	Mean	Standard deviation	Mean deviation	t	Df	Sig
Education in religious teachings with emphasis on Islamic education	3/61	0/83	0/069	8/882	143	0/001

Based on the findings the Average needs of Farhangiyani university faculty members to education in religious teachings with emphasis on Islamic education is 3.61, because calculated t is higher than the t tables, their need is higher than average.

3.3 *The Third research question: What are the most important needs of the faculty members in the area of "religious teachings with emphasis on Islamic education"?*

**Table 3. The most important needs of the academic members in the area of "religious teachings"**

	Questions	mean rank
1	Ability of applying of educational and current methods and commitments from in Qoran and Nahjolbalage	5/66
2	Capability of Qoran in order to answer students, teachers Questions	5/26
3	Capability for updating of religious knowledge student-teachers	5/08
4	Familiarity with the aims of student's curricula in cultural social educational issues.	5/07
5	Ability of recognizing of religious of students	4/89
6	Renovation in the religious concepts related to scientific of teachers	4/88
7	Ability of transferring religious ideas values and creating strong faith to Islam	4/86
8	8. Ability of creating of Islamic studies in classroom and teaching	4/76
9	Familiarity with principles and bases of Islamic education in education	4/55

Findings indicate that in the questionnaire, mean of all related sentences for religious teachings filed with emphasis on Islamic education is higher than average. Sentences 1,2, and 3 got the highest ranks respectively.

3.4 *The Fourth research question: what are the educational needs of faculty members of Farhangiyani University in ethical, cultural and social issues?*

Four sub issues (refer to table) are identified after studying the interview texts: 1-4 fields of cultural needs: eight different needs of faculty members are for Farhangiyani University recognized by interviewees in this part which are:

#### 3.4.1 Cultural needs

##### 3.4.1.1 Being knowledgeable about the role of university professors

15 interviewees (78.94%) explicitly emphasized on educating for this need. They believe that teachers must consider the role of transferring, preserving, modifying and recreating culture (interviewee 4). They believe that a teacher must make help to preserving current values and also consider their educational-cultural (interviewee 9). Two points in the area of cultural issues is significant: 1. Existence of rich cultural resources based on religious concepts 2. Imagination of cognition process and cultural engineering phenomenology. In fact disorder is evident in all culturally responsible foundations. Prior to any cultural activity, cultural engineering is necessary (interviewee 13).

##### 3.4.1.2 Initial familiarity with human sciences

This need is proved by nine interviewees (47/36%) approved this issue. Interviewee 9 believed that it is necessary for a teacher to be familiar with cultural issues in order to be influential in training teachers and students.

##### 3.4.1.3 Familiarity with comparative education

Seven respondents (36/84 percent) referred to the need of becoming familiar with different cultures. In fact comparative education must be considered in Farhangiyani University as a main course (interviewee 10). If students-teachers have to acquire merits in the cultural domain and, then one of the best fields for preparing the situation is the teachers who must be receive appropriate education (interviewee 16, Mehrmohamadi, 2013).

##### 3.4.1.4 Need to the curricula internationalization

This need is a need to which 7 participants (36/84 percent) pointed. According to interviewee 6 this phenomenon permits the cultures to express it; in this issue universities can present its religious values and also pay attention to native owns and positive results others so respond to educational needs.

#### 3. 4. 1. 4 Familiarity with cultural aims and bases for directing in change

This need is one of the main goals that, 12 persons (63/15 percent) of those who were interviewed emphasized on this issue, subject 11 believes that it is meritorious to put education of teacher's basis on aims cultural directing in education change Education's fundamental transformation document. Subject 13 also believed that a unified cultural management is needed for producing cultural values, and in this way cultural decisions are not personal and guide cultural issues in this route.

#### 3. 4. 1. 5 Being knowing the signs of cultural

13 Respondents (68/42%) considered this issue as a current educational need for university teachers. Interviewer 2 believes that regarding fast cultural social transformations, vast global connections, and cultural attack against Islamic society of Iran is extensive and teachers have to be conscious about this threat.

#### 3. 4. 1. 6 Ability of comparing of course content

Of 15 respondents (78/94%) emphasized on this issue. Respondent 13 believed university courses have to be adjusted to local religious culture. So, teachers thinking's is influenced by such context and mostly such books are translation of western thinkers.

#### 3. 4. 1. 7 Familiarity with curriculum aims

Knowing covert aims in curriculum is a need to which 12 subjects (63/10%) pointed. Interviewer 16 mentioned that special attention must be paid to teacher -student training programs in Farhangiyani University and this can inspire teachers, thus it is expected from a teacher to become familiar with such aims (Mehrmohamadi, 2003).

#### 3. 4. 2 Needs mentioned in the field of social issues

Four specific needs for Farhangiyani university faculty members are recognized by interviewees in this part which are:

##### 3. 4. 2. 1 Knowing and recognizing social aims and missions

This need is considered critical by 11 respondents (57/89%). Interviewee 3 believes that a teacher must be conscious about (education, research, preparing human work force and entrepreneurship), also they must practically enter such aims to their activities, of course skill in education is one of the main responsibilities of Farhangiyani University.

##### 3. 4. 2. 2 Familiarity with social needs

8 respondents (42/10%) mentioned this issue. Interview 6 considered lack of connection between course contexts to current problems of the society as a big challenge. Interviewee 7 believes that teachers have to be conscious about current problems.

##### 3. 4. 2. 3 Recognizing the role of teacher

This need is considered by 11 believed that Farhangiyani University teachers as a person who has deep-seated view to social issues have to be conscious about his own role in educating. Interviewee 9 expressed that usually teachers are those who aware about common issues of the society. Interviewee 17 also emphasized that at Farhangiyani University social relations must be thought to the students.

##### 3. 4. 2. 4 Familiarity with social problems and damages in society

This need is approved by 9 interviewees (47/36%). In fact professor must have exact view about social issues and consider them in his teaching. Teacher's knowledge about such issues can result in creating knowledgeable teacher-student (interview 12).

#### 3. 4. 3 Mentioned needs in the Ethical domain

In this domain four different needs are mentioned by the interviewees in this part which are:

### 3. 4. 3. 1 Need to the familiarity with lives

10 Interviewees (52/63%) believed that familiarity to great mode figures can be helpful in teaching culture. In this regard Quran can be used a training model (interviewee 14). Another interviewee (13) believed that teaching based on studying life of models in curriculum can make a good content for transferring to teachers.

### 3. 4. 3. 2 Familiarity with the applied style

10 interviewees believed that (52/63%) emphasized on this need. Interviewee 4 believed that being teacher is equal to transferring love not knowledge, Thus in practical training such familiarity is of critical importance.

### 3. 4. 3. 3 Teaching ethics and character

68/42 percent of interviewee (13) teaching practical points about teacher's behavior are another need. They believe a missed ring not for teachers but for all society is ethics. If a teacher is teaching about hygiene he has to mention some narratives about this issue. Such teachings are found in the life style of prophet Mohamad and his daughter Zahra. In fact in ethical training, indirect education is more effective (interviewee 14).

### 3. 4. 3. 4 Need to the teaching of norms and values

This need considered by 8 interviewees (42/10%). Interviewee 15 believed that ethics means the norms a teacher follow in his education environment. In fact a teacher in Farhangiyan University must play the role of model for his students.

### 3. 4. 4 Needs mentioned in political domain

#### 3. 4. 4. 1 Being knowledgeable about political issues

This need mentioned by 11 respondents (57/89 %). Interviewee 1 considered it as a critical factor which can be attained by teaching first level Islamic sources such as Nahjolbalaghe.

#### 3. 4. 4. 2 Capability in analyzing current issues

This need mentioned by 10 (52/ 63%) respondents. Because faculty members are training the next generation of teachers of the country. Being conscious about the role of education in political training of the students is very critical (interviewee 2). It is expected that university teachers have political thinking.

#### 3. 4. 4. 3 Being conscious about teacher's role in

Because a Professor is also influential in political education of students, to 9 interviewees (47/26%) having knowledge about this role is of prominent importance. Interviewee 9 believed that a university Professor has to be conscious about his critical role in political education of the students.

### 3. 5 The Fifth research question: To what extend Do faculty members at Farhangiyan university need education in ethical, cultural and social issues?

**Table 4. Mean comparison of the need of Farhangiyan faculty members to education in the fields of ethical, cultural and social issues with hypothetical mean of 3.**

Factor	Mean	Standard deviation	Mean deviation	t	df	Sig
Education in the fields of ethical, cultural and social issues	3/61	0/80	0/067	9/178	141	0/001

According to results, the mean of need of faculty members of Farhangian University to education in ethical cultural social issues is 3/61. Because calculated is bigger than table t, then their need is higher than middle.

### 3. 6 The Sixth research question: What are the most important needs of the faculty members in the area of "ethical, cultural, social issues"?



**Table 5. The most important needs of the academic members in the area of “ethical, cultural, social issues”**

	Questions	Ordinal mean
1	Being knowledgeable about the role of professors in the preserving, transferring, Correcting and recreating culture	6/08
2	Familiarity with bases and methods of soft war	5/80
3	Recognizing of the signs in cultural attack and exposing it.	5/79
4	Ability of registering content of educational sources to religious cultural sources	5/79
5	Familiarity with cultural -social bases of Islamic education	5/59
6	Familiarity with teaching ethics and character teaching and principles for being teaches in Islamic education	5/43
7	Familiarity with aims and bases of cultural direction in Education’s fundamental transformation document.	5/23
8	Initial familiarity with collection of human sciences (Sociology, History, Art, Philosophy and Social science).	5/14
9	Familiarity with the aims of student teaches curricula in cultural social educational issues	5/14
10	Familiarity with comparative education in order to know different cultures	5/02

Findings indicate that the mean of all sentences related to ethical, cultural, social issues is higher than middle level. Sentences 1,2,3,4 had the highest ranks respectively.

*3. 7 The Seventh research question: Ranking needs of faculty of Farhangiyan university in two fields of religious teaching with emphasis on Islamic training “and ethical, cultural, social issue?”*

Results of mean ranking of educational needs indicate that social ethical cultural issues got the first place and religious teaching with emphasis on Islamic training got the second place.

Results of the FRREDMAN TEST shows that the total rank of binary educational needs of faculty members in Farhangian University is not meaningful in  $p < 0.05$  (Chi-square; 0.618). accordingly the research question is rejected.

*3. 8 The Eighth research question: is there any difference between education needs of Farhaniyan University faculty members in religious teachings with emphasis on Islamic training and ethical social cultural issues with regard to demographic variables?*

The results indicated that there was not a significant relationship between education needs in religious teachings with emphasis on Islamic training and social ethical cultural issues in terms of any of the demographic characteristics .

**4. Discussion, Conclusion and Suggestions**

Contrary to different predictions about the demise of religion, religion has shown to be alive and effective in our lives throughout the world. However, the longstanding association between religion and dogmatic thinking can lead religions to have bad and even devastating effects. This shows the importance of religious education and the roles this type of education can play in changing the unpleasant impacts of religion. Religious education is an approach that can save religious thinking from being trapped into dogmas and dogmatism.

One of the strategic goals of Education’s fundamental transformation document is to review curricula based on cultural-educational approach and also stung ten training ethical aspects of learners based on Islamic- Iranian Culture (Education’s fundamental transformation document, 2011).

Also in 20 years development prospect document in Islamic repaid of Iran there is emphasis on the development of the country based on transition from current situation relative to cultural social historical context of the Country. Paying attention to the essence mission of the universities as the most important tool in attaining cultural independence is critical and important role for all who are active in thesis field. Along with achieving the above mentioned strategic aims this study is

conducted, because identifying cultural, social, and training needs of the faculty members can facilitate programming for development of both university teachers -students. Thus the main aim of the present study is to analyze and explain cultural, Training, social needs of the faculty members and result are presented based on the related questions, as the to the first research question, most respondents answer considered six main aims as the educational need of the faculty members of Farhangiyani University. It is worth mentioning that religious needs which were identified in this research were in the same line with yeasts obtunded by Mirzaee (2002), Rabani (2003), Shamshiri (2008), and kazemi (2012). Mirzaee showed that although students' attitudes indicate continuation of religious sentiments in university society but a kind of new religious thought is also evident which shows reduction of religion's role in social arena out of religion, its personalization and decrease in religion's influence and in traditional readings of religion. Rabani considers lack of compatibility of religions Islamic historical, geographical identity, as the factors of the keen weakness in higher education in Iran. Shamshiri shows that although education system in Iran this hard effort in cultural training but practically not much success in attained. Kazemi believes that, programming performance of educational managers, in training students based on cone sire spiritual-unification-sociality and contraption training was successful. Thus it seems that such need is a critical demand of faculty members.

In answering to the second research question, presently showed that mean demand of faculty members to religions training is higher than average. Also in answering the third research question results of table 4 shows that the highest man rank for religions teaching is related to "ability to apply educational methods and commitments available in Quran and Nahjolbalaghe "Then sentence of "learning Quran and Nahjolbalaghe in order to answer teachers- students' questions": These were considered as the most important educational needs of faculty members of Farhangiyani university. Accordingly it is suggested to have Nahjolbalaghe as a major study to educate Nahjolbalaghe teachers. Also the researcher by studying literature and by interview participants and questioners' results of the study has concluded that universities have to internalize needed religious norms of the society in the students, and educate them based on cultural heritage of the society, that, this aim is achievable by paying attention to those educational needs.

In answering the fourth question, most interviewees believed that most important needs in ethical, cultural, social aspects are subdivided into four areas: a- cultural needs b- social needs c- ethical needs and d- political needs. It is worth mentioning that results obtained in this part are compatible to research results obtained by Mahdavi (1999), Tavakoli-Nik (1941), Rabani (2003), Movahedi (2004), Faithi vajargah (2004), Vahedchokadeh (2005), Loghmanniya (2009), Loghmanniya and khamesan (2010) Colleen (2005), Jang (2009) and Rioli (2010). It becomes evident that there are many cultural problems among youths and applying western models were not successful especially in developing countries. Thus it is suggested that models be compatible to local culture of the country. Moreover keen weakness of higher education institutes in teaching cultural identity is considered as accusing factor of weakness in this regard. Thus, these teaching cultural values cohesively to the educational institutes are advised. Evidences indicated that lack of satisfying curricula in playing the role of creating identity, irrelevance of curricula content to different sub cultures, lack of attention programs to cultural education all factor which have resulted in keen weakness cultural education in higher education and educational system in Iran. Thus it seems that higher education has to pay specific attention to curricula especially if cultural educations are considered critical for its students. Need to internationalization of the curricula is another educational needs mentioned in this research which is also in agreement to colon and Jang (2005). So, internationalization of the curricula at universities creates cultural education for individuals. "Political thinking and politic understanding "is another needs which is also mention in roily (2010). Creating political social, cultural knowledge students is deeply correlated to current education.

In answering the fourth and fifth question is was obtained that the mean for need to education in ethical, cultural and social issues for Farhangiyani University faculty members is higher than average and the most important need of faculty members in this field is "bang knowledgably about the role of the professors in transferring, keeping modifying and recreation culture", and "knowing methods and ways of soft war" (Table 6). Results of Zokae (2003), Hamidi (2005), Vahedchokadeh (2005), Esmaeli and Rabiee (2008), Asareh, et. Al. (2012), Lee co- young woo (2000), Terri Green (2008) and Brandon Bartram (2009) show that prominent part of university students consider cultural- social needs as their necessary need.

In answering the seventh question, ranking mean of needs indicated that "ethical, cultural, social" issues got the initial rank, then "religions teachings with emphasis on Islamic training" got the second rank. Evidences shows that higher education must constantly play the role as agent for keeping's transferring, correcting modifying, recreating culture, thus it can provide, needed environment for the comprehensive development in all aspects, because curricula are crucial element for cultural social growth of the graduates and this growth is achievable by proper programming and dominant training of teachers, university professors. Higher education institutes as elite gatherings can play an active role in accomplishing cultural

education based on Islamic- Iranian identity, because research results show that there is no match between experienced and performed cultural content of curricula.

Thus university curricula must be designed in a way that can promote culture training. Thus knowledge centered culture must be the focus on higher education, because cultural knowledge can enable organizations to save sources, improves life conditions.

Also finally the researcher concluded that programmers of each educational system for educational cultural plans have to have satisfying reasons and explaining needs before choosing any solution can increase efficiency of any program, achieving such aim is possible only by performing scientific need analysis, accordingly efficiency of these programs are assured. Farhangiyani University for strengthening cultural strengthening and for magnifying national religious cultural element in the curricula must set educational goals like preserving national, religions, cultural, unhistorical identity within the students and teachers.

### Acknowledgement

This article is extracted from PhD thesis which is conducted under the support of Farhangiyani University.

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## Professional Coordination in Cases of Child Maltreatment: Challenging Issues in Estonia, Finland, Slovenia and Spain. a Comparative Study

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### Abstract

Child maltreatment can be considered as a general term that includes not only what is usually considered overt violence, but all forms of actions and neglect that have a negative impact on the child. When investigating cases of child maltreatment, various kinds of professionals are involved, including ones from the child protection authority, education and healthcare system and judiciary. To make sure that no child in need of assistance would go unnoticed and without help, the skill of co-operating is of high importance. Thus, changing of information between specialists is crucial to recognize the victims at early stage and gather as much information as possible to get the full picture of the situation. To this end, this paper analyses the situation in Estonia, Finland, Slovenia and Spain related to professionals' coordination challenges. Different methodology and instruments have been used such as desk research, focus groups, interviews and questionnaires to get an overview of the process in each country when child maltreatment cases are investigated. According to the results of the analyses, the main problems and areas which need improvement are quite similar in every country. Professionals intervening at a relatively late stage, the lack of time to co-operate and to discuss as well as and the lack of trust with other professionals can be regarded as the biggest problems in co-operation.

**Keywords:** child protection, child maltreatment, coordination, professional's challenges

### Introduction

Child maltreatment can be considered as a general term that includes not only what is usually considered overt violence, but all forms of actions and neglect that have a negative impact on the child. When investigating cases of child maltreatment, various kinds of professionals are involved, including ones from the child protection authority, education and healthcare system and judiciary. To make sure that no child in need of assistance would go unnoticed and without help, the skill of co-operating is of high importance. Thus, changing of information between specialists is crucial to recognize the victims at early stage and gather as much information as possible to get the full picture of the situation.

Given that situation, this paper analyses the situation in Estonia, Finland, Slovenia and Spain. Different methodology and instruments were used in each country in order to gather information to this situation analysis. Both primary and secondary resources were used get a wide description from every country's situation in the field of child protection.

This paper is divided into four main sections. The first section, the “Theoretical Framework” presents a general overview of child maltreatment definitions and relevant legislation of child protection system from every country, paying especial attention to the network of professionals and services that assist in situations of child abuse. The second section “Methodological issues” describes the methodology used in this study in each country. “The “Results” section, gathers the main findings obtained in each country regarding professionals’ coordination when a case of child maltreatment occurs. Finally, the last section provides a summary of the main conclusions and ideas reached in this paper

### **Theoretical Framework**

This section presents an overview of the most relevant legislation of child protection system in each country studied. Furthermore, this section describes the network of professionals and services involved when a case of child maltreatment occurs.

### **Legislation**

Child protection is about putting the best interests of the child first. This principle is included in the United Nations Convention on the Rights of the Child, where Paragraph 1 of Article 3 states that the best interests of the child shall be a primary consideration in all actions concerning children, whether undertaken by public or private social welfare institutions, courts of law, administrative authorities or legislative bodies. Article 19 paragraph 1 states that a child must be protected against all physical and mental violence, injustice or abuse, negligence, careless or cruel treatment or exploitation, including sexual abuse. In addition, for example the EU Victims' Directive (2012/29/EU) has been adopted to strengthen the rights, support and protection of victims of crime. This international legal framework to protect children, reflected in numerous texts and international documents, has been a reference framework in developing child protection systems in European countries, although there are different legal frameworks related to children among European countries (Bartolomé, 2013).

In Estonia a new Child Protection Act came into force in Estonia on 01. 01. 2016. In the Child Protection Act it is brought out that a child in need of assistance is a child whose well-being is threatened or in the case of whom doubt has arisen concerning his or her abuse, neglect or any other situation violating the rights of the child and a child whose behavior threatens his or her well-being or the well-being of others. Paragraph 24 section 1 of the new Child Protection Act states that neglect of a child, mental, emotional, physical and sexual abuse of a child, including humiliation, frightening and physical punishment of a child, also punishment of a child in any other manner which endangers his or her mental, emotional or physical health is prohibited. According to paragraph 121 section 1 of the Penal Code, causing damage to the health of another person and physical abuse which causes pain is punishable. Paragraph 27 section 1 of the Child Protection Act states that all persons are required to report a child in need of assistance. The revised Act also brings forth the Child Helpline service telephone number (116 111) where people can call to notify about a child in need of assistance and it is also added that neither the person who reported the child in need of assistance nor the fact of notification will not be made public.

When working with cases of child maltreatment in *Finland*, various national laws are applied depending on the authorities involved at each level of the process. The key national laws referred to during the investigation are Child Welfare Act (417/2007), Act on Child Custody and Right of Access (361/1983), Criminal Code of Finland (39/1889), Act on Organising the Investigation of Crimes of Sexual Abuse and Violence Against Children (1009/2008) and Social Welfare Act (710/1982). The Child Welfare Act obliges professionals to notify the local authorities whenever they discover that there is a child for whom it is necessary to investigate the need for child welfare on account of the child’s need for care, circumstances endangering the child’s development, or the child’s behaviour. Up until the year 1979, the Finnish Criminal Code allowed parents to use corporal punishment, and thus an assault made with an aim of ‘educating’ a child was not punishable. This has not been the case for almost 30 years now: in 1984, corporal punishment of children was banned in the Child Custody and Right of Access Act (361/1983). The Act on Child Custody and Right of Access prohibits oppressing, physically punishing or subjecting a child to any other form of abusive treatment. The Criminal Code of Finland prohibits sexual abuse of and violence against children. Still, however, determining what constitutes a punishable assault and what does not can cause problems and ambiguity in many cases (Heinonen, 2015).

In *Slovenia* the Law on the Prevention of Domestic Violence regulates mutual exchange of information, co-operation and assistance between national organizations and non-governmental organizations, with the aim of prevention and assistance to child victims of violence. In addition, the Law on the Prevention of Domestic Violence defines preparation of Resolution on the national program of prevention of domestic violence for a period of five years. This resolution is a strategic document



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that sets out the objectives, measures and key policy makers to prevent and reduce domestic violence in the Republic of Slovenia.

In *Spain* the Spanish Constitution<sup>1</sup> pays special attention to the fundamental rights and public liberties of all citizens including children. Specifically, the Constitution in article 39 establishes the comprehensive protection of children by public powers regardless of their affiliation, and parents' duty to provide assistance to their children both in and out of marriage until coming of age and in legally applicable cases. In the coordination area, Organic Law 8/2015<sup>2</sup> enables the government to encourage the establishment of common criteria and minimum standards for the application of this law in the Autonomous Communities. Thus, this new legal framework intends to be a reference for the legislative development of the Autonomous Communities with the aim of guaranteeing uniform child protection in the entire territory, establishing the best interest of minors as a fundamental principle. Furthermore, Law 26/2015, 28th<sup>3</sup> July, which modifies the child and adolescent protection system, reforms the system at various levels providing protection to child victims of any type of violence including foreign minors, regardless of their administrative situation. Among its diverse measures, the Law gives priorities stable measures over temporary ones and relatives over residential homes. In addition, this Law highlights for example the importance of a coordinated intervention in situations of risk, "with educational establishments and social and healthcare services, and where appropriate, with the collaborating entities from the respective territorial area or any others" (Article 17. 3).

### **Description of the network of professionals assisting cases of child maltreatment in Estonia, Finland, Slovenia and Spain**

Generally speaking, the purpose of the network is to solve everyday problems of the person needing assistance and delimit relationships between certain people or groups (Martínez-Molina et al., 2016). According to Haage (2015), there are two modalities of networking. While the primary network is made up of parents, siblings, relatives, neighbours, and friends, the secondary network consists of various professionals. This last network is crucial if there is a case of child maltreatment as parents are not able to take care of their children and other institutions have to protect the minor (Department of Regional Education, 2011). Generally speaking, areas such as Education, Health, Social, Police, Legal and Philanthropic organizations work together in order to provide an integral attention to these situations, although networking can have different features in each country due to their child protection systems.

In particular, *in Estonia* there is a network of specialist, police, child protection workers and victim support workers in cases ensuring childrens' safety and rights. The police officers base their actions primarily on the interests and safety of the child when receiving information about a child in danger. Police officials co-operate with the local government (hereinafter KOV) child protective workers in case of a child in danger or in need of assistance. The police can immediately react and remove the threat when finding out about a child in danger or in need of assistance but future activities with the family primarily fall under the activities of the KOV specialists.

After ensuring the safety of the child the police official immediately contacts a KOV unit's child protection worker or an official responsible for child protection work who gives instructions for further actions. The police officer contacts the Department of Social Security's 24/7 hotline in case it is not possible to get in contact with a child protection worker and a decision is made about placing the child in a social care facility. Considering and taking into account the child's safety, the police official may also decide to place the child in a social care facility on their own. However, it is highly recommended to first consult a specialist.

Police officers always assess the situation regarding child victims or children in danger in a way that the interests of the child are put first. The main purpose of all procedures involving children is to carry them out in a way that protects the child the most and is the least traumatizing to them. An important part of working with children is the co-operation between different structural units of the police, the prosecutor's office, local government, child protection specialists and victim support workers.

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<sup>1</sup> Constitución Española. Boletín Oficial del Estado, 29 de diciembre de 1978, núm. 311, pp. 29313-29424.

<sup>2</sup> Ley Orgánica 8/2015, de 22 de julio, de modificación del sistema de protección a la infancia y a la adolescencia. Boletín Oficial del Estado, 23 de julio de 2015, núm. 175, pp. 61871-61889.

<sup>3</sup> Ley 26/2015, de 28 de julio, de modificación del sistema de protección a la infancia y a la adolescencia. Boletín Oficial del Estado, 29 de julio de 2015, núm. 180, pp. 64544-64613.

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The Estonian Victim Support Act (2003) paragraph 3 section 1 points out that a victim support service is a public service that aims to maintain or better the subsistence of victims of crime, carelessness, ill-treatment, physical, mental or sexual violence. Victims of offense and their family members have the right to seek compensation for the cost of psychological care. According to a co-operation agreement signed by Police and Border Guard Board and Estonian National Social Insurance Board, the police send to the victim support worker leaflets about violence in intimate relationships including victim's contact information. A victim support worker contacts the victim based on the leaflet, gives necessary information and proposes a meeting.

A victim support worker listens, gives emotional support and counsels the victim. During the conversation they determine and assess the victims and their coping difficulties, and together with the victim they set goals and plan activities to better the victims' situation. Counselling helps the victim to understand their situation, make a decision and find necessary coping resources. The role of a victim support worker in the Estonian National Social Insurance Board, for the victims of human trafficking and minors and unaccompanied minors, who have fallen victims of sexual crimes, is to direct them to services in co-operation with service providers, and supervising them. In case of a violent crime, it is possible to seek national compensation for the victims (Ohvriabi seadus, 2003)<sup>1</sup>.

*In Finland* municipalities provide child welfare services and social workers are responsible for child welfare in municipalities. The Finnish Child Welfare Act applies to all children in Finland regardless of their background. In the Section 25 of the Child Welfare Act it is regulated that persons who work for example in social and health-care services and child day care, education services and the police service have a duty to notify the municipal body responsible for social services without delay and notwithstanding confidentiality provisions if, in the course of their work, they discover that there is a child for whom it is necessary to investigate the need for child welfare on account of the child's need for care, circumstances endangering the child's development, or the child's behaviour. Child Welfare Act also regulates that persons referred to in the section 25 have a duty, notwithstanding confidentiality provisions, to notify the police when they have cause to suspect on the basis of circumstances that have come to their knowledge an act of a sexual crime or a crime against life and health (minimum of two years penalty according to Criminal Code of Finland (39/1889) in cases of a suspect of a crime against life and health).

The goal of a currently ongoing project called LASTA is to create a national collaboration model for the police, the prosecution service, child protection authorities and healthcare (both somatic and psychiatric) for situations where one may suspect that a child is subjected to violence or sexual abuse. The LASTA project is a nationally coordinated and regionally managed development process involving several levels of management. The project is coordinated by the National Institute for Health and Welfare and supported by the Ministry of Social Affairs and Health, the Ministry of Justice and Ministry of the Interior.

The model consists of two steps. The first is about collecting necessary information for the purposes of the preliminary investigation and the handling of the case by the child protection service. The second step is about authorities gathering to evaluate the situation of the child. Essential background information on the child and his or her family is collected for the purposes of the preliminary investigation, evaluation of whether the child can be interviewed, evaluation of the severity of the violence, evaluation of the necessity of somatic examination, and protection and support for the child. The information is written on a special background information form. The form consists of a section on the suspected offence and sections on healthcare and child protection, respectively.

Based on the results of the development of LASTA it is recommended that firstly the process is initiated by a consultation request by the police to a coordinator employed for this purpose. After that the coordinator collects the information received. Finally the police organizes an interprofessional meeting to discuss the case.

During the interprofessional meeting, held once a week, those working on the case discuss the overall situation of the child from various points of view. Participants include the police officer and/or head investigator in charge of the case, a prosecutor, experts on somatic examination and child and adolescent forensic psychiatry, and experts on child psychiatry, crisis work, child protection and promotion of interests. This combination of professionals has been found highly effective in practice.<sup>2</sup>

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<sup>1</sup>Ohvriabi seadus [Victim Support Act] (2003). Riigi Teataja I, 06.01.2016, 28. See: <https://www.riigiteataja.ee/akt/12791909?leiaKehtiv>

<sup>2</sup>More information: <https://www.thl.fi/fi/web/lastensuojelun-kasikirja/tyoprosessi/erityiskysymykset/pahoinpitely-ja-seksuaalinen-hyvaksikaytto/lasta-malli>

Help to the victims of violence in Slovenia is organized regionally as well as locally. Every Slovenian region has formed a Regional service for coordination and assistance to victims. This regional service is responsible for assisting victims of violence, monitoring, implementing the intervention services 24 hours a day and cooperating. The regional service includes intervention 24 hour service, regional crisis centres and regional coordinator for the prevention of violence.

Locally, the key organization dealing with child victims of violence is the Centre for Social Work. In the case of child victims of violence, each organization and authority (including police) first have to inform the local centre for social work, which then continue to coordinate the treatment of victims. At each centre for social work, a multidisciplinary team is formed, which is responsible for:

- 1) Exchange of relevant information on the case;
- 2) Assessment of child at risk;
- 3) Assistance plan and coordination of activities;
- 4) Implementation of a plan to support the child.

Centres for social work mostly cooperate with the police, schools, kindergartens, health institutions, safe houses and other NGOs and with The Human Rights Ombudsman (Child Advocate). In most cases, the Centre for Social Work ex officio takes initiatives for inter-organizational co-operation. In very few cases, however, the initiatives are given by other organizations. Centres for Social Work operate interdisciplinary teams, look for adequate accommodation for the child (for example crisis centres), seek other forms of assistance to the child (for example therapeutic assistance and counselling) and participate in conferences, trainings and round tables.

Content of inter-organizational cooperation in schools with social work centers is linked to the participation in multidisciplinary teams in which they are invited by the Centre for Social Work. In cases in which they recognize a suspicion of violence against children, they are obliged to contact the Centre for Social Work by themselves. Content of co-operation between schools and other organizations in the field of assistance to child victims of violence is in mostly linked to the fulfilment of legal obligations. The most common co-operation with external organizations is in the field of prevention. NGO experts, carry out preventive anti-violence workshops and trainings for pupils, teachers and parents. Crisis centres and safe houses co-operate with the police and health services, home groups often with schools. They also give initiatives for inter-organizational cooperation, not only participating in the work of interdisciplinary teams in centres for social work.

*In Spain* there are currently two National Plans that involve a framework of co-operation between administrations and agents with regard to protection of minors and families. Specifically these National Plans are the 2nd Strategic National Plan for Childhood Adolescence (PENIA, 2013-2016) and the Comprehensive Plan for Family Support (PIAF, 2015-2017). Both national plans define diverse strategic lines to follow for all the agents involved in bringing about the wellbeing of minors and families.

In Spanish system there are four agents responsible for safeguarding the best interests of minors: parents, citizens, professionals in different areas and institutions with legal powers with regard to minors. When the parents cannot guarantee the wellbeing of the minor or a situation of abuse is detected, the intervention of other institutions to protect the minor is necessary (Department of Social Welfare of the Government of Valencia, 2011). In these cases, six areas – education, health, social services, the police force, the legal system and civic organisations – must act in a coordinated manner to provide comprehensive attention to the diverse situations.

As a common framework to establish a procedure for childhood protection in the family environment in Spain, the Basic Intervention Protocol against Child Abuse in the Family Environment, developed by the Ministry of Health, Social Services and Equality (2014), is available (Ministry of Health, Social Services and Equality, 2014). The main objective of the current protocol is to promote inter-institutional coordination in order to improve the service provided to minors, avoiding the primary and secondary victimisation that they might suffer in the intervention process. The action protocol provides intervention guidelines for the various agents involved in the different phases of the intervention process: detection, notification, assessment, intervention and follow-up. Normally this coordination is carried out in writing, using different registers depending on the phase of the intervention process, area (social, educational, health, police and legal) and type of case (suspected abuse, gender violence, and mild, moderate or severe abuse).

In accordance with the phases of the intervention process and the Basic Intervention Protocol against Child Abuse in the Family Environment, detection and notification are two inextricable concepts given that detection leads to the subsequent notification. In this first phase, areas such as education, healthcare and police have an essential role detecting possible situations of abuse. After a detection of any sign of abuse, the notification must be made through a specific notification form for each of the action areas; to Social Services for the ordinary procedure and to Social Services and the Child Protection Service in the event of an urgent situation. Depending on the area and the case (ordinary or urgent) the notification must be made in the following way:

**Social:** when there is information that there may be a crime being committed against a minor or their mother, it must be communicated to the Magistrates' Court and Prosecution Services, and where appropriate to the State Security Forces and Bodies. If specialised gender violence or general social services are aware of a case of abuse, their duty is to communicate it to the relevant Child Protection Service, in accordance with the action protocols established in each Autonomous Community. In cases where the minor is witness to gender violence within the family, the situation must also be communicated to the leading gender violence body in the Autonomous Community. The notification is to be made in writing with telephone support. Furthermore, in case of an emergency the report of the allegation must be presented in writing and by telephone notification in less than 24 hours to both the Magistrates' Court and the prosecutors or specialised services within the State Security Forces and Bodies.

**Education:** faced with any suspicious case the management and counselling teams must complete the notification form, which will be referred to general social services. Faced with an urgent case, which requires health care, the minor must be accompanied to the health centre, Prosecution Services, the school inspection system, and to the minor's family, evaluating if it is harmful for them. Furthermore, a suspected crime must be communicated to the Magistrates' Court, the Police, Prosecution Services and the Child Protection Service.

**Healthcare:** when a health professional suspects a case of abuse, together with the Social Work Unit they must complete the notification form and refer it to Social Services. Furthermore, the report of injuries or the medical report is referred to the Magistrates' Court or Prosecution Services. In cases related to gender violence, "Common protocol for Healthcare Action faced with Gender Violence" guidelines will be followed.

**Police:** when situations of risk or social abandonment are confirmed, the facts will be communicated to the body responsible for child protection in each Autonomous Community, as well as Prosecution Services or Social Services. Depending on the type of case, different protocols must be adhered to.

Once a possible case of abuse has been detected in any area, an assessment of the situation must be carried out by social services (ordinary procedure) or the child protection body (urgent procedure). In the event of a case of abuse being confirmed, social services are responsible for centralising the intervention and requesting the collaboration of the rest of the areas wherever appropriate.

### **Methodological Issues**

This paper analyses the situation in Estonia, Finland, Slovenia and Spain related to professionals' coordination challenges. Different methodology and instruments have been used such as desk research, focus groups, interviews and questionnaires to get an overview of the process in each country when child maltreatment cases are investigated. This section describes the methodology and instruments used in each country in order to gather information related to this issue.

#### **Methodological issues in Estonia**

In order to identify the main limitations in coordination when it comes to child maltreatment cases, in Estonia a web questionnaire CAWI methodology with six open questions was used to find answers to the research questions shown in appendixes. The sample was 36 (N=36) and the composition of the sample was made up of different professionals: 56% police officers, 33% child protection workers and 11% victim support workers.

#### **Methodological issues in Finland**

In Finland telephone interviews were conducted in order to find out the main professionals' coordination challenges. The interview outline was made up of 7 open-ended questions to gather qualitative data (See appendixes). The interview was conducted to five professionals from different fields such as kindergarten, social services and healthcare and judicial authorities in order to learn about their experiences.

### **Methodological issues in Slovenia**

In Slovenia they analysed professional coordination was based on desk research by analysing online sources about current legislative framework, policies and national strategies and personal interviews. In particular 15 interviews were conducted to: 6 counsellors of centers for social work, 3 schools counsellors and with 6 experts from non-governmental organizations belonging to home group for children and youth, a safe house, a crisis center for children and adolescents, a SOS phone for children and philanthropic organizations.

### **Methodological issues in Spain**

In order to obtain information about the main challenges in the coordination of the protection system a focus group was formed with eight professionals from the social sector in Spain (See appendixes). The focus group conducted was made up of eight professionals with the aim of gathering several opinions (Ibáñez, 1979; Krueger, 1991; Canales and Peinado, 1995; Callejo, 2001). The session of the focus group in Spain was structured and developed following the instructions of Llopis (2004).

### **Results from the Analysis**

This section shows the results obtained related to the principal difficulties or areas to be improved in the coordination of the child protection system in Estonia, Finland, Slovenia and Spain.

As for the main co-operation partner, the results in Estonia show that police has been the main co-operation partner for child protection workers as well as for victim support workers. However, on the basis of the opinions of the respondents in this research, it seems that there is no mutual co-operation between child protection workers and victim support workers since they did not mention each other as co-operation partners. As regard networking, the results show that professionals' knowledge about the work done with a child victim and networking is generally good. Nevertheless, more knowledge should be gained in some areas such as information concerning the competence and duties of other network members. While police officers encounter child victims the most since oftentimes they are the first specialists, who meet the child at the beginning of the case, child protection workers and victim support workers receive more information through other members of the network and deal with a child's natural social network more often. Regarding knowledge needed by professionals, the results indicate that how to act with the victim at the beginning of the case, communicate with parents and motivate them to co-operate are sensitive areas when intervening in a case of child maltreatment. Thereby, professionals highlighted that more training is needed in order not to forget about existing knowledge and because working with victims is a field continuously changing where it is important to be up to date.

In Finland the results have shown that interprofessional collaboration was considered to be working well on the whole. However, certain restraints, such as rapidly changing teams caused by short-term contracts, were considered challenges for the proper functioning of interprofessional collaboration. Moreover, according to the results obtained, the exchange of information between professionals is often feared for wrong reasons, making professionals hesitant to intervene in child maltreatment cases at an early stage. Thus, developing the exchange of information and the courage to act at an early stage was considered an area of future improvement. As for the potential knowledge needed by professionals, sexual crime and how to work with the victims were areas stressed out.

In Slovenia, according to the interviews, philanthropic institutions pointed out that, in practice, inter-organizational co-operation in the field of treatment of child victims of violence is not optimally. It is believed that, the flow and exchange of information between organizations involved in such cases is often poor and too general. Thereby, minutes of interdisciplinary team meetings do not contain any substantive description of the case and bodies and non-governmental organization cannot deal with the case appropriately which significantly reduces the chances of a successful assistance and protection to victims. As for centres for social work, they are satisfied with the co-operation of the police and non-governmental organizations but less satisfied with health organizations, such as paediatricians, psychiatrists and doctors. As stated by centres for social work counsellors, representatives of health institutions rarely participate in interdisciplinary teams. In addition, the results showed that level of co-operation with the judiciary system is low due to difficult availability of judges, prosecutors, etc. Besides, the findings suggest that the level of co-operation between centres for social work outside the major cities and philanthropic organizations is lower since NGOs are found primarily in major cities, or NGOs do not have a sufficient number of staff to co-operate in multidisciplinary teams outside their office city. With respect to the education field, the results showed that schools are trying to solve the occurrence of cases of violence within the organization as much as possible, except in cases where an application under the law is necessary. They are mostly

engaging in interdisciplinary teams initiated by the Centre for Social Work, but less by their own initiatives, even if the school counsellors can deal with cases of violence in the extended teams initiated by the school. Also, it was suggested by schools that there is high satisfaction with the co-operation with non-governmental organizations.

In Spain, the results have shown that some cases of child abuse are not referred to social services, the institution responsible for centralising the intervention. This principally occurs in cases of intra-family gender violence since they are normally served by other services or specific gender violence programmes. Additionally it was noted that the established Protocol for coordination in these cases is not followed in all areas. This is highlighted in particular in the policing sector, where the police report is used instead of the notification forms as a record, which may affect potential coordination between areas. Thereby, with regard to the notification forms, professionals point out a lack of training about how they work. Thus, while the effort of authorities to encourage coordination between areas using these forms is highlighted, there seems to be a limited effort on behalf of the administration to disseminate the use of the forms. Therefore some professionals are not aware of how they work, limiting the potential of this instrument, in particular in the education sector. The findings suggested that the non-use of notification forms in the education sector makes different situations of abuse more difficult to detect. Furthermore, detection could be more complicated if it is less evident or if another type of variable comes into play, such as the fear of reporting or the attitude towards abuse of the professionals themselves. Furthermore, the results highlighted an especially worrying limitation or gap in the coordination system between the education, healthcare and social sectors. In particular it was pointed out that cases of neglected 6-year-old minors, due to hygiene or nutrition problems detected in the healthcare sector, went unnoticed during primary education by the education sector and social services, making their intervention impossible. These cases are not detected again unless the minors develop patterns of antisocial behaviour at school, when social services are notified for their intervention. On the whole, according to the Spanish results, coordination is sometimes understood as a voluntary act rather than an obligation among certain professionals.

## Conclusions

In order to help a child victims quickly and effectively, it is important that different specialists co-operate with each other as every specialist has their own role and opportunities to support the child in co-operation networking. With the intention of making sure that no child in need of assistance would go unnoticed and without help, the skill of co-operating is of high importance. Thus, changing of information between specialists is crucial to recognize the victims at early stage and gather as much information as possible to get the full picture of the situation.

To this end, the purpose of this paper has been to analyse professionals' coordination challenges in Estonia, Finland, Slovenia and Spain. In doing so, different methodology and instruments have been used such as desk research, focus groups, interviews and questionnaires to get an overview of the process in each country when child maltreatment cases are investigated.

The results have shown that the main problems and areas which need improvement are quite similar in every country. Thereby, one detected problem is the tendency of the professionals to intervene only at a relatively late stage. This fact could be related to other problems such as fear of reporting the cases or the difficulty of recognizing victims. Hence, the results have shown that more attention should be paid to issues such as how to recognize the victims and how to act with them when there is suspect of maltreatment.

As different authorities must co-operate when a case of child maltreatment occurs, the results have shown different levels of co-operation between professionals from different areas. Generally speaking, the findings suggest that there is a good level of co-operation between social workers and the police in each country in most of the cases but, on the whole, less co-operation is identified with the healthcare workers.

In addition, the results have shown that although co-operation among professionals is a duty, sometimes it is regarded as a voluntary action due to the lack of time or information concerning the competence and duties of other network members. According to the results, the lack of discussion and the lack of trust with other professionals can be seen as a big problem in co-operation. Thus, the results suggest that creating good relationships and putting emphasis on other professionals' strengths are key elements when it comes to good co-operation.

In conclusion, the present research has contributed to highlight that additional training for professionals working with children is required. This could be helpful to boost professionals' confidence to intervene at as early a stage as possible when a case of child maltreatment occurs and to exchange the knowledge among professionals. In addition, reinforcing



the co-operation among professionals might prompt share best practices among professionals and broad the knowledge about the competences and duties of other network members.

Therefore, it is considered that results reached in this study show a significant insight into the necessity to reinforce co-operation among professionals as it is associated with achieving common goals as well as trusting networking partners.

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## 7. Appendixes

### 7.1 Estonian research questions

The questionnaire which was administrated in Estonia was the following:

1. How do the respondents describe a child victim?
2. What kind of experiences do the respondents have in networking between each other?
3. How do the respondents assess their knowledge of child victims and networking?
4. What is the role of a co-operation partner in noticing and helping a child victim?



5. What are some of the factors that support or constrain effective co-operation, and what has been the contribution of the respondents in developing networking?

6. What kind of experience do the respondents have so far in international networking with child victims?

### **7. 2 Interview questions in Finland**

The Finnish extract of interview was the following:

1. Your profession
2. What kind of child maltreatment have you encountered in your work?
3. What do you do if you receive information that a child may be subjected to maltreatment?
4. In your view, how well has interprofessional collaboration worked when investigating cases of child maltreatment?
5. Do you feel that you are receiving sufficient support from your colleagues when working with cases of child maltreatment?
6. What are, in the context of your particular work, the greatest challenges when dealing with cases of child maltreatment?
7. What kind of additional training would you like to receive on the topic of child maltreatment?

### **7. 3 Spanish focus group professionals' profiles**

The Spanish focus groups was made up of the following professionals:

Two social workers from municipal social services

A psychologist from family, minors, and youth Section from a local administration

A psychologist from a philanthropic organization

A social worker from a philanthropic organization

A psychologist from a centre for minors

A social worker working in a hospital

A regional manager of a philanthropic organization

### **7. 4 Focus group in Spain**

The session of the focus group in Spain was developed and structured according to Llopis (2004) instructions and it was structured as follows:

#### **Introduction**

Moderators introduction

Introduction institution

Objectives of the meeting

Topic of the meeting

Confidentiality and recording of the meeting

Rules of the meeting

Several opinions, consensus is not needed

There is not an absolute truth

Not to interrupt

Honest answers

### **Introduction of Participants**

Name

Institution

Position

### **Warm-up Discussion (Difficulties in a Hypothetical Case of Child Maltreatment)**

Detection

Notification

Intervention

Professionals coordination

### **Free Discussion.**

Skills self-learned

### **Topics to Discuss**

Current training deficiencies

Description of courses taken that have been helpful

Type of future training

## Relationship Between Glass Ceiling Syndrome and Self-Efficacy; in Health Sector

Taşkın Kılıç

### Abstract

Objective of the study: In the line management of the business life, women's taking a back seat more than men, in related literature, is entitled to "Glass Ceiling" term. Objective of this study is to specify the perception of Glass Ceiling of women work in health sector in proportion to men work in same sector, also, to identify relation between self-efficacy term which has important effects on career success and Glass Ceiling syndrome. Methodology of the study: 100 managers, 100 employee work in the institutions of the ministry of health and 100 new graduate (not assigned yet management trainee), in total, 300 people form the research sample. The research was conducted by face-to-face survey. The obtained data were subjected to analysis in SPSS software. Result of the study: as a result of the research, it has been found that women have more Glass Ceiling syndrome according to men. Between self-efficacy and glass ceiling syndrome, scientifically no meaningful results have been obtained on age and title.

**Keywords:** Glass Ceiling Syndrome, queen bee syndrome, self-efficacy

### Introduction

Although the percentage of women in today's business world increases every day, this increase does not reflect evenly in the top management point. According to the "Women in Business and Management" report published in January 2015 by International Labour Organization (ILO), (ILO Global Report, 2015), women constitute 40% of the business life. Women also owns 30% of companies in the world. However, according to research conducted by the ILO in 126 countries; there are only three countries which have more women executive manager in proportion to men. These are; Jamaica, 59,3%, Colombia, 53,1%, Saint Lucia, 52,3%. The last three countries in the list are; Jordan 5. 1%, 4. 9% in Algeria, Pakistan 3,0%. According to the report; considering all levels of managers (lower-medium and upper), Turkey, with a rate of 12,2%, ranks 95th among 126 countries. Turkey, in this category, ranks behind the countries such as Iran, 14,6%, Malaysia, 21,5%, and Uganda 20,2%. Worldwide average (private and public sector) ratio of female managers (upper, middle and lower level) is 24% (Ceylan, 2014), at this rate, women fall behind men. In health sector which has formed our study sample, although 55% of employees are women, the ratio of women in management positions is around 25% (Public Hospitals Association annual Statistics, 2014; www. attyiz. biz. tr). Women remaining in the background compared to men in management positions of business life has aroused interest of both countries and scientific researchers since 1980 and reports and research have been conducted in this regard. The disadvantage suffered by women has been termed with "Glass Ceiling" concept in related literature.

Glass Ceiling (GC) concept first has been pronounced in 1984 by Gay Bryant, Working Woman magazine editor. Bryant has stated *women's reaching a certain point and getting stuck there* with "Glass Ceiling" concept (Boyd,2008).

American Federal GS Commission has defined this concept as an invisible and inaccessible (unidentified) factor affecting the use of some of the capabilities of women and minorities and preventing their rise to the top steps like manager(Federal Glass Ceiling Commission,1995). GC concept has been defined by Wirth (2001) as an invisible and artificial barriers created by organizational prejudices and forms, affecting women having position in senior management. From this description; what is desired to be explained with GC Metaphor is the uncertainty, abstraction of the encountered problems which can not be fully defined.

**Reasons of Glass Ceiling concept:** when related literature is examined, reasons which cause Glass Ceiling Syndrome are dealt with in different studies and in different extends. When these researches are combined to a common base, three main factors causing Glass Ceiling syndrome come into prominence (Hofstede,2001: Bolat and others, 2012, Cleveland and others, 2000; Bartol, 2003; Weyer, 2007; Örucü and others, 2007).

These are; biological and genetic factors (length, strength, endurance, such as hormone structure and fertility); socio-psychological and personal factors (self-efficacy, lack of role models, stereotypes, etc.); cultural Factors (masculine-feminine society and corporate culture of culture and so on)

The other factor that affects women getting top management stages is self-efficacy (Bolat and others, 2012). self-efficacy is "belief of individual in his own capacity to identify and carry out the necessary actions to manage the possible states" (Bandura, 1997,3). Individuals who have high self-efficacy perception set themselves high goals and show the effort needed to achieve those goals. On the other hands, individuals who have low self-efficacy perception abandon easily against failure or difficulty. Individuals who haven't been able to get enough of self-efficacy and motivation throughout their lives, because lacking of necessary self-confidence and courage to manage large organizations and to enter risky jobs, they cannot attempt to do business this area. This situation arises as a result of lack of self-efficacy.

Looking at the issue in the light of this information, in both the education system and living, women and men gain self-efficacy in different fields. Since the early ages, occupations such as management and entrepreneurship have been performed by men, their self-efficacy in this area stands out compared to women and women gain self-efficacy in different areas of life. In this regard, self-efficacy level of women and men are different from each other and as a consequence of that this situation poses an obstacle for women entering the ambitious tasks such as management and leadership. In brief; women who couldn't get enough motivation and self-efficacy from past experience, because lacking of necessary self-confidence and courage to manage large organizations and to enter risky jobs, they cannot attempt to do business this area. This situation arises as a result of lack of self-efficacy.

When examined related literature, it has been seen a limited number of studies about relationship between Glass Ceiling perception of workers in the health sector and self-efficacy. In this regard in this study, exposure levels of Glass Ceiling perception of manager, employee working in health sector and management trainees of new graduated from health management department of the university will be comparatively dealt with.

Thus, effects of Glass Ceiling perception and self-efficacy concept will be revealed in the health institutions proportionately more women work than man. In this respect, the study is such as to illuminate a problem that is experienced in the field.

## Research

### Hypothesis of the research

H1. There is a relationship between Glass Ceiling and self-efficacy.

H2. Glass Ceiling perceptions differ by gender significantly.

H3. According to degree Glass Ceiling and self-efficacy perceptions differentiate significantly.

**Sample of the research:** male and female employees working in the Ministry of Health institutions form the research sample. Total 100 working women and men, total 100 men and women manager and total 100 schoolgirl and schoolboy, in total 300 people has participated to the research. Research was conducted by face-to-face survey. The obtained data were subjected to analysis in SPSS software.

**The Research Data Collection and Analysis Method:** In research, to evaluate Glass Ceiling concept, 10 worded survey which was used for a study in 2012 by Bolat and others is used; to evaluate self-efficacy perception, developed by Schwarzer and Jerusalem (1981) and adapted to Turkish as Schwarzer and Jerusalem (1997) by Yeşilay, generalized self-efficacy 10-point scale is used. The 8 expression have been asked to determine the demographic characteristics. The obtained data were subjected to analysis using the SPSS program.

**Findings and Comments Related to Data Research:** In order to demonstrate the reliability of the scales, Cronbach's Alpha analysis has been used. The results has showed that Alpha coefficient was found to be in the 0.724 level, it has been observed that our scale is reliable. Those surveyed consists of %50 men and %50 women. When it has been looked at the findings relating to the age group of the participants, it has been determined that at most 37,3% participants were in the range 18 to 24 age range. Those surveyed, 49,4% are married and 50,6% are single. It has been seen that the majority of survey respondents (64,0%) have graduate degree. When it has been looked at the titles of participants's findings, 33,3% of the participants are new graduate/not yet working, 33,3% of the participants are working and 33,4% of the participants are managerial staff.

## Hypothesis Test Results

**H1:** There is a significant relationship between Glass Ceiling concept and self-efficacy perception.

As a result of correlation test, since sig. results were 0,879 greater than 0,05, there is no significant relationship between the two concepts. Thus, the H1 hypothesis has been rejected.

**H2:** Glass Ceiling perceptions differ by gender significantly.

As a result of the independent sample T test, sig. results were 0,000 smaller than 0,05, the relationship between two concepts is significant. Thus, the H2 hypothesis has been accepted. When compared the Glass Ceiling perception of women and men, it appears women experience more Glass Ceiling perception than men. According to this result, the average for men is 50%, women is 61%.

**H3:** According to degree, Glass Ceiling and self-efficacy perceptions differentiate significantly.

As a result of Anova test, sig. results 0,287 were greater than 0,05, Glass Ceiling perception does not differ significantly in terms of titles. Thus, the H3 hypothesis has been rejected.

## Conclusions and Recommendations

The research of related literature has listed many reasons that prevent women making career. One of the most important of these is the Glass Ceiling syndrome. In this study, the effect of Glass Ceiling syndrome on health workers has been examined according to self-efficacy, gender and titles. According to the results of the analysis; one of the three developed hypothesis was accepted, two of the three was rejected. According to this, Glass Ceiling perception varies significantly by gender. When compared to men, women are feeling more Glass Ceiling perception. These results are consistent with the results of many studies done before. Scientifically meaningful results has not been obtained in terms of self-efficacy and title variables.

### Suggestions:

As a society, the place of woman in education and training should be placed importance on.

In community and particularly in business life, gender distinction shouldn't be made.

Awareness about women's career should be increased.

When women come to the manager position, it should be role model for the fellows.

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## Sustainable Tourism in the Albanian Riviera - Cultural Routes Contribution in Sustainable Tourism in the Albanian Riviera

Sonia Joijc

### Abstract

This article studies the potential impact of the cultural routes proposed in the Albanian Riviera case study on the development of sustainable tourism in the southern coast of Albania, focusing especially on the innovative co-creation of experience and narratives. Nowadays, in the field of cultural tourism, there is a similar shift away from static museums and monuments towards more interactive and intangible way of experiencing. Because of these new approaches, cultural tourists seek out the defining elements of the atmosphere of places even more than before. This knowledge empowers individuals not only to see or experience a place, but to live and breathe the very culture.

**Keywords:** Sustainable Tourism in the Albanian Riviera Cultural Routes Contribution in Sustainable Tourism in the Albanian Riviera

### Introduction

Nowadays, tourism is one of the most important economical sources of Albania, especially for the southern Albanian Riviera. Even though the coastal region of Albania has been commonly recognized as the country's most valuable development asset since the 1990s, there are many unfavorable phenomena's that have continued to prevail during the transition to democracy, along with new unfavorable development trends such as unregulated urbanization, illegal building, sprawl development along the coast. All of the aforementioned factors have directly affected the cultural and natural heritage, frequently ignoring traditional urban/architectural patterns (World Bank 2015).<sup>1</sup>

The region of the Albanian Riviera begins south of the Llogara National Park, continuing along through the villages of Dhermi, Vuno, Jale, Himare, Borsh, Qeparo, Piqeras, Lukove. This entire area has been proclaimed as one of the 2012 Top Value Destination by Frommer', not only for its beautiful rocky beaches but also for its untold stories and great landscape (Frommers 2012).<sup>2</sup>

The Riviera features traditional Mediterranean villages, ancient castles, Orthodox churches, turquoise beaches, interesting mountain passes, seaside canyons, flowing rivers, amazing underwater fauna, caves, orange and lemon crops, and olive groves; quite the package in offering diverse and sustainable tourism.



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<sup>1</sup> Based on the report obtained from the Ministry of Urban Development, *Albania Coastal Zone Development and Clean-up Program Environment and Social Safeguards Framework. 2011.*

<sup>2</sup> Source: <http://www.frommers.com/micro/2011/top-destinations-2012/top-value-destination-albanian-riviera.html>



Fig. 1 Albanian Riviera Landscape, Himara. Source: Sonia Jojic

Due to Albania's long isolation and the urge of its inhabitants to migrate after the '90s, there was a tendency to leave the villages located along the abandoned coast for either Greece or Italy. Yet, for the past 10 years and still continuing, many immigrants are coming back due to the economic crisis affecting Europe, investing their capital earned abroad in either building hotels or estates, without firstly evaluating the current state of the place and surroundings. This neglect directly affects the cultural and natural heritage of the historic villages by destroying the picturesque scene and polluting it.

It is essential to emphasize that tourism in the Albanian Riviera, aside from all the natural diversity offered, is greatly focused on beach retreats during the summer season from June - August with no other options for the rest of the year. While beaches can be fully packed during summer season, there is plenty of space and peace during low season. Sadly, the issues of the past decade's poorly planned development have ruined many once-charming coastal villages. This trend is still directly fostered by local management issues such as poor road and public utilities infrastructure, unregulated waste disposal, illegal construction etc.



Fig. 2 Village of Dhermi. Source: Sonia Jojic

In addition to the attempts of the previous government and the World Bank in disposing managing alternative projects such as the *Integrated Coastal Zone Management and Clean-up Project*, focused on supporting infrastructure for the improvement of environmental and sanitary conditions essential for the long term coastal development and tourism of the Albanian Riviera, there is still the need to come up with alternative ways for the future development of the southern coast, better hosting alternative tourism, without affecting the environment and the unique picturesque landscape of the Albanian Riviera. (World Bank 2015)



Fig. 3 Village of Upper Qeparo. Source: Sonia Jojic

Sustainable tourism categories should be introduced to the Albanian culture, not only because of the long-term economic gain and inclusion of SME – small and medium-size enterprises, but also for the proper use of its natural, cultural and historical potentials in branding Albania in a better and more sustainable way. The European commission has been fostering the concept of cultural tourism since 1987, encouraging methods that have impacted many countries in terms of creating better sustainable tourism in Europe. There are many countries that have fully embraced it but the southeastern part of the Balkans is still falling behind in creating sustainable tourism and branding cultural tourism / routes. (UNTWO, Sustainable Tourism for Development, Enhancing capacities for Sustainable Tourism for development in developing countries 2013)

Cultural tourism / routes can be the perfect solution for preventing the continued uncontrolled development in the Albanian Riviera, noting cultural/natural heritage as the main actors in fostering solutions regarding the area's alternative tourism.

### **Council of Europe - The Cultural Routes Programme**

Cultural tourism is essentially about journeys. Not just because tourists by definition travel to experience culture, but also because culture itself is a journey – a voyage of discovery and self-realization. Cultural Tourism searches for and uses the local and defining elements of a place which enables visitors not only to see or experience a place, but to live and dwell in the culture itself.

Not only does cultural tourism develop a narrative of the place in which both locals and tourists dwell, but it also develops narratives about the individual tourists who go through and experience *interculturality* in those places. The narrative of tourism therefore links place and journey, local and global, dwelling and mobility, host and guest. (WTO 2014)

In 1987, the Council of Europe launched The Cultural Routes programme. Its objectives were to demonstrate how the heritage of different countries and cultures of Europe contributes to a shared cultural heritage, putting into practice the fundamental principles of the Council of Europe: human rights, cultural democracy, cultural diversity and identity, dialogue, mutual exchange and enrichment across boundaries and centuries. The Committee of Ministers of the Council of Europe adopted Resolution CM/Res(2010)53 in December 2010, establishing an Enlarged Partial Agreement (EPA) to enable closer co-operation between states mostly interested in the development of Cultural Routes. (Council of Europe 2015)<sup>1</sup>

The representatives taking part in this Committee were the Ministers of Austria, Azerbaijan, Bulgaria, Cyprus, France, Greece, Italy, Luxembourg, Montenegro, Portugal, Russian Federation, Slovenia and Spain, outlined the Policy-making and standard setting of the established EPA<sup>2</sup> (Khovanova-Rubicondo 2013)

The EPA states that: the expertise of the European Cultural Routes Institute shall provide advice and expert assistance for the development, implementation, evaluation and promotion of Cultural Routes.

This involved expertise on: setting up and functioning of project networks and organizations and the development of co-operation agreements; research on the historical background of the routes and the development of the cultural and educational content and activities of the Cultural Routes; development of a sustainable tourist offer based on the Cultural Routes, thus contributing to the economic well-being of regions; preparation and implementation of financing and promotion strategies; training and capacity building for Cultural Routes operators, in particular in relation to the Council of Europe and other international standards in the field of heritage and culture, as well as standards of professional practice in the field of tourism; promotion, visibility and all other aspects related to compliance with the Council of Europe standards.

Furthermore, the EPA is obliged to support networking and exchange between Cultural Routes operators and other partners in the field of cultural tourism, specifically: the development of a common vision and strategy for cultural routes as touristic products; the development of partnerships to increase the resources available for cultural tourism in Europe; the identification and dissemination of good practice.

EPA shall develop further methodologies for the promotion of cross border cultural tourism.

In September 2010, the European Commission and the Council of Europe launched a study focusing on *European Cultural Routes impact on SMEs<sup>3</sup> innovation, competitiveness, and clustering*. The aim of the study was to provide insights on the effects produced by the CoE Cultural Routes Programme on SMEs performance, network and cluster development. Moreover, the study also sought to observe the potentials of the Cultural Routes in promoting sustainable and quality tourism in Europe, increase European identity, disseminating the richness of European cultures and promoting intercultural dialogue and mutual understanding. (Khovanova-Rubicondo 2013)

Of particular importance for Albania is that the study analyzes how much the Cultural Routes networks can affect and benefit SMEs, especially in less-known destinations, where the local culture and heritage are the main resource for development, and how SMEs' clusters can create a solid basis for promoting the region as "the world's No 1 tourist

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<sup>1</sup> Information obtained from official website of Council of Europe; "*Partial Agreement on Cultural Routes*"; [http://www.coe.int/t/dg4/cultureheritage/culture/routes/default\\_en.asp](http://www.coe.int/t/dg4/cultureheritage/culture/routes/default_en.asp)

<sup>2</sup> Enlarged Partial Agreement 2010; the Committee of Ministers of Councils of Europe.

<sup>3</sup> SME abbreviation for "small and medium-sized enterprises"

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destination".<sup>1</sup> Thus the idea of cultural routes for Albania, but especially for the Albanian Riviera can create potential clusters and co-operation for the entire region of the Balkans. This will give more potential in controlled development and stable economy growth for tourism in Albania.

### **Adriatic – Ionian Basin States involved in Cultural Routes programme**

Promotion of cultural tourism is a logical next step in developing Cultural Routes. For years now, the European Commission has especially focused on encouraging countries in fostering Cultural Routes for a more sustainable tourism. The uniqueness of this type of tourism builds on the individuality and authenticity of remote destinations, local knowledge, skills, heritage and traditions. Over the past years most of the South Eastern states in the Adriatic – Ionian Basin have been and are still participating in the Cultural Routes programmes. These countries include Slovenia, Croatia, Bosnia and Herzegovina, Montenegro, Albania and Greece. However, in all the different cultural routes that the majority of these countries partake in Albania is involved in only one of them "The Routes of the Olive Tree", which does not fall under the category of cultural routes, but that of gastronomic tourism. If we take a look at all the Cultural Routes from the previously listed states, we can ascertain that; **Slovenia** is currently participating in the following Cultural Routes activities and present projects:

- Saint Martin de Tours: a great European figure, a symbol of sharing
- The Routes of the Olive Tree
- Transromanica

#### **Croatia** Council of Europe Cultural Routes:

- Saint Martin de Tours: a great European figure, a symbol of sharing
- The Jewish Heritage Routes
- The Routes of the Olive Tree

#### **Bosnia and Herzegovina** Council of Europe Cultural Routes:

- The Routes of the Olive Tree

#### **Montenegro** Council of Europe Cultural Routes: None

#### **Albania** Council of Europe Cultural Routes:

- The Routes of the Olive Tree

#### **Greece** Council of Europe Cultural Route:

- The European Route of Jewish Heritage
- European Cemeteries Route
- The Routes of the Olive Tree
- The Phoenicians' Routes
- The Iter Vitis Route

While Slovenia, Croatia and Greece are more developed countries in terms of tourism, Bosnia Herzegovina, Montenegro and Albania fall short in terms of their participation in the Cultural Routes programme. (Council of Europe, Enlarged Partial Agreement on Cultural Routes 2014)

According to the European Commission's concept of Cultural Routes in Europe, the most urgent issues that countries like Albania, Montenegro, Bosnia Herzegovina need to address includes the development of better:

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<sup>1</sup> Chapter 6, *Increasing attractiveness of the lesser known European destinations via the Council of Europe Cultural Routes programme*; Impact of European Cultural Routes on SMEs' innovation and competitiveness, published by the Council of Europe, 2010

- transnational connectivity of the Cultural Routes network;
- co-ordination of the development and promotional strategies of the Cultural Routes at a European level;
- brand image and marketing strategies;
- quality and sustainable tourism standards development/implementation;
- human and financial resources of the Routes;
- expertise in the management of the networks;
- exchange of good practices; and
- network management and performance evaluation tools, all issues that at this stage Albania is lacking, and especially the Albanian Riviera where there is the need to develop a proper strategic plan in branding the area through sustainable tourism. (Khovanova-Rubicondo 2013)

### Developing Cultural Routes for the Albanian Riviera

Taking in consideration all the villages extended along the southern coast of Albania and the historic background of the southern villages linked to Greece, there is a lot of potential in fostering more sustainable tourism. Cultural tourism and especially cultural routes identified in the area can encourage complicity in increasing linkages between suppliers and consumers; creating contact with local culture; and emphasizing the everyday intangible heritage. On the other hand, there is the need to shift towards promoting events as means of advertising places as more creative spaces for originality and user-generated content. The importance of cultural tourism is the development of a narrative about a place in which both locals and tourists dwell, but also its ability to develop narratives about the individual tourists who go through and experience interculturality in those places. The narrative of tourism therefore links place and journey, local and global, dwelling and mobility, host and guest. <sup>1</sup> (International Tourism Consulting Group 2013)

In the case study of the Albanian Riviera, the research focused on promoting the cultural tourism of the area through different interventions would have a positive effect through the fostering of economic growth of the southern Mediterranean villages. The entire Riviera was segmented in five main potential tourism targets, such as Cultural Tourism; Alternative Tourism; City Tourism; Family Tourism, and Eco Tourism, in the effort of reactivating the whole area.



Fig. 4 Segmentation of Tourism potential targets.

<sup>1</sup> Cultural Routes Trends outlined by UNWTO World Tourism Organization, in their 2014 Regional Report Volume III, "Working Together in Europe – A Shared Leadership" Pg 99, 2014



The objectives and challenges highlighted during the research were the importance of tourism in the Riviera; its environmental and cultural heritage including mountains and coastal landscapes; villages and local communities; traditions, and identities. Furthermore, the study aimed to develop a sustainable growth based on sustainable tourism which means a low-impact development of infrastructures and facilities that still respects local people and travelers, cultural heritage and the environment, thus further promoting the concept of cultural routes in the area.

The cultural heritage found in the Albanian Riviera is one of the most crucial elements in building up and promoting Cultural Routes in the area. As previously mentioned, the only countries currently participating in a wider range of activities and present projects focusing on Cultural Routes are Slovenia, Croatia, and Greece, with diverse cultural routes programs. However, due to the historic background of the villages in connection to Greece and its culture, there is an optional gap in linking continuous cultural routes. The study conducted by POLIS University and the University of Ferrara attempted precisely to create and promote different activities in the Riviera for the course of the entire year, not only the summer season as it still happens; therefore, the yearly activities calendar of the area matches with the current focus of the Cultural Routes programme, such as: New ways/path of pilgrimage; Maritime and trade routes; cultural routes of industrial / military heritage; landscape and civilization; European routes of historical towns (Khovanova-Rubicondo 2013)<sup>1</sup>.

The emphasis should not only be placed on the beautiful coastline that the Riviera has but also on cultural tourism as one of the most important components for better identifying the culture of a place. For instance, the Albanian Riviera extends between two major natural and cultural points, the **“Llogara National Park”** and the **“Butrinti National Park”**, where Mediterranean villages full of culture and tradition enrich the area even more. Along this segment, we can identify some major cultural routes.

### Cultural Route 1: “Caesar’s Pass”

In addition to the breathtaking scenery and the diverse flora and fauna, the Llogara national park may also play a major role in hosting different cultural routes beginning from the Llogara National Park, **“Caesar’s Pass”**. There is evidence that in 48 BC, during his pursuit of Pompey, Julius Caesar set foot and rested his legion at Palase (Koci 2006). He continued onto Llogara Pass in a place later named Caesar’s Pass (Koci 2006). **“Caesar’s Pass”** can be a highly profitable cultural route not only for Albania but also the neighbored countries, hosting pedestrian and maritime paths of the villages from Palasa – Dhermi, strengthening scenic routes and enhancing slow mobility. (National Tourism Agency 2015)

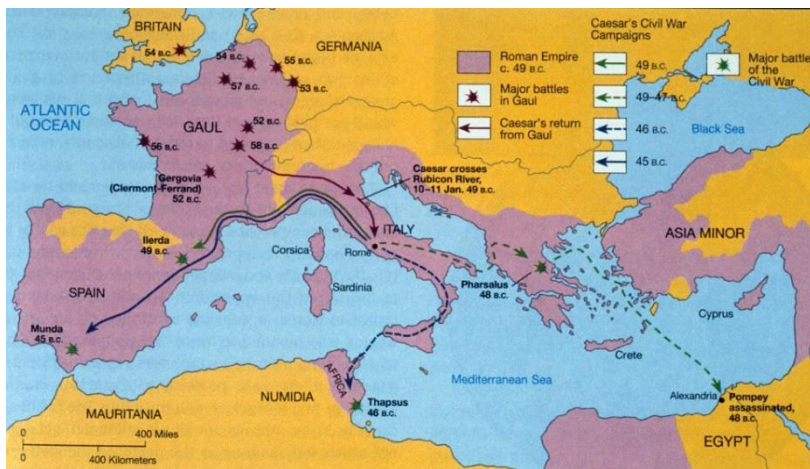


Fig. 5. Map Showing Julius Caesar's Military Career in 49 – 47 B. C passing through south of Albania during his pursuit of Pompey. Source: University of Massachusetts Boston, [http://www.faculty.umb.edu/gary\\_zabel/Courses/Phil%20108-08/Rome%20-%20Maps.htm](http://www.faculty.umb.edu/gary_zabel/Courses/Phil%20108-08/Rome%20-%20Maps.htm)

<sup>1</sup> Information obtained from *“Impact of European Cultural Routes on SMEs’ innovation and competitiveness”* from the European Commission publication, 2007 – 2013; pg 17-18.

### Cultural Route 2: “Religious Cultural Routes”

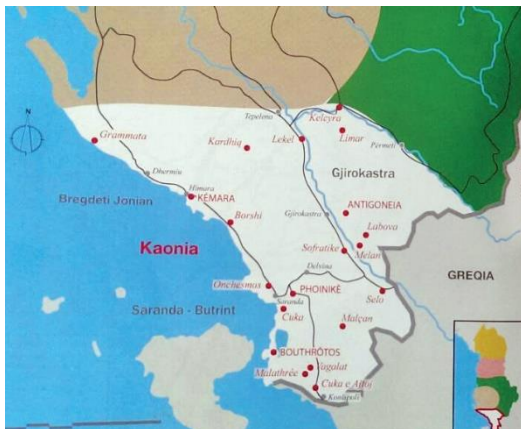
Additionally, the town of Dhermi, besides its beautiful beaches and resort, can also host annual pilgrimage cultural routes events due to numerous number of monasteries and churches such as: the *Monastery of Shën Maria*, the *Church of Shën Todhri*, the *Church of the Ipapandia* and the *Church of Shën Mitri* with its frescos dating from the 12th -14th centuries. Furthermore, the pilgrimage cultural route can also extend to Vuno (the *Church of Shën Spiridhoni*, built in 1778, the *Church of Mesodhia with paintings from 1783*), Himara (the *Church of Shën Maria e Athalit*, the *Church of Cassiopeia*, the *Church of All Saints*) and Qeparo (the *Monastery of Shën Dhimitri*) (Koci 2006) thus connecting religious cultural routes with Greece. (Koci 2006)

### Cultural Route 3: “Chaonians Cultural Route”

The Chaonians were an ancient Greek tribe that inhabited the region of Epirus located in the northwestern part of modern Greece and southern Albania. Here, both Himara (*Chimaira*)<sup>1</sup> and Butrinti (*Buthrotum*) played a major role. The Chaonians Cultural route could connecting the town of Himara Albania (*Chimaira*) with Igoumenitsa (*Thesproti*). (Koci 2006)

Fig 5. Left - Epirus in antiquity. Source: Hellenica. de, <http://www.hellenica.de/Griechenland/Ort/EpirusOldMap.jpg>

Fig. 6. Right –Map showing Kemera and Bouthrotum towns within the region of Epirus. Two major centers of the Greek tribe of the Chaonians. Source: Archeological Map of Albania



Many countries in Europe are key cultural touristic destinations, with a great number of major cultural sites. However, Albania stands at a great distance from Italy or Greece in terms of cultural sites and routes, specifically from a management point of view. According to European Commission data obtained from PIKx (2009), there was a 5% drop in the number of city visitors (usually closely related to cultural tourism), compared with a 20% drop in touring holidays and rural tourism, and a 15% fall in mountain recreation in 2009. (International Tourism Consulting Group 2013). These statistics indicated that despite the study's suggestions carried out in the Albanian Riviera, there is still a need for implementing new trends of cultural tourism, such as creative tourism; educational tourism; gastronomic tourism; religious tourism; spiritual and holistic tourism; wellness and spa tourism; cultural volunteer tourism; roots of migrant tourism. All new cultural tourism trends that the Albanian Riviera can possibly host and further develop for a better sustainable tourism. The above suggested examples of potential Cultural Routes match the minimal interventions done to the area. In the case of the Albanian Riviera, the study focuses on sustainable growth based on a sustainable tourism, which means a low-impact development of infrastructures and facilities for a tourism which will respect both local people and travelers, foster cultural tourism by its cultural heritage and the environment. Moreover, the study also focuses on further rebranding the area by initiating the inclusion of a yearly calendar where the concepts of creative, gastronomic, and religious tourism can attract visitors all over the year.

<sup>1</sup> The town of Himarë is believed to have been founded as Χίμαιρα, (Chimaira, hence the name Himara) by the Chaonians as a trading outpost on the Chaonian shore. Data obtained from: [https://en.wikipedia.org/wiki/Himar%C3%AB#cite\\_note-Hansen-17](https://en.wikipedia.org/wiki/Himar%C3%AB#cite_note-Hansen-17)

<sup>2</sup> Data's obtained from the International Tourism Consulting group for the European Commission in 2009.

### The possible benefits of Cultural Routes for the Albanian Riviera.

Firstly, by participating in the "The Enlarged Partial Agreement on Cultural Routes", Albania will establish and reinforce the potential impact of Cultural Routes in terms of cultural co-operation. Secondly, this program will develop sustainable territorial development and social cohesion not only in the Albanian Riviera area, but also in other potential areas of the country; giving particular attention to the themes of symbolic importance for European unity. It will help encourage local people value their history, culture and values, and most importantly discover less well-known destinations. Thirdly, it will help strengthen the democratic dimension of cultural exchange and tourism through the involvement of professional networks and associations, local and regional authorities, universities and professional organizations. Most importantly, cultural routes programs contribute to the preservation of a diverse heritage through theme-based and alternative tourist itineraries and cultural projects for a country like Albania.

As previously mentioned, Albania is currently participating in "The Routes of the Olive Tree", in which countries like Albania, Algeria, Bosnia-Herzegovina, Cyprus, Croatia, Egypt, France, Greece, Italy, Jordan, Lebanon, Libya, Malta, Morocco, Portugal, Serbia, Slovenia, Spain, Syria, Tunisia, Turkey share "*The presence of the olive tree that has marked not only the landscape but also the everyday lives of the Mediterranean peoples. A mythical and sacred tree, associated with their rites and customs and has influenced their ways of life, creating a specific ancient civilization, the "olive tree civilization".*"<sup>1</sup>Inaugurated in 1998, and organized by the highly dynamic Euro Mediterranean Olive Tree Cultural Foundation based in Messenia (Greece) comprising a wide range of institutions, organizations, universities and Chambers of Commerce in Mediterranean and European countries. This can be referred as the perfect example in how to managing cultural roots and its main actors for the Albanian Riviera. (Council of Europe, The Routes of the Olive Tree 2014)



Fig 7. Countries involved in The Routes of the Olive Tree Programme. Source: Council of Europe, [http://www.coe.int/t/dg4/cultureheritage/culture/routes/olive\\_en.asp](http://www.coe.int/t/dg4/cultureheritage/culture/routes/olive_en.asp)

### Conclusion

Albania is still new to the concept of sustainable tourism and especially cultural tourism routes. Tourism, one of the most important economical sources for Albania, especially for the southern Albanian Riviera, commonly recognized as the country's most valuable development asset since the 1990s, has been affected by many unfavorable phenomena that continued to prevail during the transition to democracy, along with new unfavorable developmental trends, such as

<sup>1</sup> "The Route of Olive Tree", The Council of Europe Cultural Routes": 2005  
[http://www.coe.int/t/dg4/cultureheritage/culture/routes/olive\\_en.asp](http://www.coe.int/t/dg4/cultureheritage/culture/routes/olive_en.asp)



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unregulated urbanization, illegal building, sprawl development along the coast, directly affecting cultural and natural heritage by frequently ignoring traditional urban/architectural patterns of the southern villages.

This paper explored the suggested alternative tourism categories that can be introduced to the Albanian culture, not only for long-term economic gain, but also the inclusion of SME – small and medium-size enterprises. It emphasizes the concept and methods of cultural routes, a concept promoted by the European commission since 1987, one that should be fully embraced by the southeastern part of the Balkans in order to create sustainable tourism and brand cultural tourism / routes. A concept that may be the perfect solution for further prohibiting the continuation of uncontrolled development in the Albanian Riviera noting cultural/natural heritage as main actors in fostering alternative tourism solution for the area.

The role of the government, however, is much needed in providing basic infrastructure and regulations, easing the process of sustainable development for tourism purposes. The studies carried out at Polis University and Ferrara can further influence the process of policies aiming to promote area, even from an economic development point of view.

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## Effects of Project Cost Overruns and Schedule Delays in Sub-Saharan Africa

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### Abstract

This paper provides conceptual insights on the economic impact of project cost overrun and schedule delays on infrastructure procurement in developing countries with huge infrastructure deficit in Sub-Saharan Africa. Projects cost overruns and schedule delay are a major and widespread problem in infrastructure procurement the world over. It has received a lot of attention in the recent past. However, the literature reveals that extant studies on project overruns are heavily skewed towards causative factors, with little or no attention to the effects it has on the economy as a whole. The paucity of studies on the effects of project cost overrun and schedule delay will further reinforce the imperative to reacquaint policymakers and infrastructure developers, as well as project financiers with the gravity and import of the problem for infrastructural development in particular and the wider economy in general. The study undertakes an exploratory approach drawing from a wide range of secondary information and materials obtained from policy documents, study reports and peer-reviewed articles. The findings show that cost overrun and schedule delay in infrastructure procurement can have a damaging economic effect ranging from allocative inefficiency of scarce resources, further delays, contractual disputes, claims and litigation to project failure and total abandonment. The study recommends project management capacity-building for infrastructure developers, project managers as well as a number of innovative control mechanisms such as reference class forecasting, public-private partnership and computer-aided cost estimating tools including artificial neural networks, data mining, building information modelling as well as fuzzy neural inference model, genetic algorithms, and stochastic simulation to curb the menace of the problem.

**Keywords:** Effects of Project Cost Overruns and Schedule Delays in Sub-Saharan Africa

### Introduction

The role of infrastructure in fostering economic growth and development has been established in the growth literature (Calderon, 2008). Some studies contend that the poor state of infrastructure is one of the major impediments preventing economies in Sub-Saharan Africa from leapfrogging from their current economic status into modern industrial economies (Calderon, 2008; Yepes, Pierce, and Foster 2008). For instance, Escribano, Guasch, and Pena (2008) observed that the state of infrastructure in Sub-Saharan Africa lag the global average by 30% due to deplorable condition and massive backlogs across different countries and sectors thereby leading to loss in economic growth by 2 basis points annually. Addressing this huge infrastructural deficit would require huge capital outlay- estimated to be around US\$ 93billion - and lengthy construction periods (Escribano, Guasch, and Pena 2008). The rapid increase in population growth in SSA and the growing demand for better utility services has made the investments in infrastructure even more imperative.

Project cost overruns and schedule delays are a widespread challenge affecting infrastructure procurement world over across time, project size and type (Flyvbjerg, Holm, and Buhl, 2003; Flyvbjerg, 2005). Flyvbjerg *et al.* (2003) in their extensive study on project cost overruns and schedule delay observed over the course of 70 years that the study considered, the incidence of cost escalation had not decline and concluded that it appears no learning seemed to have taken place. Similarly, Ahiaga-Dagbui, Smith, Love and Ackermann (2015) corroborated Flyvbjerg, *et al.* (2003) by submitting that in spite of the vast attention given to cost overruns and project time delay in literature and practice, not much progress appears to have been made in terms of the reliability of initial project cost estimate and predictability of final actual cost over the years.

According to Flyvbjerg *et al.* (2003), infrastructure projects are globally estimated to have 86% probability of experiencing cost escalation with average cost overrun of 45% for rail projects, 34% for bridge projects and 20% for road projects.

Similarly, Love, Edwards and Irani (2012) and Odeck (2004) also contend that cost and time overruns could sometimes average 70% and 183% over the initial stipulated estimate respectively. In another related study, Ernst & Young (2014) also reported that 64% of the infrastructures in the oil and gas industry recorded cost overruns in varying categories and in one particular instance cost overrun were as high as 59% representing cost escalation of US\$500 billion.

The high incidence and magnitude of project cost overruns and schedule delays in Sub-Saharan Africa remain unabated and only further complicates the poor infrastructural situation of the region (Flyvbjerg *et al.*, 2003). A study on Nigeria transport infrastructure project reported project overrun of averaging 14% cost escalation and time schedule delay of 188% (Omeregie and Radford, 2006). Likewise in Ghana, 75% of ground water drilling projects have been reported to have exceeded budgeted cost and time (Frimpong, Oluwoye and Crawford, 2003). In Kenya, a report on range of projects under the Constituency Development Fund indicated a 48% cost overrun and 87% time overrun (Ngacho and Das, 2013). The study also classified the projects across different sectors and found that Agricultural market projects experienced an average of 71% project overrun while industrial estate projects witnessed project overrun of 68.3% of cost and time escalation. Project overruns have a negative effect on infrastructure procurement by raising the capital-output ratio in the sector with a concomitant negative effect on the overall economy. For instance, project overruns of cost and time has been identified as the significant factor responsible for project abandonment and high incidence of contract failure (Rwelamila, Talukhaba and Ngowi, 1999; Elinwa and Buba, 2001).

A critical review of the literature on construction cost and schedule estimates reveal that a lot of emphasis has been laid on the factors causing project cost overrun and schedule delay in Sub-Saharan Africa (Mansfield, Ugwu, and Doran, 1994; Frimpong, Oluwoye and Crawford, 2003; Baloyi and Bekker, 2011) but not much has been done to highlight the consequences of project overruns and this is what this paper seeks to explore so as to exhume more seriousness on the part of project planners, contractors and policymakers on the consequences of project overruns as well as proffer policy recommendations.

The rest of the paper is organized as follows: section two reviews the extant literature on cost and schedule overruns. Section three discuss the method adopted in this study, while section four takes a brief overview of cost and schedule overruns in Sub-Saharan Africa. Sections five discuss the effects of cost overruns and schedule delay, while section six explore the control mechanisms of cost and schedule overruns. The paper concludes amid recommendations in section seven.

### Literature Review on Cost and Schedule Overruns

The traditional objective of project management is the coordination of multilayered construction tasks in order to successfully procure and deliver infrastructure projects "on time, in budget and according to contract design-specification". Therefore, the iron triangular project management functions of cost, time and output performance (quality and scope) illustrated in figure 1 becomes key criteria for project control and performance evaluation (Might and Fisher, 1985; Morris and Hough, 1987; Barnes, 1988). In that sense, traditional project managers as well as engineering and procurement contractors always strive to deliver project on time and within budgets so as to avoid incidence of cost and schedule overruns in project procurement as project with overruns are often viewed as less than successful. No other study epitomized this position more than Atkinson (1999) which boldly stated that the most strategically significant measure of project failures are "time overrun", "cost overrun", and "poor quality".

Figure 1 Project management objectives



Conventionally, cost overrun is often defined as the actual turnout of costs measured as a ratio of estimated costs (Bacon and Besant-Jones, 1998; Flyvbjerg *et al.*, 2003). However, cost overrun is defined by another school of thought as the difference between actual project cost at completion and budgeted estimate at project approval after adjusting for expenditures due to cost escalation (Merrow, 2011; Love, Ahiaga-Dagbui and Irani, 2016). While Schedule overrun, sometimes called schedule slippage, is defined as the margin between actual project implementation time and the estimated project implementation duration. The implementation schedule commences from the date of project approval by the main financiers and the key decision makers, to when the project comes to full commercial operation (Ansar, Flyvbjerg, Budzier and Lunn, 2013). Several empirical evidences have shown that the probability of a project experiencing overruns increases with the size and specification complexities (Baker, *et al.*, 1974; Flyvbjerg *et al.*, 2003; Standish Group, 1994). For instance, megaprojects are by their very nature chaotic and unpredictable (Standish Group, 2004; Flyvbjerg *et al.* 2002). Similarly, special projects with high technical complexity in terms of meeting the performance specifications such as nuclear reactors, aeronautical space projects, oil and gas projects as well as thermal and hydro electrical projects are prone to high frequency and magnitude of overruns (Sovacool, Gilbert and Nugent, 2014). Project management capability and the quality of institutional environment have also been reported in some studies as critical factors in determining overruns (Baker, *et al.*, 1974; Flyvbjerg *et al.*, 2003; Cantarelli, Flyvbjerg, and Buhl, 2012). Also worthy of note, is that the use of Public-Private Partnerships in infrastructure procurement have been observed to have an inverse relationship with overruns, therefore an increase in its use would help reduce the incidence and magnitude of overruns (Blanc-Brude, Goldsmith and Väilä, 2009; Kostkaa and Anzinger, 2015; Siemiatycki, 2015)

Although several causal factors of overruns have been documented in the literature but for the purpose of this study we shall be restricting ourselves to five broad categories proposed by Baker, *et al.* 1974, Flyvbjerg, *et al.*, 2003 and Ahiaga-Dagbui and Smith

According to Flyvbjerg (2005) and Siemiatycki (2015), the factors influencing project cost over-runs and time slippages can be broadly classified into three categories: Technical issues, optimism bias issues, and Strategic deception and misrepresentation issues.

### **Technical Issues**

Technical issues account for the most common explanations for project cost overruns and schedule delays. Common examples of technical glitches leading to project overruns comprise inaccurate forecasting and cost estimating techniques, insufficient data and poor judgments arising from lack of sufficient experience in project cost forecasting and estimation as well as the general inability to predicting the future (Flyvbjerg, Holm, and Buhl, 2002; Siemiatycki, 2015).

### **Optimism bias**

The problem of estimation bias stemming from being overly optimistic about the prospect of a project in terms of cost and time is one of the major factors causing cost over-runs and schedule delays in infrastructure procurement. Flyvbjerg (2005) suggest this to be a more plausible cause of cost overruns and project time delays than the technical glitches, arguing that political and competitive pressures on projects incentivizes by project promoters and deemphasize costs and risks while overemphasizing project prospects. The concept optimism bias in project cost and time estimation was inspired from the seminal work of Kahneman and Tversky (1979) on decision-making under uncertainty. They stressed that most people often suffer from planning fallacy and optimism bias in that they tend to be delusional about their prospects and thus over-exaggerate the outcome in an investment or project, while underestimating the cost.

In infrastructure project planning, it simply implies the tendency to overestimate the project completion time while underestimating the project costs and risks of the project. This is especially true for public sector infrastructure which has gained notoriety for large over-runs. According to Flyvbjerg (2005), over-optimism often arises from cognitive biases in the information processing mechanism of the human mind thereby leading to poor project forecasts and wrong estimates stemming from technical inefficiencies and systematic misrepresentation. Poor estimation and forecasting techniques as well as incomplete and unreliable data are main causes of biased estimate. Better understanding of the technicalities as well as social and political dimensions of infrastructure procurement could provide a reality check, thus reducing the incidence of optimism bias.

## Strategic Deception and Misrepresentation Issues

Systematic deception and misrepresentation has been set forth by scholars and policymakers as one of the leading causative factors of project cost overruns and schedule slippage (Wachs, 1989; Flyvbjerg, Holm, and Buhl, 2002). Systematic deception and misrepresentation speaks to the possibility that project cost overruns and schedule delay may stem from a deliberate misrepresentation of facts by project planners and promoters with the sole intent to deceive. Actual project cost/benefit projections and time schedule are deliberately misrepresented by project planners and promoters in a bid to win the contract award over other competitors and to horrendously commence construction. The notion of systematic misrepresentation as one of the factors causing project overruns can be traced to two theories; agency theory and the theory of strategic deception.

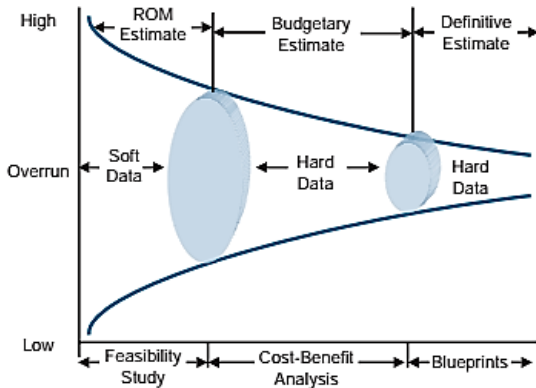
Flyvbjerg *et al.* (2004) explained that in infrastructure procurement, agency problems arise when there is separation of project sponsors (ultimately tax payers) and infrastructure procurement by a chain of intermediaries at every phase of the project comprising promoters, engineers and procurement contractors, project management consultants, municipal authorities and state ministries, departments and agencies. They argued that deception and misrepresentation can occur at every interface between the principal (project sponsors) and agents (project planners, promoters and contractors, etc. ) due to number of reasons including the presence of information asymmetry, divergent self-interest, and differences in risk preferences. For instance, a desperate project contractor would want to get project approval by all means, thereby deliberately underestimate the cost of the project and exaggerate its benefits during the contract bidding process in order to make the project look attractive, while the self-interest of politicians is to rush through the project approval and commencement in time before the next election with total disregard for value for tax payers' money, etc.

Therefore, there is a strong incentive for project promoters to continuously underestimate the costs of infrastructure projects in order to make them attractive to financiers and tax payers as long as there are no punitive measures taken against such perpetrators. This can be controlled by introducing measures of accountability in infrastructure procurement whereby any party found to have deliberately deceived project sponsors and financiers is made liable for damages incurred.

Effective cost planning and forecasting is very crucial during the early stages of project life-cycle in ensuring that the project costs, quality and time schedule are within the economic limit of budgeted project expenditure. Accurate initial cost and schedule estimates are therefore very essential- as it aids project sponsors and financiers to make better informed decisions on whether or not to proceed before any shovel-on-the-ground (Hegazy, 2002; Chan, *et al.*, 2004). However, several studies on project performance have reported high incidence of cost and schedule overruns thus suggesting inefficiency in project cost estimation, planning and forecasting (Flyvbjerg *et al.*, 2003; Ahiaga-Dagbui *et al.*, 2015). Project overruns occur at any stage of project life cycle: during project planning and development phase, when project price and design is being negotiated; during project approval phase, while waiting for disbursement; during project construction procurement phase; during post-completion phase if the construction does not meet the standard quality (Siemiatycki, 2015).

However, most cost overruns usually occur at the initial phase of a project where the uses of soft data (Rough order-of-magnitude (ROM) estimates) are more prevalent. As a project progresses from the initial phase to the planning and construction phase where the use of soft data gives way to the use of hard data, the cost estimates improves in accuracy thereby reducing the range of cost overruns (Kerzner, 2013; Hegazy 2002). According to the European Commission DG XVI (1998), the basic elements that must be considered in order to ensure good project management practices as well as avoid cost overrun include: **Cost control**: entails ensuring that the infrastructure procurement guarantees value for money in terms of the project design and construction as well as ensuring that the actual cost of the project does not exceed the budget estimate; **Time control**: requires ensuring that the infrastructure procurement is executed within the stipulated schedule; **Quality control**: implies ensuring that the infrastructure procurement is executed within design-specifications in the contract and guarantees expected performance; **Change control**: entails ensuring that any necessary changes to the original engineering specification should be carried out within the official budget and must be subject to the approval of the sponsor.

Figure 2 Ranges of overruns



Source: Kerzner, 2013.

The seminal work of Baker, Murphy and Fisher (1974) is perhaps one of the pioneering studies on project cost and schedule overruns. The study which was sponsored by the US National Aeronautics and Space Administration investigated the determinants of project performance from a sample of 646 responses obtained from seasoned project managers and contractors. The study identified the certain critical success factors as necessary preconditions during the project planning and initiation phase: clearly expressed design-specifications; realistic project schedules; accurate cost estimates; avoidance of buy-ins; avoidance of over-optimism; favorable interface with the institutional environment; and conceptual clarity. The authors further identified some additional factors to be imperative for project success during the construction phase including, project management team's commitment and capability; the presence of on-site project manager; as well as adequate funding of construction to completion. Out of these factors, accurate initial cost estimates, realistic schedule amongst other factors as being directly related to both project success and failure. In other words, the accurate forecast of project cost and schedule amongst others or the lack thereof are necessary but insufficient factors in determining the probability of success or failure of a project. Therefore, the authors decided to expand the focus of the study to include the phenomenon of cost and schedule overruns in what is to become a pioneering inquiry on project overruns. The study also arrived at the following conclusion with respect to project overruns; cost overruns were highly correlated with the size and complexity of the project as well as the degree of difficulty in meeting project technical specifications; poor cost estimates leading to a significant percentage variance in the actual cost to budget; lack of appropriate project control systems and lack of stakeholder engagement in project decision-making; in most instances schedule difficulties and concomitant schedule overruns were identified as the primary cause of cost overruns; overruns does not imply lack of success as the study found many instances of overruns in projects that were considered successful.

### Methodology

This paper is entirely an exploratory qualitative study therefore a wide range of theoretical and empirical literature as well as secondary information were obtained from policy documents, study reports from reputable organizations such as the World Bank, African Development Bank, the Standish Group, Ernest & Young, etc. and peer reviewed articles to provide conceptual insights on the phenomenon of infrastructure project overruns in Sub-Saharan Africa. Most of the articles reviewed in this paper are empirical studies that employed data on cost and schedule overruns obtained from practical project observation or experience.

### Overview of Project cost and schedule delay in Sub-Saharan Africa

The link between the quality of institutional governance and efficient and sustainable infrastructure procurement has been well documented (OED, 1996; Kenny, 2007). Studies have shown that countries with more strong institutional governance frameworks and stakeholder inclusiveness tend to experience lower risks of cost overruns and ultimately more success in project procurement than countries with weaker regulatory governance (Ansar, Flyvbjerg, Budzier and Lunn, 2013). This view has been corroborated in a World Bank's Operations Evaluation Department report (OED, 1996). The study evaluated 117 World Bank sponsored infrastructure projects in sub-Saharan Africa completed between 1992 and 1997 valued at



US\$4. 2 billion. The performance of the projects was considered to be below the average as 58 percent of projects outcomes were classified as satisfactory, and only 18 percent were considered sustainable.

Infrastructure project procurement performance in Sub-Saharan Africa was found to be severely constrained by weak institutions, inadequate project management capability, and poor project design as well as a high degree of uncertainty regarding the operations and maintenance of the new facilities by the host government or community.

Ansar, Flyvbjerg, Budzier and Lunn, (2013) also suggest that another reason developing countries such as those in Sub-Saharan Africa are more prone to a greater frequency and magnitude of project overrun is inflation and currency exchange, arguing that foreign currency exchange volatility which is so prevalent in developing countries can severely impact project cost due to the high dependence on foreign goods for project materials. Indeed, inflationary pressures and its concomitant impact on local currency devaluation is a common theme in infrastructure procurement overruns in Sub-Saharan Africa. For instance, the Tanzam Highway Rehabilitation project in Tanzania which experienced a cost overrun of 54% and a schedule overrun of 50 months attributed the cause of the overrun to a number of factors including depreciation of local currency due to a spike in inflation as well as delay in cash disbursement (AfDB's OPEV, 2004).

Further compounding the issue of foreign dependence is the extensive use of foreign labour and expatriates as project consultants as well as the award of the contracts to foreign engineering procurement and construction companies due to comparative lack of experienced local project management team, thereby potentially increasing the cost of labour due to the high cost of foreign labourers. This position has been verified in Meredith (2005). The study observed that across the region there was an almost precarious dependence on foreign expertise up to a point where Nigeria Airlines was essentially managed by KLM and Nigerian Railways run by Rail India.

Flyvbjerg *et al.*, 2003 observed that cost underestimation is more pronounced amongst developing countries than in North America and Europe especially on transportation projects. Similarly, AfDB's OPEV (1997) reported cost underestimation and delay in funds disbursement to be the main factors attributed to 42 percent cost overruns which amounted to 10 billion CFA. F and corresponding 20 months' schedule delay on a Gabonese road maintenance project executed between 1992 and 1993.

In the same vein, the World Commission on Dams (2000) reported huge overruns in dam procurement arising from underestimation of project cost and schedule in most developing countries, with countries in Sub-Saharan Africa registering the highest underperformance. Take for instance, the case of the rehabilitation of Inga 1 and 2 dam projects in Congo DRC which recorded a huge cost overruns amounting to US \$ 1. 1 billion far and above the initial estimate of US\$ 250 million due to mismanagement and delays in project execution. Worse still, Inga 1 and 2 not been able to operate at the estimated full capacity of 860 MW since inception, only operating on an average less than 40% (55 MW) of the proposed capacity (International Rivers' Programme for infrastructure Development Africa Report, 2016).

Another recurring source of overrun in infrastructure procurement in Sub-Saharan Africa, especially for independent power projects is contractual disputes and arbitration (Gratwick, Ghanadan and Eberhard, 2007; Eberhard and Gratwick, 2012). The 100 MW diesel-power project procured by the Independent Power Tanzania Limited (IPTL), which was completed in 1998 but only started operations in 2002 due to delay stemming from disputes over construction cost and related capacity payments as well as allegations of corruption, is a good example in this regard. The cost of arbitration incurred by IPTL amounted to US\$ 1,272 thus contributing to total project cost overrun and further delay of 44 months, rendering the project as one of the very expensive project by the developing countries' standard due to allegations of corrupt practices between government officials and private investors.

Similarly, there was the construction of the Okpai Independent power projects in Nigeria which was also trailed with contractual disputes. However, parties were able to resolve the dispute out of court. However, the dispute did affect the payment plan as the plant did not make full payment to the national electricity company which was the off-taker, and therefore could not amortize after 5 years as originally agreed in the PPA even though the plant was producing power. Although unconnected to the dispute, the Okpai independent power project in Nigeria experience a significant budget increase by US\$150 million amid change in scope between the initial negotiations in 2001 and the plant coming on-stream (scope increase from 300 MW to 450 MW 2005). Factors cited for cost overrun were: vandalism as well as underestimation of the initial cost of transmission infrastructure required (Eberhard and Gratwick, 2012).

Another factor is fraudulent practices comprising non-adherence to contract conditions, kickbacks, discrepancies in contract document have also been reported as one of the causes of project cost overruns in developing countries in Sub-Saharan



(Kenny, 2007). Mansfield, Ugwu and Doran (1994) noted that transportation projects in Nigeria incurred cost overruns were attributed to a number of factors which include kickbacks. Allegations of kickbacks is very rife in infrastructure projects in the sub-region and led to the spiraling out of control infrastructure project cost in the Independent Power Tanzania Limited power project (Gratwick, Ghanadan and Eberhard, 2007). US\$ 250 million were specified to have been erroneously paid to contractors due to inflated project costs and deceitful overpayment of contractors by the Petroleum Trust Fund agency officials in Nigeria between 1994 and 1999 (Tell, 2002).

#### Effects of infrastructure project cost over-run

This section addresses the consequences of project cost and schedule overruns on infrastructure procurement in Sub-Saharan Africa. The economic effects of project cost and schedule overrun are a myriad of problems ranging from the possible loss of the economic justification for the project to constituting a strain on financing capacity to secure additional foreign as well as domestic credit facility. Aibinu and Jagboro (2002) and Flyvbjerg (2005), have identified the following effects as critical consequences of infrastructure project overruns:

**Pareto-inefficient allocation of resources:** cost and schedule overrun often lead to waste of scarce resources as about three quarters of the infrastructure projects are funded with foreign loans or donor aid funds (Mold, 2012). According to Flyvbjerg (2005) Project cost underestimation at the planning stage arising from poor forecasting techniques often misleads decision makers to buy-in on inferior projects with high overruns and low cost-benefit thereby leading to allocative inefficiency. Cost overrun can also lead to waste when project cost spirals out of control and therefore been abandoned due to inadequate resources. This is often referred to as throwing of good money after bad project called *white elephant* projects. A particularly notorious example of cost overrun leading to wastage is the Nigerian Ajaokuta Steel plant which was supposed to be commissioned to start operations in September 1979 and reported worth over US\$ 9 billion. Over three decades have passed since the commission of Ajaokuta steel plant, yet it had still not produced any steel (The Economist, 2000).

**Further delays and cost escalation:** cost and schedule overrun can further complicate an overrun situation as often takes a lot of time to secure additional funding to cover overruns (Flyvbjerg, 2005). In some instances, project overruns may require a renegotiation of the contract as well as seek fresh approvals thereby leading to further cost and schedule overruns. This was particularly the case in the Gabonese road maintenance project where delay in the disbursement of funds led to further deterioration of the roads and thus necessitating renegotiation of an increase in the financing amount and terms of agreement (AfDB's OED, 1997). Similarly, Gratwick, Ghanadan and Eberhard (2007) reported that the 180 MW natural gas-fired Tanzanian independent power plant located on the Songo Songo islands which was completed 2004 incurred a cost overruns of 50% in budget due to delays and thus requiring additional debt restructuring of capacity payments. The authors reported that nearly 30% of the cost overrun was attributed to increase in debt interest charges arising from project delay which amounted to US\$ 100 million.

**Contractual disputes and litigation:** contractual disputes, litigation and arbitration are major effect of project overrun in Sub-Saharan Africa especially amongst public-private partnerships (Aibinu and Jagboro, 2002; Gratwick, Ghanadan and Eberhard, 2007; Kikwasi, 2012). Claims and counterclaims amongst contractual parties (usually the government agency and private investor) on whom to bear the cost of overrun as well as on the terms of the concession agreement have often led to further loss of time and revenue. Gratwick, Ghanadan and Eberhard, (2007) reported that the 100 MW Independent Power Tanzania Limited 100 MW power project that delayed for 44 months due to disputes and litigation incurred an arbitration cost of US\$ 1,272. The cause of the dispute was over the actual cost of the engineering and procurement construction as well as non-adherence to the contract specification by the private investor firm. Similarly, the rehabilitation of the domestic wing of the Murtala Mohammed International Airport in Lagos concession to Bi-Courtney Aviation Services Limited (BASL) ran into disputes over the actual cost incurred by the concessionaire as well as the duration of the concession. BASL claims it obtained an extension of the concession period from 12 years to 36 years to enable it recoup the over US\$ 230 million invested. However, this claim is being contested by the Federal Airport Authority in court as there are doubts on the concessionaire spending that much amount of money (Daily Trust, 2014).

**Negative public perception:** significant overruns on critical public infrastructure projects often generate negative public perception and suspicion of corruption and inefficiency thereby reducing the attractiveness of the investment (Ansar, Flyvbjerg, Budzier and Lunn, 2013). This is particularly the case with the Bujagali Hydro Power project in Uganda which attracted a lot of negative public outcry regarding the cost overruns amidst swelling allegation of corruption. The Bujagali Hydro Power project experience a budget increase from an estimated USD 430 million to USD 860 million by the end of

March 2007 which social activist alleged was due to corruption and kickbacks but the project developers refutes this claim citing increase in the cost of metals by an estimated 90% over the last 5 years, increase in the cost of oil by 140% between 2000 and 2006 as well as a shortage of power generation equipment as the main cause of cost overrun (IRM, 2008)

**Loss of Job and Income:** Projects completed at record time and with the stipulated amount will free up resources for other usage and this will generate additional utility in the economy. The essence of any project is to create more jobs, either directly or indirectly. When projects experience overruns, it jeopardises this desire of more jobs and income. A good example is the Ajaokuta steel company that was estimated to create 6000 jobs directly and more than 1 million jobs indirectly, which never happen.

**Total project abandonment:** The total abandonment of infrastructure project is perhaps the worst effect of project cost and schedule overrun. Project abandonment could be temporary or for permanent duration (Aibinu and Jagboro, 2002; Murali *et al.*, 2007). The Nigerian Abandoned Projects Audit commission report (2011) revealed that 11, 886 federal government projects were abandoned across the country over the past 40 years due to a varied number of reasons including overruns. A particularly notorious example of abandoned project in Nigeria is the Ajaokuta Steel Company which was abandoned for over three decades after incurring over US\$ 9 billion (Mold, 2012).

### **Methods of mitigating and controlling project overruns**

The following cost and time overruns mitigating measures have been identified as very essential in controlling incidence of cost overrun by the European Commission DG XVI (1998):

**Enhanced project management capability:** the importance of appointing an effective and efficient project manager to supervise the project in a bid to mitigate project overrun in terms of cost and time cannot be overemphasized. It is the responsibility of the project manager to put in place appropriate project control and performance measures to ensure that project is completed within scheduled time and budgeted cost (European Commission DG XVI, 1998). The project managers should undertake periodic project risk assessment so as to be able to provide strategic information to the project sponsors as well as liaise with the project contractor in order to avert any situation that may lead to project overrun by reacting quickly to changing circumstances. Inefficient project risk management often lead to project over-run thereby hindering the project to meet its stipulated cost and time target.

**Reference Class Forecasting:** Reference class forecasting has proven to be a more accurate and successful way of controlling cost overruns especially the type arising from optimism bias (Flyvbjerg, 2003; Odeck, 2004). Reference class forecasting basically entails benchmarking new projects to a reference class of similar projects that have been recently completed in a bid to arrive at a probability distribution of likely cost estimate for the new project rather than trying to forecast offhand the specific uncertainties that might affect the project. Flyvbjerg and Cowi (2004) developed a practical guide of reference class forecasting for the UK Department for Transport. The authors developed benchmark of optimism bias uplifts by generating probability or frequency distributions of cost escalations for the different classes of project under review in order to arrive at a more realistic capital expenditure forecasts for each class of projects. The crux of reference class forecasting is that project cost estimators are encouraged to take an outside view in estimating project cost rather than take an inside view as studies have shown that people and organisations who took an outside view in a forecasting exercise had significantly more accurate prediction over organisations and individuals that intuitively took an inside view (Gilovich, Griffin, and Kahneman, 2002). For instance, the study suggests that optimism bias uplifts for road projects should range from 15% on the 50th percentile rank to 32% on the 80th percentile rank. Whereas for rail projects and other forms of urban transport, the optimism bias uplifts percentile ranges from the 50th percentile at 40% to 80th percentile at 57%.

**Computer-Aided Cost Estimating and Forecasting Models:** several Computer-Aided Costs Estimating (CACE) models and tools are now available giving modern cost engineers an advantage over issues of cost overrun (Ahiaga-Dagbui and Smith, 2012). These computer aided estimators range from a simple spread sheets software to sophisticated collaborative online platforms for project construction designs, simulation models, as well as cost monitoring and control models. Some of these models include Artificial Neural Networks (Ahiaga-Dagbui and Smith, 2012), Data Mining (Ahiaga-Dagbui and Smith, 2014), Building Information Modelling (BIM) as well as 3D Cost Estimation models. Other advanced computer aided construction cost estimation methods include fuzzy neural inference model (Cheng, Tsai and Sudjono, 2009), Genetic Algorithms (Rajasekaran, Febin, and Ramasamy, 1996), Stochastic simulation (Belli, Conti, Crippa, and Turchetti, 1999) as well as Discrete - event simulation (Flood and Worley, 1995).

**Risk and contingency planning:** Risk and contingency planning is a very common cost overrun mitigating measure in procuring large infrastructure projects (Baccarini 2005). Contingency plans are not based on any estimation technique but rather on a "rule of thumb" calculation. They are usually an additional cost allowance on the project by a certain percentage above the base cost estimate based on the experience of the project cost engineer (European Commission DG XVI, 1998). The industry average for contingency risk allowance in many jurisdictions is a 10% figure over the gross costs. However, it is not always suitable to allocate fixed contingency allowance estimate for the entire duration of a project but rather allocated in phases as each stage comes with its specific risks and can be eliminated as they manifest. A critical review of the cost determining factors in infrastructure procurement would help to ascertain which of the costs is most likely to overrun. This in turn would enable cost engineers and project sponsors to arrive at a more correct contingency estimate.

**Prequalification of contractors:** Prequalification of contractors has been proven to be an effective way of controlling project overruns by screening out bidders with doubtful capability who tend to strategically misrepresent project cost in order to unduly gain contract approval (Siemiatycki, 2015). Prequalification is a process of assessing the suitability of firms to execute an engineering and procurement contract prior to commencing the actual contract bidding process by the sponsors and financiers of a construction project. The successful procurement of infrastructure projects requires that contracts approvals are only given to firms, or consortia that are suitably qualified in terms of experience, construction technology, financial and managerial competence, and can execute the project within scheduled time.

**Use of Public-Private Partnerships:** The OECD (2012) defines PPP as a "long term agreements between the government and a private partner whereby the private partner delivers and funds public services using a capital asset, sharing the associated risks." Empirical evidence has shown that PPPs can be employed as a mechanism in controlling the frequency and magnitude of cost overruns (Siemiatycki, 2015; Kostka and Anzinger, 2015). For instance, Kostka and Anzinger (2015) using data from a survey of 121 large infrastructure projects spanning three sectors of the Germany economy, namely: road transport, building construction and ICT infrastructure, found that PPP projects reported significantly lower incidence and magnitude of cost overruns and project schedule delay than Non-PPP projects. The study found that PPPs in road construction projects, recorded merely 9% cost overruns as compared to 34% for Non-PPP projects. Similarly, PPPs in the building construction sector recorded cost overruns of 3% compared to 45% of Non-PPP projects. The authors also observed that about half of total PPPs in road construction projects included in the sample reported costs under-runs.

## Conclusion and Recommendation

A critical review of the literature on the concept of project overrun reveals that it is a widespread global phenomenon spanning across continents and historical divides. Project cost escalation and schedule delay continues to persist in the infrastructure projects in spite of the enormous attention given to the causative factors.

Project overruns can have adverse effect on the project procurement and on society in general ranging from escalation of cost, delay in schedule, disputes and litigation, as well as project abandonment. Efficient and effective project monitoring and evaluation performance has been recommended amongst other measures such as the adoption of modern computer-aided cost estimating tools and class referencing as some of the best ways of mitigating against project overrun. Also, public private partnership seems to be a good method of mitigating cost and schedule overruns has documented in the literature.

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## Conceptual Usage of Systems Dynamics in Patients Rehabilitation Management

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### Abstract

The essence of social sciences is well encompassed in Green's (2006) quote "People were created to be loved. Things were created to be used. The reason why the world is in chaos is because things are being loved and people are being used." For this reason, social sciences are important, as major research paradigm on how and why individuals interrelate. The aim of the actual research is to look for a conceptual approach activity, as part of a larger project focused on individual rehabilitation. The brain is trained to react to the stimulus and command a behavior. The premise, for the considered approach, is understanding the social sciences as revealing the individuals interests for self conscience, well being and moral values and drawing the line to it's importance for governments authorities, policymakers or NGO's.

**Keywords:** conceptual, usage, systems, dynamics, patients, rehabilitation, management

### Introduction

Needs and requirements for rehabilitation.

The need of assistance and rehabilitation is expected to increase in the near future in order to fulfill demands and requirements for physiotherapy and rehabilitation, (Simson 2005, Stein 2012). To provide a wider access to patients, especially due to aging populations and disperse geographic locations, the current demand for physiotherapy concerns the need to have user-sited therapy for motion training and rehabilitation with customized systems for specific patients.

A demand is already well understood as related to the demographic change. The OECD predicts an enlargement of the population of the over-65s to twice as many as the under-65s in 2050. Additionally, life expectation will increase. According to the European Commission, the population of the over-80s in the EU will grow from the current 21.8 million to 61.4 million in 2060. With this trend it is predicted that the number of therapists will decrease while the demand increases, thus the possibilities of having a personal therapy as today will be less available. To meet these changes, new ways of medical therapy will have to evolve. One of these kinds is user-sited therapy for motion training and rehabilitation.

The research is focused on the triggering factors that influence the people's behaviour and predisposition for change and their success in rehabilitation after accidents that may be caused by a variety of factors. As the behaviour of the individuals influences and changes our world, in a similar manner the environment (techno-natural and cultural-social and/or spiritual one) is influencing the individuals generally through standard ways like education, generation of the values map, professional competition, economical performance or as the actual ultimate goal the degree of satisfaction or happiness.

The conducted research is considered to belong to the change management methodology necessary for the permanent present duality: Homo Faber - Homo Sapiens. On one side the individual activity in direct correlation with its meanings is defined by the "owned tools" and on the other side the wish for understanding how to place the projection of the individual's self development is captured as a "desire support" defined by the "managerial capability".

Therefore, Engineering and Management approach and competences seem to be the right and important task force in promoting and enlarging the area of social-science, for competences oriented on the individuals well being and not only. In our era, the first (Homo Faber) dimension is strongly influenced by the evaluative trend of "Digital-age", where the wonder



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tools - the computers- in which mathematics, algorithms, electronics, physics and material science transform processes and knowledge in DDF (Digital Data Form). All this engineering process is leading to humans' new behaviour in creating models, scenarios and digital products for the everyday life aspects.

The second dimension (Homo sapiens) is represented by the capacity to organize structures of knowledge and use all the available DATA to create the most convenient environment combination (real + virtual) and forecasting the next status of an individual based on the actual behaviour structure and social living environment. This process may be considered to be based on the psycho-social development management where the technological culture and the change management can be used to create a guided impact on individual and collective well-being.

The individual's change is a result of the interaction between the micro and macro factors that at a certain scale of details enables the modeling of the "human subsystems" that are functioning in parallel: processes and functions. The implication of the induced change is the generation of a new function (that replaces a disappeared, or altered one) as an induced response to different social, politically correct integration, technological and economical external components.

The subjects for the research are considered as BIT's (Brain Injury Thrivers) as beneficiaries of much more customized functionality of the treatments and technologies implementations by considering the systems dynamics in the concept.

Any BIT destined activity is targeting the remained functionality potential of the system components and therefore can be treated as a system which flexibility is defined by the capacity of partial readjustment and "reprogramming". The components identification, correlation and adaptation through induced tasks must be a customized process where the most important factors are the trigerring ones.

When working with a system driven by fluxes, sensitive to trigerring factors, a plausible way to get a defining conceptual edge for the change is similar to enclose its impact and effects upon the holistic vision of the change management, as Heda and Nagrath (2007) for a customized rehabilitation acyivity. The same opinion shares Holden (2008) through his statement: „Research on organizational change and innovation, technology implementation and macroergonomic redesign has converged on two important meta-principles for change management: adopting a systems approach and considering the dynamic properties of change. ”

The theory of systems dynamics was the starting point in generating a Dynamic Model of the Change, due to the overlapping of its scope with the present paradigm of change management: "the subject confronts with extreme complex matters, very dynamic or contains a large number of feedbacks. A model of the ...system dynamics focuses on the primary attributes of the system and allows encompassing of the variables with a high uncertainty level". (Thompson and Bank, 2010).

In the context of modeling the change management process, the system dynamics theory has created a suitable background for us to generate a tool for planning, integration and consolidation of the change through using the control of both scope and dimension of the change demand.

First we generate a short description of the elements of systems dynamics which characterize the change process in order to obtain the dynamic model of the change process. Second, the methodology of modeling the change is emerging from the perspective of the systems dynamics.

We are considering the Homer and Hirsch (2006) defined model, elaborated and generated through the theory of systems dynamics as "a set of algebraic differential equations, developed in a large spectrum of relevant measurements and empirical data. " Systems dynamics enables a set of tools that allows the change agent visualizing and processing the interaction of the elements of the analyzed system. Hence a deeper understanding of the system is created.

#### Defining elements of systems dynamics

As main instrument for visualize and analyze the systems dynamics are the resources and flows diagrams to enable interdependencies and feedback through the accumulation of conventional accepted units whose value can raise or fall during different time frames depending on various factors of influence.

The resources and flows diagrams consist of the following structural elements:

1. Resources (□) are accumulations of capabilities (tangible or intangible) concrete or abstract which can vary in time. The resources are **the substantives** of a system and they can only be modified through induced flows.

2. Flows ( $\rightarrow$ ) are actions or processes which act over different system components to carry available resources for them, contributing at the altering of the dimension of the resources, through adding (inflow) or taking (outflow). A functionality quality is depending on a specific resource minimization or maximization. A flow is always a rate and is defined through units of considered resource per units of time. The flows are **the verbs** of a system and their names should always reflect this.

3. Convertors ( $\circ$ ), or parts of knowledge, carrying data or information about the system which effects the flows or the value of another convertor.

4. Connectors ( $\curvearrowright$ ) helps to bring the data or information from an element of the system to another. The origin is the place where the information is taken and the final point is where the information is delivered.

The entire concept is based on the capacity to extend the model as much as our actual knowledge allow and to create correlations, interconnections, and scenarios generation for elements that may look so distant that are little considered or even ignored in the customization of the rehabilitation process

5. The limit of the system is represented like this:  $\infty$ .

Any systems may come to an end. The end may be the reach of the maximum potential for desired resources, the saturation in resource accumulation due to known or unknown factors or even the unrecoverable collapse of the system.

The design process of resources and flow diagrams, together with the computerized modeling starts by identifying of the critical resources followed by naming the most important flows and finalized through the identification of the elements which alter the rates of the flows. This method of resources and flows was considered the most appropriate for the dynamic modeling of the change process because it suggests both the steps of the change management process and its dynamic potential.

The modeling of the change

Resources, rates of the flows and change convertors

As previously mentioned the actual research contributes to the conceptual approach of using a system dynamics management in the rehabilitation process.

The modeling and simulations capability is enabling a larger extension of the process customization and combine the main factors that are acting during the process time: social (family, friends, civil society...) politically correct integration (clinic, employer, government, ...), technological (available devices, materials and technologies) and economical (private and societal capacity).

The scope of simulating the change management process is the potential estimation of the dimension of the expected change from the resources of change accumulation and determining the way of change development in a specific horizon of time.

For designing the simulation, the elements of The Dynamic Change Model (DCM) have been defined:

9 resources:

The Physical capacity

The Physical integrity

The Existing strategic functionality

The Awareness

The Availability of Integrated Methodology (AIM)

The Stability

The Stable elements

The Elementary needs

The Accumulated planned resources

16 rates of flows:

The Decrease of the Change from the physical capacity

The Decrease of the Change from the physical integrity

The Physical capacity indicators impact over the needs

The Physical integrity indicators impact over the needs  
 The Decrease of the existing strategic functionality  
 The Needs increasing by adopting Change Indicators Values (CIV)  
 The Unplanned needs increasing  
 The Needs increasing due to stability rate  
 The Needs decreasing due to AIM  
 The Decrease of AIM due to apposed resistance to change  
 The Decrease of the AIM due to increase of stability  
 The Accumulated stability  
 The Accumulation of the planned change  
 The Decrease of the planned change  
 The Stability loss fraction  
 The Accumulated Planned Change  
 9 convertors:  
 The Rate of adoption initiative and needs  
 The Saturation impact of the needs change  
 The Rate of resistance to the AIM  
 The Rate of motivating the needs of the AIM  
 The Integration rate of the planned change  
 The Assimilation rate of physical capacity  
 The Altering rate of the physical integrity  
 The Tolerance at methodology deviations  
 The Strategic efficiency of the methodology

Considering the defining differential equations of the Dynamic Change Model and the causality diagrams, which put into light the relations and interactions of the mentioned resources with the other components of the model like convertors and rates of flows, a logic iterative scheme was built which consists of the following elements:

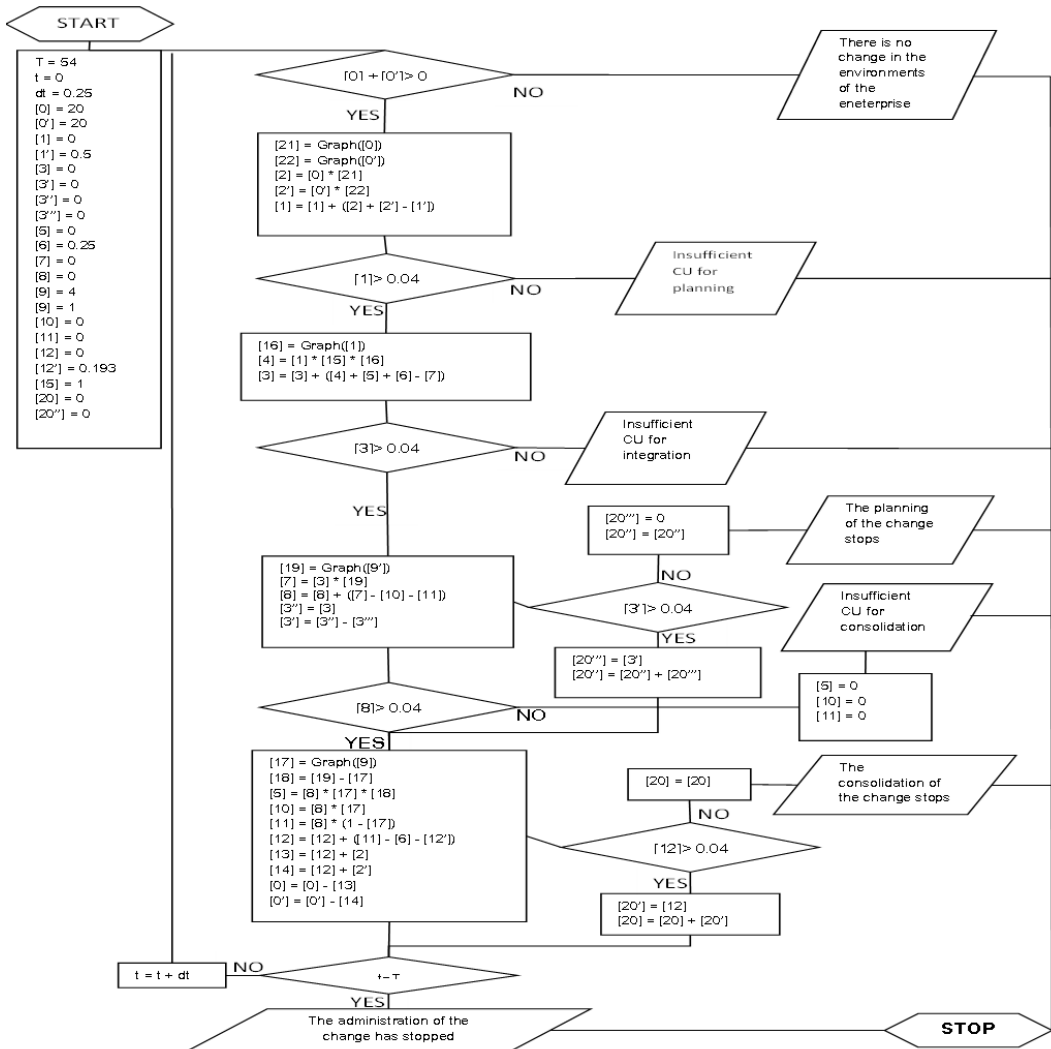
**Table 1. The Elements of the Dynamic Change Model**

Notation	Abbreviation	Type	Interval/Value
Time Units	TU	Variable with real values	[0, 54]
Change Units	CU	Variable with real values	[0, 50]
The time of the total simulation	[T]	Total simulation time	54 TU
The instantaneous time of the	[t]	Real simulation time, TU Variable with real	[0, 54]
The time of one time step	[dt]	TU interval	0. 25 TU
The physical capacity	[0]	Accumulation resource of CU	[0, 20]
The physical integrity	[0']	Accumulation resource of CU	[0, 20]
The Existing strategic	[1]	Accumulation resource of CU	[0, 40]
The Decrease of the Existing strategic functionality	[1']	The transit time of the decrease of the resource	0. 5 TU
The Physical capacity indicators impact over the needs	[2]	Rate of flow CU / TU	[0, 20]; dt
The Physical integrity indicators impact over the needs	[2']	Rate of flow CU / TU	[0, 20]; dt
Awareness	[3]	Accumulation resource of TU	[0, 40]
Elementary needs	[3']	Accumulation resource of TU	[0, 40]
The Accumulation of planned change	[3'']	Rate of flow CU / TU	[0, 20]; dt
The Decrease of the planned change	[3''']	The transit time of the decrease of the resource	0. 25 TU
The Needs increasing by adopting Change Indicators	[4]	Rate of flow US/ TU	[0, 20]; dt
Unplanned needs increasing	[5]	Rate of flow CU / TU	[0, 20]; dt

Needs increasing due to stability	[6]	Rate of flow CU / TU	[0, 20]; dt
Needs decreasing due to AIM	[7]	Rate of flow CU / TU	[0, 20]; dt
The AIM	[8]	Accumulation resource of CU	[0, 40]
The Strategic efficiency of the methodology	[9]	Predefined variable after diagnosing the state of the enterprise through The Scorecard of the	(1; 2; 3; 4)
The Tolerance at methodology deviations	[9']	Predefined variable after diagnosing the state	(1; 2; 3; 4)
Decrease of AIM due to apposed resistance to change	[10]	Rate of flow CU / TU	[0, 20]; dt
The Decrease of the AIM due to increase of stability	[11]	Rate of flow CU / TU	[0, 20]; dt
The Accumulated stability	[12]	Accumulation resource of US	[0, 40]
The Stability loss fraction	[12']	Leakage fraction	0. 193
The Decrease of the change from the physical capacity	[13]	Rate of flow CU / TU	[0, 20]; dt
The Decrease of the change from the physical integrity	[14]	Rate of flow CU / TU	[0, 20]; dt
Rate of adoption initiative and needs	[15]	Variable with real values	[0, 1]
The Saturation impact of the needs change	[16]	Real variable represented as function of [1]	[0, 1]
Rate of resistance to the AIM	[17]	Real variable represented as function of [9]	(0. 1; 0. 2; 0. 3;
Rate of motivating the needs of the AIM	[18]	Real variable represented as function of [19] and [17]	[0, 1]
The Integration rate of the planned change	[19]	Real variable represented as function of [9']	(0. 55; 0. 7; 0. 85; 1)
The Stable elements	[20]	Accumulation resource of CU	[0, 40]
The Accumulated stability	[20']	Rate of flow CU / TU	[0, 20]; dt
Accumulated planned resources	[20'']	Accumulated resource of US	[0, 40]
The Accumulated planned	[20''']	Rate of flow CU / TU	[0, 20]; dt
The Assimilation rate of physical capacity	[21]	Real variable represented as function of [0]	[0, 1]
The Altering rate of the physical integrity	[22]	Real variable represented as function of [0']	[0, 1]

The resources of the DCM (Dynamic Change Model) tend to enclose change as a quantity of social, politically correct integration, technological and economical elements which combined, influence a need of resources in order to plan, integrate and consolidate the change. The needed resources are used as the function of the change quantity and so variations of the resources types in the different stages of the administration process can be observed and consulted. This model enables an overall image to the change agent of what is happening, where is it happening, and what, when and how is it to be done.

Considering the elements mentioned above, the logic diagram of the Dynamic Change Model which describes the conditions and the limits of the process is depicted:



**Diagram 1. The Logic diagram of the Dynamic Change Model**

It is to mention that the conceptual notations of the change process are based upon some vast theoretical and empirical data processing. The representing of the change flows in this manner is a concept of novelty and interdisciplinary approach both the engineering point of view and the managerial one. This way of enclosing the change management process through the theory of systemic thinking enhances the prospects for more effective integration to the continuous and rapid changes.

Hence, the use of technology though the computerized simulation of the change process eases the managerial activities and practices providing a favorable environment of managerial technical and communicational growth. The dynamic modeling of the change offers not only guidelines of respecting and applying policies and deadlines but also it provides the control function without which the consolidation of the change would be futile.

**Premises of simulating the dynamics of the change**

In building the Dynamic Model of the Change (DCM), following considerations are to be taken into account:

***Change has a certain degree of incertitude which derives from its complex nature.***

This is a result of the fact that change occurs and interacts from and on four separate environments (social, internal politics, technological and economical). Therefore, it can be concluded that two of the most important characteristics of the change are: change has an iterative character and it requests continuous adjustment;

The presented modeling and simulation concept follows the principle of the Kemmis and McTaggart's (2000) **Action Research Spiral**, whilst the administration of the change is considered a continuous and endless process of adjusting the present functionality to the strategic one. It is considered the fact that if the decision of adopting a change is taken, there is no turning back;

The composition elements can be partially represented through the **change indicators**;

Change management implies **two different kinds of control: of the scope and of the dimension**. Considering the scope means in change management, the strategically approach which allows the change agent maintaining the administration plan and meeting the imposed or proposed deadlines.

The scopes of the DCM are:

Permitting a dynamic modeling environment through considering the strategy of the enterprise from a normative point of view and which allows the understanding of the change process through its steps;

The presentation of a proactive mechanism of command and control of the change;

A change management model based on systems dynamics which facilitates the viewing of the process and offers support during its side activities of detection, planning, implementing, consolidating and control of the change.

The dynamic system, which allows visualization of the change management process, is built on the following principles:

The resources characterize the "quantity" of change which has to be administrated;

With this scope, the "**quantity of change**" – **QC**, will be evaluated by the change agent through considering all the steps of the process and allocating the degree of the needed resources to make the change happen.

$$QC = (HR+FR+SIR+HIR) / TR$$

where every one of this resource types can take values from this aggregate: {1, 2, 3, 4, 5}

HR: Human Resources

FR: Financial Resources

SIR: Soft Infrastructural Resources

EIR: Equipment Infrastructural Resources

TR: Time Resources

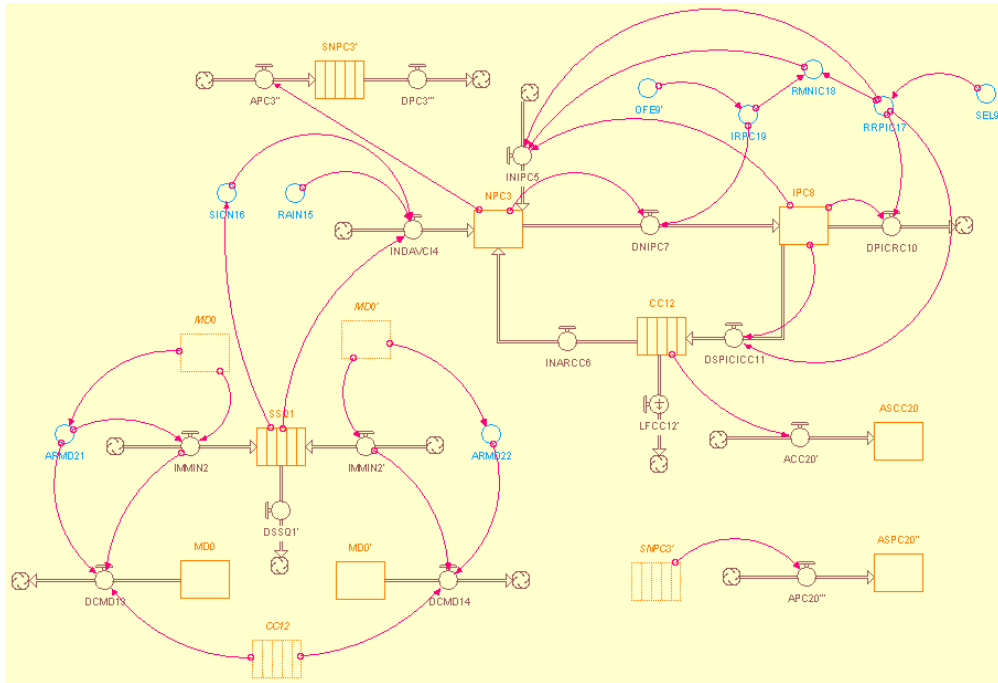
**Explanation:** if the numerator of the fraction is constant than the quantity of the change grows with the decrease of the available execution time. If the execution time is constant, the quantity of the change grows with the quantity of needed allocated resources:

$$CQ_{max} = (HR_{max}+FR_{max}+SIR_{max}+HIR_{max})/TR_{min} \text{ și } CQ_{min} = (HR_{min}+FR_{min}+SIR_{min}+HIR_{min})/TR_{max}$$

The flows are built and influenced by specific change indicators depending of the change quantity and the needed or imposed administration time resource

The convectors modify the flow rates of the change quantity both through the influence of the factors of the physical integrity but also through those from the physical capacity.

Considering these elements of composition, the map of the DCM takes the following shape:



**Diagram 2. The Dynamic Change Model Map**

As a result of the DCM, generated through the software *iThink*<sup>1</sup>, a set of elements were observed which are further on considered as inputs and that enable the adjustment of the change quantity as follows:

**The Rate of adoption initiative and Needs**<sup>15</sup> =  $X_{15}$ , established after the decision of the physicians board to adopt the quantity of the change after consulting the change indicators which populate the columns "real value" and "desired value" from the SCC; it takes values between 0 and 1 and it is measured by available resources for the consolidation of the planned change.

**The Saturation Impact of the needs change**<sup>16</sup> =  $X_{16}$ , are data generated automatically by the graphic function of *The Strategic functionality*<sup>4</sup> and it expresses the grade of openness for the change in general.  $X_{16}$  takes values in the interval [0, 1] and denotes the capacity to materialize a change necessity through its planning and later consolidation.

**The Strategic efficiency of the methodology**<sup>9</sup> determines the rate of resistance to the planned integrated change  $Y_{17}$  through the GRAPH (*The Strategic efficiency of the methodology*) as follows: (inexistent<sup>1</sup>, 0. 4), (small<sup>2</sup>, 0. 3), (medium<sup>3</sup>, 0. 2), (high<sup>4</sup>, 0. 01).

**The Tolerance at the methodology deviation**<sup>9'</sup>, determines the rate of integration of the planned change  $Y_{19}$  through the GRAPH (*The Tolerance at the methodology deviation*) as follows: (flexible<sup>1</sup>, 1), (relatively flexible<sup>2</sup>, 0. 85), (little flexible<sup>3</sup>, 0. 7), (inflexible<sup>4</sup>, 0. 55).

**The change quantity from The Physical capacity**<sup>0</sup> =  $X_0$ , where x belongs to [0, 1] and is established by the change specialist as a result of a discussion with the physicians board, depending on the necessary resources for the consolidation of the planned change.

**The change quantity from The Physical integrity**<sup>0'</sup> =  $X_{0'}$ , where x belongs to [0, 1] and is established by the, change specialist as a result of a discussion with the physicians board, depending on the necessary resources for the consolidation of the planned change.

<sup>1</sup><http://www.iseesystems.com/Softwares/Business/ithinkSoftware.aspx>



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## Conclusions and implication of the change administration from an enterprise.

*The Accumulated Needs of the Stability* (named **SASC**<sup>20</sup>) has to be discussed depending on *The Accumulation resources of the Planned Change* (named **SASP**<sup>20</sup>); both resources are output data. Taking this into consideration following adjustment propositions and conclusions can be carried out whilst analyzing **X<sub>15</sub>, X<sub>16</sub>, Y<sub>17</sub>, Y<sub>19</sub>, X<sub>21</sub>, X<sub>22</sub>**:

The calculation of the correlation coefficient for the values of **SASC**<sup>20</sup> and **SASP**<sup>20</sup> has given a strong relationship (~1) of the evolution in time of this two resources through considering the permanent condition **SASP > SASC**.

The necessary time for the change administration shrinks with the growth of the values for Strategic efficiency of the methodology and the decrease of the values of the Tolerance at the methodology deviations. This will be established through dividing the interval [0, 54] of time units through the number of hours, days, months needed for consolidating the planned change. So the change quantity of the needed planned change will be established in order to induce a potential consolidated change.

The simulation with maximal input data for **X<sub>15</sub>, X<sub>16</sub>, Y<sub>17</sub>, Y<sub>19</sub>, X<sub>0</sub>** and **X<sub>0</sub>** has a 100% accumulation of change in *The Stable elements*<sup>20</sup>.

In the case of the simulation with minimal input values for the **Y<sub>17</sub>** and **Y<sub>19</sub>** holding the premise of maximum change occurrence, *The Stable elements*<sup>20</sup> has an accumulation of 28.25%. From this can be concluded that **The Strategic efficiency of the methodology**<sup>9</sup> and **The Tolerance at methodology deviations**<sup>9</sup> are very important during executing change management. DCM delivers, after the simulation of the administration process, the change quantity which is to be consolidated in a specific period of time.

After the simulation one can make valuable recommendations over:

The execution time of the change and the change quantity which has to be planned in order to report an efficient consolidation.

Which composition elements can be improved?

The potential of consolidation of the planned change

The degree of resistance to change

The possibility of improving the capacity of assimilating and adapting to the change.

### Acknowledgement

***This paper was published with the support of the MNE - NASRI Intermediary Body for Research, through the Competitiveness Operational Programme 2014-2020, Priority Axis 1, Action 1. 1. 4, Project AgeWell, ID P\_37\_215, My SMIS Code 103415, Contract number 20/01. 09. 2016.***

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## **Inclusion of Ict During the Transformation of the Environment of Learning of the Current with that One in the Centre for the Students – Experience and Attitudes of the Teachers**

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### **Abstract**

The integration of the technology in education will mean a lot for the basic skills of computerizing and computers programs in a classroom. Effective integration of these technological skills should occur across the curriculum in ways that studies show deepening and enhancing of the learning process. The purpose of this paper addresses the fundamental issue of how schools, teachers and students are ready to use the basic tools of ICT (radio, TV, mobile phones, computers, laptops, projector, application programs, Word, Excel, Power-Point etc. ) during the teaching / learning process, knowing the rapid development of technology. Given the fact that the population in Kosovo consists mainly of new age, youth (age 15-24) who include 55. 3% of the population involved in the educational process [www.ks-gov.net/esk](http://www.ks-gov.net/esk), then from these data we can draw an image that the use of new technologies by young people and it is necessary installation requirement of ICT in schools, therefore there stems the need for this research. The survey was conducted in five schools of lower secondary education in the municipality of Gjakova/Republic of Kosovo. For conducting this paper there were used these methods: theoretical analysis method, the analysis of pedagogical documentation, the inductive method, comparative and statistical and research instrument was a questionnaire, which is applied to teachers and students. These changes, switching from traditional learning in contemporary learning using the technology undoubtedly help students and enables them to interact theoretical and practical knowledge in order to more easily apply the knowledge acquired.

**Keywords:** Education, Information and Communication Technology ICT, teaching, learning, teachers, students, classes.

### **Introduction**

#### **Using ICT to improve the quality of education**

Improving the quality of education and training is a critical issue, particularly in a time of educational expansion. ICTs increase the quality of education in several ways: by increasing student motivation and engagement, facilitating the acquisition of basic skills, and improving teacher training. ICT are also transformative tools that when used properly promote the establishment of a concentration environment for pupils.

Research has shown that proper use of ICT can accelerate the paradigm shift both in content and pedagogy that is at the heart of education reform in the 21<sup>st</sup> century. (US Department of Labor (1999), "Trends and Challenges Future work - for Work in the 21<sup>st</sup> Century", available from <http://www.ncrel.org/engage/skills/21skills.htm>, accessed 31 May 20014).

The motivation for learning: ICT tools such as video, television programs and multimedia computers that combine text, sounds, colors and moving images can be used to provide content challenging and authentic, that will engage students in the learning process. More than any other type of ICT, computers connected to a network with Internet connections increase the motivation of students as they can combine the wealth of media and interoperability of ICT opportunities to connect with real people and to participate in real events in the world.

Facilitating the acquisition of basic skills. Transmission of basic skills and concepts that are the foundation skills of high-

level thinking and creativity can be facilitated by ICT through training, repetition and practice.

Increased training for teachers. ICT is also intended to have access to teachers and teachers in training to improve access ([http://www.izha.edu.al/files/standartet/Standarde\\_mesuesi\\_TIK.pdf](http://www.izha.edu.al/files/standartet/Standarde_mesuesi_TIK.pdf)).

### **Participatory learning with ICT**

Active learning. Mobilizing ICT expands learning tools for computation, examination and analysis of information, thus providing a platform for students to analyze and construct the new information. Students need to learn how they, whenever appropriate, work in real life, to approach the problem in depth, making learning less abstract and more relevant to life situations. In this way, and in contrast with role learning, ICT promotes student engagement. ICT learning is "in time" learning in which students can choose what to learn and when they need to learn it.

Cooperative learning. ICT in learning encourages interaction and cooperation among students, teachers and experts, regardless of where they are. ICT offers students the opportunity to work with people of different cultures, helping to enhance students' communication skills and global awareness. It is the model of lifelong learning, extending learning space to include not only colleagues, but also mentors and experts from various fields.

Creative Learning. ICT supported learning promotes interoperability of existing information and real-world creating productive than the regulation of the information obtained.

Integrative learning. ICT promotes learning with a thematic approach, integrating teaching and learning. This approach eliminates the artificial division between different disciplines between theory and practice that characterizes the traditional classroom approach.

Learning evaluation. ICT enhances student learning and diagnose drives. Otherwise, ICT enhances learning evaluation and that there are many different paths to articulate the knowledge, allows students to explore and discover how simple it is to listen and not to forget.

### **Kosovo Case**

*ECDL (European Computer Driving License)* It is a project for the training and certification of employees of public education that they will be able as individuals to empower, develop, promote, independent and ready to apply their knowledge gained during the training you put in the service of teaching through technology ( <http://www.ecdl-kosova.org/web>).

This program in Kosovo began in December 2009, initiated by the Ministry of Education, Science and Technology (MEST) including pre-university teachers from all regions of Kosovo. Until June 2011 through ECDL test centers have trained over 2, 000 pre-university teachers. Overall, 60% of teachers who are trained in ECDL have obtained ECDL certificates. Unlike the percentage of active teachers certified ECDL is an average of 70%. Since the beginning of the project until the beginning of June 2011 with 6. 102 persons have been certified and 2, 787 graduate teachers.

The Government of the Republic of Kosovo, namely the Ministry of European Integration through EPAP action plan for positioning 89/2 ECDL certification as standard for all civil servants. (<http://ecdl-kosova.org/about-us/>).

### **Research methods and sample**

In this research titled "The inclusion of ICT in transforming the current learning environment to students at the center" is used survey methods, and as a basic instrument for information gathering was questionnaire. The survey was conducted with 5 schools with teachers of lower secondary education from classes VI to IX of Gjakova municipality. The questionnaire contains questions such access and choice type questions to round up option. This study included sampling quota in 5 schools of Gjakova.

The study was based on a sample of 50 teachers of these schools. Representative group of teachers has been selected for sampling research non-probability to all subjects.

### **Descriptive analysis of the results of questionnaires conducted with teachers**

Description of sample analysis included demographic characteristics of teachers: gender (Women 29 (58%) and males 21 (42%)), age (from 25 to 61 years) and the schools where they teach (in total 5 schools).

When asked about ways of teaching: "by which students learn more?" And giving explanation that traditional ways

represents the learning explanation-written and modern way represents the explanation using technological equipment by 50 teachers involved research, only 2 (4%) of them have concluded that the most appropriate is the traditional way by which students learn more. Of 48 teachers (96%) of them have expressed that students learn more from the modern way of teaching.

On the question of "what kind of courses teachers have committed to progress on use of ICT in teaching?" Of 50 teachers indicated they were participating courses to advanced technology and to use it in teaching. 9 (18%) of teachers have expressed that they have followed the course of Didactic Center in cooperation with Kosovo Education Center (KEC). 20 (40%) of teachers reported that they have finished the course from ECDL course. 3 (6%) reported that teachers have received only private program to enable technology. Also 5 (10%) reported having other courses to enabling technology. However, 13 (26%) reported that teachers have completed all courses KEC, ECDL, and private and just to be able to use technology in teaching process. As a matter of education today is that teachers are trained to use the technology in teaching that their student be make learning more attractive. ECDL course has been a project that has been obligatory for all teachers. Table 8, from all teachers who are involved in the questionnaire showed that 41 (82%) of them are involved in ECDL courses, while only 9 (18%) of them are not included in courses of ECDL.

The table shows that 22 (44%) teachers have successfully completed 7 modules of ECDL course and obtained a degree. 4 modules are performed or followed from 9 (18%) teachers who have managed only to be certified for ECDL courses. 9 (18%) teachers who are not included in the courses of ECDL are teachers who either are old and they need a few years to retire or are teachers who have remained without being involved in courses ECDL due the termination of the project.

In the question asked how often teachers use technology, 29 teachers (58%) of them said they use the technology only in special educational units.

And 86 (26. 5%) students said that teachers use technology in only one lesson a week, and 7 (14%) teachers involved have concluded that the use of technology in one lesson per week. 4 (8%) have found that teachers do not use technology at all.

Teachers being asked "what equipment they use most often when teaching?", they have responded, 8 (16%) of them use the projector. But there is no teacher reported that use radio during the teaching process. Only 4 respondents (8%) reported that they use in demonstrating the learning process the laptop. However, even in this question reported that teachers do not use TV as technological equipment for demonstration of learning. Continuity of results has been the combination of devices that have become teachers to demonstrate teaching and 8 (16%) of teachers reported that they use the laptop with the projector.

Teachers have reported that their children are motivated for the learning process when they are using the combined texts with pictures, video and audio. Also 18 (22%) have reported that students are motivated when used photos, video and audio, so without using the texts. During the reporting of the teachers only 1 (2%) have reported that students are motivated when teachers use only the texts.

When teachers were asked that: "They think that the lesson in which use the technology?", 32 (64%) of them reported that it is highly effective, 12 (24%) reported that it is appropriate, while 6 (12%) of them reported that the time is appropriate and effective even when they use the technology.

By asking teachers how they use technology to enable the subject they teach, of the total 50 teachers were included in the survey, 27 (54%) of them reported that they use to be trained only in some units teaching special. 8 (16%) of them reported that they use the technology to enable per lesson. 8 (16%) reported that they use the technology to enable only one lesson per week. 5 (10%) of teachers reported that they use only once a month. 2 (4%) of teachers reported they did not use all the technology to enable their unit.

When asked "what role does technology in teaching and technology replaces a teacher's role?", Given in the table are reports of 50 teachers. 33 (66%) of teachers reported that technology facilitates the work of teachers. 3 (6%) answered that the technology does not replace the role of teachers. 13 (26%) report that technology not only facilitates the teacher's work but technology cannot replace the role of teachers. Only 1 (2%) reported that technology is replacing the role of teachers. No teacher has reported that the technology prevents the teacher during learning process.

The results to the question "how ICT impacts on the efficient and systematic in teaching?", 50 teachers have reported systematic and efficient use of ICT. 47 (94%) of teachers have reported that the use of ICT enhances learning outcomes

of students. 2 (4%) reported that teachers have efficient and systematic use of ICT little impact on learning outcomes of students. 1 (2%) reported that teachers use ICT does not affect the results. This shows that teachers are aware that teaching in association with ICT leads to increased student achievement.

### Completion

Overall, this study suggests that teaching using ICT equipment affects the results in student learning. All those involved in creating the appropriate conditions for teaching of educational institutions: Ministry of Education, Science and Technology of the Republic of Kosovo, the Municipal Directorate of Education in Gjakova, schools, teachers and other members contributing to the community - have responsibilities important to promote the fundamental right of the child to quality education.

This study followed a range of needs of importance for future study which will assess risk factors of non-integration of ICT in teaching and the interaction of other factors in the appearance of problems of learning to Kosovar students.

Integration of ICT requires new types of skills, abilities and attitudes. General literature shows that successful integration of ICT depends on many factors. National policies as well as policies and actions taken to schools to be coordinated with each other to have a profound positive impact on the same. Similarly, there should be a joint plan of ICT integration, support and training for all participants involved in the integration process. Care should be taken to coordinate the attitudes and beliefs of all stakeholders.

This study provides a first step, but necessary to understand how technology is integrated in education and how has it been accepted by educational institutions and how it is used in teaching and learning.

### Recommendations

To be confronted with changes that challenge the community and educational institution today, especially with the integration of ICT, it is more than necessary to design policies and strategies with long-term educational goals. There are three general aims of education presented by the Council for Education, development of the individual, the development of society and economic development, ensuring the habit of the workforce, and developing long-term strategies of ICT integration.

Teachers:

It is needed to be trained to cope more easily with the change, uncertainty, innovation that brings the complexity of technology integration.

The use of ICT to organize regularly in shape during the teaching and not use it as a complementary activity.

To ensure that all students are able to benefit from the use of appropriate means of ICT in all subjects that are taught.

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- <http://www.ecdl-kosova.org/web/>
- <http://www.sbashk-rks.org/>

### Tables

Table 1. Demographic characteristics of the sample of teachers

Characteristics	N	Percentage (%)
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Gender		
Male	21	42.0
Female	29	58.0
Age		
1950 - 1960	12	24
1961 - 1970	15	30
1971 – 1980	10	20
1981 – 1990	12	24
Over 1990	1	2
Schools		
"Yll Morina" Gjakova	10	20
"Zekeria Rexha", Gjakovë	10	20
"Zef Lush Marku" Brekoc	10	20
"Jahe Salihu" Molliq	10	20
"Durak Ahmeti" Demjan	10	20
Places		
City	20	40
Village	30	60

Table 2. Ways of teaching from which students learn more

	N	%
Traditional way	2	4
Contemporary way	48	96
Total:	50	100%

N=Teachers number %= percentage

Table 3. Courses that have committed to advancing the use of ICT

	N	%
Didactic Centre course - KEC	9	18
ECDL	20	40
Private course	3	6
Others	5	10
KEC, ECDL and Private course	13	26
Total	50	100%

Table 4. ECDL modules that have committed teachers

	N	%
1 Module	1	2
2 Modules	1	2
3 Modules	3	6
4 Modules	9	18



5 Modules	3	6
6 Modules	2	4
7 Modules	22	44
None	9	18
Total	50	100%

Table 5. How often teachers use technology.

	N	%
In every lesson	5	10
In one lesson per week	7	14
Once a month	5	10
Only in special teaching unit	29	58
Do not use	4	8
Total	50	100%

Table 6. Equipment that teachers often use in teaching.

	N	%
Tv	0	0
Radio	0	0
Laptop	4	8
Others	6	12
Laptop and Projector	11	22
Combination of equipment	15	30
Neither	6	12
Total	50	100%

Table 7. The forms that the students are more motivated

	N	%
Texts	1	2
Photography	6	12
Video	6	12
Audio-video	5	10
Others	2	4
Texts, Photography, Video and Audio-video	19	38
Photography, Video and Audio-video	11	22
Total	50	100%

*Table 8. Learning in which teachers use technology.*

	N	%
Effective	32	64
Suitable	12	24
Effective and suitable	6	12
Total	50	100%

*Table 9. Ability with technology for case*

	N	%
In every lesson	8	16
In one lesson per week	8	16
Once a month	5	10
Only in special teaching unit	27	54
Do not use	2	4
Total	50	100%

*Table 10. The role of teachers and their replacement by technology*

	N	%
Technology facilitates the work of teachers but technology does not replace the role of teachers	13	26
Technology facilitates the work of teachers	33	66
Technology prevents the teacher during teaching	0	0
Technology is replacing the work of teachers	1	2
Technology does not replace the role of teachers	3	6
Total	50	100%

*Table 11. Efficient and systematic use of ICT*

	N	%
Increase the learning outcomes of students	47	94
Little affect on result	2	4
It does not affect in result	1	2
Total	50	100%

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## Theoretical Considerations to Improve a Good Questionnaire on Tolerance

Ylli H. Doci

### Abstract

The need for tolerance or buttressing existing tolerance is very important for the cohesion of our pluralistic society hence the measuring of tolerance is very helpful in considering intelligent ways to foster tolerance in a specific context. Theoretical considerations about the meaning of tolerance and the factors involved in obtaining tolerance are crucial in building a good measuring tool. A sustained good theoretical effort is appraised here in evaluating some aspects of one such good tool, a questionnaire developed to measure the tolerance of last year students of education. But we also can see how a certain understanding of tolerance with regard to relativism can improve this questionnaire to not filter out some tolerant people with exclusive views of truth.

**Keywords:** Theoretical, considerations, improve, good questionnaire, tolerance

### Introduction

#### Albania and interreligious tolerance: The occasion for this inquiry

Albania, where five differing religious traditions of Muslims (Sunni and Bektashi) and Christians (Orthodox, Catholic and Protestant) have lived side by side peacefully, <sup>1</sup> is a refreshing case in the gloomy situation of many parts of the world suffering from inter-religious strife and violence. <sup>2</sup> On the other hand, Albania is not immune from the evils of extremism experienced in other parts of the world not least because Albania has been opened wide to the world with its various influences for the last 25 years and there are reports of Albanian Muslims fighting in the ISIS ranks. <sup>3</sup> In order to protect the peace and promote tolerance in Albania I found it important to understand the factors contributing toward this desired outcome and measure the status of such factors today in order to more effectively focus on the areas needing improvement. In considering one questionnaire to measure tolerance in Albania it was very helpful to consider the process described for developing of this tool. <sup>4</sup>

#### Theoretical considerations in measuring tolerance:

Some key factors related to having a tolerant environment between individuals in a society include awareness of specific beliefs at variance with one's own and exercise of freedom with respect in interaction. Recognizing the need to define well the important factors making for tolerance in order to look for them in a certain social environment we need to start with a good understanding of tolerance itself and develop a working definition, which would control the work to clarify the specific components required for acquiring tolerance.

The authors of the questionnaire I evaluated for use in Albania were transparent about their goals and theoretical underpinnings of their understanding of tolerance and it was evident that a lot of good thinking had gone into preparing this questionnaire. They start with saying: "Tolerance, therefore, is intimately connected to the affirmation of the most basic dimension of freedom – the freedom of belief and conscience."<sup>5</sup> In the second section of their article we find outlined the understanding of tolerance that guides the authors in preparing the questionnaire. Starting with what tolerance is not,

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<sup>1</sup> Giovanni Cimbalo, *Pluralizmi i besimit dhe komunitetet fetare ne Shqiperi*, Studime te se drejtes se krahasuar. E drejta kishtare dhe te drejtat njerezore. (Tirana, Albania: Naimi, 2013).

<sup>2</sup> "The Discrimination and Persecution of Christians: The 50 Worst Countries. Draft for Comment by Consultation Delegates." (International Institute for Religious Freedom commissioned by Global Christian Forum. October 15, 2015).

<sup>3</sup> Fatjona Mejdini, "Drop in Albanian ISIS Fighters Reflects 'Low Demand,'" Interview, *BalkanInsight*, (August 11, 2016), <http://www.balkaninsight.com/en/article/the-decline-of-albanians-fighting-with-isis-related-mostly-with-low-demand-08-11-2016>.

<sup>4</sup> Nico A Broer et al., "Measuring Religious Tolerance among Final Year Education Students. the Birth of a Questionnaire.," *International Journal for Religious Freedom (IJRF)* 7, no. 1/2 (2014).

<sup>5</sup> *Ibid.*, 77.

gleaning from several thinkers such as Furedi,<sup>1</sup> Boersma,<sup>2</sup> Saulius,<sup>3</sup> they believe that: "tolerance is not a disinclination to judge or to have strong views," "not a superficial signifier of acceptance and affirmation of anyone and everyone," "not a form of detached indifference or... automatic acceptance," "not 'a necessary but passive act of putting up with someone else's view'... deemed wrong or inferior," "does not mean that one has to respect those lifestyles, or even regard them as morally equal to one's own practice."<sup>4</sup> Positively then, the concept of freedom is put forth including "the principle of non-interference towards the way people develop and hold beliefs and opinions"<sup>5</sup> affirming individual autonomy basically affirming what I believe to be an important feature of robust tolerance, namely freedom of conversion. I especially appreciate emphasizing of the necessary "context of difference (s)" saying: "Tolerance comes into play when different individuals and groups have conflicting beliefs and/or act in unacceptable ways (morally, politically or in a religious sense)."<sup>6</sup> This aspect will come into play in our analysis below when we discuss relativism which here, assuming differences are perceived as real and important, it appears to be excluded from serving as the context for tolerance. Respect is helpfully qualified in different ways including "regard[ing] one another as moral equals... [holding that] tolerance always also calls for judgment, evaluation and discrimination."<sup>7</sup> Important as well is the authors' emphasis of "a person's values or ethical system"<sup>8</sup> which I would broaden to include or at least imply awareness of specific beliefs important in one's own worldview as well as in the worldview of the others toward whom tolerance is extended. They end their survey of seven aspects of tolerance with defining it as: "... that respectful, meaningful and empathetic attitude of people or groups which in a context of differences, acknowledges and defends the right of individuals and groups of people to cherish freely certain beliefs and values while accepting that others possess the freedom and right to evaluate and judge those same beliefs and values in terms of their own value systems."<sup>9</sup>

I could not agree more with this conclusion that exploring concepts of freedom, of convictions, of respect for people, of the importance of beliefs and practices and of evaluation of ideas with which one disagrees or finds unacceptable, providing for a space where everyone can hold his views freely and openly, including also the need for engagement of the other in a free, meaningful and understanding way, are all valuable discussions to inform our pursuit of measuring tolerance. I also agree that tolerance can be seen as a quality of attitudes expressed in interactions between people of different persuasions, allowing for commonalities to enable living together in the same social space so that different parties progressively grow toward ever increasing cooperation for the good of all in that society. They say it well: "The future of society and the maintenance of a peaceful *modus vivendi* in a diverse society depend to a significant extent on the tolerance of individuals and groups."<sup>10</sup>

Attitudes as internal states of consciousness or dispositions can be described and put in a specific way to be indicated clearly in a questionnaire for outsiders to understand. Interactions qualifying as tolerant, evidencing respect, freedom or understanding and empathy, can also be defined and described in a questionnaire as evidentially recognizable in somebody's life. Differing persuasions are assumed to be inherent in identifying with differing religions or world and life views, which can simply be identified as such in a questionnaire. What I found very helpful in the article by Nico Broer and his coauthors introducing the questionnaire was the presenting of the work done to translate these categories and more<sup>11</sup> into items of a questionnaire explaining their correspondence to such factors as "value of own religion," "respect," as illustrated in the table below.

In the context of this overwhelming agreement with the work reviewed here I want to draw attention to two aspects I wish were better reflected in the questionnaire.

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<sup>1</sup> Frank Furedi, "On Tolerance," *Policy* 28, no. 2 (Winter 2012): 30–37.

<sup>2</sup> P. Boersma, *Personal Communication* (The Netherlands: Bestuursraad, 2012).

<sup>3</sup> T. Saulius, "What Is 'Tolerance' and 'Tolerance Education'? Philosophical Perspectives.," *Ugdymas. Kuno Kultūra. Sportas. Socialiniai Mokslai*. 89, no. 2 (2013): 49–56.

<sup>4</sup> Broer et al., "Measuring Religious Tolerance among Final Year Education Students. the Birth of a Questionnaire.," 83.

<sup>5</sup> *Ibid.*, 84.

<sup>6</sup> *Ibid.*

<sup>7</sup> *Ibid.*, 85.

<sup>8</sup> *Ibid.*

<sup>9</sup> *Ibid.*, 86.

<sup>10</sup> *Ibid.*

<sup>11</sup> Valuable discussions on the inculcation of values and the role of education figure prominently in the framework of the questionnaire through p.87-88, but I am reducing the discussion here to a more general view of tolerance.

### **Conversion as one explicit aspect missing in the questionnaire:**

Basic categories of tolerance, as we have already said in different ways, include awareness of one's own specific beliefs and bearing with or endurance of another whose beliefs are at variance or contradictory to one's own. But I also believe it should include the freedom of conversion to either of the view points as a right of the individuals in the common social space they live in. My working definition for tolerance therefore is: "Tolerance exists between two people or groups when intentionally or knowingly one respects the other who holds and practices opposing views to the point of having both parties endure, without unjust hindrance, even the free conversion of anyone to the other's point of view."<sup>1</sup> I believe similarly to the authors of this questionnaire, that for tolerance to appear there needs to be some level of personal conviction, interpersonal interaction, and respected personal freedoms.<sup>2</sup> But I would like to emphasize that a robust tolerance includes refraining from hindering unjustly the free conversion of anyone to the other's idea implying positively also freedom for conversion.<sup>3</sup> This is in agreement with the often quoted Furedi, who writes: "... tolerance can be measured in relation to the extent to which people's belief and behaviour is not subject to institutional and political interference and restraint."<sup>4</sup> But, this aspect of tolerance, namely the freedom for conversion, doesn't seem to feature clearly in the questionnaire and I wonder if it would have helped to include some item in this regard. Not making explicit some aspect is not necessarily a problem while positively filtering out as intolerant a tolerant person's answer may be a problem and this is the second more serious issue to discuss.

### **Tolerance and Relativism in the questionnaire:**

I will take issue here with only one of the questionnaire items, which seems to contradict one aspect of my view of tolerance, namely the incompatibility of relativism and tolerance. Analyzing the relationship of relativism and tolerance I have come to the conclusion that we need to detect and expose the relativistic stance because it actually removes the conditions for tolerance to exist.

Jay Newman writes: "Tolerance, after all, does not demand that one believe that every other person's metaphysical views are as true or as reasonable or as profound as his own. Indeed . . . *tolerance is possible only because we are capable of putting up with things that we do not like . . . or agree with.*"<sup>5</sup> Relativists who adjust the meaning of tolerance to make it more of a propositional attitude, which considers respecting another's religious beliefs as being of equal truthfulness to the truth claims of one's own convictions, is nonsensical. This is so because a person could end up holding as equally true both propositions: his own, and at the same time and in the same respect that of the another, even if they are obviously contradictory. It should be clear that a tolerant person, meaning a respectful person toward others who hold contradictory views to one's own, does not need to hold "that all religions lead to one and the same truth."

Considering this understanding then, item 33 in the questionnaire indicating as respectful "I believe that all religions of life and world views in the end lead to one and the same truth"<sup>6</sup> could filter as intolerant by lacking in respectfulness some tolerant but nonrelativistic people. This statement of item 33 seems to assume that following any of the religions leads to the same ultimate truth and that believing this reflects respect for the religious other. I recognize that this item could be simply one way to identify those who would not fit the intolerant category even for the wrong philosophical reasons, namely relativistic people who nevertheless are tolerant, but I would disagree that it necessarily reflects respect because it may also reflect patronizing some people with irrelevant ideas.

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<sup>1</sup> I have developed these ideas in a paper pending publication.

<sup>2</sup> Nico A Broer et al., "Measuring Religious Tolerance among Final Year Education Students. the Birth of a Questionnaire," 83. Referring to Potgieter et al (2014:3) writes that tolerance 'involves decision-making based on a certain value system, ethical behavior, reasonable argument, difference, as well as a spectrum of behavior.'

<sup>3</sup> Thomas Schirrmacher, *Human Rights. Promise and Reality*, ed. Thomas K. Johnson, trans. Richard McClary, vol. 15 (Bonn: Verlag Für Kultur und Wissenschaft. Culture and Science publ., 2014), 72–75. Here is a good discussion of the meaning of religious freedom indicating the legitimate limitations in light of other human rights and pointing out illegitimate ones while emphasizing "a famous ruling by the European Court of Human Rights (ECHR) dated May 25, 1993...[saying] 'The freedom of thought, conscience and religion is one of the foundations of a democratic society'".

<sup>4</sup> Furedi, "On Tolerance," 31.

<sup>5</sup> Jay Newman, *Foundations of Religious Tolerance* (Toronto: University of Toronto Press, 1982), 61.

<sup>6</sup> See table with selected items and notice item 33 in the category measuring respect. In the published article presenting the questionnaire it was item number 35.

I would have modified this question into something like: "Even if my neighbor's religion would lead to a different ultimate truth than mine, I would respect him and his right to believe differently." I believe it is more helpful to correct question 33 to fit better with the view of tolerance as defined by rejecting relativism, thus removing the small but still incorrect measuring with item 33 of the attitude of some tolerant people as intolerant because of their rejection of relativism. It is not a major measuring problem for the questionnaire as a whole but being one of seven items measuring respect, it is not irrelevant.

In spite of my one serious reservation explained above, for all practical purposes, the questionnaire is very well suited to measure tolerance and I recommend it to everyone. I conducted this questionnaire with last year students of education at the University of Shkodra, Albania, in June 2016.

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"The Discrimination and Persecution of Christians: The 50 Worst Countries. Draft for Comment by Consultation Delegates." International Institute for Religious Freedom commissioned by Global Christian Forum., October 15, 2015.

#### Appendix: Selected questionnaire items (out of 50) for each measuring factor relevant to tolerance

Respect
24. I think that I am contributing to the wellbeing of my fellow human beings when I respect their ideas and beliefs.
33. I believe that all religions of life and world views in the end lead to one and the same truth.
41. I am convinced that I am able to participate in society taking into account the values and norms which are important to me.
43. I am convinced that people despite the differences between them should seek a peaceful co-existence.
44. I am convinced that people should pay so much respect to one another that peaceful co-existence between them can be possible.
45. I am convinced that people should seek ways to overcome the differences that exist among people in society.
46. I am of the opinion that people should respect the differences that exist among different people in society.
Empathy
07. I am on friendly foot with people who adhere to another religion or life and world view.
08. I do not feel threatened by the world around me.

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38. I respect the religious beliefs of people with convictions quite different from mine.
48. I respect and do not condemn people whose beliefs are different from mine.
50. I feel free to respectfully socialize with people who hold beliefs quite different from mine.
Value of own religion
15. The values and norms, which are important to me, all stem from my religion or life and world view.
16. The values and norms, which are important to me, cause me to be quite different from other people.
31. I believe that my own religion or life and world view is the only correct one.
32. I think that people can arrive at the truth only via my religion or life and world view.
36. I am convinced that people should adhere to principles contained in a holy scripture.
Sens of freedom
09. I can comfortably get along with someone who adheres to norms and values different from my own.
10. All people should be able to get along with one another, regardless of which norms and values are important to them.
11. There are norms and values which should be important to all people, regardless of their own religion/life and world views.
13. In my encounters with people who adhere to another religion or life and worldview I always remain faithful to my own norms and values.
20. I am able to explain to others those values and norms which are important to me.
Sensibility to differences
06. I do not care what people who adhere to another religion of world view think, find or do.
22. I do not care what other people think, find and do based on their own religion or life and worldview.
25. I find it easy to accept other people's behaviour which I myself do not find acceptable.
40. I do not care whether my country is governed by Christians, Muslims, Hindus, Buddhists or New Age followers.
Origins of own values
18. The values and norms which are now important to me were imbued to me by my parents.
19. The values and norms which are now important to me were imbued to me by the school (s) that I attended.



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## Success Factors in Decision Making and Negotiation Processes for Raw Material Supply Transactions

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### Abstract

Problem Statement: The topics raw materials, waste and energy will be the top economic issues of the future, or influence and affect all other subjects (human resources, culture, society, etc.); all combined with technology, IT and Tech Communication. The shortage of raw materials is one of the central issues in the future perspective and this fact is already influencing the relationship between buyer, producer and supplier.

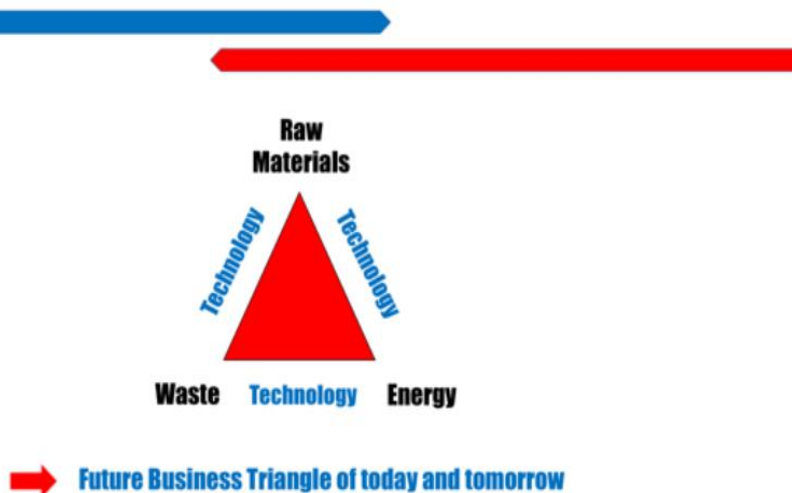
**Keywords:** Success, factors, decision making, negotiation processes, raw material, supply, transactions

### Introduction

#### Theoretical Framework

The interactions between purchasers, suppliers and producers respect to the procurement of raw materials, goods and products are examined specifically in terms of their economic and psychological satisfaction. Is it possible to satisfy all parties not only in an economical way, but also in their mental satisfaction. Harvard Negotiation Concept plus Transparency

#### Future Main Themes of Business Life



Trading Situation

Situation Poster



Task:

Evaluation of the tasks and problems between wholesalers and suppliers / partners and the creation of future models and associated tools, because of the greatest need;  
→ Creation of a "toolbox" in the scientific context for real application.

Figure from the dissertation by Alexander Steiner

6

Research Questions

Question 1: • How to run negotiations between purchasers, suppliers and producers, so that both parties are really satisfied (economically and mentally)?

Question 2: • Must the negotiations be transparent in the relation to prices, quantities, etc., so the way of approaching the interests will increase consequently the satisfaction?

Model

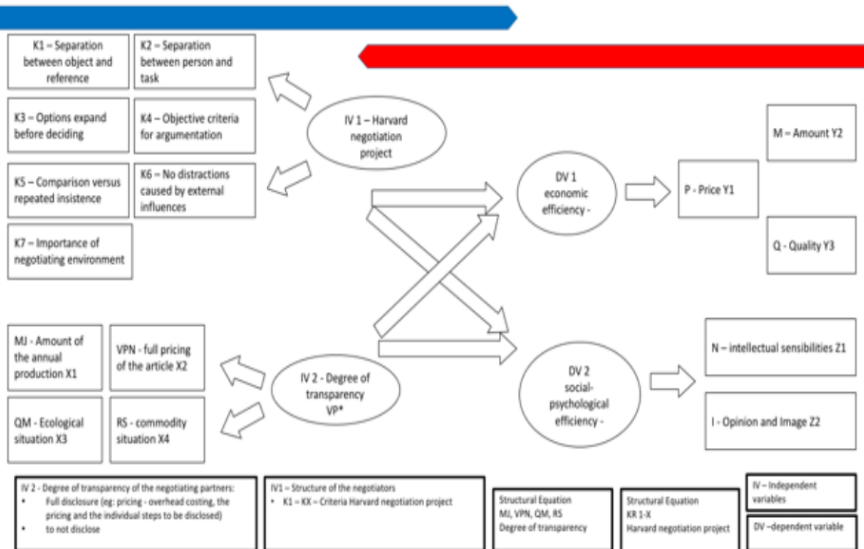


Figure from the dissertation by Alexander Steiner

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## Hypotheses

Hypothesis H1: The structure of the negotiation process has an impact on the outcome of negotiations

Hypothesis H2: The more transparent the negotiation process, the more efficient the negotiation efficiency from the perspective

## Method

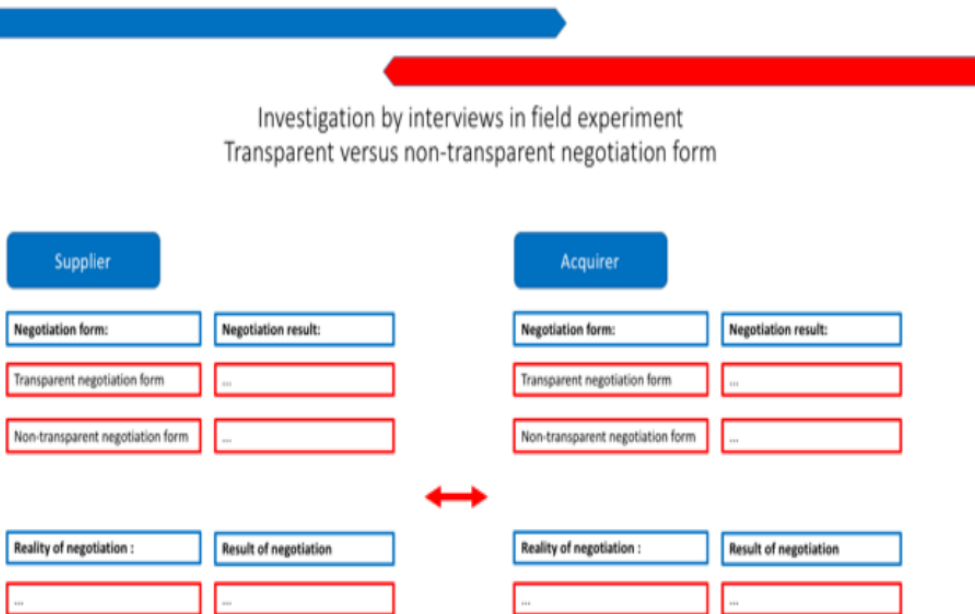


Figure from the dissertation by Alexander Steizer

## Conclusion

Economic and mental satisfaction for all negotiating parties means an consequent extension of the Harvard concept with the level of transparency.

If we could resolve the "fronts" between purchasers, suppliers and producers to a cooperation in the form of a transparency, this would help the entire cycle.

(Note. This article has been adapted from the poster the author provided – Editor)

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## Customer Preference for Consuming Organic Red Meat - Case Study of Albanian Market

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### Abstract

Albania has recognized a notable customer behavior change after 1990 (Civici, 2003). These changes are still present in many aspects of customer preference, decision and continue to change dynamically. In this study we answered questions like do customers have some preference for meat originating from their localities? Is for our customers that have a relevant position for taking decisions in the family nucleus (i. e. father or mother), are most likely willing to pay price premium for organic meat? Finally, the price sensitivity also in this study persist as an important factor in deciding to purchase and pay more for organic meat. Other aspects are the need to extend the exploration in EU markets where Albania has concrete plans to become part of it, and how can undertake reforms toward becoming a full member of European Union (EU), and adopt rules and regulation to certify the organic meat. Pre-accession and later on EU accession require strict measures and a set of rules and regulations to be introduced, adopted and implemented in the agriculture sector. Food security and access in information through trusted labels are playing also a relevant role in this study.

**Keywords:** Organic food, meat preferences, Traceability Management Information Systems, Food Safety, Customer preference, Albania, willingness to pay.

### Introduction

a) Albania is facing serious problems with the national food safety control system in terms of legislation, food processing, transportation, (Lashi & Kapaj, 2016) trade and control as well as law enforcement, which pose real and perceived safety risks for consumers (Vercuni, et al., 2016). Among other daily challenges against organized crime, corruption, unemployment also European accession is an important milestone of Albanian government and a great challenge for Albanian citizens as well. Meeting standards for ensuring citizens for the quality of food they eat is part of the challenges the government foster to achieve, and citizen's struggle to make purchasing choice and decision. There have been major changes of customer preferences considering the poor choices of alternative foods during communism (before 1990), where the production of goods was planned, standardized and produced only by few state owned industries. Until Communists came into power in 1944, around 85% of the population's main source of income was through subsistence farming. Immediately following the Communists' rise to power, they immediately started a rapid industrialization of the country and the collectivization of agriculture. Significant economic growth was achieved during the 1960s and early 1970s as a result; however, by the late 1980s, the Albanian economy began suffering from problems associated with poorly managed collective farms and state-owned companies (Civici, 2003). It is highly important in the quality management during all stages of production for agro-food. A time past the concept of quality management has taken an unprecedented focus in the media and global society as an effect of globalization and particularly, due to numerous food scandals has stated (Kapaj, 2011). Specifically the food sector has a specific interest in customer behavior because of sensitivity of the issue. With increase of incomes for majority of families in Albania the attention toward quality has increased. Awareness of customers for information related to food origin, food attributes, food control are in demand especially in urban areas where food trust is uncertain (Imami, Chan-Halbrendt, Zhang, & Zhllima, 2011). The increased awareness of food safety, as well as changes in dietary and consumption patterns have attracted interest in studying safety perception toward food

products (Grunert, 2005). These concerns, along with observed organic consumer behaviour has led, in part, to emergence of various groups of organic consumers, namely environmentalists, food phobics, healthy eaters, humanists, welfare enthusiasts, and hedonists (Davies, 1995) has stated in his study. In Albania these definition is true more for hedonists and healthy eaters that are becoming more present among the customers shopping meat in the market. In south of Albania customers prefer lamb meat with less fat concerning diseases related to cholesterol and they are sensitive to the meat price (Imami, Chan-Halbrendt, Zhang, & Zhllima, 2011). Based on the findings of (Bonti-Ankomah & K Yiridoe, 2006) is organized also this study where is stated that the future of organic agriculture will, to a large extent, depend on consumer demand. Thus, a consumer-oriented approach to understanding organic agriculture is important not only in its own right, but also in terms of response to shifting market dynamics. From a marketing perspective, it is important to understand our (human) conception of consumer decision-making regarding organically produced foods, and how consumption can be promoted (Shoqata Qengjat e Jonit, 2015). From the policy making prospective there is no recorded and organized initiative to promote organic food as in other countries like Turkey (Kenanoğlu & Karahan, 2002), but there is a natural interest especially in the developed urban areas in Albania offering food under "BIO" logo, or just claiming it as such. Restaurants, mini-markets, farms and sole farmers selling street food, sometime abusing under organic seal, are enforcing believe in Albanian customers that organic (or so-called bio food) is better for their health (Kortbech-Olesen & Larsen, 2001) and they must pay some additional premium for this commodities.

b) Factors that affects purchase of organic meat

c) As mentioned above, we should define clearly what organic meat is, the main attributes perceived from customers for the conventional food (Lancaster, 1966), we understand the customer behavior only from the demand analyses and finally are Albanian customers willing to pay for these products? In our study we focused on understanding these factors, directly or indirectly through questions conducted in a survey. During august 2016 a survey was conducted in urban and suburban areas of Tirana. 280 questioners are filled in face to face interview and online questioners. Questions related with knowledge and awareness for food safety are made to different group of costumers focusing specifically on meat and meat stuff. The interest to change and adopt new and modern ways to get information about the food they consume is also explored. Let's have some information about interviewed population:

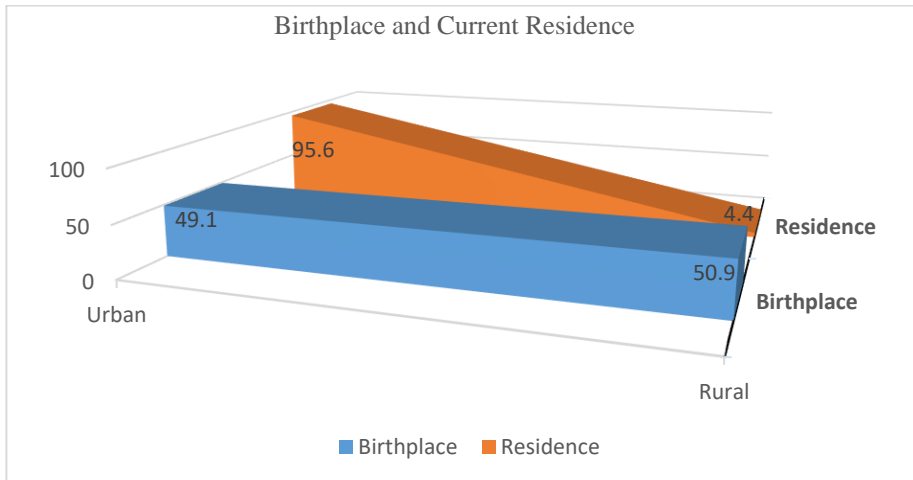
d) 45. 1% Female and 54. 9% Males.

e) Looking the influence of head of families in Albania for taking decisions on almost all natures in the family, food purchase included we have also asked the position they hold in the family as presented in the following table 1.

	Frequency	Percent	Valid Percent	Cumulative Percent
1. Family Head him selves	124	45. 1	45. 1	45. 1
2. Wife/Husband	90	32. 7	32. 7	77. 8
4. Doughter/Son	55	20. 0	20. 0	97. 8
5. Sister/Brother	1	. 4	. 4	98. 2
6. Soninlaw/ Daughter-in-law	4	1. 5	1. 5	99. 6
8. other	1	. 4	. 4	100. 0
Total	275	100. 0	100. 0	

Table 1. Family head relation status

**Level of education for the interviewed customers where 15% has secondary education, 36% has high school education and 48 % hold an university degree**



**The provenience of the population birthplace and actual living location (Residence) of meat customers, see graphic 1:**

Graphic 1. Birthplace and Residence

There is a relevant believe that customers have some preference for products produced in their area of origin. With are of origin referring also to other relevant studies in the filed we consider a distance from 40 -50 km (Chambers, Lobb, Butler, Harvey, & Traill, 2007). This especially for those that get birth in rural areas. They trust more the famers of their area and believe that the food has a better taste. As you can see from graph 1 there is a huge migration from the rural areas directed in the urban areas, and is interesting that even new generations that are grown in urban areas still conserve that believe (source: this study). Other relevant information are collected such us the net income per month for the entire family creating five main clusters, for salaries starting from 200 euro and more than 2000 euros. In order to assess the awareness of interviews regarding meat processing standards and firms trading them, we asked if they know about HCCAP and ISO standards, ISO is better known from Albanian meat customers, and they know less about HCCAP. The awareness for reading the label in a Likert scale (Matell & Jacoby, 1971) from one to five, where one is never and five is always customers read the label. Other questions are related with perception of importance of the meat origin for local, imported meat and imported from EU country members specifically. Relevance of price in regard of the quality and finally the survey collected information about the willingness to pay a higher price for organic food.

#### Methodology and Results

Based on data processed using statistical descriptive, correlation bivariate test to see how the concepts are linked, factor analysis to achieve variable reduction and finally a binary logistic regression (Stranieri & Banterle, 2009) is tested. During the process of factor reduction main factors derived from a vast number of variables emerged in six main variables, with a cumulative variance of 65.4%. Factors regarding purchase responsibility, cultural influence, awareness for processing standards, demographic distribution, meat origin reputation and price sensitivity. These six factors are used to model the binary logistic model where the dependent variable is the willingness to pay for organic food. After the tests, indicators shows that the majority of the interviews are willing to pay for organic meat. The model required some arrangements in order to fit the significance level. Different reduction step wise tests are used until three significant independent variables remained in the model. The backward stepwise (likelihood ratio), is used to identify this group of variables that remains in the model. The model has the following final form:

$$p = \frac{1}{1 + e^{(purchase\_responsibility + origin\_reputation + price\_sensitivty)}}$$

The results indicate that if purchase responsibility decrease with one unit the willingness to pay for organic meat will probably decreased with .275 point percentage. In the same analogy, if the origin reputation is decreased with one unit the

WTP for organic meat decrease with . 361 point percentage, and finally if the price sensitivity increase with one unit the WTP for organic food probably will decrease with . 384 point percentage.

Based on the results it is evident that better educated people, more mature and in a position to decide what food purchase in the family are more willing to pay for organic meat. Origin of meat from locations that Albanian customers perceive as good, mostly the Albanian origin and not imported goods, and possibly meat from their origin, if they do not recognize such attributes in the meat also is decreasing the willingness to pay and finally if price sensitivity is increasing at means family income decrease and the impact of report between quality and price is accented so they are not willing to pay for higher quality for every price unit, the WTP decrease as well. Other factors are not statistically significant, thus they are not part of these results.

### Conclusions

Education level, family position, origin reputation and price sensitivity are important factors to understand Albanian customers how they perceive the organic meat and their willingness to pay for it. As a matter of fact also in other studies the price sensitivity in global markets (Jolly, 1991), and especially in Albanian market is a critical factor when dealing with WTP. Organic food is very much misunderstood and in many cases is confused with biologic production or is abused from farmers and traders using BIO logo for products that have not reliable labels that certify such attribute. Animal welfare is a concept under development in our region and guaranties for having well established value chains that ensure the organic food are still not monitored and perception and trust of customers reflected in this study enforce this fact. Albania would like to enter in larger markets like EU and north America and also has some food welfare restrictions to meet before EU accession (EC, 2014), but ensuring that labels and traceability systems are in place satisfying all standards (Folinas, Manikas, & Manos, 2006) remains still a challenge for Albanian meat producers and traders (UNDP Albania, 2005). There can be different options to support the food production sector (Yang, et al., 2016), using subsidies or other cost amortization methods for them as well as promoting the organic meat production. Enforcing by laws and regulation in the conditions where law enforcement is not in the well performing mechanisms doesn't resolve the issue, even more increase chances for abusive use of organic farming (Lashi & Kapaj, 2016). Increasing public awareness to make them more willing to pay can lead to proactive investments from food industry. Ensuring the modern methods for controlling and monitoring the production value chain process from farm to fork will increase chances to be accepted in European markets and return the investment (Volk, Rednak, & Erjavec, 2010) for organic food success in larger markets.

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## Exploring Servant Leadership Instrument for Social Enterprise (Cooperative)

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### Abstract

The purpose of this paper is to describe the development and validation of a multi-dimensional instrument to measure servant leadership in social enterprise (cooperative) context. Based on an extensive literature review, expert's judgment and Exploratory Factor Analysis (EFA), 57 items were formulated and only 27 items yielding to five factors: doing right things, develop vision with others, democratic, develop others potential and develop community. The construct develops purposely for social enterprise (cooperative). The participants of the study consisted random sample of the cooperative's manager in Malaysia.

**Keywords:** Exploring Servant Leadership Instrument for Social Enterprise (Cooperative)

### Introduction

The measurements for the leadership attributes specifically for cooperative's perspective were constructed from the literature review in this research. Although a number of scales to measure servant leadership done by researchers, none has designed a questionnaire to measure servant leadership attributes in cooperative organization. As suggested by Russell and Stone (2002), researchers need to examine the genuine of servant leadership characteristics to different types of industries, higher learning, commercial establishment and non-government. To support this gap, the items of servant leadership attributes are constructed according to literature in servant leadership area to fit with social enterprise (cooperative). This study developed a scale to measure servant leadership in social entrepreneurship context. The servant leadership have similarities with cooperative leader's traits or roles. In addition, this research extends studies that need additional contribution and smaller the gap in servant leadership topic. For example, Russel and Stone (2002) and Drury (2004) suggest researchers should examine the genuine of servant leadership characteristics and measure reliability to different types of industries, higher learning, commercial establishment and non-government. According to Prabhu (2008) social entrepreneurial leaders are individuals who make and manage innovative, entrepreneurial organizations or ventures whose primary mission is the social change and growth of their client group. In addition, Lyn Barendsen and Howard Gardener (2004) have proposed social entrepreneur as the new type of leader who can act willingly on their obligations, able to see things positively, regularly evaluate their work, induce pain in their lives as the challenging task and are reformed into a growth oriented opportunities. This leader measure the impact of their activities with business acumen on the society as indicator - the higher their social impact, the greater is their success. The literature in this study related to the attributes of servant leader done from various scholars. Servant leadership characteristics deeply scrutinized in this literature review to develop the instrument to fit with cooperative principles and values. The development and measurement process in this study used Laura and Stephanie (2011) four steps in establishing valid surveys such as defining the construct, item development and judgement, designing and conducting studies to develop a survey and finalizing the instrument.

### Step 1 – Defining the construct

Defining the construct begins with a thorough exploration of relevant literature in the domain. The literature in this study related to servant leadership attributes or characteristics done by scholars. Since early 1990s through 2013, the work of

servant leadership focused on identifying themes and the characteristics to operationalize the concept of servant leadership. The idea and origin of theory of Servant Leadership began in 1970 with the publication of the essay "The Servant as Leader" by Robert Greenleaf. Later, Graham (1991) introduced the inspirational and moral dimensions for the servant leader. Buchen (1998) proposed that self-identity, capacity for reciprocity, relationship building, and preoccupation with the future were essential themes to clarify servant leader attributes. Spears (1998) expanded upon Greenleaf's writings and extracted ten common denominators of significant importance characterizing servant leadership. He emphasized the dimensions of listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment, and community building. Following, Farling et al. (1999) added the importance of vision, influence credibility, trust and service. While, Laub (1999) put forward valuing people, developing people, building community, display authenticity, providing leadership and sharing leadership. Russell (2001) repeating the elements of vision, credibility, trust, service and added modelling, pioneering, appreciating others and empowerment in contrast with Farling et al. (1999). In addition, Patterson (2003) presented the dimensions of agapáo love, humility, altruism, vision, trust, empowerment, and service as the essential dimensions of servant leadership. Blanchard and Hodges (2003) point out selflessness, integrity, honesty, fearlessness, humility, values-driven behaviour, faith in unconditional love, openness to feedback, a sense of community, self-acceptance, act as visionary role, comprising and act as an implementation role. Dennis and Bocarnea (2005), proposed the same domain from others such as empowerment, love, humility, trust and vision. Barbuto and Wheeler (2006) have measured the construct of altruistic calling, emotional healing, persuasive mapping, wisdom and organizational stewardship. Covey (2006) proposed six criteria such as humility, reverence, openness, ability to teach, respectfulness and caring. Moreover, Liden et al. (2008) developed and measured emotional healing, creating value for community, conceptual skills, empowering, helping subordinate to grow and succeed, putting subordinate first and behave ethically. Sendjya et al. (2008) in their study defined and analyzed the criteria of voluntary subordination, authentic self, covenantal relationship, responsible morality, transcendental spiritually and transforming influence. Reed et al. (2011), proposed new construct of servant leadership related to interpersonal support, building community, altruism, egalitarianism and moral integrity for servant leader manager. van Dierendonck and Nuijten (2011) have measured the construct of empowerment, accountability, standing back, humility, authenticity, courage, interpersonal acceptance and stewardship. Mahembe and Engelbrecht (2013) have developed the servant leadership instrument and test altruistic calling, emotional healing, wisdom, persuasive mapping and organizational stewardship. The summaries of servant leadership attributes shown in table 1.

SERVANT LEADERSHIP ATTRIBUTES	
Greenleaf (1970)	Honest Love Responsibility
Graham (1991)	1. Inspirational 2. Moral
Buchen (1998)	1. Self-identity 2. capacity for reciprocity, 3. relationship builders, 4. preoccupation with the future
Spears (1998)	1. Listening, 2. empathy, 3. healing, 4. awareness, 5. persuasion, 6. conceptualization, 7. foresight, 8. stewardship, 9. commitment to the growth of people and 10. building community
Farling et al. (1999)	1. Vision, 2. influence, 3. credibility, 4. trust, 5. service

Laub (1999)	Valuing people, developing people, displaying authenticity, offering leadership, building communities, sharing leadership
Page & Wong (2000)	1. Integrity, 2. humility, 3. servanthood, 4. caring for others, 5. developing for others, 6. empowering others, 7. visioning, 8. goal setting, 9. leading, 10. team building, 11. shared decision making
Russell & Stone (2002)	1. Vision, 2. honesty, 3. integrity, 4. trust, 5. service, 6. modeling, 7. pioneering, 8. appreciation of others, 9. empowerment
Patterson (2003)	1. Agapao love, 2. humility, 3. altruism, 4. vision, 5. trust, 6. empowerment, 7. service
Blanchard & Hodges (2003)	Selflessness, integrity, honesty, fearlessness, humility, values-driven behaviour, faith in unconditional love, openness to feedback, a sense of community, self-acceptance, act as visionary role – (doing the right thing), comprising and an implementation role – (doing things right)
Dennis & Bocamea (2005)	1. empowerment, 2. love, 3. humility, 4. trust, and 5. vision
Barbuto & Wheeler (2006)	1. Altruistic calling, 2. emotional healing, 3. persuasive mapping, 4. wisdom, 5. organizational stewardship

Covey (2006)	<ol style="list-style-type: none"> <li>1. Humility,</li> <li>2. reverence,</li> <li>3. openness,</li> <li>4. ability to teach,</li> <li>5. respectfulness,</li> <li>6. caring</li> </ol>
Liden et al. (2008)	<ol style="list-style-type: none"> <li>1. Emotional healing,</li> <li>2. creating value for community,</li> <li>3. conceptual skills,</li> <li>4. empowering,</li> <li>5. helping subordinates grow and succeed,</li> <li>6. putting subordinates first,</li> <li>7. behaving ethically</li> </ol>
Sendjaya, Sarros & Santora (2008)	<ol style="list-style-type: none"> <li>1. Voluntary subordination,</li> <li>2. authentic self,</li> <li>3. covenantal relationship,</li> <li>4. responsible morality,</li> <li>5. transcendental spirituality,</li> <li>6. transforming influence</li> </ol>
Reed, Vidaver-Cohen, & Colwell (2011)	<ol style="list-style-type: none"> <li>1. Interpersonal support,</li> <li>2. building community,</li> <li>3. altruism,</li> <li>4. egalitarianism,</li> <li>5. moral Integrity</li> </ol>

van Dierendonck & Nuijten (2011)	<ol style="list-style-type: none"> <li>1. Empowerment,</li> <li>2. accountability,</li> <li>3. standing back,</li> <li>4. humility,</li> <li>5. authenticity,</li> <li>6. courage,</li> <li>7. interpersonal acceptance</li> <li>8. stewardship</li> </ol>
Mahembe & Engelbrecht (2013)	<p>Altruistic calling, emotional healing, wisdom, persuasive mapping, organisational stewardship</p>

Table 1: Summary of servant leadership attributes literature

For purpose of this study, seven new dimensions to be validated for a new construct to best fit with social enterprise (cooperative) leadership management. Cooperative organization principles and values seems congruence with servant leadership. Leadership in cooperative is the function to lead the organization on behalf of key stakeholder group – able to formulate the goals through group activity, providing a vision, inspiring, guiding, and listen to both members and the management to achieve the cooperative objectives (Puri, 1979; Parnel, 1995). Thompson et al. (2000) argued even though there are people who are keen to work for their community, but they need leadership qualities and guidance. Thus servant leadership instrument for cooperative organization leadership being develop and measured. The characteristics are categorized according to the similar meaning and most cited criteria among scholars to best fit with cooperative leader. The new orientation constructed are i) develop others, ii) demonstrate credibility, iii) develop community, iv) democratic, v) do right things vi) develop vision and vii) deliver for others.

### a) Develop others

Servant leadership promotes the developing of people growth and they have a keen understanding of human characters and embrace a nurturing teaching style that builds self-esteem. The elements of the growth can be started with the interpersonal skills of the leader to benevolently dispose to others. Greenleaf (1970), Dennis and Bocarnea (2005), Page and Wong (2000) and Covey (2006) all contended that servant leader are always caring and love to others. This contention was supported by Spears (1998), Liden et al. (2008), Barbuto and Wheeler (2006), and Mahembe and Engelbrecht (2013). Greenleaf (1970) and Spears (1998) stated that servant leader concern to the follower's emotion by healing it and listen to them. Barbuto and Wheeler (2006) described emotional healing as the ability to recognize the needs and start a healing process for members of the organization. This character can make leader promoting an environment where followers are safe to voice their concerns.

This confirms the work of Spears (1998), Laub (1999), Page and Wong, 2000, and Liden et al. (2008) that servant leader develops and helps their subordinates to grow for success. Table 3. 7 refers to the above servant leadership criteria cited by scholars. These characteristics are derived from the soul of the leader to build positive relationship with others. Crom (1998) pointed out that servant leaders genuinely care for others and are interested in the lives of followers. They can heal or reduce the emotional pain of others, express concern and care and always find ways to develop others. One of the great strengths of servant leadership is the potential for healing one's self and one's relationship with others. This can be started from listening to others in order for the leaders to understand the need of the people. As Maxwell (1998) stated, the effective leaders recognize it takes sincere effort with compassion to reach someone's heart and they must touch other's heart before ask them for a hand.

Ferch and Mitchell (2001) advocated love as a goal for leaders. Greenleaf (1970) added effective leaders are deeply committed to the profession and personal growth of those around them. This statement supported those criteria mentioned above because servant leaders need internal strength and desire to develop others. They must able to allocate time and talent to that purpose. The elements of emotional healing, listening, love, caring for others, commitment to the growth of people, helping subordinate grow and succeed and developing people are interrelated and reasonable to represent as new dimension called **develop others**. In other words servant leaders develop others by listening, emotional healing, love, caring, and helping subordinate to grow and succeed.

Table 2. 5: Measurement scale referred for dimension of develop others by previous studies

The Attributes	Authors
Healing and Emotional healing	Spears (1998) Barbuto and Wheeler (2006) Liden et al. (2008) Mahembe and Engelbrecht (2013)
Listening	Greenleaf (1970) Spears (1998)
Love and Caring for others	Greenleaf (1970) Dennis and Bocarnea (2005) Page and Wong (2000) Covey (2006)
Commitment to the growth of people, Helping subordinates grow and succeed and Developing people	Spears (1998) Liden et al. (2008) Laub (1999) Page and Wong (2000)

### b) Demonstrate credibility

Kouzes and Posner (1993) mentioned credibility is the essential ingredient in good leadership. It was supported by Ulrich (1996) that credible leaders have personal habits, values, traits and competencies to engender trust and commitment from those who take their direction. Awareness (Spears, 1998), ability to teach (Covey, 2006), wisdom (Barbuto and Wheeler, 2006; Mahembe and Engelbrecht, 2013), fearlessness (Blanchard and Hodges, 2003), modelling (Russell and Stone, 2002), pioneering (Russell and Stone, 2002) and values-driven behaviour (Blanchard and Hodges, 2003) as mentioned by the scholars can be special values, traits and competencies for servant leader in this study.

According to Barbuto and Wheeler (2006), wisdom is the ability to see and learn from the environment, being able to see how it would affect each member and the organization. This will support (Okpara and Ohn, 2008) which stated that social entrepreneurship leaders must also have traits, which will help them motivate others and lead them in new directions. Thus, this study categorized awareness, ability to teach, wisdom, fearlessness, modeling, pioneering and values-driven behavior characteristics as new dimension called **demonstrate credibility** as shown in Table 2. 6.

Table 2. 6: Measurement scale referred for dimension of demonstrate credibility by previous studies

The Attributes	Authors
Awareness	Spears (1998)
Ability to teach	Covey (2006)
Wisdom	Barbuto and Wheeler (2006) Mahembe and Engelbrecht (2013)
Fearlessness	Blanchard and Hodges (2003)
Modelling	Russell and Stone (2002)
Pioneering	Russell and Stone (2002)
Values-driven behavior	Blanchard and Hodges (2003)

### c) Develop community

San Juan (2005) emphasized leader must imagine their duty in terms of relationships and community with aim to change and transform. Several researchers mention about concern of the community (Spears, 1998; Laub, 1999; Blanchard and Hodges, 2003; Liden et al., 2008 and Reed et al., 2011). According to Northouse (2007), servant leadership valued everyone's involvement in the community life because it was there that one fully experienced respect, trust, and individual strength. Spears (2010) posited the servant leader senses that much has been lost in recent human history, as a result of the shift from local communities to large institutions as the primary shaper of human lives. This awareness causes the servant leader to seek to identify some means for building community among those who work within a given institution. This study combines these criteria as **develop community** as these criteria represent the same meaning for servant leader aspiration concerning to community as whole. The summary of this attributes shown in Table 2. 7.

Table 2. 7: Measurement scale referred for dimension of develop community by previous studies

The Attributes	Authors
Building community	Spears (1998) Laub (1999) Reed et al., (2011)
A sense of community	Blanchard & Hodges (2003)
Creating value for community	Liden et al. (2008)

### d) Democratic

According to Bugenhagen (2006), leaders should not acquiring power but must concern themselves with being a soothing presence. Greenleaf (1970) mentioned to be genuine leader they must not afraid to share power and quality performance because "power shared is power multiplied, not lessened". Daft (2005) supported that power is not the primary purpose and aim of the leader. The criteria related to sharing the authority with others and acceptance to others opinion can be interpreted as empowering others (Page and Wong, 2000; Russell and Stone, 2002; Patterson, 2003; Dennis and Bocarnea, 2005; Liden et al., 2008; and van Dierendonck and Nuijten, 2011), openness (Covey, 2006), offering leadership (Laub, 1999), openness to feedback (Blanchard and Hodges, 2003), egalitarianism (Reed et al., 2011), respectfulness and reverence (Covey, 2006) and shared decision making (Page and Wong, 2003). All terms stated above are strongly related and comprise the same meaning. Thus, for the purpose of this study, researcher uses term **democratic** as new dimension of all those characteristics. Refer Table 2. 8.



Table 2. 8: Measurement scale referred for dimension of democratic by previous studies

The Attributes	Authors
Empowering others /empowerment	Page and Wong (2000) Russell and Stone (2002) Patterson (2003) Dennis and Bocarnea (2005) Liden et al. (2008) van Dierendonck and Nuijten (2011)
Openness	Covey (2006)
Offering leadership	Laub (1999)
Openness to feedback	Blanchard and Hodges (2003)
Egalitarianism	Reed, et al., (2011)
Respectfulness and Reverence	Covey (2006)
Shared decision making	Page and Wong (2000)

### e) Do Right Things

San Juan (2005) claimed servant leadership imbues relational power with a stature of integrity and strength of character. Nakai (2005) addressed that this leader if lead with integrity, common sense, accountability, respect and compassion, more people will get on board. Both honesty and integrity are integral parts of good leadership (Covey, 1996; Fairholm, 1998; Northouse, 1997 and Winston, 1999). Integrity closely related to ethical (Ker, 1998) and Shaw (1997) supported that leader must practice integrity to build trust. In essence, what people want and what organization needs are leaders with integrity who also have the courage to be honest in the face of challenging and potentially self-damaging circumstances.

Another element that creates to do right things is trust. According to Martin (1998) trust is the root of all great leadership. It is also supported by Mayer et al. (1995) that trust is willingness of a party to be vulnerable to the actions of other party based on expectation that the other will perform a particular action important to the trustor, irrespective of the ability to monitor or control other party. Many scholars agree that trust is the most significant factors influencing leader-member relationship, leader effectiveness and enhance productivity (Bennis, 1997; Bennis and Nanus, 1997; Covey, 1990; De Pree, 1997; Fairholm, 1994, 1997, 1998; Martin, 1998; and Ryan and Oestreich, 1998). Servant leadership study by scholars also mentioned about the importance of being ethical and moral. De Pree (2002) posits that without moral purpose, competence has no measure, and trust has no goal. This study highlighted the most attributes in servant leader that are interrelated to guide leader to do right things. They are accountable (van Dierendonck and Nuijten, 2011), authenticity (Laub, 1999; Sendjaya et al., 2008 and van Dierendonck and Nuijten, 2011), integrity (Page and Wong, 2000; Russell and Stone, 2002; Blanchard and Hodges, 2003 and Reed et al. 2011), responsible morality (Sendjaya et al., 2008), behaving ethically (Liden et al., 2008), trust (Farling et al., 1999; Russell and Stone, 2002; Patterson, 2003 and Dennis and Bocarnea, 2005 and honest (Greenleaf, 1970; Blanchard and Hodges, 2003 and Russell and Stone, 2002). Table 2. 9 shows the construct of *Do right things*.

Table 2. 9: Measurement scale referred for dimension of do right things by previous studies

The Attributes	Authors
Accountability	Van Dierendonck and Nuijten (2011)
Authenticity	Laub (1999) Sendjaya, Sarros and Santora (2008) van Dierendonck and Nuijten (2011)
Integrity	Page and Wong (2000) Russell and Stone (2002) Blanchard and Hodges (2003) Reed et al. (2011)
Responsible morality	Sendjaya et al. (2008)
Behaving ethically	Liden et al. (2008)

Trust	Farling et al. (1999) Russell and Stone (2002) Patterson (2003) Dennis and Bocarnea (2005)
Honest	Greenleaf (1970) Blanchard and Hodges (2003) Russell and Stone (2002)

#### f) Develop vision

Vision unites organizational members and inspires greatness (Miller, 1995). Greenleaf used term foresight and conceptualizing to describe vision. Developing vision for future helps facilitate organizational change and transform action (Miles, 1997). Reinke (2004) defines vision as the degree to which leaders plan and anticipates for future needs, develop concrete mission or vision statements, and keep situations and problems in perspective with the combination of conceptualization and foresight. Both are strongly related. A number of scholars in servant leadership suggested vision as important attributes for servant leadership (Farling et al., 1999; Russell and Stone, 2002; Patterson, 2003; Blanchard and Hodges, 2003; Dennis and Bocarnea, 2005 and Page and Wong, 2000), conceptualization (Spears, 1998 and Liden et al., 2008), goal setting (Page and Wong, 2000) and foresight (Spears, 1998). These attributes can be grouped as **develop vision** for servant leaders. Refer Table 2. 10.

Table 2. 10: Measurement scale referred for dimension of develop vision by previous studies

The Attributes	Authors
Vision	Farling et al. (1999) Russell and Stone (2002) Patterson (2003) Dennis and Bocarnea (2005) Page and Wong (2000) Blanchard and Hodges (2003)
Conceptualization	Spears (1998)
Conceptual skills	Liden et al. (2008)
Goal setting	Page and Wong (2000)
Foresight	Spears (1998)

#### g) Deliver for others

Greenleaf (1972) described stewardship as holding something in trust for one another. Servant leaders, like stewards, are committed to serving the needs of others and emphasize the use of openness and persuasion, rather than control. Reinke (2004) clarified stewardship as the degree to which leaders put the needs of others and the organization before their own personal needs, use a participatory leadership style, and are committed to the growth of employees and the organization. While Bagget (1997) mentioned first and foremost, a good leader serves others. Service is the core of servant leadership (Block, 1993; De Pree, 1997; Fairholm, 1997, 1998, and Greenleaf, 1977). Fairholm (1997) added that leaders prepare others to embrace a service orientation when they model service through their own actions.

Service attributes were mentioned by (Farling et al., 1999; Russell and Stone, 2002; and Patterson (2003). Putting subordinates first (Liden et al., 2008), voluntary subordination (Sendjaya et al., 2008), Implementation role (Blanchard and Hodges, 2003), stewardship/organizational stewardship (Barbuto and Wheeler, 2006; Mahambe and Engelbrecht, 2013; Spears, 1998; and van Dierendonck and Nuijten, 2011). Then, servanthood (Page and Wong, 2000); altruism and altruistic calling (Patterson, 2003; Barbuto and Wheeler, 2006; Reed et al., 2011 and Mahambe and Engelbrecht, 2013); humility (Page and Wong, 2000; Patterson, 2003; Blanchard and Hodges, 2003; Dennis and Bocarnea, 2005; Covey, 2006; and van Dierendonck and Nuijten, 2011). For the purpose of this study, it is called **Deliver for others** as servant leadership aim is to serve others. The summaries of criteria are shown in Table 2. 11.

Table 2. 11: Measurement scale referred for dimension of deliver for others by previous studies

The Attributes	Authors
Service	Farling et al. (1999) Russell and Stone (2002) Patterson (2003)
Putting subordinates first	Liden et al. (2008)
Voluntary subordination	Sendjaya et al., (2008)
Implementation role	Blanchard and Hodges (2003)
Organizational stewardship	Barbuto and Wheeler (2006) Mahembe and Engelbrecht (2013)
Servanthood	Page and Wong (2000)
Stewardship	Spears (1998) van Dierendonck and Nuijten (2011)
Altruism	Patterson (2003) Reed et al., (2011)
Altruistic calling	Barbuto and Wheeler (2006) Mahembe and Engelbrecht (2013)
Humility	Page and Wong (2000) Patterson (2003) Blanchard and Hodges (2003) Dennis and Bocamea (2005) Covey (2006) van Dierendonck and Nuijten (2011)

## Step 2 - Instrument development process

Seven-point rating scale was used in the questionnaire of this study. The reason of using this scale is it was applied by many researchers in survey research (Davis et al., 1989; Moon and Kim, 2001; Venkatesh and Davis, 2000). In addition, it is also more capable than others point-scale, as it allows greater discrimination and finer differences between people (De Vaus, 2002). Furthermore, respondents' take less time, and easy to answer (McClelland, 1994; Churchill, 1995; Frazer and Lawley, 2000). Cox (1980) recommended that the scale points between five and nine should be used, depending on the particular circumstances. According to Miller (1956), in human brain physiology, human brain has a span of apprehension capable of distinguishing about seven (plus minus two) different items. With a strong clarifications and judgment on point-rating scale, a seven-point Likert scale was adopted in this research based on its popularity, high reliability, and appropriateness.

Before conducting the pilot test, the decision from experts and practitioners' review were used to guide the construction of the instrument items in this study. Face validity is scale content logically appears to reflect what was intended to be measured (Zikmund et al., 2013). Researcher appointed two officers from Malaysian Cooperative Commissions as an expert in this study to review and comment the list of questions in terms of jargon, level of understanding and language used. After the officer validated the items, researcher reviewed the highlighted items to be corrected. The items with distracting or confusing language and grammar were eliminated. Approximately 10 to 20 of the initial items were rewritten and/or edited prior to continuing the process.

## Step 3 – Designing and conducting studies to develop a survey

### Method

#### Participants

For the purpose of the pilot survey, 260 participated in this study during the course at Malaysian Cooperative Commissions. According to Baker (1994), a sample of pilot study can be 10% to 20% from actual sample size of the study. As discussed earlier, the actual sample size for this research is 370. For purpose of pilot test, this study used 260 respondents and this number met the required sample size needed.

The strategy of distributing the questionnaires was at MKM during cooperative training and seminar program. Second approach to generate more questionnaire, researcher emailed the questionnaire to the selected sample. The unit of analysis was individual. The subjects were either board of cooperative members or the top level managers of cooperative. They

were selected because of their involvement in regards to their participation, operation and their knowledge of the cooperative. In other words, the sample of this study is the representative person from the top management of cooperatives.

This study used the literature on servant leadership as discuss earlier to build set of attributes item, gathered experts to review the questions, added and deleted the item to fit the study requirement. The procedures referred to Laura and Stephanie (2011) steps. The questionnaire was sent to a pool of participants (members of cooperative) database and conducted factor analysis with correlation matrices and scale reliability test to help determine which item to keep for each construct.

#### Step 4 - Finalizing the scale

##### Result - Factor analysis and discussion

In testing the servant leadership attributes, the factorability of the inter-correlation matrix was measured by two tests: Kaiser-Meyer-Olkin test of Sampling Adequacy (KMO) and Bartlett's Test of Sphericity. KMO measures of sampling adequacy was 0.93, above the recommended value of 0.60, and Bartlett's test was  $\chi^2 = 8350.69$ ,  $p = 0.000$ , thus, the factor analysis can be conducted. The construct validity of the servant leadership attributes questionnaire was examined through Exploratory Factor Analysis (EFA). The result of Varimax with Kaiser Normalization was a rotated component matrix and extracted 5 factors with eigenvalue greater than 1.0. Exploratory factor analysis indicated that the first factor consisted of 9 items. The second factor consisted of 4 items. Factor three consisted of 6 items. Factor four consisted of 5 items and factor five consisted 3 items as shown in Table 4.4 (see Appendix G). The total number of items was 27. Finally, the factors are grouped according to the code – "5D's" a) Do right things, d) Develop vision, c) Democratic, d) Develop others and e) Develop community.

Following, Table 4.5 indicates the mean and standard deviation and alpha  $\alpha$  of all items for servant leadership attributes. All items had mean value more than 5.0.

Table 4.5: Descriptive statistics of servant leadership

Item	Description	M	SD	$\alpha$
DT34	Promotes transparency in the cooperative.	5.53	0.94	
DT43	Honest in all aspects of work or cooperative transactions.	5.64	1.08	
DT44	Refuses to use manipulation or deceit to achieve personal goals.	5.77	0.99	
DT45	Enhances members or employees' trust.	5.72	0.95	
DT53	Humble to consult others in any situation	5.43	1.09	.93
DT54	Does not centre attention on his or her own accomplishments.	5.34	1.06	
DT55	Hold responsible for the work they carry out.	5.38	0.98	
DT56	Emphasizes the importance of focusing on the good of the whole.	5.22	1.01	
DT57	Places interests of members above self-interest.	5.46	1.01	
DV13	Encourages members to dream "big dreams" about the cooperative.	5.60	0.99	
DV14	Tries to grab as many opportunities for cooperative's success.	5.66	0.90	
DV15	Effectively thinks through complex problems.	5.65	0.94	.88
DV18	Prepare cooperative management to make a positive difference in the future.	5.60	0.90	
DM26	Enables members or employees to solve problems by themselves instead of just telling them what to do.	5.23	0.96	
DM27	Entrusts members or employees to make decisions which make work easier for them.	5.23	0.95	
DM28	Open about his/her limitations and weaknesses.	5.33	0.86	.89
DM47	Encourages open exchange of information throughout the cooperative.	5.30	1.00	
DM51	Invites constructive criticism during discussion.	5.57	0.94	

DM52	Encourages members to come up with new ideas.	5.43	0.99
DO3	Takes time to talk to members or employees on a personal level.	5.27	0.93
DO5	Looks for ways to make members or employees successful.	5.39	1.00
DO6	Nurtures members or employees' leadership potential.	5.43	1.03
DO7	Encourages members or employees to enhance their personal skills.	5.62	0.98
DO8	Demonstrates concern for members or employees' personal well-being.	5.56	1.09
DC19	Inspires others to lead through service for community.	5.44	0.99
DC22	Encourages members to have a community spirit in the cooperative.	5.28	0.98
DC23	Emphasizes the societal responsibility of cooperative business activity.	5.27	1.02

**Appendix G: Table 4. 4 Rotated components and loadings - servant leadership attributes**

Code	Item	Factor
<u>Construct 1 - DT</u>		<u>Factor 1</u>
Q34	Promotes transparency in the cooperative.	0.62
Q43	Honest in all aspects of work or cooperative transactions.	0.73
Q44	Refuses to use manipulation or deceit to achieve personal goals.	0.71
Q45	Enhances members or employees' trust.	0.65
Q53	Humble to consult others in any situation	0.69
Q54	Does not centre attention on his or her own accomplishments.	0.72
Q55	Hold responsible for the work they carry out.	0.73
Q56	Emphasizes the importance of focusing on the good of the whole.	0.71
Q57	Places interests of members above self-interest.	0.68
<u>Construct 2 - DV</u>		<u>Factor 2</u>
Q13	Encourages members to dream "big dreams" about the cooperative.	0.64
Q14	Tries to grab as many opportunities for cooperative's success.	0.69
Q15	Effectively thinks through complex problems.	0.72
Q18	Prepare cooperative management to make a positive difference in the future.	0.64

<u>Construct 3 - DM</u>		<u>Factor 3</u>
Q26	Enables members or employees to solve problems by themselves instead of just telling them what to do.	0.61
Q27	Entrusts members or employees to make decisions which make work easier for them.	0.63
Q28	Open about his/her limitations and weaknesses.	0.62
Q47	Encourages open exchange of information throughout the cooperative.	0.60
Q51	Invites constructive criticism during discussion.	0.61
Q52	Encourages members to come up with new ideas.	0.67
<u>Construct 4 - DO</u>		<u>Factor 4</u>
Q3	Takes time to talk to members or employees on a personal level.	0.70
Q5	Looks for ways to make members or employees successful.	0.71
Q6	Nurtures members or employees' leadership potential.	0.66
Q7	Encourages members or employees to enhance their personal skills.	0.66
Q8	Demonstrates concern for members or employees' personal well-being.	0.69
<u>Construct 5 - DC</u>		<u>Factor 5</u>
Q19	Inspires others to lead through service for community.	0.66
Q22	Encourages members to have a community spirit in the cooperative.	0.66
Q23	Emphasizes the societal responsibility of cooperative business activity.	0.68

## Conclusion

As a result to the lack of servant leadership study in social enterprises, this study is to provide empirical findings of servant leadership measurement for social enterprise (cooperative) and to determine the possible attributes of servant leadership that may affect cooperative's performance. It is necessary to clarify exactly the attributes of servant leadership measurement in other study to develop a new construct measurement for this study. Finally, the factors are grouped according to the code – "5D's" a) Do right things, d) Develop vision, c) Democratic, d) Develop others and e) Develop

community with 27 number of total items. Two dimensions (Deliver for others and Demonstrate credibility) have been dropped from the dimension due to low factor loadings.

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## SMEs' Intention towards Sustainable Entrepreneurship

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### Abstract

Environmental degradation could be considered as one of the negative consequences of entrepreneurial activities. As such, entrepreneurs are urged to be proactive in resolving environmental problems through sustainable entrepreneurship. However, this new practice has not been fully accepted and exercised by many SMEs. Moreover, the studies pertaining to sustainable entrepreneurship are also very scarce in the literature. Therefore, this paper was conducted to investigate the contexts that directly and indirectly influence the SMEs owner-managers' intention towards sustainable entrepreneurship. A model was developed based on Theory of Planned Behaviour and Entrepreneurial Event Model. This study surveyed 404 SMEs in Malaysia by using self-administered questionnaires. It found that owner-managers' intention towards sustainable entrepreneurship was rather encouraging. In addition, factors such as positive sustainable value, favourable sustainable attitude, supporting social norm and sufficient governmental legislation directly increased the intention towards sustainable entrepreneurs. Moreover, those factors were also found to indirectly influence the intention through individual's perception. As such, this paper pointed out some critical factors that should be emphasized in promoting and developing sustainable entrepreneurship. Some recommendations for future studies have also been given at the last part of this paper.

**Keywords:** Entrepreneurship, Intention, Perception, Small and medium enterprises (SMEs), Sustainability

### Introduction

Environmental degradation is a serious problem that requires the attention from all parties. Market failure from the entrepreneurial activities is believed to be a cause of environmental degradation (Cohen & Winn, 2007). As such, entrepreneurs are urged to play a proactive role in transitioning the current economy to a sustainable economy (Parrish & Foxon, 2009). In fact since 1970s, business firms have been continuously showing great efforts in improving environmental quality (Keijzers, 2002). However, many environmental issues are still unresolved and they would definitely leave a great impact on our mother earth. Although much efforts have been put forth to encourage high participation in sustainability practices among business firms, its result is still far from satisfactory. For instance, Kyoto Protocol has long been implemented; unfortunately, its result is still slow (Greenpeace International, 1998; Grubb & Depledge, 2001; McKittrick & Wigle, 2002). The earth continues to suffer from over development, over deforestation and overused of non-renewable resources.

Realizing that environmental problems could bring disastrous effects to us and our future generations, businesses are urged to be active in resolving environmental problems (Palazzi & Starcher, 1997; Dean & McMullen, 2007). This has given birth to a new concept known as sustainable entrepreneurship. In business practices, sustainable entrepreneurship can be considered as something new (Cohen & Winn, 2007; Richomme-Huet & Freyman, 2011) which requires further investigations due to its low number of studies in literature (Hall, Daneke, & Lenox, 2010; Shepherd & Patzelt, 2011; Nowduri, 2012).

Sustainable entrepreneurship can be regarded as a practice which links entrepreneurial activities to sustainable development (Schaltegger & Wagner, 2008). It is a new practice in business (Richomme-Huet & Freyman, 2011) which transforms the businesses from being profit-centred to sustainability-centred (Crals & Vereek, 2004; Smith & Sharicz, 2011). It could also be regarded as a possible solution to sustainability issues through business activities. However, to most business firms in Malaysia, practicing sustainability in business is still considered as something new (Moorthy *et al.*, 2012). Specifically, small and medium enterprises (SMEs) regard sustainability management as costly and difficult to implement (Omar & Samuel, 2011). This has caused the low participation of SMEs in practicing sustainability.

From the theoretical perspective, entrepreneurship is regarded as a process of doing something new and it is affected by individual's cognitive aspects. Since entrepreneurship is regarded as a process, the development of sustainable entrepreneurship can be deemed as a challenging effort that involves multiple processes. As such, the first step could be focusing on understanding people's intention in the process of becoming sustainable entrepreneurs. However, there is a lack of studies which investigate the people's entrepreneurial intention because the topic is commonly neglected and under-exploration (Casrud & Brännback, 2011; Zachary & Mishra, 2011).

From the extant literature, sustainable entrepreneurship studies are mainly focusing on the practices (e. g. : Crals & Vereek, 2004; Cohen & Winn, 2007; Richomme-Huet & Freyman, 2011, etc. ) or contributions (e. g. : Dean & McMullen, 2007; Parrish & Foxon, 2009; Hockerts & Wüstenhagen, 2010). Those studies have successfully explained how people practice sustainable entrepreneurship and what their contributions are. Unfortunately, the psychological aspects, such as intention and motivation that drive people towards sustainable entrepreneurship have not been fully addressed in the current literature.

Therefore, this study is geared towards investigating the contexts that influence the entrepreneurs' intention towards sustainable entrepreneurship. Specifically, it focuses on determining the factors that directly and indirectly influence the intention towards sustainable entrepreneurship among SMEs owner-managers in Malaysia.

## Literature Review

### ***Sustainable Entrepreneurship***

Sustainable entrepreneurship is considered as a sub-field of entrepreneurship. It is considered as a new practice in business due to the increasing awareness of sustainability development among business practitioners (Hall *et al.*, 2010). Over the years, researchers have used many terms interchangeably, such as sustainable-minded entrepreneurs (Gagnon, 2012) or sustainability-driven entrepreneurs (Majid *et al.*, 2012). Generally, sustainable entrepreneurship is a practice which links sustainable development to business activities (Schaltegger & Wagner, 2008). According to World Commission of Environmental Development (WCED, 1987), sustainable development is regarded as "development that meets the needs of the present generation without compromising the ability of future generations to meet their own needs". Therefore, sustainable entrepreneurship could be deemed as business or entrepreneurial activities that emphasize on nature preservation, life support and community welfare for achieving current and future economic and non-economic gains (Shepherd & Patzelt, 2011).

Sustainable entrepreneurship is very much related to the concept of triple- bottom-line (TBL). TBL emphasizes on creating value through economic prosperity, environmental quality and social justice (Elkington, 2004). It has also been widely adopted by researchers in explaining sustainable entrepreneurship (Schlange, 2006; Dixon & Clifford, 2007; Hall *et al.*, 2010; Hockerts & Wüstenhagen, 2010). However, some important domains have been overlooked in this concept (O'Zeil, Hershauer & Golden, 2009). As such, some researchers have suggested that sustainable entrepreneurship should encompass an equal footing on four domains, namely economic, social, ecological and cultural (Majid & Koe 2012).

### ***Factors Affecting Intention***

Entrepreneurship has a rich collection of literature in regards to entrepreneurial intention. Past studies have also developed various models to explain the factors influencing the individual's entrepreneurial intention. However, the most widely used models are Entrepreneurial Event Model (EEM) and Theory of Planned Behaviour (TPB) (Krueger *et al.*, 2000; Liñán *et al.*, 2005). As such, this paper utilized the two models as the underlying models.

Shapiro and Sokol (1982) explained in their EEM that entrepreneurship is an event in which new venture is created. However, the creation of new venture is affected by the entrepreneur's perceived desirability and perceived feasibility. Over

the years, many researchers have adapted the model in studying entrepreneurial intention, for examples Krueger *et al.* (2000), Audet (2004) and Fitzsimmons and Douglas (2011), just to name a few.

Ajzen (1991) developed TPB to explain the relationship between intention and behaviour. TPB explains that human behaviour is a result of intention. Thus, it regards intention as a predictor of human behaviour. The theory delineates that there are several factors that affect a person's intention, such as personal attitude, subjective norm and perceived behavioural control. Many researchers have adapted TPB in predicting individual's entrepreneurial intention (e. g. : Engle *et al.*, 2010; Shook & Bratianu, 2010; Moriano *et al.*, 2011, etc. ) and also individual's pro-environmental intention (e. g. : Kaiser & Gutscher, 2003; Kaiser *et al.*, 2005, etc. ).

Both EEM and TPB could be considered as reliable models in investigating entrepreneurial intention, but they are not without any limitations. For instance, they only explain the direct influence of various factors on intention and not the indirect influence. Also, the application of both models in studying sustainable entrepreneurship has not been widely performed as well. Furthermore, more variables should be incorporated into the models to increase their predictive utility. Therefore, the models require an extension.

### **Theory of Reasoned Action (TRA)**

Human do not behave in certain manner without any triggers. Theory of reasoned action (TRA) could be considered a reliable early theory which explains human behavior (Fishbein & Ajzen, 1975). Greene (2009) further explained that TRA illustrated the cause-and-effect relationship between people's cognition and behavior. Simply put, the theory delineates that human behavior is an effect of their behavioral intention. Thus, individual's intention can be deemed as a stimulant for one's behavior. Over the years, TRA has showed consistent results in various fields of studies such as dental hygiene, education, contraceptive behavior, smoking, blood donation etc. (Vallerand, Deshaies, Cuerrier, Pelletier, & Mongeau, 1992).

Based on the theory, it is believed that intention is a good predictor of behavior. Intention is further affected by attitudinal and normative factors. As Hale, Householder and Greene (2002) mentioned, TRA could be used to explain volitional behaviors. Engaging sustainable practices in business is definitely a voluntary, intentional and planned behavior; as such, TRA is deemed appropriate for this study.

### **Research Model and Hypotheses Development**

In predicting intention towards sustainable entrepreneurship, this study adapted the attitudinal and normal factors from TPB as well as the perception factors from EEM. In addition, two variables were added, namely sustainability value and government legislation (Figure 1). The discussions below explain the development of research model and hypotheses.

According to McGee *et al.* (2009), personal values and beliefs affect one's entrepreneurial intention. Besides their ability in influencing entrepreneurial intention, they can also be regarded as important factors that affect people's environmental considerations (Schlange, 2006) and engagement in sustainability (Spence *et al.*, 2011). Sustainable value plays a vital role in motivating sustainable entrepreneurship (Tilley, 1999) because it is a driving factor for entrepreneurs to attach to sustainable practices (Gagnon, 2012). Therefore, this paper hypothesized that:

H1: Sustainability value (SV) positively influences intention towards sustainable entrepreneurship (ITSE).

According to Ajzen (1991), attitude is a determinant of behavioural intention. Many studies have also proven the positive influence of individual attitude on entrepreneurial intention, for examples Schwarz *et al.* (2009), do Paço *et al.* (2011), Moriano *et al.* (2012), just to name a few. In addition, attitude was also found as an influential factor of intention towards pro-environmental behavior (Stern, 2000; Tonglet *et al.*, 2004; Bamberg & Möser, 2007). As Chen *et al.* (2011) pointed out, whether or not people would engage sustainable practices was affected by their positive or negative attitude. Thus, it was posited that:

H2: Sustainability attitude (SA) positively influences intention towards sustainable entrepreneurship (ITSE).

External stimuli could also affect an individual's behavioral intention (Yoon & Tello, 2009). In fact, Fishbein and Ajzen (1975) and Ajzen (1991) have agreed on the positive effects of social factors on intention. Interestingly, the positive relationships between social norm and sustainable practices were further confirmed by Meek (2010) and Yaacob (2010). Therefore, the hypothesis below was suggested:



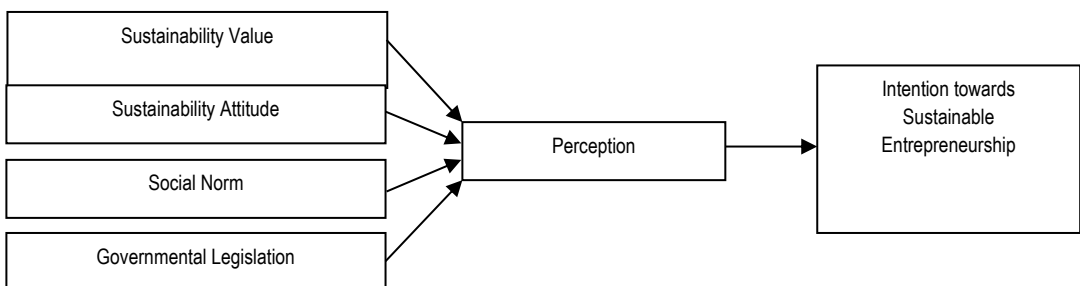
H3: Social norm (SN) positively influences intention towards sustainable entrepreneurship (ITSE).

Apart from pressures or influences from the society, governmental rules and regulations also stimulated entrepreneur's sustainable behavior (Moorthy *et al.*, 2012; Rasi *et al.*, 2010). Indeed, one of the obvious reasons that caused businesses to practice sustainability was governmental influence (Delmas & Toffel, 2004). Specifically, sustainability policies established by government were treated as the guidelines to most entrepreneurs in maintaining business gains and environmental quality (Schlange, 2006). Worthington and Patton (2005) also mentioned that suitable pro-environmental regulations could drive entrepreneurs to respond to environmental issues. As such, it suggested that:

H4: Government legislation (GL) positively influences intention towards sustainable entrepreneurship (ITSE).

People's perception which affects their entrepreneurial intention consists of perceived desirability and perceived feasibility (Shapiro & Sokol, 1982). Truly, the increased in both perceived desirability and perceived feasibility did inspire the creation of new ventures (Krueger *et al.*, 2000). Chuluunbaatar *et al.* (2011) further found that these two perceptions were strongly and significantly related to entrepreneurial intention. Without doubt, past literature has confirmed the positive and direct relationship between perception and intention. However, Shepherd and Krueger (2002) explained that there are various external factors that influence one's intention through perceived desirability and perceived feasibility. As supported by Liñán and Santos (2007), social factors affected individual's intention through perceived desirability and perceived feasibility. The mediating role of perception between the influencing factors and behavioral intention was further verified by Izquierdo and Buelens (2008) and Liñán *et al.* (2005). Therefore, this paper hypothesized that:

- H5a: Perception (PERC) mediates the relationship between sustainability value (SV) and intention towards sustainable entrepreneurship (ITSE).
- H5b: Perception (PERC) mediates the relationship between sustainability attitude (SA) and intention towards sustainable entrepreneurship (ITSE).
- H5c: Perception (PERC) mediates the relationship between social norm (SN) and intention towards sustainable entrepreneurship (ITSE).
- H5d: Perception (PERC) mediates the relationship between governmental legislation (GL) and intention towards sustainable entrepreneurship (ITSE).



**Figure 1: Research Model**

### Research Methodology

This study selected the sample from the list of SMEs in the directory of SME Corp Malaysia, a reputable and reliable agency responsible for SME development in the country. From a total of 1600 questionnaires distributed, 404 returned responses were deemed completed and usable. Thus, the response rate was about 25%. The respondents were mostly male (79.21%), mainly in the serving sector (63.12%), operating a sole proprietorship business (73.76%), employed less than five full-time employees (57.43%) and have established for five to ten years (37.87%).

Since this research employed a questionnaire survey method, the instrument used was a self-administered questionnaire.

It consisted of 80 items pertaining to respondent's background (5 items), sustainability value (SV - 13 items), sustainability attitude (SA - 15 items), social norm (SN - 8 items), governmental legislation (GL - 7 items), perception (PERC - 26 items) and intention towards sustainable entrepreneurship (ITSE - 6 items). All the items were adapted from previously established questionnaires to ensure their reliability and validity. The items used 10-point Likert-type rating scale, in which 1 denoted strongly disagree and 10 indicated strongly agree. The goodness of measures was achieved because all constructs recorded a Cronbach's alpha value higher than 0.70 and; exploratory factor analysis also grouped the items into their respective group.

### Findings and Discussions

The preliminary data analysis revealed that the data were approximately normally distributed and have obtained linearity and homoscedasticity. Thus, they were suitable for multivariate analysis. Table 1 summarizes the means and standard deviations of each variables as well as correlation coefficients (*r*) of pairs of variables. The descriptive results found that the ITSE among SME owner-managers were rather high ( $M = 7.045$ ;  $SD = 1.737$ ). Meanwhile, the mean values for other factors ranged from the lowest 6.461 (GL) to the highest 7.464 (SV). The Pearson correlation results revealed that the *r*-values for each pair of variables were between 0.303 (GL-SA) and 0.694 (PERC-SN). The results confirmed that all pairs of variable were significantly associated ( $sig. < 0.01$ ) and the highest *r*-value was 0.694 (PERC-SN); as such, the issue of multicollinearity was not existed. Thus, the variables were suitable for regression analysis.

**Table 1: Mean, Standard Deviation and Correlation**

	M	SD	SV	SA	SN	RG	PERC	ITSE
SV	7.464	1.285	1					
SA	6.809	1.277	0.455**	1				
SN	7.313	1.459	0.526**	0.496**	1			
GL	6.461	1.665	0.332**	0.303**	0.501**	1		
PERC	7.160	1.321	0.636**	0.483**	0.694**	0.532**	1	
ITSE	7.045	1.737	0.341**	0.387**	0.477**	0.364**	0.593**	1

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

Table 2 illustrates the results of regression analysis to determine the influence of SV, SA, SN and GL on ITSE. The *F*-statistics obtained was 38.323 ( $p\text{-value} < 0.000$ ), indicated that the data fitted the model. The value of  $R^2$  was 0.278, which showed that 27.8% of the variance in ITSE was explained by SV, SA, SN and GL. In particular, SN was the most important factor ( $\beta = 0.283$ ;  $sig. 0.000$ ), followed by SA ( $\beta = 0.172$ ;  $sig. 0.001$ ), GL ( $\beta = 0.149$ ;  $sig. 0.003$ ) and SV ( $\beta = 0.116$ ;  $sig. 0.028$ ). Thus, hypotheses H1, H2, H3 and H4 were supported.

**Table 2: Regression - Influence of SV, SA, SN and GL on ITSE**

	Standardized Coefficients (Beta)	t	Sig.
SV	0.116	2.272	0.028
SA	0.172	3.382	0.001
SN	0.283	4.935	0.000
GL	0.149	3.013	0.003

$F = 38.323 (0.000)$ ;  $R^2 = 0.278$ ; Dependent Variable: ITSE

For the purpose of testing hypotheses H5a to H5d, A four-step Baron-Kenny Approach was employed. The first step of the

approach was determining the influence of SV, SA, SN and GL on ITSE. The results were presented in Table 2 in which all the four independent variables significantly influenced dependent variable. Meanwhile, Table 3 shows the results of second step, whereby the influence of SV, SA, SN and GL (independent variable) on PERC (mediating variable) were found positive and significant. Specifically, SN recorded the highest  $\beta$ -value at 0.373 (sig. 0.000), followed by SV ( $\beta = 0.332$ ; sig. 0.000), GL ( $\beta = 0.210$ ; sig. 0.000) and SA ( $\beta = 2.268$ ; sig. 0.024).

**Table 3: Regression - Influence of SV, SA, SN and GL on PERC**

	Standardized Coefficients (Beta)	t	Sig.
SV	0.332	8.822	0.000
SA	0.083	2.268	0.024
SN	0.373	9.003	0.000
GL	0.210	5.885	0.000

F = 164.361 (0.000); R<sup>2</sup> = 0.622; Dependent Variable: PERC

Table 4 depicts the results of regression for third step in Baron-Kenny Approach. In step 3, the result successfully proved that the mediating variable (PERC) significantly influenced dependent variable (ITSE) ( $\beta = 0.512$ ; sig. 0.000).

**Table 4: Regression - Influence of SV, SA, SN, GL and PERC on ITSE**

	Standardized Coefficients (Beta)	t	Sig.
SV	0.105	1.990	0.047
SA	0.129	2.716	0.007
SN	0.092	1.571	0.117
GL	0.041	0.861	0.390
PERC	0.512	7.947	0.000

F = 48.067 (0.000); R<sup>2</sup> = 0.377; Dependent Variable: ITSE

In step 4, the mediating effects of PERC were determined through comparing the  $\beta$ -values of SV, SA, SN and GL in Table 2 to Table 4. The shrunk in  $\beta$ -values of SV (0.116 to 0.105), SA (0.172 to 0.129), SN (0.283 to 0.092) and GL (0.149 to 0.041) indicated that PERC recorded partially mediating effects in the relationships between the of the above factors and ITSE. In addition, the results of Sobel's test (Table 5) denoted that the mediation effects of PERC were significance (sig. < 0.05). Therefore, hypotheses H5a, H5b, H5c and H5d were partially supported.

**Table 5: Sobel's Test Results**

Variable	a	Sa	b	Sb	z	Sig.
SV – PERC – ITSE	0.341	0.039	0.673	0.085	5.869	0.000
SA – PERC – ITSE	0.086	0.038	0.673	0.085	2.176	0.030
SN – PERC – ITSE	0.338	0.038	0.673	0.085	5.914	0.000
GL – PERC – ITSE	0.167	0.028	0.673	0.085	4.764	0.000

The results from the above analyses supported the previous studies in which SV, SA, SN and GL were playing significant and influential roles in determining ITSE. Specifically, the findings confirmed the predictability of variables in TPB on behavioural intention. It also supported that both internal factors (i. e. : SV and SA) and external factors (i. e. : SN and GL)

could affect an individual's intention. In addition, the partially mediation effects of PERC in SV-ITSE, SA-ITSE, SN-ITSE and GL-ITSE relationships clearly showed that PERC accounted for some, but not all of the intervening role in the formation process of ITSE. Therefore, PERC successfully explained the process of how SV, SA, SN and GL led to ITSE. It also supported the previous finding that a person's intention was indirectly influenced by various internal and external factors through perception (Shepherd and Krueger, 2002; Liñán and Santos, 2007).

## Conclusion

This study was conducted with aim to investigate the contexts that influence the entrepreneurs' intention towards sustainable entrepreneurship. The results found that SMEs owner-managers in Malaysia showed a rather encouraging level of intention towards sustainable entrepreneurship. In another words, they favoured sustainability and were quite positive towards being sustainable in their business activities. This could be deemed as an encouraging result because it could support our country's development agenda in building a sustainable society.

Moreover, based on the model developed, this paper also found that factors such as positive sustainable value, favourable sustainable attitude, supporting social norm and sufficient governmental legislation were not to be left out in the effort of developing sustainable entrepreneurs. Of course, the intervening role of perceptions such as perceived desirability and perceived feasibility was also vital in ensuring a high intention towards sustainable entrepreneurship among SMEs owner-managers. Thus, the mental or psychological factor should be emphasized as well.

There are some limitations of this paper. For instance, the independent variables included in the study were internal and external factors, some other factors may have been overlooked. Thus, future studies should include more factors. Furthermore, this study considered only one single mediating variable, i. e. : perception. Therefore, future researchers should adopt a multi-mediator model to further explain the intention process.

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## Informality vs Politics; The Interactions Between Politics and Social Behavior in Albania, a Retardment for the EU Integration Process

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### Abstract

Is there a causal link for the acceptance of the informality between political class and social behavior? This paper intends to tackle this question exploring the retardment of the integration process and social actors' behavior in Albania. In this regard, it is very important to understand the high level of informality in Albanian economy, social behavior and the nature of acceptance by political class. Despite the high level of informality, the will of Albanians to join EU remain high. According to the latest opinion polls<sup>1</sup>, 86.5% of the Albanians would vote in favor of the EU integration, the largest percentage in the EU integration aspiring countries. Political class, majority and opposition both, accuses each other for the retardment of the integration process, to get the highest support of voters, without bringing concrete solution for the informality and changing the situation. Informality in Albania continues to be a big concern for International Institutions which have been supporting and assisting the state institutions towards the formalization of economy. According to CIA World Factbook<sup>2</sup>, the informality in Albania may be as large as 50% of official GDP during last five years. Regardless of the high level of the informality, government representatives and economy analysts argue that Albania is a country that is not affected directly by the crisis. One of the main factors which help the development of the informality in Albania is the widespread corruption, low level of enforcement, bureaucracies in the administration, politicized administration, habitual change of legislation and electoral promises to change the tax system, citizen's interest for evasion and their adaptability. Another good example to argue our claim regarding the social behavior and links with politics is connected with the non-payment of the electricity not only by citizens, but also by state institutions. In contrast of formal social interaction of different social actors, informality should be read as social disorganization and one of the main obstacles that causes the retardment of the integration process.

**Keywords:** informality, integration, politics, interaction, social behavior.

### 1. Introduction

Informality in the economy of Albania continues to affect the EU perspective along the transition phase, leading towards inequality, while it had affected directly the labour market, productivity and growth, although the net effect is unclear. The debate about the definition of informal economy will not be part of this paper and we are going to refer the definition of *informal economy* to the illegal economic activity, not registered and hidden by tax authorities. International institutions have expressed their concern for high rate of informality, addressing corruption, low level of enforcement, bureaucracies in the administration, politicized administration, habitual change of legislation and citizen's interest for evasion as main factors in favor of informality. According to Stuart Henry, informal economy can be described by three basic characteristics: informal economy includes production, consumption and trading of goods and services, for cash or for a social reward. These are mostly part-time activities, and are unofficial, as they do not explicitly form part of the state accounting systems, and are not registered by its economic measurement techniques. Beyond this, characteristics are less generally applicable (Henry, 1982).

According to CIA World Factbook<sup>3</sup>, the informality in Albania may be as large as 50% of official GDP during last five years. Regardless of the high level of the informality, government representatives and economy analysts argue that Albania is a country that is not affected directly by the crisis. Although the high interest and good will of Albanian citizens to join EU, the informal economy and is one of the main factors which affect the retardment of the integration process. In this regard, it is

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<sup>1</sup> Albanian Institute for International Studies (October 2012), quoted by <http://www.balkanweb.com/shqipëri/2685/shqipëri-rritet-mbeshtetja-per-anetaresimin-ne-be-105588.html>

<sup>2</sup> [http://www.theodora.com/wfbcurent/albania/albania\\_economy.html](http://www.theodora.com/wfbcurent/albania/albania_economy.html). 2012 CIA WORLD FACTBOOK

<sup>3</sup> [http://www.theodora.com/wfbcurent/albania/albania\\_economy.html](http://www.theodora.com/wfbcurent/albania/albania_economy.html). 2012 CIA WORLD FACTBOOK



very important to understand the high level of informality in Albanian economy, social behavior and the nature of acceptance by political class. Despite the high level of informality, inequality and the political and economic situation of EU countries, the will of Albanians to join EU remain high. According to the latest opinion polls<sup>1</sup>, 86.5% of the Albanians would vote in favor of the EU integration, the largest percentage in the EU integration aspiring countries. Political class, majority and opposition both, accuses each other for the retardment of the integration process, to get the highest support of voters, without bringing concrete solution for the informality and changing the situation.

The informal economy is a premise for less social protection, insecurity and vulnerability for the majority of the informal workers. Informal workers, which are serving mainly in small businesses, such as; bars, restaurants, hotels, casual day labourers in construction and agriculture, are lacking social insurances, maternity leave are informally employed, without secure contracts, worker benefits or social protection, sharing lack of legal recognition and protection.

Lack of political stability during transition created favorable conditions for informality. Most of governments in Albania after 1991, have been influenced the informal culture, without rules and control, using the informal actors to support their political elections. The collapse of pyramid schemes in the years of 1996 - 1997, increased the gap between the institutions and legal economy. According to the OECD (2004), the informal sector has been the most dynamic component of the economy in Albania. Informal activity has become a structure of the economy living with politics and becoming problematic for the EU integration. Corruption and low level of law enforcement are becoming part of culture and this is evolving over the time, affecting policy and development of the country.

On the other hand, there is also a claim that the informal sector helped the Albanian economy during the first years of transition by providing households with employment and supplementary income in the absence of other opportunities (Gërzhani, 2003). I claim that informal sector has played an important role not only for the economy but for the fact of building a social behavior. Informal economy had provided jobs and reduced unemployment, however informal jobs are low-paid with unstable income and with high risk of security. However, we accept the fact that informality in economy has played an important role for low income families, helping them to escape from extreme poverty and survive in a situation where governmental institutions does not care much to this category.

Retardment of EU integration process is affected by informality, where many aspects have affected the process, such as: lack of trust in public institutions, considered very often as inefficient and corrupt; constraints in starting and doing business; inadequate strengthening of the legislative and regulatory framework; low probability of being discovered as an illegal worker or fiscal evader, leading to cost-benefit calculations where a job in the informal sector is more attractive than a job in the formal and official sector; a widespread acceptance of informal work that makes its reduction almost impossible.

## 2. Methods

The research methodology involves the collection and the analysis of materials relevant to the study. The basic way deals with: data collecting, data analyses and the analyses of the findings from the field work. To answer the main question, the study implies the method of analyzing theories and empirical work. Theoretical work is based on former studies related to informal economy, citizens apathy, long process of integration and critics towards this perspective, analyzing the social behavior and involvements of politics in the informality.

The empirical task is focused on the field work, using eleven interviews with civil society experts, trade union members and economic actors from business and government institutions.

## 3. Informal economy leading towards social apathy

Civil society and trade unions have been suffering of legitimacy to raise the voice throughout the years of transition. This situation is also for the fact that people do not feel franchised with politics, they are not protected and socially secure by legal institutions and so they do not play a crucial role in the civic life. Seeing political debates, lack of trust of international institutions towards Albanian governments and institutions, political corruption and social disorder, people tend to feel that they are powerless and so they become natural not interested in a system that does not work for them. Workers in the informal economy lack a significant voice in government policy (Meier 2005). Having a high rate of informality in Albanian economy, have affected negatively the membership of trade unions, lacking trust and low level of cooperation. People don't

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<sup>1</sup> Albanian Institute for International Studies (October 2012), quoted by <http://www.balkanweb.com/shqipëri/2685/shqipëri-rritet-mbeshtetja-per-anetaresimin-ne-be-105588.html>

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trust trade unions in protecting their right, but they don't trust politicians which in many cases have been involved with civil society and trade unions and vice-versa.

The informality is transforming the social behaviour and the political system in Albania. One Civil Society experts<sup>1</sup>, accept that citizens' apathy as an obstacle to fight informality and attack the government for corruption or law enforcement. Many attempts are done in this aspect to increase the role of citizens, at both local and national level, but informality in economy has affected the social life and activism is no in the level of democratic societies. There is a crucial argument on this debate that social apathy is inter-related with informal sector, lack of interest and social protection provided by governmental institutions.

I have to claim the fact that numbers in democracy matter, when it comes to popular opinion, that shapes the political system. Unless everyone is interested in maintaining their position in decision making, their political power will be commandeered by those who benefit from doing so. Another fact I claimed above, which is contributing to social apathy is the corruption leading to a high level of distrust of politicians. The legitimacy of politicians and the political system for Albanian citizens is creating barriers for EU integration, opening new chapters of integration process and adding new conditions for the country to open the negotiations. Another interviewed civil society actor<sup>2</sup> claims that informal economy and social behaviour is politically supported. Politicians of different wings are interested to illegally support the informality, since this will be translated directly to citizens apathy, which directly helps corrupted politicians to stay in power.

### **Informality, an important factor for the retardment of EU integration.**

As I claimed above, the interest of Albanian to join the EU is the highest in the region, however this does not meet the criteria of joining the European Community. The European Union is a political organization that brings several benefits, but it required more than the desire to be part of it, requiring certain standards of sustainable economic, political and legal development. On April 29, 2009, the application of Albania for the EU membership was an important reference point for a country that 20 years ago had emerged from a repressive communist regime as one of most isolated in Europe. While on 24 of June, 2014 Albania obtained the EU candidate status. Although the progress made in different aspects, still Albania shows strong critical issues that slow down the EU integration process. Corruption, criminality, informality and low level of law enforcement, leading towards low democratic standards, makes a perfect barriers assembly of integration.

In 1996, EU and Albania were near the conclusion of an Association Agreement, which aimed to deepen the political dialogue and cooperation in a variety of matters, such as justice and home affairs, environment, transport, energy, etc. However, the complex dynamics of the Albanian political life, the disputed parliamentary elections of May 1996 and the deep financial and social crisis at the beginning of 1997, following the collapse of "financial pyramids," reverberated negatively on the international level, thus determining the failure of the negotiations (Mediterranean affairs, 2009).

The increased level of public corruption, where officials are directly involved in illegal norms. In recent years, a rather extensive literature has developed showing that, in a system rooted in bribery and corruption, economic incentives are distorted, as government officials and favored private individuals receive a larger share of public benefits or bear a lower share of the cost of public goods. (IMF 2000), which results in lower private investments, lower government revenues, while increasing inequality and poverty.

Economic experts interviewed, claims that informal economic activities estimates about one-third of total output of GDP. Those interviewed experts of civil society and trade unions, claims the link between politics and informality, affecting directly the integration process of Albania in EU. Although these assumptions serve analytical purposed like consequences over political and economic performance, informality in economic field is more complex, when it comes to integration process. Political system exchanges two broad types of incentives with voters; direct material exchange (gifts, jobs, bribes at the enforcement stage, social policy entitlements), and/or indirect political dealings with public and private business (e. g. contracts, policies, favorable legislation). The first exchange is more likely when a majority of voters is poor or where social policy benefits and patronage are matters of political discretion. Historical conditions, such as high initial income inequality and ethnic heterogeneity as well as institutionalization of the civil ser-vice after democratic mass enfranchisement, encourage this type of exchange (Kitschelt & Wilkinson, 2007). A political power that makes corrupt deals with informal

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<sup>1</sup> L. Shehu, Youth Worker and activists, interviewed on November 2016.

<sup>2</sup> B. Hoxha, Activist of civil society, interviewed on December 2016

producers, could not have legitimacy to move forward with the EU process, where economical and political high standards are required.

### Conclusions

On November 9, The European Commission had 'conditionally' recommended the opening of accession talks for Albania's bid to become member of the European Union. The retardment of process that has been present so far, it is likely to happen in the upcoming process as well, as political leaders and the society in general are not ready to adapt the standards required by European Community. I am skeptic for the fact that informality in many aspects of economic and social live, corruption and law enforcement is not showing improvements as such needed to move forward with the process.

The behaviour of social actors, business and political leaders seems to be in harmony and disfavor of the integration process. Albania is a EU 'Candidate Country' and a NATO member but suffers from widespread endemic corruption and lack of economic opportunities while most of its young people seek to emigrate to richer EU states as the rest of the Balkan countries. If the political machinery will continue to neglect and informally hidden with informal bussines, producing more corruption, lack of law enforcement and social insecurity, the process of EU integration for Albania not only will last for decades, but the will of citizens will not be the same as it is nowadays and political instability will appear time to time depending the political conflicts.

Political society, civil society and all important actors should change the behaviour with informality, as one of the main obstacles to destroy and retard the EU integration.

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## Benefits of Golf Tourism to a Suburban Settlement: The Case of Ilara-Mokin in Ondo State, Nigeria

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### Abstract

Sports and associated facilities form a major tourist attraction and contribute to the development of host communities across the globe. This includes the benefits accruing from golf tourism to host settlements. This research focused on the benefits of Smokin Hills Golf Course which is located in a suburban settlement, Ilara-Mokin, in Ondo State, Nigeria. It investigated the benefits of the existence of the golf course to the community at large and to its residents. It equally obtained the negative sentiments of residents of the community about the existence of the golf course. Clustered and stratified sampling techniques were employed to obtain data from a purposive sample size of 150 residents in a culturally and economically homogenous Ilara-Mokin. A structured questionnaire and an interview guide were utilised to obtain relevant data from selected residents and the golf course officials. Among other findings, it was discovered that social benefits outweighed economic benefits accruing to the community while the economic benefits were dominated by sales of consumables such as foods, drinks and farm produce. Recommendations include further infrastructural development of the town and an improved wage for workers at the golf course as indicated by residents.

**Keywords:** benefits, golf course, sports, suburban settlement, tourism

### 1. INTRODUCTION

The impact of tourism activities on local communities is far reaching with the possibilities for growth in physical development and the social and economic life of local residents. This appears in form of development of local infrastructure, opening of host communities to the outside world, social integration evolving from interactions (between visitors and host individuals) and the boost to local businesses and job creation. This is not to mention the addition to the Gross Domestic Product (GDP) of a nation's economy.

Golf tourism falls under the umbrella of sport tourism, one of the fastest growing areas in the tourism industry. Golf tourism has been simply defined as travel away from home to participate in or observe the sport of golf, or to visit attractions associated with golf (Hudson, 2009). Within the last few decades, sport and tourism professionals have begun to recognize the significant potential of sport tourism, and they are now aggressively pursuing this attractive market niche (Hudson, 2003). Golf in particular, not only attracts holiday makers globally but also contributes over \$20 billion dollars annually to the economy (Hudson, 2009). Some disadvantages have been associated with golf tourism particularly those relating to ecological or environmental concerns and issues of increasing property values to the disfavour of local residents (Barcelona Field Studies Centre, n. d. ). But the benefits would always attract attention. Whether the benefits far outweigh the ills of golf tourism development or vice versa will continue to be a worthwhile debate.

Nigeria boasts of several golf courses. Some of these are found in the south-western part of the country. Of recent, the development of a Golf resort in Ondo state, Nigeria had premiered through the initiation of a government project at Alade-Ilanre town. Transition from one government administration to another had truncated the project. However, the commissioning of Smokin Hills Golf Resort (a private sector project) in Ilara-Mokin town of Ondo state in 2012 brought another dimension of Tourism to the State. Before now, the state could boast of renowned tourist attractions such as Idanre Hills, a mountain resort on UNESCO tentative list of notable tourist sites. The fact that this new golf course is presently ranked the best in Nigeria by certain organisations is a justification for investigation into its development and the benefits it has offered to its host community in social and economic terms.

Residents' assessments of benefits accruing from the golf resort were obtained while the management of the resort also provided relevant information on its contributions to the host community and the existing facilities and competitions organised on routine basis.

## 2. ABRIDGED LITERATURE REVIEW

Though the origin of the game of golf has been known to be a subject of debates, the Scots were recognised to have created the concept which is that the game starts with the ball situated at a point above ground and later disappears to a location below the ground (Campbell, 1994 in Hudson, 2009). The first reference to golf was when the Scots declared in 1457 that it was interfering with the defence of the realm practice of archery (Brasch, 1972). Despite the declaration, it was still a popular game among the Scots and English; starting with the royalty and later spreading to the common people. This resulted in golf courses springing up all over the United Kingdom. As the British Empire spread in the 19<sup>th</sup> century, golf courses spread beyond Britain (Readman, 2003 in Hudson 2009).

Outside Britain, the first golf courses were built in India followed golf courses in Asia and Australia in the latter part of the 19<sup>th</sup> Century. By 1885, golf was well spread across the globe but not in the USA until the middle of the 20<sup>th</sup> century where it was refined and defined. The contribution of John Reid, a Scottish expatriate businessman in the USA was instrumental to this development of golf in the USA. The expansion of the game worldwide coupled with increase in international travel after the Second World War led to the development of golf tourism.

International Association of Golf Tour Operators (IAGTO) in its Golf Tourism Report 2013 document informed that golf tour operator sales grew by 9.3% in the year 2012 (IAGTO, 2013). This was the first report of its kind by the Association. In 2012, the IAGTO operators handled travel arrangements of 1.6 million people which yielded an estimated amount of over US\$2 billion. There is need to be reminded of the fact that not all golf courses or operators belong to the IAGTO; implying that the whole of golf tourism travels and income are not even accounted for by the above statistics. With reference to the experience of golf tourism in Africa (particularly in South and East Africa), the report informed that the growth of tourism in South Africa was not in line with its potential. Coordinated international promotion was suggested as a tool to draw golf tourists to this part of the African continent. This no less applies to golf tourism in other parts of Africa.

In Nigeria, only one golf tourism operator is listed with IAGTO. Recognition of golf courses and easy attraction of golf tourists can be enhanced by such membership, thereby increasing revenue to operators of such golf courses. A more elaborated survey conducted by Sports Marketing Survey Incorporated revealed that within the 2011/2012 survey year, golf tourism contributed 15.1 billion euros to the economy of Europe. This income was a summation of proceeds from direct industries (facility operation, capital investment, golf equipment and supplies, and events/associations) and associated industries (real estate and tourism). 89% of this income was direct industries earnings (Sports Marketing Surveys Inc., 2013).

While considering the case of South Africa, golf course development and golf estates offer new benefits to developing countries by increasing local property values and attracting higher spending social groups. This could contribute a great deal to the economic situation of semi-rural settlements or growing cities. However, loss of biodiversity, heavy water usage and pollution could be major problems. This necessitates the need to consider availability of resources and mitigation plans to support the continual development of golf courses in a country that could boast of more than 500 golf courses (The LiveEco Team, 2011). Keeping the "greens" well and green consumes much volume of water and requires the use of pesticides and fertilizers all both of which greatly impact the ecosystem; hence the need for a balanced assessment of benefits and cost of golf tourism development.

Referring to UNESCO estimates, Barnett (2011) mentioned tourists visiting Granada in Spain use seven times more water than local people while a golf course in Thailand uses as much water as 60,000 rural dwellers. He further affirmed that local and foreign business people, politicians and military leaders form alliance to support lucrative business leading to dispossession and environmental hazards. In South-east and East Asia where golf is big business it is reported that governments often ignore land rights and environmental concerns. Poverty is further aggravated as resorts, hotels and golf courses often divert water, energy and access away from poor communities thereby making life difficult for women and young girls who need them for household use.

Despite the above concerns, certain benefits of golf tourism have been found to include direct and indirect employment and income benefits, tax benefits to local, regional and national governments, attraction of new firms to region, and social benefits through networking. Others include increasing local property value, protection of valuable fragments of coastal habitat from encroaching urbanization and the opportunity for waste recycling (Barcelona Field Study Centre, op. cit).

Considering planning implications, the need to plan for golf tourism regions with the aim of making social and economic objectives compatible is highly essential. This will eventually contribute to the sustainability of the tourism sector, the product, the territory, the landscape and the local community (Priestly, 2006). Issues of housing and hotel development on one hand and golf development on the other hand, availability of legislative framework for golf development in the context of urban development and the integration of golf courses in the landscape are vital in this respect.

In Nigeria, several golf courses exist across the landscape. Each of the different regions of the country can boast of a few golf courses, a far cry from what a country like South Africa has to offer. According to worldgolf.com (2016), golf courses in the Southwest Nigeria have been found to include:

1. Ikoyi Golf Club (Ikoyi)
2. Ikeja Golf Club (Ikeja)
3. Ibadan Golf Club (Ibadan North)
4. Ekiti Golf Club (Ado-Ekiti)
5. Ilorin Golf Club (Ilorin)
6. Abeokuta Golf Resort (Abeokuta North)
7. Blue Elephant Cement Golf Club (Ifo)
8. Green Elephant Cement (Sagamu)
9. Dolphin Golf Club (Ojo)
10. International Institute for Tropical Agriculture Golf Club (Ibadan)
11. Lakowe Lake Golf and Country Estate (Lekki)
12. MiCom Golf and Country Club (Ada)
13. Rosani Golf and Recreation Centre (Erinmope)
14. Global Golf Limited (Ikeja)
15. Smokin Hills Golf Resort (Ilara-Mokin)
16. Royal Valley Golf Resort (Offa)

This research exposes some of the benefits that have been reported to accrue to Ilara-Mokin community which hosts Smokin Hills Golf Resort in Ondo State, Nigeria. Latest ranking of October 2015 by *Top100golfcourse.com* placed Smokin Hills Golf Resort as the Number 1 golf course in Nigeria. *SuperSports* equally awarded this golf resource a certificate as the best golf course in Nigeria as at present. This has spurred the need for the investigation into its contributions towards the welfare of the host community.

### 3. STUDY AREA

#### 3.1 The Study Town - Ilara-Mokin

Ilara-Mokin is a small town located along the Akure-Ibadan expressway in Ifedore Local Government Area of Ondo State, in the south-western part of Nigeria. It is about 9km from Akure city (the capital city of Ondo State). It has a private university named Elizade University and also a golf course, Smokin Hills Golf Resort. Indigenes are mainly Yorubas who are mostly traders and artisans. Ilara-Mokin, which is a quiet town has recently been made popular by the presence of the university and the golf resort both of which came into existence within the last 5 years.

#### 3.2 Smokin Hills Golf Resort

Smokin Hills Golf Resort commenced operation in 2012. It is owned by Chief Michael Adejo, CON. It covers an expanse of 140 hectares and its total workforce is 50. It provides employment for some members of the host community as more than 90% of its workforce are indigenes of Ilara-Mokin. It has 30 temporary and 20 permanent workers. It is an 18-hole golf course with facilities such as a practice range, club house, workers' shed, changing bays and travellers' lodge. Since inception, it has attracted over 500 golfers from within and outside Nigeria. While visitors on sight-seeing pay a fee of N500 each, different club memberships attract varying fees (Table 1). Various tournaments are held on monthly basis and about 33 competitions are held in a year. These include West Africa Golf Tour Series, Mini Golf Tournaments and Golf Tour from L. N. G. Bonny Island among others. The golf resort has favoured the development of Ilara-Mokin by exposing it to the larger world and improving its land value and through the provision of employment to its citizens.

**Table 1:** Membership Categories at Smokin Hills Golf Resort

Category	Entry Fee	Annual Subscription
<i>Groups</i>	<i>in Naira (₦)</i>	<i>in Naira (₦)</i>
1. Platinum (max. of 10)	800, 000	400, 000
2. Diamond (max. of 6)	500, 000	250, 000
3. Gold ( 2 members)	250, 000	100, 000
<i>Individual</i>		
1. Silver	150, 000	50, 000
2. Bronze/Non-resident (outside 50km radius)	100, 000	50, 000
Social (uses only clubhouse and practice range)	50, 000	50, 000

Source: Smokin Hills Golf Resort, 2015

### 3. METHODOLOGY

Both cluster and stratified sampling techniques were employed to obtain data from a predetermined sample size of 150 respondents. The economic and cultural homogeneity of the town encouraged the selection of only 150 respondents and a cluster of residents at the city centre. The stratification was based on the use of the streets at the city centre; comprising the three (3) major streets (Wuraola Adejo, Mokin and Hospital Roads) in the town and five (5) other streets adjoining them. An adult respondent (age of 18 and above) was selected from consecutive buildings on same side of the selected streets (and both sides on the 3 major streets) starting from road intersections. Eight (8) to ten (10) respondents were targeted on the selected streets by 17 pairs of field assistants, making a total of 34 field assistants (Table 2). The respondents who were graduate year students of the Federal University of Technology, Akure were paired to ease interaction with the residents, especially where language barrier could occur. The 150 questionnaire copies were administered and retrieved immediately from respondents (see Table above). Some pairs of field assistants administered questionnaire on same street but at different sections.

**Table 2:** Distribution of questionnaire copies to respondents

Number of Questionnaire Copies	Pairs of	
	Field assistants	Total
10	3	30
9	8	72
8	6	48
Total	17	150

Source: Author's Compilation, 2015

### 4. FINDINGS AND DISCUSSION

#### 5.1 Socio-economic Characteristics

The respondents encountered in gathering the data were more of male than female respondents (Table 3). Furthermore, the highest percentage of respondents are young adults in the age range of 18-30 (48%) followed by those above the age of 50 years (23%). The dominant group found here are naturally the most active adults in any community, going by their ages. This comes as a surprise as it is expected that such population distribution should be in the tertiary institutions or in city-based jobs of proximal higher order settlements like Akure city. Two likely scenarios (that are linked) are responsible for this. First, the bulk of those in this group are more disposed to being available to provide response to social research; and second, some of these respondents are at home on holiday. The percentage of those who are students (22%) among the respondents coupled with the artisans (20%) could almost cater for the percentage of those in this young adult age group as presented on same Table 2. However, the total percentage of respondents who are not students is still reliable to obtain feedback on the social and economic benefits of Smokin Hills Golf Resort. In all, it was discovered that only 44% of



the total respondents have not visited the Golf Resort and this was due to lack of interest and partly due to cost of access to the resort which is ₺500 (about 2.5 dollars at the time of data gathering).

**Table 3:** Socio-economic characteristics of respondents

Sex	Frequency	Percentage
Male	85	57
Female	65	43
<i>Total</i>	<i>150</i>	<i>100</i>
Age	Frequency	Percentage
18-30	72	48
31-40	27	18
41-50	17	11
Above 50	34	23
<i>Total</i>	<i>150</i>	<i>100</i>
Education	Frequency	Percentage
None	19	13
Primary	21	14
Secondary	66	44
College of Education	14	9
Technical Education	4	3
University/Polytechnic	24	16
Others	2	1
<i>Total</i>	<i>150</i>	<i>100</i>
Occupation	Frequency	Percentage
Civil service	12	8
Trading	46	31
Farming	24	16
Artisan	30	20
Schooling	33	22
Others	5	3
<i>Total</i>	<i>150</i>	<i>100</i>

Source: Author's Fieldwork, 2015

## 5.2 Contribution to Life of Residents

The contribution of the Resort to the life of residents in the community was assessed on the basis of contribution to the life of the respondents and also to that of their relatives as observed by the respondents. The sum of responses in favour of personal benefits (since an individual might have benefited in more than one form) directly or indirectly from the establishment of the Resort is 61% of total responses as presented on Table 4. Those responses in support of relatives' benefits amount to 58% of total responses. These two percentages are close and the responses were dominated by economically related helps (rather than social) such as employment, improved business and financial assistance. It is not a surprise that there was low response on the financial assistance to relatives when compared with personal financial assistance as most individuals would definitely keep such as secrets from their relatives. Socializing was more of a personal thing, hence it was difficult for respondents to inform about how that has benefited their relatives. But for personal benefits, it still ranks higher than those economic benefits which are directly linked to the Resort such as employment and financial assistance. In both cases, the percentages of responses for "none" benefits, though less than half, are still considerable in value.

**Table 4:** Contribution to Life of Residents

Contribution Type	Personal Life		Family Member	
	Frequency	Percentage of Total Response	Frequency	Percentage of Total Response
None	63	39	66	42
Improved business	48	29	23	15
Socializing	27	17	-	-
Employment	14	9	61	39
Financial Assistance	8	5	1	1
Others	2	1	4	3
Total	162	100	155	100

Source: Author's Fieldwork, 2015

### 5.3 Observed Economic Benefits to Community

The economic benefits to the community as observed by respondents are presented on Table 5. The dominant improvement in the economic life of the community manifested in the sales of consumables such as foods, drinks and farm produce. 63% of the responses favoured this indication. The next major benefit was in the sale of art, craft and textile. The data obtained and earlier presented on the occupation of the residents/respondents (Table 3) confirm this outcome, since the actively working ones (not considering the students) are mainly traders, farmers and artisans. The items involved are also the major needs of tourists and visitors and they usually complement the provision of tourist attractions in any settlement. Tourists must feed and at times, they want to have a feel of the local cuisine. This is in addition to special interest in the items that portray the culture of the tourist destination as depicted in the local art, craft and textile. They take away such as souvenirs from the tourist attraction environment. Small hotels are equally upgraded due to increase in patronage while new ones begin to spring up.

Another important addition to the town is the increase in land and rental value. About 64% of the respondents indicated that land and rental value had increased since the Golf Resort started operation. However, this could be both a blessing and a curse in analytical terms. More money is being made by some persons but at the expense of losing cultural ties to land and also forcing out the poor who could not keep up with affordability of such increased rent and cost of land.

**Table 5:** Observed economic benefits to community

Benefits	Frequency	Percentage of Total Response
Sales of Food and Drink	84	43
Sales of Farm Produce	40	20
Sales of Art, Craft & Textile	28	14
Building of New Hotel	22	11
Others	23	12
Total	197	100

Source: Author's Fieldwork, 2015

### 5.4 Observed Social Benefits to the Community

The intensity of responses to social benefits was higher than that of economic benefits as could be seen in the total number of responses (see Tables 5 and 6). This gives an indication of a greater consciousness and intensity of social benefits than the economic benefits in Ilara-Mokin. On the social benefits, the fact that the town has become more popular than it was before the advent of the golf course attracted highest response; followed by increase in number of visitors. These two are not mutually exclusive but influence each other. The more popular a settlement is (for a particular purpose), the higher its likelihood to attract visitors (for same purpose), especially if the factor in question is a positive factor. The case of entertainment generated by the existence of the resort and the improvement in the beauty of the town attracted virtually same response. The roads in the town particularly towards the Resort have been improved upon and construction work

was still going on at the time of data gathering. This has truly added to the beauty of the town while some form of entertainment also needed to be provided for visitors.

**Table 6:** Observed social benefits to community

Social benefits to community	Frequency	Percentage of Total Response
Popularity	84	36
More visitors	63	27
Entertainment	41	17
Greater Town Beauty	37	16
Sight-seeing to Golf Resort	10	4
Total	235	100

Source: Author's Fieldwork, 2015

### 5.5 Combined Benefits of Golf Resort to the Community

The very high total response here does not come as a surprise as this was expected to combine and compare the benefits to the community in both economic and social terms (Table 7). The data also confirms the aforementioned findings on greater social benefits than economic benefits. Responses in favour of social benefits (more visitors and town popularity) topped Table 7. The response on improved infrastructure which falls below the economic benefits (employment and improved business patronage) could as well have both economic and social benefits. The "others" benefits (attracting just 4%) were small indications of such things as improved health and donations to the community. The very few that have been opportuned to visit the Resort as indicated by "sight-seeing to the Golf Resort" (on Table 6) are of the opinion that the such exercise has contributed to their health. As could be observed at this point, attraction of more visitors ranks higher than town popularity (when compared with the presentation on Table 6). It was difficult insinuating why respondents' perception changed at this point in time. But as equally noted earlier, these two factors reinforce or complement each other. Also, the presence of a private university in this town could have equally contributed to at least one of these high responses. For example, more persons outside Ilara-Mokin town are aware of the existence of the private university in town than they are aware of the Golf Resort. Seekers of higher education are more than players of golf.

**Table 7:** Combined benefits of resort to the community

Contribution to Community	Frequency	Percentage of Total Response
More Visitors	91	33
Town Popularity	60	22
Employment	44	16
Improved Business Patronage	38	14
Improved Infrastructure	29	11
Others	13	4
Total	275	100

Source: Author's Fieldwork, 2015

### 5.6 Areas Needing Improvement by the Golf Resort

Respondents freely commented on what they would want improvements on. Due to the economic status of most residents, they still felt that it was too expensive to pay just 2. 5dollars to sight-see on the Golf Course. Most of them were of the opinion that the Resort was meant for the elites and the rich. They also felt that it was not directly contributing to the development of the town and so would prefer better involvement in the infrastructural development of the town. The need to make further efforts towards town beautification was particularly mentioned. These two observations corroborate earlier presentations on this subject. Some equally observed that the security personnel were too strict in the manner of attending to visitors while the need to increase the wages of workers was equally mentioned. The residents would appreciate improvement by the management of the Resort in these areas mentioned.

In summary, it was observed that the residents of Ilara-Mokin observed greater social benefits at community level than the general economic benefits that have accrued to the community. Whereas, at personal level, the economic benefits were

valued higher than social benefits. In this sense, the type of social benefits to the community is different from social benefits that are connected to the individuals; whereas the communal economic benefits were viewed as same type and are aggregates of what individuals have gained from the Golf Resort. This is responsible for greater appreciation of the social benefits at community than on personal level. The social excitement of seeing and interacting with a few visitors at personal level was not as valuable as the social benefit of town popularity and attraction of more visitors to the community.

## 5. RECOMMENDATIONS AND CONCLUSION

Based on the findings from this research, relevant recommendations are needed to promote the contribution of resorts to the development of host communities, particularly as it relates to golf resorts.

Golf resorts provide certain benefits to host communities. Such benefits include employment of indigenes as workers at the particular resort. However, the need for such tourist attractions to pay good wages to such employees is paramount in the developmental process of host communities. With the low infrastructure development of some communities, as reflected in Ilara-Mokin, provision of certain facilities by the resort to meet community needs will be appreciated by residents. This gets tourist attractions involved in the social responsibility of community development in host communities.

Furthermore, as observed from the findings that communal social benefits outweighed personal social benefits, governments need to partner with operators of tourist attractions to provide opportunities for improving the social life of host communities. Organisation of competitions and provision of sport facilities could be useful in this sense. This provision will also complement the major tourist attraction in the community. Indigenes have the responsibility to improve the local souvenir industry through improved production and packaging. This will equally improve the economic situation in the host communities. Special markets and shopping outfits for souvenirs which are customized with the name of the host community will add to community branding.

This paper has revealed the kind of benefits gained by a local community from the existence of a golf resort. It has revealed that the structure of the benefits gained by individuals in the community could vary from that of the general benefits to the community. It exposes the need for the souvenir industry to improve in the quantity and quality of its production towards adding to the economic benefits that can accrue to a community from the existence of tourist attractions. It also encourages a sustainable provision of local cuisine. Wage structure of indigenous workers at tourist attractions will need to improve in addition to community development efforts. Issues of town beautification and improved entertainment through the provision of good road access and effort to meet visitors' fun demand respectively have equally added to the benefits gained by communities from tourist attractions.

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## Corporate Governance and the Sustainable Development

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### Abstract

Nowadays the issues of sustainable development are everywhere around us. Everybody talks about sustainability in all aspects of our life. It is becoming also part of the agenda of the business world not only for the small and medium size companies, but also for the big corporations. Gradually environmental and social issues begin to pose new topics in the agenda for board meetings of the big corporations. The corporate governance begins to pay more and more attention not only to the return rate of the investments but also to the footprint that the company has on the society. In this framework we decided to examine the relationship and interconnectivity between corporate governance and sustainable development. The research that backed this paper encompasses literature survey and analysis, on one hand and empirical research on another. This paper present some of the results from our survey showing the changes that occur in the corporate governance and the position of the managing boards of directors due to the sustainable development policy applied worldwide.

**Keywords:** sustainable development, corporate governance, corporate social responsibility, environment, governance

### Introduction

In our contemporary business world, we observe quite a big diversity of business relationships and activities. This is mostly due to the intensive globalization processes worldwide. Globalization might be determined as a process of intercontinental economic, social and political integration. This integration allows companies to sell their products anywhere in the world and to have easier access to human and material resources (Wells, Shuey, Kiely, 2001). Globalization according to J. Stiglitz includes many things such as international exchange of knowledge and ideas, exchange of cultures, global environmental activities, economic globalization. The economic globalization in particular is the one where greater integration among the countries worldwide has been achieved through increased exchange of goods and services, capitals and even human resources (Stiglitz, 2002).

The globalization processes are caused mainly by the rapid development of technology and the drive to achieve rapid economic growth. These results in constant decrease of natural resources used as raw materials in manufacturing processes; climate change, leading to various natural disasters; disappearing biodiversity; decreasing amounts of drinking water. Within this context the main problem is no longer how to achieve economic growth and high living standards of the people but how to do it without ruining the planet? That's where comes the concept of the sustainable development and all the activities taken internationally.

In this context we decided to see how the modern trends related to the sustainable development are incorporated on company level. This is mainly responsibility of the companies' managers and is done by the companies' social policy. On the next pages briefly are presented some of the results from a scientific project called "Corporate governance and global supply chains within the sustainable development context".

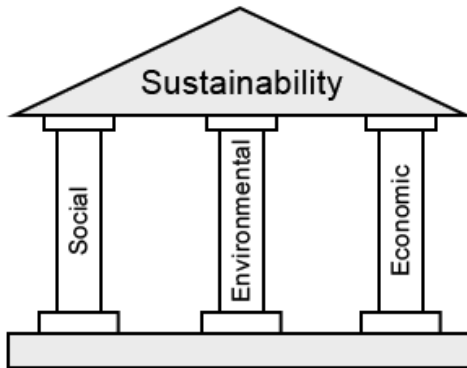
Sustainable development and its main characteristics

The sustainable development nowadays is extremely relevant and discussed issue. There is a variety of definitions for sustainable development and its characteristics.

The most widely used definition is the one given in the report entitled "Our Future" developed in 1987 by the World Commission on Environment and Development, led by Gro Brundtland, better known as the Brundtland Report. According

to this report, sustainable development is "the one that satisfies the needs of the present without jeopardizing the ability of future generations to meet their needs.

The concept of sustainable development is built on the three most important aspects in the life of every society - economic development, social equity and environmental protection<sup>1</sup>. In the context of sustainable development, these fundamental aspects are called "pillars". Graphically they can be represented as follows<sup>2</sup>:



Source: [www.thwink.org](http://www.thwink.org)

This definition as well as its main principles allows making the conclusion that the main characteristic of the sustainable development is to achieve development of the society and its economic life in harmony with nature.

### **Sustainable development and corporate governance**

The definition and characteristics of the sustainable development, briefly presented in the previous section, call for building a society where there is a balance between the economic, environmental and social goals. In order to achieve this goal, all three dimensions of sustainable development must be fulfilled. The integration of these three dimensions should be a condition for achieving a long-term corporate sustainability. However, this definition creates some difficulties for its practical application on company level. The description is quite common and provides very little guidance on the way companies should identify the current and the future needs as well as the technology and resources by which to meet these needs and to understand how to effectively balance their organizational responsibilities<sup>3</sup>.

The economic pillar of sustainable development is the most comprehensive and best applied by companies. They relate it mainly to production or production costs. What sometimes is not so clear are the other two pillars - environmental and social. At the level of a manufacturing enterprise the environmental sustainability refers to the use of energy and other resources and the footprint, which the company leaves as a result of its activities. Sustainable development in the field of environment is often related to waste reduction, pollution reduction, energy efficiency, reduce the air emissions, reduce the consumption of hazardous/ toxic materials, reduce the frequency of environmental accidents etc. Gimenez, Sierra, Rodon, 2012). Sustainable development in its social element shifts the focus to internal communities (for example the employees) and the society (Pullman et al. , 2009). Social sustainability means that companies (and manufacturing plants) provide equal opportunities, foster diversity, encourage social contacts within and outside the company and guarantee the quality of life of its employees.

Sustainability can also be defined as the strategy of the sustainable development process. Corporate Sustainability is seen as the ability of the company, by its management practices and market presence, to positively affect the ecosystem (improvement of natural resources, reducing pollution levels, etc. ), the community (support of the local population, creating jobs, etc. ) and the economic development (distribution of income through dividend payment of fair wages, etc. ). There can

<sup>1</sup> <http://www.worldbank.org/depweb/english/sd.html>

<sup>2</sup> <http://www.thwink.org/sustain/glossary/ThreePillarsOfSustainability.htm>

<sup>3</sup> OECD, Principles of Corporate Governance, OECD, Paris, 2015

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be sustainability of the company also when it creates value for its shareholders by maximizing the positive and minimizing the negative effects on environmental, social or economic issues (Krechovská M. , Prochazkova P. , 2014).

### **Corporate governance and Corporate social responsibility**

Corporate governance is usually defined as "procedures and processes which provide the grounds for management and control of an organization"<sup>1</sup>. Corporate governance includes the activities of the Management Board (board of directors) and its relationship with shareholders, managers, but also with external parties such as auditors, regulatory authorities and other corporate participants. The structure of corporate governance determines the distribution of rights and responsibilities between the different parties in the company and sets the decision-making rules and procedures. In general the management board is the body that decides how the company will develop and how this will happen (Krechovská M. , Prochazkova P. , 2014).

There is an ongoing debate about the meaning and application of sustainable development in a business context. It is determined in different ways. One of the definitions is that "it is a creation of sustainable organizations through integrated economic, social and ecological systems" (Bansal, 2010). In a broad sense, the sustainability of a company means examining its development over time, taking into account its commitment to a healthy environment, economic and social systems so that the company can be more stable and resistant both to internal and external shocks (Ahi P. , Searcy C. , 2013). Sustainability issues receive increasing attention among businesses. The literature survey provides evidence that the paradigm of corporate governance has shifted progressively toward contemporary social issues (e. g. climate change, labor rights and corruption) (Walls, Berrone and Phan, 2012). There are various business initiatives promoting sustainability in different forms, but they most often are closely related to "corporate social responsibility". Most authors explore the corporate social responsibility (CSR) as a unit for measuring these functions (Walls, Berrone and Phan, 2012). Unfortunately, both the understandings and statements of international institutions (EC Green Paper on CSR), and some observations by academia representatives do not go beyond the essence of CSR and its relationship with variables of corporate governance such as investors, stakeholders, remuneration, committees (upon Boeva, 2015). The fundamental concept of A. Carrol (CSR pyramid) does not go beyond the 4 norms that the companies have to comply with: economic, legal, ethical and philanthropic (Carrol, 1991). Current studies reveal that CRS initiatives go beyond the formal reach of organizations (Mason and Simmons, 2014). The socially responsible suppliers and logistics are also considered. CSR is becoming an important topic on the agenda of corporate boards, on the one hand and indicates the relationship between corporate governance, corporate social responsibility and sustainable development (Clarke, 2007). Good corporate governance encompasses measures that address environmental and social issues (Masson and Machony, 2007). This view echoes the statement that global CSR is all about thinking and acting in socioeconomic categories (Eder and Oettingen, 2008). International business school defines CSR as the responsibility of corporations to meet the objectives of society (Dunning, 2008). In most cases, sustainable development and corporate social responsibility (CSR) are used as synonyms in the corporate context (Van Marrewijk, 2003). In fact, most of the companies develop and implement corporate social responsibility (CSR) as a way to meet the modern requirements for sustainability and simultaneously to improve their social reputation.

Corporate reputation is defined as "a set of attributes attached to company and defined on the bases of the company's past actions". The reputation of a company "provides information to the society about how its products, jobs, strategies and prospects are compared with those of its competitors" (Hoejmoose St. , Roehrich J. , Grosvold J. , 2014). Moreover, company's reputation can be associated to its financial performance, the behavior of its stakeholders and its customers' trust.

### **Corporate governance and environmental behaviour**

One of the main activities related to the companies' responsible and sustainable behavior, which is also embedded in their corporate social responsibility, is the voluntary disclosure (provision) of information both to the stakeholders and to the whole society. Why should the companies voluntarily disclose information concerning their environmental (sustainable) behavior? Some authors believe (Clarkson et al. , 2008) that companies with good environmental behavior would like to disclose this information in order to gain a competitive advantage over companies that have poor performance in terms of environment protection. These companies use different indicators and assess how their behavior towards nature will be

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<sup>1</sup> OECD, Principles of Corporate Governance, OECD, Paris, 1999



accepted by society and based on the results of this evaluation decide whether to announce their activities in the field of environment protection or not<sup>1</sup>.

Socio-political theories present different perspective to the disclosure of information about the companies' environmental performance. According to the stakeholder theory the disclosure of information on activities in the field of environment protection is done because this information is requested by the stakeholders, in most cases, these are the shareholders (Cong Yu, Freedman M. , 2011). The company management meets these requirements by providing what it believes the stakeholders want to see and presents information about the company's environmental footprint. In most cases this is information about the pollution caused by the company.

According to the legitimacy theory, companies are trying to behave in a way that society wants them to behave. By disclosing information about its ecological behavior, the company legitimizes itself to the public thus relieving the public pressure. At the same time the company might act in a way completely different from what it has announced to the society. The main difference between the two theories is that in the the first one the company responds by providing information that the management believes is what the shareholders want. In the legitimacy theory the information is provided by the management with the purpose to make the company look good in the eyes of society, but this information is not necessarily true.

In terms of environmental performance Cong and Friedman (2011) examine several studies proving that some of the corporate governance aspects influence on whether the companies break the environmental laws or not. Four aspects of the corporate governance have been discussed: how big is the management board, what is its composition, external management and internal property (Kassinis, Vafeas, 2002). Although the authors claim that both boards with many members and boards with a much smaller number of members may lead to fewer violations in terms of environmental protection, empirical evidence indicates that companies with smaller number of members in their management board have better environmental performance. They explain this phenomenon with the fact that board with many members is more likely to suppress the free exchange of ideas and in such a situation opportunistic executives can benefit.

Kassinis and Vafeas (2002) examine the composition of the board of directors as a factor for applying an environmental policy in the company. They believe that when the board is comprised of directors with close relations with the company this results in bigger damage for the environment. This means that when the management board members of a company are more familiar and connected to the production processes, they are more inclined to support executives that tolerate negligence of the environmental element in the sustainable development concept.

The authors examine the external management on the bases of in how many companies' boards a manager is a member. They claim the reputation of outside executives is an important factor that affects in how many boards of directors a manager will be invited to participate. In this respect, the external managers prefer to follow and enforce a policy of environmental protection in the operations of the companies where they are board members. Otherwise an illegal behavior might ruin their reputation.

Finally, the authors empirically prove that the larger shares of the company the directors have, the more inclined they are to tolerate violations of the environmental laws. This is true as in this situation their aim would be to get a higher return on their shares and it is worthy to take the risk of being caught violating the environmental laws.

### **Good practice**

Activities related to corporate and product carbon footprint have gained popularity thanks to initiatives such as "Project for disclosure of information on carbon emissions" as well as the availability of new standards and guidelines including Publicly available specifications 2050 and the Protocol on greenhouse gas (PriceWaterhouseCoopers, 2012). The provision of information to investors and other stakeholders, including the general public on the generated emissions has reached the highest levels ever (Bartelmus P. , 1994). Leading companies integrate factors related to climate change in their business strategy (both short- and long-term). This is motivated mainly by: the presence of legal requirements (existing and expected); the desire to reduce costs and to improve the brand; new revenue opportunities; pressure from the stakeholders; customer behavior and risk of reputation loss (Skelton, 2013). This process includes also putting pressure on their suppliers. For example, the program for providing information on the carbon footprint on the supply chain (comprising 49 companies,

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<sup>1</sup> Clarkson, P. M., Li, Y., Richardson, G. D., & Vasvari, F. P. (2008). Revisiting the relation between environmental performance and environmental disclosure: An empirical analysis. *Accounting, Organizations and Society*

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including Wal-Mart, PepsiCola, Unilever and Dell) puts a requirement that forces the suppliers to disclose information about the emissions they generate (Pearce D. W. et al. , 1990). Most of the companies within this Program already reward their sub-contractors that implement processes for reduction of the carbon emissions and reject those that do not apply such activities (Accenture, 2012).

### **Shareholders and the sustainable development – socially responsible investors**

Corporate governance is strengthened through actions for shareholders protect. The global financial crisis of 2007 revealed the behavior of the shareholders, mostly institutional investors, which demonstrates a lack of interest in the corporate governance of the companies they invest in. The reason for this behavior and the explanations of what causes it was clear: a policy of "short-termism" due to ongoing transactions with bonds and short-term "detention" of institutional investors in one company. Criticism was directed against the non-engagement of those investors in the corporate governance of the company. In search for opportunities for "engagement" of these shareholders a number of measures have been taken such as development of the Stewardship Code, European Commission's Action Plan for improving the company law and corporate governance dated 12/12/2012 etc.

The commitment has been combined with the compliance with the responsible investment rules, meaning that the shareholders as institutional investors begin to determine the agenda for sustainable development of the corporate management.

#### **4. 1. Investors and the Principles for Responsible Investment (PRI) Initiative**

In close relation with the initiatives for larger involvement of the investors with the sustainable development issues are the six principles developed under the Principles for Responsible Investment (PRI) Initiative. What are these principles:

We include the environmental, social and governance issues /ESG/ in the financial analysis and in the decision making process.

We will be responsible owners and we will include the environmental, social and governance issues /ESG/ in our policy.

We will require disclosure of information about the environmental, social and governance issues /ESG/ from the companies we invest in.

We will encourage the application of these principles in the investment industry.

We will work together in order to improve the effectiveness from the application of these principles

We will disclose information about the application progress of these principles.

Those principles prove the changes in the approach of institutional investors regarding the companies where they invest. Responsible investment relies on the ability or the prerequisite for achieving long-term and sustainable returns based on the acceptance and compliance of the environment protection policies, establishment of effective social system and governance. Following such policy of responsible investing means that there already is a new approach to analysis, investment decisions and engagement of the shareholders.

It should be mentioned that the shareholders have great contribution to the change in the corporate governance paradigm - from policy targeted to the stakeholders towards policy aimed at achieving sustainable development.

Further it is important to note the searched change in the policy of the shareholders that own significant parts of the large companies and their influence on the work of the corporate managers.

Last but not least, taking in mind the participants in the Principles for Responsible Investment (PRI) Initiative, it can be concluded that these are principles that influence the policy of corporate governance at the transnational companies (TNC) and above all their status of global companies.

Based on the above it could be concluded that these principles might be seen as a prerequisite for a stable financial system. They are also accepted by the banking community which has approved the Equator principles.

#### **4. 2. Black Rock case-study**

This institutional investor is a participant in the Principles for Responsible Investment (PRI) Initiative and voluntarily has agreed to follow these principles in its business. In particular, as of 31. 12. 2013 it invests and manages 6% of its portfolio – 249 US \$ in accordance with those rules. These are investments in economic sectors sensitive to the environmental issues. It is interesting to indicate the change in the company's investment process and in particular:

they include factors related to the environmental and social issues as well as the governance aspects /ESG/ in their investment analysis. They apply also their own rating system to the potential investor;

they evaluate the risks related to the environment, the social aspects and the governance in their investment analysis;

they have a committed behavior as an investor: during meetings, requests for information and control over the activities of the corporate management in compliance with the environmental, social and governance aspects;

they have evaluation and feedback.

These changes in the company's behavior show the commitment of its shareholders to the corporate governance issues including the policy of sustainable development.

Based on the above we can conclude that the changes in corporate governance are associated with one of its basic principles: the shareholders and their readiness to participate in these processes. The owners are the ones who direct and control the activities of the companies towards the sustainable development policy.

### **Conclusion**

It is undisputable fact that the sustainable development has entered our life and caused quite a lot of things to change. Maybe one of the most important changes that should be mentioned is the way the business world begins to work and think. As seen from the above pages the companies, especially the big transnational corporations started taking seriously the sustainable development issues. What has changed is that the management boards and the executives began bearing in mind the sustainability issues in all their activities. The return rates of the companies' share and the dividends are no longer the only thing that matters for the managers. For different reasons they incorporate the sustainable development policy, in all its three dimensions, into the corporate governance. Most of the companies nowadays have developed a corporate social responsibility policy and make quite a lot of efforts to communicate it to the public. The most popular aspect of the sustainable development is the environmental pillar. This is the field where the society is most sensible and that's where the efforts of the companies are directed. They tend to prove that they are environmentally responsible thus preserving their reputation on one hand and striving to get new clients on the other. That's why the boards of directors are more and more interested in the environmental performance of their companies and the executives are forced to manage the companies in more environmental friendly way and to disclose information on these issues.

Furthermore, the sustainable development policy has led to the emergency of the "socially responsible investors". They are investors that follow closely the work of the companies they invest in and are very much interested on their sustainable development performance. Prove for that is the Principles for Responsible Investment (PRI) Initiative with its six main principles to be followed by the investors.

All these changes in the corporate governance world undoubtedly show that the sustainable development is not just something written on paper and a "good wish". They illustrate that the efforts for preserving our planet already give results. It is obvious that the mindset of the business leaders, of the "people with money" has begun to change and getting profits and more money is no longer the only leading principle in the corporate governance world. The sustainable development ideas have entered there as well and have the potential to improve this world for the better.

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## The Fiscal Problems of Small Business in Albania

MSc. Edvin Xhango

### Abstract

The aim of this study is the analysis of the fiscal law framework focused in the small businesses in Albania. The methodology used is a systematic literature review based mainly on Albanian legislation. Based on the Albanian fiscal legislation, classification of businesses it was done based on the sales that are realized. For over twenty - five years, taxes on small business often have changed, but the base of the manner for calculation of the tax is not change, it is relating with the turnover that is realize during one year. The study reached some conclusions. Thus, a) the review of groups that are included on the revision of the VAT and b) the review of profit tax small business.

**Keywords:** small business, small business tax, turnover

JEL Classifications: M, H, K

### Introduction

Before talking about the reasons that push us to discuss the problems of small business it is important to show at the beginning what are the elements that qualify as a small business entity in Albania.

In fact, there are different classifications but what is observe is that the definition is similar to that in Europe, only the size and performance of the entity change. The difference consists first in the number of employees, which is the main criterion used in both definitions and second the criterion of the turnover.

Small and medium enterprises make up the most important economy in Albania. They constitute 94. 5% of the total number of businesses and employed to 77. 4% of individuals who are busy with work (INSTAT, 2009). These statistics show the importance of small business entities for the economy of Albania. Unfortunately, the importance of small businesses was not reflected in the economic legislation.

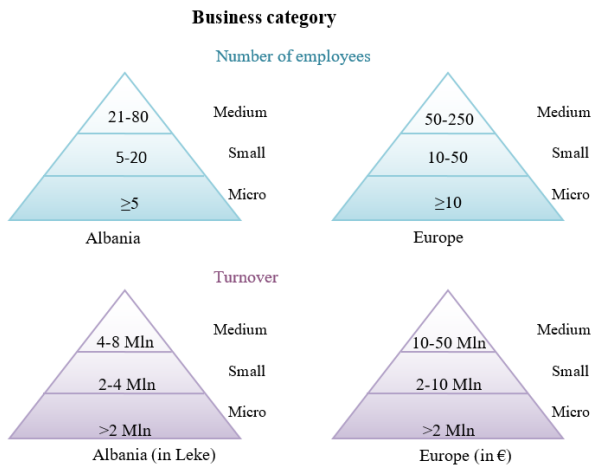
Albanian businesses for tax purposes are classified in fourth categories:

The first category realizes annual turnover businesses (annual revenues) up to 2 million (business ambulant)

The second category of businesses that realize turnover (annual income) load of 2 to 5 million (excluding VAT small business)

The third category of businesses that realize turnover (annual income) from 5 to 8 million (VAT small business)

The fourth category are businesses that realize an annual turnover over 8 million (big business)



Source: INSTAT (2009)

The main reason that small business is select to study issues related to fiscal legislation are the fact that:

Small business contributes to increasing employment.

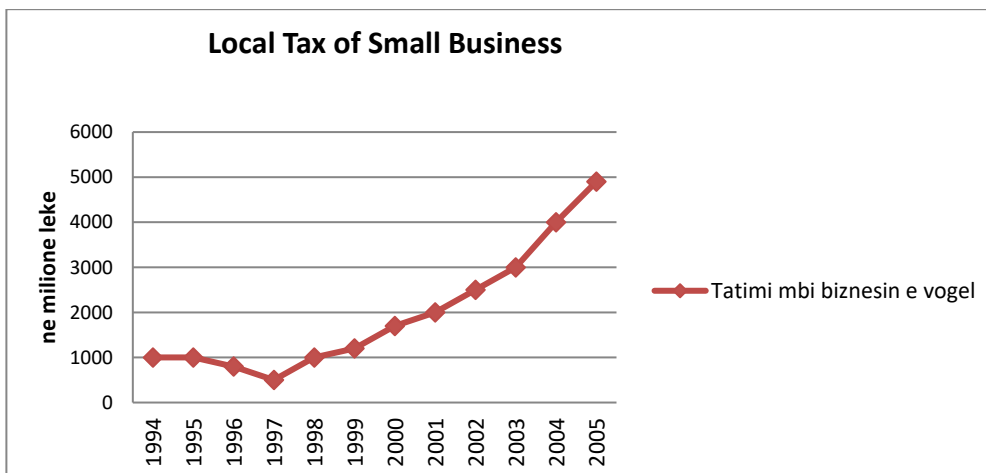
Small business mainly uses national resources.

Small business is the main contributor of the social insurance scheme and health care system

Small business is the main contributor to the budgets of local budget

Below are some data that compare budget revenues by type of business

**Figure 2**



Source: General Directory of Taxes (2008)

The performance of this tax is more than satisfactory (if we refer to the chart), it has recorded an average annual growth of more than 24 percent since 1994. As noted, the first years of application of this tax have been difficult, not only from the fact that the volume of the work of small businesses was modest, but also for the culture of society paying taxes low. The



years 1996 - 1997 marked regression in the implementation of this tax as revenue fell 14 and 49 percent respectively during these years. It was because of unsuccessful businesses and due to non-functioning state. In 1998 the tax revenue recovered, marking an increase of over 136 %. During the period 1999 - 2004, the average annual increase of this tax has been over 28.5 percent. While local tax on small business for 2008 reaching 1.8 billion

**Table 1**

**The income generated over the years by three groups of subjects (in mil All)**

No.	Type	2003	2004	04/05	2005	05/04	2006	06/05	2007	07/06	2008	08/07
1	SB	8. 322	9. 835	18%	11. 04	12. 2%	12. 147	10%	12. 602	3. 70%	15. 303	21. 40%
2	MB	1.78	2. 071	16. 3%	2. 084	-0	2. 275	9. 10%	2. 344	3%	3. 118	33%
3	BB	142	252	77. 4%	242	-0	217	-	233	7. 30%	394	69%
4	Others	59	206	349%	318	54%	394	23%	456	15. 7%	457	0%

Source: Newsletter of Directorate General of Tax, 2008

During 2008, we have an increase of 21.4 % for Small Business, 33 % for Big Business and 69% for VIP business. We can clearly see a significant increase in small business income.

**Literature review**

In the high-income economies, MSMEs are not only denser in the business structure, but also employ a higher percentage of the workforce. In half of the high-income economies covered, formal MSMEs employed at least 45 percent of the workforce, compared to only 27 percent in low-income economies (Kushnir, Mirmulstein and Ramalho, 2007).

Competition from the informal sector and corruption among government officials also pose significant challenges for firms. Objective measures of the size of the informal sector, barriers to entry into and exit from the formal market, and the existence of informal payments shed light on the importance of these obstacles to the existence of MSMEs (Kushnir et al, 2007).

Nevertheless, small business is disproportionately vulnerable to tight regulation, high taxation, bureaucratic burdens, and even corruption (e. g. Aidis, 2003), (Bartlet et al. , 2005), (Borozan et al. , 2005)). It is thus believed to be prone to leaking into the shadow economy. On the other hand, the increased internationalization of the economy and increasing competitive market pressures have promoted flexibility and innovativeness, but – along with the growth in small business – have deepened income inequalities. In such harsher competitive global circumstances, people have been forced to seek alternative sources of income. This has further encouraged and increased small business activities, but at the same time many of the new businesses have been started up in the shadow economy. High taxes and high bureaucratic transaction costs have increased this shift into the shadow economy.

European Commission (2004) and OECD (2002) underline a direct causality between small businesses, as proxied by the number of self-employed persons, and the shadow economy. It is assumed that small businesses, being flexible and easier to conceal from the authorities, have more scope to work undetected in the shadow economy. Furthermore, higher taxes and other regulations increase the incentives to hide

Taxes and social security contributions add to the cost of labour in the official economy and hence are key factors driving the growth of the shadow economy (Shende, 2002). The bigger the difference between the total cost of labour in the official economy and the after-tax earnings from work, the greater the incentive for employers and employees to avoid this difference and participate in the shadow economy. The difference can be very large; in Germany and Austria, for example, the tax and social security payments by firms and their workers amount to the wages that workers effectively earn. Since the difference depends broadly on the social security system and the tax regime, these are key determinants of the shadow economy. Several studies have found strong evidence that the tax regime influences the shadow economy.

**How has evolved tax legislation on small businesses and the problems that are encountered**

In 1993 the law "On taxes on small businesses" was approved which divided into two groups all the businesses in Albania; in subjects with a turnover of up to two million and, in entities with a turnover of up to five million. For small businesses with a turnover of up to two million the way of calculating tax liabilities has not been changed. They all the time have had a fixed fee regardless of the realized turnover, type of activity or location.

Small business entities with a turnover of over two million ALL have been subject to constant legal changes regarding fiscal obligations. According to this law, small businesses with annual turnover of 2- 5 million ALL, had a taxation depending on the amount of revenues and performing subject activity.

With the changes made in the law of 1998 the tax rate was determined on 4% of the sale turnover. In the case of fixed tax rate the location and type of activity are not taken into account. With the changes of 1998, the tax was calculated on the basis of the sales turnover, and depended not on other expenses or even on the markup which is different for different businesses. For example the same markup used in a cafe or restaurant is not the same as the markup in a market that sells food. This fact was taken into consideration in the law of 1993, where the tax rate was based on the type of activity. Nevertheless, both cases have not taken into account the location, a fact that disregards specific areas with extreme poverty.

In 2002, taxes for small businesses is only subordinated to the city and the industry in which the entity operates, being only a fixed amount similar to the manner of determining the obligations of businesses up to two million.

By 2006, the way of small business tax has not undergone significant changes. The changes made in fiscal 2006 scheme envisage a mix of the previous system, fixed fee that depends on the location and type of activity adding the tax on sales realized by the entity. In this way small businesses become subject to two separate taxes for the same thing.

This means that the tax burden for the service business was:

$$TSB + TS \text{ (tax of sale)} = 35000 + 0.15 * 2.000.000 = 65.000 \text{ ALL or } 3\% \text{ of the proceeds of the unit}$$

If we analyze the trade sector retail:

$$TBV + TS \text{ (tax of sale)} = 60.000 + 0.015 * 8.000.000 = 180.000 \text{ or } 2.25\%$$

This means that the bigger the turnover the smaller the tax level as relative value. In this case, we are dealing with a favour (in relative value) to the business with greater turnover, (compared with the scheme that defined the previous law in which all businesses with a turnover of 2-8 million had a tax of 4% over the sales turnover.

### **Fiscal reform nowadays**

After 2009, it has become a comprehensive reform on fiscal obligations, thus:

The concept of the personal income tax was introduced, which is identical to the concept of income tax in the case of the big business - the calculated profit and the way of payment of the tax profit. This because: *first* the profit is calculated as the difference between the revenues with known expenses, which are defined as for the big business, *and second* (the paid amount of the small business tax (SBT) is deducted from the personal income tax (PIT), like in the case of the big business the prepaid income tax was deducted.

Medium-sized businesses must be register in the VAT scheme, which enhances the fiscal burden for these businesses perhaps at the levels of large business. This because municipal taxes approximate the minimal value of the income tax. However, this action reduces the possibility for tax evasion, as the companies become more concerned to record the supplies with tax bills. Also, become more responsive to sell items associated with tax bill.

Quite significant was the reduction of contributions for compulsory social insurance and health care for employees which is a facility for the business

At the beginning except financial costs (these changes also were associated with technical difficulties:

It was unclear relationship of the businesses with the tax administration. That means the process of tax evaluation will be carry out by the local tax administration or the central government.

It was unclear if VAT would be evaluating and how would be evaluated the available inventory and other tangible assets that were in the entity at the 1 January 2010.

In 2015, there were other significant changes in the fiscal obligations for small business. Thus:

All fiscal obligations for businesses with a turnover of up to five million were taken away. This facilitated the activity of these businesses by the fiscal burden, but the difference between small- and micro-sized business became greater.

The small business income tax was lowered.

These changes are important because facilitate the businesses with modest turnover. The shortcoming of these changes is that the not fair competition increases and distorts the market because the business tax burden for a slightly larger turnover is quite heavy. Therefore, businesses with a turnover exceeding five million All are subject to VAT and income tax, compared to their competitors who have turnover below five million All, but fiscal burden for them is zero. This action will promote the subjects tend to be business entities of up to five million All.

### **Free Professions**

Free professions are well-qualified individuals who provide qualified services as legal, medical, financial, etc. Until 2006, the providers have to implement the same legal definitions as other small businesses. In 2006, it was determined that these businesses will be subjected to VAT for services provided regardless of realized turnover. In 2015, the reference salary for these professionals was defined in the schema for payments of social and health security. This reference salary was around three times greater than the salary for other self-employed.

### **Conclusions and recommendations**

#### **Conclusion**

The transition of small business to the VAT scheme is right, because it leads to the formalization of the sector of small businesses. Until now small businesses were more interested to find cheaper products and services although they can take without a receipt. So the wholesalers become a small discount and no bill was given. Passing on the VAT scheme the entrepreneurs of the small business increasingly will seek to obtain the bill then would go to the formalization of the economy.

The fiscal burden for businesses should be reviewed as who benefits from the services should contribute to the services he received.

The fiscal load for freelancers should be reviewed because it is very discouraging when this burden is equal to this for the medium-sized businesses.

The increased of the recognized expenses will increase the degree of formality, because in this way businesses will be interested to take the bill from entities that provide them the services. Some of the various expenses of the business are not recognize for tax purposes by the law, then called not recognized expenses. For the sake of a price small businesses are more interested in the offer than to get the bill, which it leads to tax evasion.

#### **Recommendations**

Involved into the scheme of VAT that the business turnover of 2-5 All. This order for these businesses to be interested to receive the tax bill.

Exemption from VAT of freelancers. As noted in literature review, due to tax evasion are high, as is the case for VAT. Also this is a business that can be developed at home makes it difficult to identify him.

Recognition by the tax authorities of all expenditures with proper documentation. So that businesses will carry the costs will be loaded with payment of tax. Businesses are also interested to receive receipts for these expenses and the state to obtain income from the company that will conduct the sale

Inclusion of the business up to two million All in taxes on small businesses. In this way all businesses will contribute to services obtained.

Treatment of freelancers like all businesses. A different approach would be unjust because taxes are determined based on the income generated.

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## The Importance of Insurance Premium Payment Moment, One of the Key Elements of Insurance Contract and the Respective Problematic

Dr. Juliana Bylykbashi

### Abstract

The goal of this paperwork refers to civil specific legal insurance relationships, like premium payment. The motive to deal with this aspect comes because of various doctrinal interpretations and especially because of some legal situations which present problematics in its definition according to Albanian civil legislation which provides insurance contract and its interpretations encountered during the Albanian judicial practice. The questions coming up dealing this issue are: Depending on premium payment moment, how is the insurance contract classified, as a consensual or a real one? On the other side, depending on the answer of the first question, when an insurance contract is considered valid: when the deal is concluded or once the premium is paid? And in the end, according to the answers of the aforementioned questions, there comes an important issue, the one of determining the time when the insurer responsibility starts toward the insured, regarding the contract conclusion, as provided in Article 1124 of the Civil Code of Republic of Albania, or premium payment, either partial or full premium payment, which is the principal reasons that precedes the initial of insurer's responsibility. This paperwork is basically relied on doctrinal interpretations regarding the abovementioned questions, the interpretation of Albanian Courts of Articles 1124 and 1125 of the Civil Code of Republic of Albania, and on courts decision upon these issues.

**Keywords:** The Importance of Insurance Premium Payment Moment, One of the Key Elements of Insurance Contract and the Respective Problematic

### Introduction

The insurance contract is a very important contractual relationship in civil circulation. Considering that human society always tends towards prosperity, to the economic growth and development of the country and along with people needs to transfer risk from various cases (or calamities), the insurance contract is constantly having more active and executive space in Albania. We encounter this development either quantitatively (the constant growing number of citizens voluntarily addressed to this institution) or qualitatively like introducing on market of insuring mediator who insures the best possible terms for insurance contract, and the best protection for consumer and policyholder.

In the history of legal arrangement of insurance contract, actually in Albania, the arrangement through legal provisions of this contract dates early, since the time of Albanian state birth, but the first time of legal arrangement of this relationship was done on approval of the Albanian trade Code in 1932<sup>1</sup>. During the years after the Second World War the insurance contract in Albania was arranged by Law no. 2359 of year 1956 "On legal actions and liabilities"<sup>2</sup>, which arranges among others the insurance contract as well, its conclusion, the object, the subjects and rights and obligations of contractual parties, and many other significant aspects. This is a very important law inter alia the actual civil legislation<sup>4</sup> has transposed almost the same provisions which refer to the insurance contract arrangement, despite the amendments of such legislation over the years for various eras. We find the insurance contractual relationship even in the Civil Code of 1981, regardless

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<sup>1</sup> The trade Code dates in 1932, published in the Official Gazette of March 5<sup>th</sup>, 1932. Its compilation was stimulated from need to arrange trade companies' activity especially of Italian companies, which dominated in Albania. For more information: A.Luarasi, mentioned work, pg. 405- 406

<sup>2</sup> Provisions of the above mentioned law cited "*de jure*" the increase of the role of legal actions in relationships between persons, but as shown in later practices in Albania "*de facto*" their role was limited to the maximum as a result of acting in current political-economical background.

the shortening of such contract because of time circumstances.<sup>1</sup> The importance of insurance contract can also be seen from specific arrangement this contract has in the Albanian civil legislation. The legal norms arranging the insurance contract in Albania have submitted a great development even through legal amendments done through various changes. In legal providing of insurances we mention the Civil Code of Republic of Albania of year 1994 (actually in force) to the insurance contract provision. In addition, the concept of insurances, their provision, insuring by insurance companies, the interior legal organization of such companies, as trade companies in form of shareholding companies, the insurance concept and that of re-insurance, and the mediation are object of arrangement of the Law no. 52, date 22. 05. 2014 "For the Insurance and Re-Insurance Activity" of year 2014. Meanwhile, a special attention the legislation pays to the obligatory insurance in transport sector", of year 2009. As it seems, the legal arranging framework is so wide, and it shows the importance of insurance contract and insurance activity.

Notwithstanding, to argue this paperwork I am specifically stopping on some of provisions of XXIII Chapter of the Civil Code of Republic of Albania, related to the insurance contract arrangement. The insurance Contract differs in many issues from the other sorts of typical contracts provided by this Code. Just because of their very special sort, often a lot of various problems have been raised in practice needing the legal interpretation of provisions in this Code, by Albanian Courts.

The Insurance Contract, by the Civil Code of Republic of Albania is a special and distinctive contract from all the other typical contracts because its object is "delegation of responsibility for damage reward".<sup>2</sup> This means that the insurer through the insurance contract is obliged to indemnify the damage submitted by the insured for his person/or property. This insurance consists also to the return of an approximate damaged cash value.<sup>3</sup>

In material sense through civil legal relationship of insurance one party transfers to the other party the damage risk, which is the obligation for reward of a damage, in case it happens, despite this damage has not been caused because of the second party.<sup>4</sup>

If we deal with the legal nature of insurance contract according to the legal provisions, the insurance contract as a bilateral legal action is distinguished by the reciprocity of obligation of the parties to one another. Moreover, the insurance contract is a term contract, which consists in time when this contract brings legal consequences, time when the insurance premium has to be paid to the insured and time when the insurance reward must be paid by the insurer.<sup>5</sup>

According to the definition of insurance contract given by Article 1113 of the Civil Code of Republic of Albania, through this contract, one party the insurer, **if the circumstances provided by the contract are proved**, which is the insurance case, undertakes to pay to the other party, to the insured or to a third person, when the insurance contract is entered in benefit of a third person, a cash reward within the amount provided by this contract, according to a premium paid by the insured. From this definition we issue another characteristic of the insurance contract, as a conditional contract<sup>6</sup> on suspensive condition when the rights and obligations are raised in case the case happens.<sup>7</sup>

The goal of analyzing some of the insurance contract characteristics specifically serves to dealing one of the most key elements of insurance contract, to the insurance premium and to its paying moment. Like it results from the Civil Code of Republic of Albania, the insurance contract is a formal contract, a solemn one, so the shape must be for the effect of *ad*

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<sup>1</sup> The code of year 1981 arranged only the property insurance contract, and it has no provisions or paragraph about legal arrangement of person's insurance contract, which really consisted to a very big shortcoming of this Code. The basic principle of arranging such civil legal relationships of that time was the centralization principle, the lack of using class and the elimination of private property.

<sup>2</sup> Skrame Olti, Commentary of the Civil Code of Republic of Albania, the second volume, edition of Onufri, 2011, pg. 655

<sup>3</sup> Tutulani-Semini Mariana, The law of Obligations and Contracts, Special Part, Tirana, 2006, Pg. 171

<sup>4</sup> *Ibidem*,

<sup>5</sup> Nuni A, Mustafaj, I. Vokshi A, The right of liabilities II", Tirana, 2008.

<sup>6</sup> In article 84 of the Albanian Civil Code it is established that: "The legal transaction is conditioned when the derivation of extinguishment of rights and obligations foreseen in it depends on the event which is not known if it would happen."

<sup>7</sup> The Albanian civil code recognizes 2 types of conditions, the suspending one and the resolving one. When the condition is suspensive the legal action does not bring the consequences wished by the parties. The rights and obligations provided by the conditional legal action are related to the condition, the party who has the rights cannot submit any request to the obligated party. In addition, the obligated party cannot affect or threaten the loss of the other party's right because if the event is proved, it has to reward the damage to the other party.

*substantiam*, which is written through the insurance policy or proof<sup>1</sup>. From literal analysis and interpretation of definition given by the Civil Code in its Article 1113 it is clear that the insurer "...will undertake to pay to the other party ...a reward in cash, only against a premium paid by the insured" This means that the premium payment is an essential condition of the insured which enables the execution of insurance contract by the insurer, so the cover that the last one will undertake to make to the insured in case of proving one of the insurance events. In the interpretation a *contrario* this means that not paying the premium by the insured, does not bring any legal consequences for the insurer, no contract obligation for him, so we conclude that not paying the premium releases the insurer from the responsibility to reward the insured, which means that we are not in a contract any more. If we had an effective contract there would be legal consequences for the parties, but in this case we do not have any legal consequences. Nevertheless, the above mentioned provisions are inseparable from articles 1124 and 1125 of the Civil Code of Republic of Albania.

The question coming from the interpretation of these provisions is related to the moment of entering in force of the insurance contract and as a result to the insurer's responsibility. On one side, paying the premium is an essential condition for the existence of the insurance contract or is its payment one of the main obligations of the insured, which comes from already existent insurance contract?

The issue of insurance premium is one of the main and significant points in insurance issues because paying the insurance premium corresponds exactly to the provision of insurer of the insured risk worth. The insurance premium is the risk price *preptium periculi*. Not paying the insurance premium, in some cases can bring the release of insurer from the obligation to cover the insurance in case the insured event is proved. This is also one of the main and the most important obligations of the policyholders. <sup>2</sup> On the other side, one of the characteristics which distinguishes the insurance contract from the other typical contracts according to the Civil Code of Republic of Albania is the special moment when this contract enters in force. According to the Civil Code of Republic of Albania, the insurance Contract enters in force at 24 o' clock of the day when the contract is concluded. <sup>3</sup> In relation with this provision I also refer to the relevant article of the Civil Code which provides that not paying the premium or the first installment on term<sup>4</sup> entails the suspension of the insurance contract, till at 24 o' clock of the day when the insured pays the amount he owes to. <sup>5</sup> (Considering these two viewpoints compared to one another it seems that we have two various provisions or better say two provisions conceptually not clear, something that takes to their various interpretations and there are problems during their enforcement in practice when the parties, the insured can pretend the insurance cover by one side, because of a contract entered with the insurer, but on the other side the insurer does not meet their request because of the contract suspensions, which comes because of not paying the premium. If we would take a hypothetical case, if the insurance event happens because the contract between the parties is engaged between 16 o' clock of making contract and 24 of the moment when the contract enters in force, would we be in conditions where the insurer must indemnify the insured? Therefore, it is important to determine the moment when the insurance contract enters in force.

According to the above mentioned legal provisions, it comes up that the contract enters in force at 24 of the day after the contract conclusion, therefore the parties have the rights and liabilities beginig at this moment, but on the other side the contract is suspended till at 24 of insurance premium payment or of its first installment. So, in case the parties enter in this insurance contract, but the insured does not pay the premium, then we do not have a contract, for as long as there are no rights and obligations between them. *It would be more right, to express directly that the insurance contract enters in force only after paying the insurance premium, so at 24 of the day when the premium is paid. This because we have double doubts in the Civil Code for the same object of arrangement, but expressed in various ways and meanings.* On one side it is explicitly expressed that the insurance contract enters in force at 24 of the day of contract conclusion, but on the other side it comes that the contract does not enter in force, because the rights and obligations of the parties, which essentially are the reason for which the parties enters in legal relationship of obligation, are suspended till at 24 of paying the premium.

If referred to article 1125 as a moment of effectively entering in force, then the contract is considered entered at this moment and the provision in article 1124 can be considered as a form of "preliminary contract", which are contracts object of which is entering in contract in the future, and not an insurance contract, except the case when the insured pays the insurance

<sup>1</sup> Article 1114 of the Civil Code of Republic of Albania, 1994.

<sup>2</sup> Luik Olavi-Jüri, Kontautas Tomas, Current Issues of Business and Law, 2012.

<sup>3</sup> See, the first paragraph of Article 1124 of the Civil Code of Republic of Albania

<sup>4</sup> Paying the premium can be unique or periodic. If unique it has to be totally paid in advance, if periodically it has to be paid within the terms established in policy.

<sup>5</sup> See, the first paragraph, the second sentence of Article 1125 of the Civil Code of Republic of Albania.



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premium since at the moment of entering in contract according to Article 1124, but regarding entering in force, anew we have the arrangement of (Article 1125, entrance in force of contract at 24 of premium payment.

On the other side, in interpretation of abovementioned provisions, if we consider the insurance contract enters in force according to article 1124, so at 24 after the contract is concluded, then we conclude that the insurance contract is a consensual one, which enters in force after reaching the deal between the contract parties, without the need that one party gives or consign a certain object. So, the parties are considered to be in legal obligation relationships, enjoying the relevant and mutual rights and obligations. According to this interpretation, this means that in an hypothetical case if two subjects enter in an insurance contract, the insuring company issues the insurance policy, and according to the Civil Code, since at this moment this contract is considered valid, but the insured does not pay the premium, then considering that the insurance contract is a consensual contract according to Article 1124 of the Civil Code, the insured despite not paying the insurance premium, he has the right to pretend and profit from damage cover, if this damage or risk is proved to happen after 24 of entering in this contract.

But in no practical cases it does not happen so, except if the parties have agreed on this way of reward, something very difficult, considering that the main goal of insurance companies, as trade companies is profit realization.

Nevertheless, in continue of interpretation of the two above mentioned provisions we take the other overview, that of the insurance contract consideration as a real one, which enters in force not at the moment when the deal is reached between the contract parties, but one of the parties is indispensably to give or consign a certain object to be considered entered in force. Only at this moment, the parties have their relative and mutual rights and obligations otherwise we do not have any more legal relationships of obligation between the subjects. So paying the premium is a *condition sine qua non* of existence of this contract.

As such, it enters in force only after the insured pays the insurance premium, regardless the fact when pays it, once after the deal, the conclusion of contract and issuance of insurance policy or after this moment, always in respect of terms established in the Civil Code and in the Contract between the parties. Otherwise, which would be the goal that the legislation offers for an insurance contract existence according to Article 1124<sup>1</sup>, (a contract without legal power, for as long as it remains such by Article 1125 and the possibility this contract has to produce any legal consequences, desired by the parties. I think that, the goal of legislator could have been only this, like ut supra interpreted. Otherwise, if we considered the insurance contract a consensual one, then the fact that the insurer is right not to meet his contractual obligation according to Article 1125, because the insurance premium has not been paid by the insured would be considered legitimated by the legislator as one of the cases of non-execution of contractual obligation by one party, because the other party has not met the obligation reciprocally, something that would confront with the general law principles, and especially with the liabilities law principles.

According to these principles, the creditor and debtor must behave correctly, unbiasly and according to reasonable requirements<sup>2</sup> of other principle showing the necessary care and bein accurate in meeting the obligation. <sup>3</sup> The creditor, in our case the insurer, in no case can avoid fulfilling his obligation through reasoning that the debtor has not executed the contractual obligations. Otherwise, he must continue realizing his obligations, according to the conditions established in the Civil Code and in the contract, and the effects of non-execution are specifically arranged by the Civil Code, where in such cases the right is conferred by the creditor's right to pretend a damage reward in case of non-execution or delayed execution of the obligation by debtor. <sup>4</sup> Therefore, considering all these principles, the only reason why it is provided in this way in Article 1125, when the contract "is suspended" which is the insurer does not cover the insurance case up to the moment of paying the premium, we conclude that the insurance contract can be a real contract. According to another author of law, the insurance contract is a formal and real contract, which is considered engaged only after the insured pays to insurance premium to the insurer. <sup>5</sup>

If we analized legal provisions on consensual and real actions, the real legal actions are the legal ones which require not only the expression of will, but even the consignment of object, that is the object of legal action. *We have to distinguish the*

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<sup>1</sup>We must say that article 1124 finds the execution only for the property insurance contract, because according to the fourth paragraph of the same article it does not apply for the life insurance contract.

<sup>2</sup>Article 422 of the Civil Code of Republic of Albania, 1994.

<sup>3</sup>Article 455 of the Civil Code of Republic of Albania, 1994.

<sup>4</sup>Article 476 and followings of the Civil Code of Republic of Albania, 1994.

<sup>5</sup>Skrame Olti, Comentary of the Civil Code of Republic of Albania, Second Volume, edition of Onufri, 2011, pg. 655

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*fact when the consignment of object is done on goal of execution in a consensual legal act because in this case, the object consignment is made for the effect of obligation execution. Therefore the object consignment does not transfer the legal act to real legal act<sup>1</sup>. In the real legal act the consignment of object is necessary for its validity which makes this qualify.*

The abovementioned discussion does not remain only in the aspect of a simply doctrinal debate, but of great importance in practice. This because, both provisions can be used interpreted by both parties in a judicial proceeding, where one expresses that the Civil Code has given the right to contract existence, creating expectancy to this party about realizing the right he pretends, while the consecutive articles put this fact down. Therefore, it would be more correct that the way of expression by this articles was more clear. So in these provisions somewhere it can be accepted that the insurance contract is a real one, according to Article 1125, but on the other side in the same article it is used the legal term of "suspension" of the insurance contract. A contract which has never existed cannot be dissolved. <sup>2</sup> This because considering that the insurance contract enters in force at 24 of the day of paying the premium insurance or of its first installment as long as the insured has not paid the insurance premium or its first installment, we are not before e contract dissolution, because this contract is still not engaged, so, it does not exist and an inexistent contract cannot be dissolved. <sup>3</sup>

Even the albanian judicial practice, which has faced this problem and by the request of subjects to interpret these legal cases, has various viewpoints still not unified. In the judicial case of ("Real X L. t. d. against Sigal joint stock company" has two judicial sentences, one of the Judicial District Court of Tirana<sup>4</sup> and one of the Appeal Court of Tirana<sup>5</sup>, which support the above mentioned interpretation, but there is also a decision, for the same case, of the Civil College of Supreme Court<sup>6</sup>, which has kept a contrary attitude, but declared by the Constitutional Court of the Republic of Albania as unconstitutional for not respecting of due legal process<sup>7</sup> which is Article 42 of Constitution of Republic of Albania and Article 6 of the European Convention of Human Rights (ECHR). At this point, an insurance contract of goods is entered between the companies "Real X" L. t. d. the plaintiff and "Sigal" J. s. company the defendant. But, according to the practices used before between them, it is accepted that the insurance premium is paid later than the issuance of insurance policy. But when the insurance event happens and there is a damage before the insurance premium is paid by the insured, the parties raise their claims as treated above in consideration of provisions 1124 and 1125 of the Civil Code.

Both courts, that of the first grade and that of appeal keep the evaluation that the insurance contract has never brought any legal consequences for the parties. The insurance contract has never entered in force, because the main condition to enter in the insurance contract is that of paying the premium. *The moment of starting the responsibility of insurer is related to the payment of insurance premium, regardless the fact that the contract is signed, the effects of the contract are conditionally or obligatorily related to premium payment.* Moreover, the courts express that since when the insurance contract has been cancelled, up to the moment of premium payment, the moment of certifying the event makes it invalid, because till at this moment Real X, the insured, has had all the practical and legal possibilities to pay the insurance premium, but after the event any such possibility is cancelled, because not paying the premium also brings the cancellation of contract releasing the insured from meeting the obligation. Meanwhile, on the other side, the absolute impossibility of paying premium when the event happens, transforms a suspended insurance contract to an invalid contract. <sup>8</sup>

Whereas, the Civil College of Supreme Court, making a re-evaluation of all the case facts, reasons for which, among others the Constitutional Court is hit for illegitimacy holds a contrary attitude. The Civil College provides that the insurance contract was engaged. It holds the attitude that the property insurance contract is a consensual contract and though when the insurance event happened, the insured party has not fulfilled his own obligation (paying premium), for what above argued, the insurer, the defendant party has the obligation to pay to the plaintiff, the insured, the insurance reward within the limit of amount provided in the contract. <sup>9</sup>

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<sup>1</sup> Kondili Valentina, the Civil Law, General Part, edition Maluka, 2007, pg.227

<sup>2</sup> Decision no.269 date 24.05.2012 of the civil college of the Supreme Court.

<sup>3</sup> Hasneziri. Luan, Contract Insurance according to the Civil Code of Republic of Albania, Doctorate work.

<sup>4</sup> Decision no. 8071 date 29.10.2010

<sup>5</sup> Decision no.1461 date 21.06.2011

<sup>6</sup> Decision of the Civil College of the Supreme Court no. 269, date 24.05.2012

<sup>7</sup> Decision of Constitutional Court no. 27 date 24.06.2013

<sup>8</sup> Decision of the Civil College of Supreme Court no. 269, date 24.05.2012

<sup>9</sup> *Ibidem*.

In no moment the Civil College explains further the consequences of payment or not of premium by the side of the insured, because the insurer has covered and rewarded the insurance and because the insured has not paid the insurance premium. Would the insured have the right to ask further for the payment of premium by the insured? If so, the insured person could be able to pay even the premium later or not, something not expressed in the Civil Code, being left not arranged as logical result of resolution given by the Civil College to forward this case. Anyway, beyond the reasons, for which Decision no. 269, date 24. 05. 2012 of Civil College of the Supreme Court has been sent to the Constitutional Court, important for this paperwork is the attitude kept from each court.

However, considering the interpretations derived from court decisions we can come to some conclusions. The Civil College evaluates that the insurance contract was in force though the insurance premium was not paid. But, on the other side, this College refers more to the fact that the first instance courts refer to general provisions to resolve the case, the property insurance contract and not to special provisions of the insurance contract of goods during the transport, provided by the Civil Code of Republic of Albania.

Regarding this aspect, considering also the facts of this case the right solution is that the district courts referred to the special provisions about entering in force of the insurance contract for goods during transport since at the beginning, according to the principle of "*lex specialis, generalis derogate*". Therefore, the insurance contract for goods during transport according to article 1148 enters in force at the moment the goods are taken into consignment by the transporter and it ends at the moment of delivery to receiver. Anyway, if we did not have these facts, but a property insurance contract, the interpretation of district courts would be more correct. To my opinion and in context of interpretation of legal provisions of the Civil Code the attention must go to the real and common goal of the contracting parties. The real goal of the parties has been providing insurance of goods by the insurance company, towards premium payment by the insured. The insurance premium payment has never been fulfilled and as a result the suspended contract does not bring any legal consequences for the parties. <sup>1</sup>

In conclusion, except the opinion of some authors that the insurance contract is a real contract, fact to which all the following legal consequences are related, like the entrance in force and the initial of responsibility of the parties, the contractual prediction between the parties is important as well. One of the most important principles in civil law is precisely the will autonomy and the parties must not neglect in this aspect. In lack of clear and understandable provisions in the Civil Code for everyone, in this case it would be more accurate if the parties determine to their will all the cases where they can act to their free will, when the Civil Code itself allows the parties to act through its permissive provisions. If the parties agree with entrance in force of the insurance contract even about paying premium at a later moment, if parties provide this in the contract, to pay the insurance premium, moment which should be clearly determined in the contract, like terms, conditions, installments, after making deal, then the legal situations would be more clear for the parties and therefore the contract becomes a law for them.

Moreover, it would be more correct if legislation made a more accurate definition of the above mentioned issues. For instance, at European level, the European Commission is in process of preparing a Common Framework of references for the European law (European Common Frame of Reference), which refers to the general law of obligations, and especially to the insurance contracts, creating the Principles of European Law for Insurance Contract, principles which apply as second regime, and for which the parties would be free to apply or not in their contractual relationships. <sup>2</sup>

In one of the articles of Principles of European Law of Insurance Contract, it is provided that when the insured makes the payment of the first installment or of all the insurance premium, in order to know if the insurances will be covered by the insurer, these conditions must be indispensably clearly defined in the insurance contract, otherwise they remain effectless except when: firstly, the conditions have been communicated to the insured applicant in a understandable language and he must have been asked expressly that in case of non paying the insurance premium he loses the right to be covered with insurance by the insurance company, or secondly, if 2 (two) weeks have passed after taking the communication of such condition, by the insurer, and the insured has not paid the insurance premium yet. <sup>3</sup> Nevertheless, according to the Principles of European Law of Insurance Contract, the entrance in force of insurance contract is not compulsory after paying the premium. But on the other hand, this provision does not exclude any deal about the effect that paying the insurance

<sup>1</sup> This case was judged again by the Civil College of the Supreme Court with another judging board, the decision of the civil College of the Supreme Court no. 11117-01956-00-2013 date 16.01.2015 where it reached in exactly aforementioned conclusion.

<sup>2</sup> Luik Olavi-Jüri, Kontautas Tomas, Current Issues of Business and Law, 2012

<sup>3</sup> Article 5 of Principles for the European Law of Insurance Contract

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premium is a condition of responsibility activation for the insured to cover the insurance and in case such thing is required then it has to be explicitly expressed.<sup>1</sup>

One of the reasons why it is thought that covering with insurance by the insurer should not be done for as long as the insured has not paid the insurance premium is because of fraud and to avoid the fraudulent behaviors. Therefore, in this context it is more reasonable that the insurer does not provide the insurance for all those policyholders who have not paid the premium.

According to the Principles of European Law of Insurance Contract, it is significant that payment of insurance premium is made demandable before the insured event happens, so the last term to pay the insurance premium must be *ex ante* matured. Otherwise, the insured does not have any obligation to cover the damages. In all these cases, the insurer must have informed the insured about the consequences that come in case of not paying the premium of the insurance contract. In some foreign legislations for example in Latvia it is applied the principle of *no premium, no risk...no cover* or not paying premium makes the risk not covered.<sup>2</sup> Whereas unlike our legislation, which gives space to interpretation, there are legislations which have expressly provided such situation. For example, the civil legislation in Latvia provides that an insurance contract enters in force since at the moment when the premium is paid by the insured, for as long as it is not otherwise provided. If the premium is not paid, the contract is considered terminated, if not otherwise provided by the parties.<sup>3</sup> Exactly here it raises the question if the insurance contract is a real or a consensual contract. But some various authors agree that though an insurance contract would formally be consensual, in many cases and from many legislations it is accepted that in order to consider a contract valid the premium or its first installment must be paid, something that makes this contract be real. Usually, in the wide practice of insurance contracts in various countries paying the premium is a preliminary condition so that the right to be covered with insurance enters in force, whereas all the other obligations start since at the moment when the contract is considered concluded.<sup>4</sup> But when the contract will be considered concluded? In this case, it depends on the way how the domestic contract or the contract provides it, if the payment is established as a key contract condition like *condition sine qua non* for the contract or like an obligation which derives because the contract has already come into force. If the insurance case happens at the moment of making the contract, but before one of premium installments is paid, which is the first installment is paid, the insurer is obliged to pay his obligation.<sup>5</sup> Even this provision certifies the fact that the contract has not existed before, but it starts to enter in force after paying the premium or its installments.

Finally, one of the other reasons why the premium or one of its installments must be paid, except the ones mentioned above, and avoidance of fraud and abuses by the insured is that the real goal of insurance companies is to cover the risk events with insurance, but being trade companies they intend to realize their profits. Considering the last one, the insurance companies choose or not to insure depending on risks they undertake to insure, like the object to insure, the real circumstances of properties that can be insured, the characteristics of persons who want to be insured in case of life insurance etc. So, one of the goals of insurance companies is to guarantee that the policyholder will pay the premium, because after all it is his essential obligation to keep the insured under insurance cover.

## Conclusions

As widely treated above, we can conclude that according to the above mentioned reasoning, to overviews of other countries legislations, of various authors of law, of attitudes of courts and referring to the general insurance practice, the second paragraph of article 1125 of the Civil Code presents a problem in its meaning and so it is necessary to make an amendment.

Secondly, the insurance contract is a consensual, a legal act for completion of which it is required the expression of the parties' will, regarding the term of the contract, paying premium, the term of paying the premium, the other conditions of the contract, etc. and the consignment of the object in cases of insurance relationship (cash) so paying the insurance

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<sup>1</sup> Luik Olavi-Jüri, Kontautas Tomas, Current Issues of Business and Law, 2012

<sup>2</sup> *Ibidem*

<sup>3</sup> *Ibidem*.

<sup>4</sup> Luik Olavi-Jüri, Kontautas Tomas, Current Issues of Business and Law, 2012

<sup>5</sup> *Ibidem*.

premium is made intending the execution of a legal consensual act, because in this case, the consignment of the object is made for the effect of obligation execution. Therefore, the object consignment does not turn the legal act to a real legal one.

Thirdly, the beginning moment of insurer's responsibility is related to the payment of insurance premium which is the condition to begin or continue the effective insurance warranty according to the contract signed between the parties implying that despite the fact the contract is signed, the effects of the contract are related to premium payment conditionally and obligatorily.

Fourthly, it is significant that paying the insurance premium has become demandable before that the insurance event happens, so the last term to pay the insurance premium must be *ex ante* matured. Otherwise, the insurer does not have any obligation to cover the damages. In all these cases, the insurer must have always informed the insured about the consequences that come in case of not paying the premium, in insurance contract.

In conclusion, it is important that in cases when the permissive provisions refer to the autonomy of the parties, the parties have to arrange and provide any possible situation to avoid future conflicts as much as possible.

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## Bimodal, Multimodal or Platform – What is a Supply Chain Future Strategy?

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### Abstract

This paper examines the idea of supply chain strategy in terms of ICT influence on supply chain business model. The aim is to present the most important technologies – Social, Mobile, Analytics (based on Big Data) and Cloud Computing – as the main enablers for reaching competitive advantages by supply chain strategy. Analysis are based on literature and market studies reviews supported by author's empirical research results on supply chain manager's perception on future supply chain development. During the analysis conducted in the paper the definitions of supply chain strategy and supply chain business model was introduced. Further the next phase of supply chain evolution was identified and the base for this new phase – the internet platform based on cloud computing – introduced. This solution, together with the rest SMAC technologies, creates new approach on how flows within supply chains are managed. Due to new potential created by SMAC and ubiquitous uncertainty managers should revise the ability to create multimodal supply chain strategy. That strategy is supported by customised supply chain business models able to meet events in the unpredictable environmental framework. The base for multimodal supply chain strategy development is market segmentation where the differentiator is described by value perceived by particular customer.

**Keywords:** Supply Chain Strategy, SMAC technologies, Supply Chain Business Model

### Introduction

*The successful organization of the future will be customer-focused not product or technology focused, supported by a marketing information competence that links the voice of the customer to all the firm's value-driven processes.*

Webster, 1997

According to A. T. Kearney study "by 2020, more than 50% of revenues will be funnelled through digital channels and/or driven by digital product, services, or businesses. Yet, most leaders (53%) have not fully integrated digital into their corporate strategies. These findings have significance for every CEO of an established business with one foot on solid ground and the other on the digital playing ground." (Fabel & Mendoza-Pena, 2016). The digital environment has strong influence on the organization strategy and so on the resources and business model configuration. As the company never acts independently of the others it is able to meet the challenges of competitiveness by maximizing gains only through cooperation and integration with other entities. Therefore the perspective of whole supply chain strategy should be revised when analysing ability to reach the highest level of competitiveness of the company.

Supply chain strategy is the ability for value creation by the competitive supply chain business model implementation. The supply chain business model can be understood as the way of how network of organizations creates and delivers value under specific environmental circumstances and by available resources usage that enables it to seize opportunities within certain conditions.

There are two basic types of competitive advantage: cost leadership and differentiation (Porter, 1985). Therefore supply chain managers should revise the range of capabilities (resources) that create and power business models able to maximise value creation and at the same time are capable to gain competitive advantage by cost decreasing or differentiation.

Currently one of the strongest megatrend reshaping supply chain business model is ICT. Within ICT the SMAC technologies should meet particular attention. Social, Mobile, Analytics (based on Big Data) and Cloud computing used in the interconnected mode are those that are able to influence on supply chain strategy in a revolutionary way.

The purpose of the study is to analyse the influence of the most important ICT trend on supply chain strategy. This is done by literature and market studies review. Additionally the results of empirical research conducted by CATI methodology on 122 supply chain managers in Poland during September 2016 was presented. The study concentrated on current and future supply chain management activities in terms of technologies usage and their influence on supply chain processes.

Based on the literature review the definition of supply chain strategy and supply chain business model was developed. Current studies on ICT role in supply chain development allow to conclude that supply chain is entering into new phase of its evolution. This is a result of the ability to gain advantage i. e. from the access to the internet platform based on cloud computing. Such a solution is able to connect many supply chains stakeholders simultaneously. That model, supported with the rest of SMAC technologies, is completely different from traditional linear supply chain model where all the process phases are sequential and follow one after the other.

Further analysis led to the conclusions that due to unpredictable demand and potential of available ICT resources (especially SMAC technologies) companies should revise environmental framework in terms of developing more than just one business model for improving competitive advantage. The segmentation of customers' needs, characteristics of supply side, variety of values created by the same product or geography-related conditions are those that should be revised in terms of accuracy of chosen supply chain models' capabilities. Therefore supply chain managers should examined the potential of multimodal supply chain strategy development that could be powered by SMAC technologies and operational excellence to respond to the challenges of current events by customized supply chains business models.

### Supply Chain Strategy

In general strategy is about to decide where the organization wants to go (settling goals), and how to get there (describe the method of achieving those goals). A more complete definition of strategy is based on Porter's competitive advantage that is the object of most corporate strategy. "Competitive advantage grows out of value a firm is able to create for its buyers that exceeds the firm's cost of creating it. Value is what buyers are willing to pay, and superior value stems from offering lower prices than competitors for equivalent benefits or providing unique benefits that more than offset a higher price. There are two basic types of competitive advantage: cost leadership and differentiation." (Porter, 1985). In both cases (cost leadership and differentiation) company should assume the breadth of the target that is supposed to reach. The cost leadership and differentiation strategies seek competitive advantage in a broad range of industry segments, while focus strategies aim to cost advantage or differentiation in a narrow segment. The matrix build on the adopted model of competitive advantage and the scope of the target suggests the type of the strategy that company can follow. This matrix is presented on figure 1.

Figure 1. Porter's Generic Strategies

		COMPETITIVE ADVANTAGE	
		Lower cost	Differentiation
COMPETITIVE SCOPE	Broad target	1. Cost leadership	2. Differentiation
	Narrow target	3A. Cost focus	3B. Differentiation focus

Source: Porter, M. , (1985), *Competitive Advantage*, The Free Press, New York, pp. 12.

The competitive advantage is created based on framework and organization model that is able to fulfil strategy objective in a specific environmental framework. The environmental framework concerns industry or sector (customers, suppliers and competition characteristics), so the market that company wants to compete on. The organizational business model is associated with the resources' configuration able to meet the demand. According to Osterwalder and Pigneur (2010) "a business model describes the rationale of how an organization creates, delivers, and captures value" in economic, social, cultural or other contexts.



As the company never acts independently of the others, thus the perspective of a supply chain should be revised in terms of competitive advantage and strategy development. According to Christopher "supply chain is the network of connected and interdependent organizations mutually and co-operatively working together to control, manage and improve the flow of materials and information from suppliers to end users" (Christopher, 2016). Supply chains are used to have a service approach as they are "systems delivering value to consumers and customers; and contributing value to suppliers, producers and distributors" (Hines, 2013). Companies engaged in cooperation within the supply chain should seek for achieving common competitive advantage to improve their competitive position. Therefore, each partner involved in supply chain is supposed to add value in the process of competitive advantage creation. Thus they should be managed from the perspective of whole supply chain they cooperate in. Supply chain management can be understood as "the integration of key business processes from end user through original suppliers that provides products, services, and information that add value for customers and other stakeholders" (Lambert, Cooper & Pagh, 1998). In this manner the supply chain can be understood as extended organization.

If the supply chain is a network of organizations, then **supply chain business model can be understood as the way of how network of organizations creates and delivers value under specific environmental circumstances and by available resources usage that enables it to meet opportunities within certain conditions.**

Based on the above definitions the following supply chain strategy concept can be introduced – **supply chain strategy is the ability for value creation by the competitive supply chain business models implementation.**

Competitive supply chain business model corresponds to the market needs. Therefore, it is 'suitable' and conditioned by the ability to respond to the demand in certain time. In most of the cases, the shorter lead times, the higher level of supply chain competitiveness.

With the respect to lead times and current uncertain demand characteristics (both are part of the environmental framework) there can be four generic supply chain strategies distinguished (Christopher, 2016):

Lean – when there are quite long lead times and demand is predictable. Lean strategy can be proper when the resources (capacity) are fixed and so the level of services are variable.

Kanban – when lead times are short and demand is predictable. Kanban is a philosophy of continuous replenishment, where as each product (or service) is soled than it is preplaced for another one.

Agile – for unpredictable demand and short lead times. The agile strategy can be used when level of service is fixed and so the level of capacity must vary.

Hybrid (leagile) – when demand is unpredictable and lead times are long. Companies might seek for time reduction or for lean/agile solution. This might require supply chain to be 'de-coupled' through holding strategic inventory in some generic or unfinished form, with final configuration being completed once real demand is known.

The generic supply strategies are shown on figure 2.

Figure 2. Generic supply chain strategies

		DEMAND CHARACTERISTICS	
		Predictable	Unpredictable
SUPPLY CHARACTERISTICS	Long lead times	LEAN Plan and optimise	HYBRID/ LEAGILE De-couple through postponement
	Short lead times	KANBAN Continuous replenishment	AGILE Quick response

Source: Christopher, M. (2016)

To gain a supply chain business model flexibility – the ability to respond quickly to demands' changes – some specific actions are taken supporting competitiveness in terms of lower costs or differentiation strategies, like (Christopher and Holweg, 2011):

- Dual sourcing – to have an alternative for supplying critical components or raw materials.
- Asset sharing – to create additional effect of economies of scale.
- Separating “base” from “surge” demand – to differentiate techniques of resources management - when certain level of demand is predictable and appropriate actions are taken on daily basis to maintain the continuity of the goods flow and demand above that level for practicing postponement techniques.
- Postponement – to customize product in the final phase of its supply chain.
- Flexible labour arrangements – to adjust labour force to actual demand needs.
- Rapid manufacture – to enable the economic manufacture of products in small batches in small facilities.
- Outsourcing – to gain access to capacity (or whole processes) when required and convert fixed costs into variable costs. Nowicka, 2016).

However due to environmental framework changes the supply chain business models should constantly seek for the resources (capacity) increasing their competitive advantage. This capacity should be than flexible to create supply chain business model structure adaptable and responsive to unexpected events. Currently supply chains are under great pressure of technological – mostly information and communication technology (ICT) – disruptive changes.

### **SMAC technologies and supply chain strategy**

As people, business, and “things” increasingly interconnect in the digital economy, existing business models are being radically disrupted. Digital transformation changes the way a company interacts with stakeholders – customers and business partners, creates value, and competes. Digital business is built on new computing infrastructure based on the four pillars of Social, Mobile, Analytics – Big Data – and Cloud computing (SMAC) – accelerated additionally by the Internet of Things (IoT) and machine-to-machine (M2M) learning technologies.

Social media networks support businesses by strengthening and expanding the network of contacts and are able to turn into powerful vehicles for lead generation, customer engagement and management, complaint redressal and brand strengthening by improving customers' loyalty. Companies now track metrics like leads, website traffic, conversions and revenue generated.

Mobile and mobility technologies have radically changed the working environment in enterprises and within supply chains. Mobility has created a demand for enterprise data and access to key applications to be ubiquitous while greatly increasing responsiveness and efficiency among the workforce enabling business decisions in 'real-time'. The cascading effect of such wide access on productivity has also made enterprises favour adoption of enterprise mobility with greater rigour.

Advanced Analytics is the science of examining data to discover underlying information and patterns. Big Data, a popular form of analytics algorithms, offers a suite that comprises of software and infrastructure platforms and advanced analytics that can provide meaningful and contextual insights and real time data analytics. Big Data refers to the volume, variety, and velocity of new and existing – structured and unstructured data pouring through networks into the processors and storage devices, along with the conversion of such data into business advice for enterprises. Gartner, 2012).

Cloud computing makes it possible to access data, applications, and services over the Internet and gives users the ability to work from anywhere, on any device and anytime. Constantly growing number of businesses are already using cloud computing in a public, private, or hybrid environment. The major benefits of cloud include elasticity (due to scale up or down quickly to meet computing power demand) ; affordability (pay-per-use model) ; availability (no need for costly hardware, such as hard drives and servers) and simplicity (IT can be easily use by single employee).

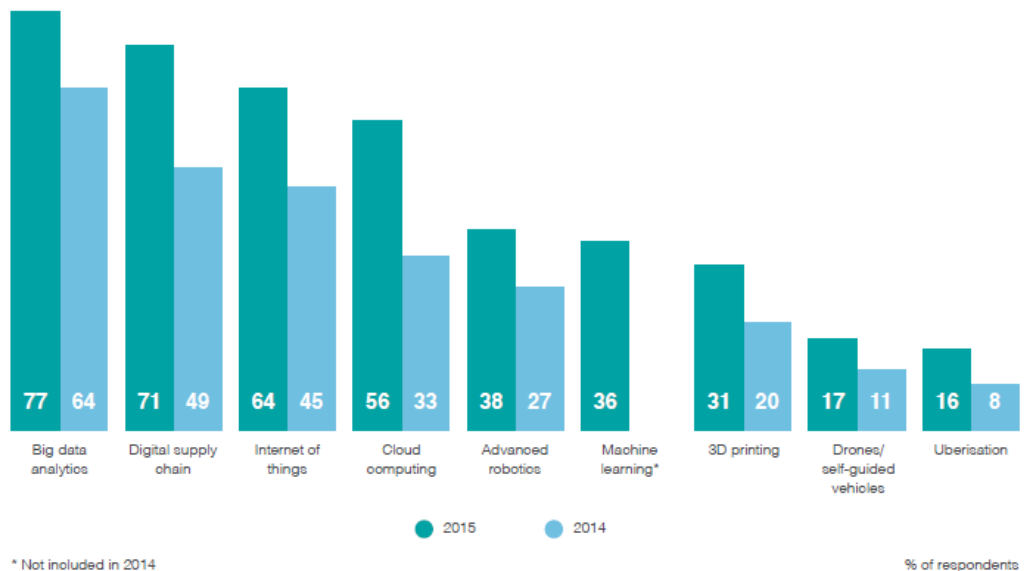
The rise of Mobile and Social media and their ability to churn huge volume of analysable data and the rise of Cloud which enables companies to run large scale Analytics using Big Data tools. As enterprises globally adopt SMAC for operational efficiency, cost reduction, extend the current reach, and gain business edge, they need to assess the impact of the investment as well as consider their own strengths and weaknesses with respect to how this paradigm shift may affect the

overall organisation's culture. However adoption of SMAC collaboratively rather than separately may have better impact on organisations and supply chains. KPMG, 2014).

These disruptive technologies are giving companies the ability to radically change business models and create new products and services and so competitiveness improvement. As an important resource SMAC technologies are transforming also supply chain business models to achieve strategy goals in more competitive way.

According to SCM World study conducted on 1018 worldwide supply chain executives the most 'disruptive and important' technologies with respect to supply chain strategy in 2015 and 2014 were Big Data analytics, IoT and Cloud computing. Additionally respondents marked the role of digital supply chain as one of the most important aspects that should be examined by supply chain managers. According to the researchers Big data appeal because it promises a way to make sense of complexity and is a method for digesting demand information, which is exploding in volume and urgency with digital demand and omnichannel solutions. Cloud computing and IoT offer heightened awareness of what is happening in supply chain. And the need for visibility has always been a key concern in supply chain. This group of technologies look ready to combine into a sort of supply chain nervous system, picking up and making sense of an essentially infinite stream of sensory information. SCM World, 2015). The results on disruptive technologies with respect to supply chain strategy in 2015 and 2014 are shown on figure 3.

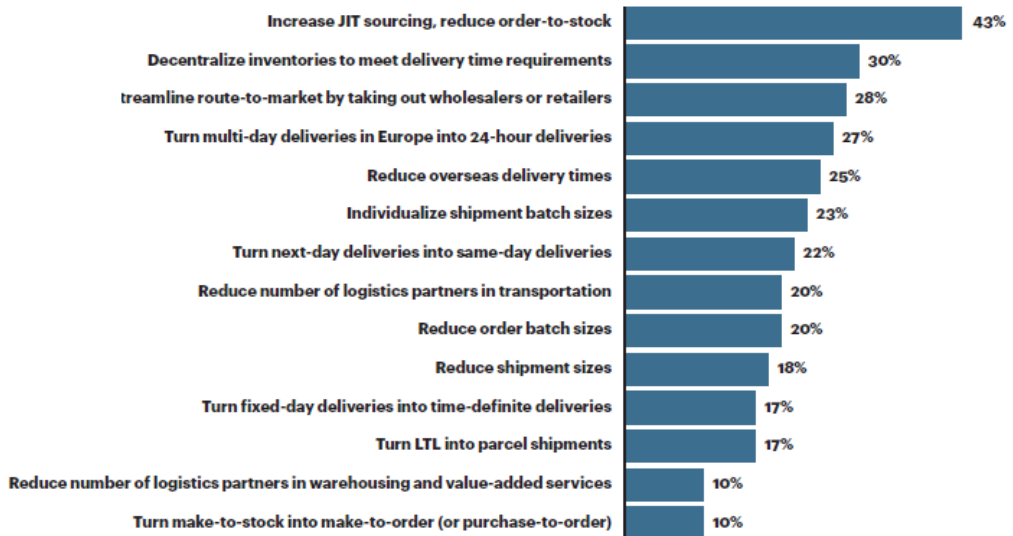
Figure 3. Disruptive technologies with respect to supply chain strategy in 2015 and 2014 (%)



Source: SCM World, (2015), "Future of Supply Chain Report 2015", London, Boston, pp. 9.

Described technologies that create digital transformation started to influence on business models and the way strategy is implemented. Today modern services and products are not necessarily physical. Apps, Airbnb, Netflix, Pandora or Uber represent real enterprises that are based on the Internet platform business models and using SMAC technologies broadly. Some apps, such as Etsy, go a step further by directly linking the creation of goods with customer-generated designs. Those solutions are starting reshape existing supply chains. This begins to be visible on operational level, but soon might be a game-changer for competitive supply chain management. According to A. T. Kearney and WHU Logistics Study (2015) the highest impact of digitalization on supply chain will be seen in the area of increase Just-in-Time sourcing, reduce order-to-stock (43% of respondents seeing 'clear' or "very strong" effect by 2017) ; decentralize inventories to meet delivery time requirements (30%) or streamline route-to-market by taking out wholesalers or retailers (28%). The detailed results of the study are shown on figure 4.

Figure 4. Impact of digitalization on supply chain management



Note: JIT is just in time, and LTL is less than truckload.

Source: A. T. Kearney/WHU, (2015), Digital Supply Chains: Increasingly Critical for Competitive Edge, A. T. Kearney/WHU Logistics Study 2015, pp. 12.

### Evolution of supply chain business models

Digital revolution influences on supply chain strategy implementation. Therefore it also has an impact on how supply chains models evaluate. According to Potter, Towill & Christopher the first supply chain evolution phase philosophy was product driven supply chains. It was dated before the 1990s and activities were determined by unit production costs. During 1990s wider usage of software started to be introduced influencing on batch sizes production modifications and information distribution. This second phase was market oriented and lean concept started to be analyzed in terms of its implementation within supply chains' operations. The third phase was called 'market-driven' supply chains and was dated on 2000s. The widespread emergence of alternative e-commerce distribution channels started to be developed. During 2010s the level of customization increased creating customer-driven supply chains. According to Potter, Towill and Christopher "the order winner" concentrates on lead times and the main performance metrics are technological capability and level of servitisation. Potter, et. al, (2015). Then the next phase – 2020s. – In supply chain migratory model can be notice. Its philosophy is still based on customer centric approach, but due to increased ability for interaction by ICT usage, it is more related to concentrate on customer experience and engagement on how supply chain structure is designed. Those supply chains are based on e-business solutions and ubiquitous virtual reality. The 'order winner' is the one who is able to react on real-time basis responding in innovative way supplying personalized solutions (product and/or service). Finally it influence on the ability to create customized supply chain business model that reacts on the event's bases. The migratory supply chain model presented as the subsequent phases of its development is presented on table 1.

**Table 1. Supply chain evolution phases**

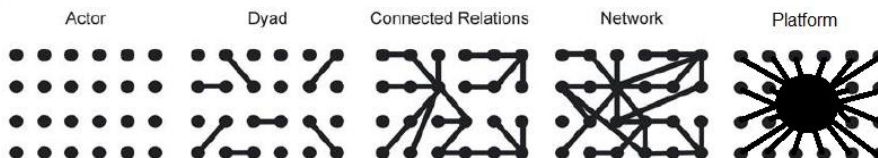
Supply chain evolution phase	I	II	III	IV	VI
Supply chain philosophy	Product driven	Market orientated	Market driven	Customer driven	Customer engagement and experience
Time marker	Until the 1990s	1990s	2000s	Early 2010s	2020s
Supply chain type	Lean functional silos	Lean supply chain	Leagile supply chain	Customized leagile supply chain	Supply platforms
Order winner	Quality	Cost	Availability	Lead time	Ubiquitous virtual supply chains
Market qualifiers	Cost Availability Lead time Sustainability	Availability Lead time Sustainability Quality	Lead time Sustainability Quality Cost	Sustainability Quality Cost Availability	Responsiveness Innovation Agility Cost to serve
Performance metrics	Stock turns Product costs	Throughput time Physical cost	Market share Total cost	Customer satisfaction Value added	Personalized /tailor-made

Source: Potter, A. , Towill, D. R. & Christopher, M. , (2015). Evolution of the migratory supply chain model, "Supply Chain Management: An International Journal", No. 20/6, pp. 603-612 and own elaborations.

Additionally digital revolution and SMAC technologies influence on the supply chain business model in terms of partners integration, flows configuration and their sequences in value creation. Most of existing supply chains have traditional, pipeline model of flows where value is added in particular order from end user to original supplier (i. e. plan, source, make, deliver). However adapting i. e. internet platform based on cloud computing model disrupt upstream and downstream linkages and its sequenced flows. Therefore reshapes existing approach to supply chain structure and models or even supply chain "as we know it" itself.

Figure 5 illustrates the evolution of complexity in the interconnected network of supply chain relationships, indicating the interplay between interconnectedness and complexity in the shift towards the supply platform paradigm. Each dot represents a company (actor – supplier, distributor, retailer, etc. ) and this is where both actors establish dyadic relationships. They might interact within more than only one dyad. Firms are connected directly and indirectly with numerous of other firms, typically via non-linear and complex relationships. Braziotis et. al. , (2013). Due to the technology development whole supply chains can be 'moved' to the virtual reality (like e-business model) and developed on the internet platform based on cloud computing environment. The platform enables to coordinate information and money flows, but still it rarely can be used for goods distribution. Products' flows are still the domain of physical distribution and so the traditional linear pipeline exists between already virtually connected companies.

Figure 5. From supply chain to supply platform



Source: KPMG, T. , Wilkinson, I. F. & Johnston, W. J. (2004), "Managing in complex business networks", Industrial Marketing Management, Vol. 33 No. 3, pp. 175-183 and own elaborations.

Due to the increasing role of SMAC technologies in supply chain model development there is a need for verification of the approach on how supply strategy might be implement to gain competitive advantages. As shown on table 1 the supply chain in under the process of evolution and even that digital transformation may cause revolution in some of the cases, most of the supply chain business models transformation will have step-by-step path. Therefore the concept of differentiation of supply chain business models is should be examined.

The differentiation of supply chain business models is necessary as the concept of “one-size-fits-all” does not provide maximum value. Even two fundamentally different supply chain business models: a market-response for innovative products and a cost efficient for functional products (Fisher, 1997) are not sufficient in current and future environmental framework.

Recently Gartner introduced similar concept of bimodal supply chain strategy. According to this idea companies should adapt the digital world while still operating in the ‘analogy’ world. Bimodal (mode 1 – evolutionary – is the linear, pipeline model of supply chain and mode 2 – revolutionary – involves creative thinking, risk-taking and technology involvement) is about closing the gap between traditional and revolutionary models of supply chains. The concept considers the agile approach to invest in technology, leadership and talent. Mode 1 goes through the traditional development and deployment paradigm of long cycles, it automates the predictable and consists of i. e. the legacy ERP investments that have been made. It is optimized for areas that are well-understood and focuses on exploiting what is known, while renovating the legacy environment into the state that is fit for a digital world. Mode 2 is smart, using SMAC technologies – i. e. cloud-based supply platforms – and collaborative. It is exploratory, experimenting to solve new problems and optimized for areas of uncertainty. [www.gartner.com/it-glossary/bimodal/](http://www.gartner.com/it-glossary/bimodal/)). The capabilities supporting mode 2 are based on top of mode 1. In this way supply chain might become stable approach to unpredictable demand changes. They are able to develop from batch, functionally oriented operations and processes to real time, network and scenario-based supply chain planning (Durbha, 2016). They are also the model for electronic business (e-business) development.

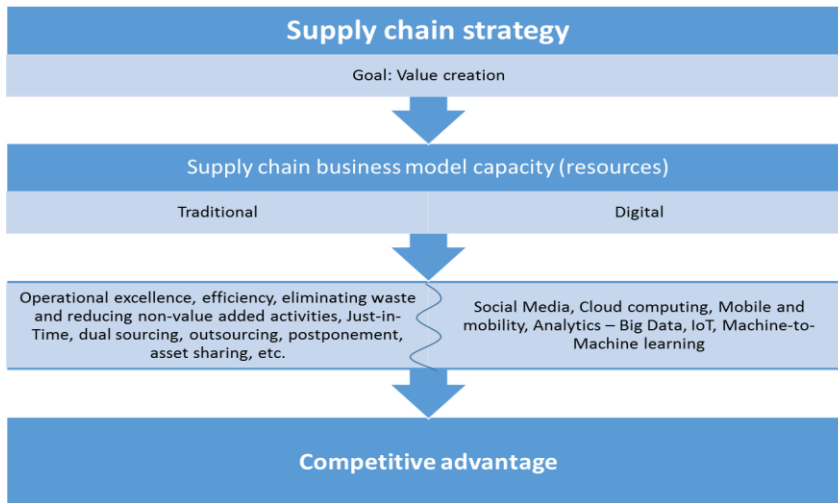
Supply chain business model diversity and customization is driven by segmentation. The first approach to segmentation is differentiation of customers’ needs. This is the lowest level of division for final segmentation of supply chain business model activities due to the fact that even value perception of single product may vary between the different customers. In the broader view the segmentation can be led by many approaches and logic, like: product-related (i. e. product life cycle phase, physical characteristics, demand uncertainties or forecast accuracy), customer-related (i. e. customer segment, customer collaboration capabilities, and buying behaviour or buyer personality types), supply-related (level of engagement in product development, level of value creation, or uniqueness) or geography-related (regionalization of the market, distance between customers or suppliers, or clear geographic boundaries of the market) aspects. McCarthy et al. , 2016). Additionally there can be a multi-factor approach for segmentation as a result of different logic and aspects’ combination. Those influence for example on omnichannel further development.

Segmentation is a starting point for supply chain model diversification and customization. During this process the aspects of supply network configuration, product delivery strategies, customer-order de-coupling point positioning, strategic inventory positioning and transport mode selection or type of the relation between the particular partners (so the capacity – resources) configuration should be in place.

As the needs may vary and the same product might have different values from the perspective of single customer the type of supply chain model will probably never be clearly mode 1 or mode 2. On a specified part of the supply chain mode 1 may be the best, but for the other parts of the flow the mode 2 or again mode 1 might be better solutions. Therefore companies should rather revise the ability to use multimodal approach for their supply chain business models – so the capability to easy ‘switch’ between modes or adopting part of the supply chain business model to particular demand characteristics.

Thus, currently **multimodal supply chain strategy should be analysed in terms of value creation by ability to arrange combination of the capabilities of supply chain business model that are developed on the event basis.** The multimodal supply chain strategy concept is shown on figure 6.

Figure 6. Multimodal supply chain strategy – business model capacity diversification



Source: own elaborations.

### Conclusions and further directions of supply chain strategy development

Business environmental framework started to be strongly influenced by disruptive ICT technologies. Digital transformation impacts also on supply chain and their strategy development should be revised.

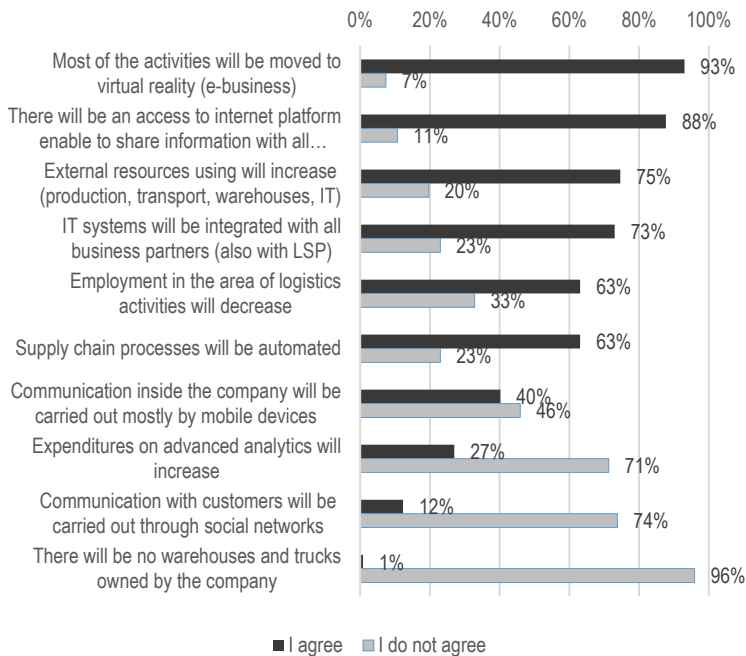
Most of the existing supply chains have linear model and are centred on operational excellence, efficiency, Just-in-Time deliveries, and lean activities eliminating waste and reducing non-value added activities. With high demand fluctuations and available SMAC technology resources the new innovative solutions started to be introduced into the supply chain strategies. The value creation and delivery can be gain by building the supply chain business model that is able to arrange combination of the capabilities – resources that are selected and implemented on the event basis. That is a concept of multimodal supply chain strategy. **Multimodal supply chain strategy should be analysed in terms of value creation by ability to arrange combination of the capabilities of supply chain business model that are developed on the event basis.**

However supply chain is under constant process of its evolution. The environmental framework creates both – opportunity and threats for supply chain managers. Currently ICT and SMAC technologies play central role in the direction of business models development. This trend will probably dominate any other capacity development of business models in terms of their ability to gain competitive advantage by supply chain strategy in the future.

Those assumptions were verified by author's research conducted by CATI methodology on 122 supply chain managers in Poland during September 2016. The study subject was on current and future supply chain management activities in terms of technologies usage and their influence on supply chain processes. According to respondents the most likely occurrence, which will take place within the next five years is the development of e-business by moving most of the activities to virtual reality (93% of managers agreed on that). This means process automatization or even elimination of part of existing supply chains as they will not add value to the system any more. Managers expect also that within next five years there will be a widespread access to the internet platform that enables information sharing between supply chain stakeholders (88% agreed on that statement). Additionally the increase of external resources is expected. This solution would support value creation by the resources that are not owned by companies directly engaged in the supply chain. In terms of ICT and SMAC technologies usage, managers additionally claimed that communication with customers will probably not be carried out through Social media soon (only 12% agreed on this statement) and 71% do not agreed that expenditures on advanced Analytics will increase. The detailed results are presented on figure 7.



Figure 7. Supply chain managers' predictions over the next five years



Source: own elaborations.

Those results show the level of awareness on how ICT can reconfigure or revolutionise future supply chain business model. However, they do not explain if managers are prepared to gain on new supply chain strategy development. The research just caught the moment when the multimodal supply chain strategy should be deeply revised in terms of configure the right capacity for right value creation and gain competitive advantage.

To meet this challenge, the segmentation of customers' needs, characteristics of supply side, variety of values created by the same product or geography-related conditions are those that should be revised in terms of accuracy of chosen supply chain models' capabilities.

Segmentation is a starting point for supply chain model diversification and customization. During this process the aspects of supply network configuration, product delivery strategies, customer-order de-coupling point positioning, strategic inventory positioning and transport mode selection or type of the relation between the particular partners and arability of SMAC technologies or other ICT solutions (so the supply chain business model capacity – resources) configuration should be analysed.

Additionally, during the existing phase of supply chain development the multimodal supply chain strategy should be the one to be carefully revised for near future competitive advantages creation.

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## The Reception of Erasmus in Poland in the 16th and 17th Century. Absorptions, Contacts and Inspirations

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### Abstract

Gerhard Gerhards vel Desiderius Erasmus was known as Erasmus of Rotterdam (1467-1536) and was the renewer of Italian humanistic thought. He became a central authority of the Northern and Western European Renaissance. The humanism of Erasmus was open-minded and egalitarian. Being anxious about the state of the Church in the sixteenth century, he professed the need of its reform, however in the Roman-Catholic (spirit). As a Coryphaeus of the irenicism, Erasmus became a spiritual and intellectual guide of the international rank of humanists including the Polish ones. Spreading (the values of the ancient Greek culture, he was more of a Hellenist than a Latinist in his philosophical inspirations. He was influenced by several intellectuals, contemporary and earlier to him, including Jan Kochanowski (a Polish poet). He contributed to the development of the biblical studies of Church Fathers thanks to the critical edition of the Greek text of New Testament. Both the life and activity of Erasmus as well as the reception of his ideology were full of. As an advocate of peace, reconciliation and goodness, he was the witness of political and religious wars which divided European nations.

**Keywords:** Reception Erasmus, Poland, absorptions, contacts, inspirations

### Introduction: Erasmus and the development of the Polish humanism

As a passionate defender of Catholicism and a critic of scholasticism and the catholic customs, he became an advocate of the catholic renovation of the Church and lastly, the initiator of the reformist movement. As a social educator and a promoter of humanistic culture, he was a spectator of the enlarged obscurantism and intellectual poverty. And, at last, as the protagonist of the (peaceful reconciliation of disputes and social dialogue, Erasmus became an object of assaults both of religious reformists and Catholic and scholastic fundamentalists. Erasmus, who wanted to be the third healing force of European humanism in the meaning of religious unity, became at the end of his life isolated, bitter and disappointed with the world and people.

In Poland Erasmus was "discovered" relatively late, because the Polish intellectual elite, integrated at the court of the king Sigismundus I, was influenced by the Italian Renaissance (inspired by Queen Bona Sforza of Italian origin). They directed their attention towards Italy, being indifferent to other European sources of humanism (Backvis 1975, 561-562). The interest in the works of Erasmus as the renovator of the Italian sources of humanism was rather indirect. This interest in the representatives of other than Italian sources of humanism caused a certain admiration for him in Poland, which soon (became a special kind of snobbery. The affirmation of Erasman works started the Polish Erasmanism, which integrated both different milieus and individuals. **Ludwig Jodok** Dietz (ok. 1485-1549) – Alsatian, bourgeois, to whom Erasmus dedicated one of the Works of ST, Basil, Krzysztof Szydłowiecki (Sydlaukis 1467-1532 s), to whom Erasmus directed his *Lingua*, was a Great Chancellor and Piotr Tomicki (Tomicius 1464 -1535) the receiver of Erasman edition of Seneca was a vice Chancellor and the Bishop of Cracow. Jan Łaski (Joannes a Lasco 1499 – 1560), the nephew of Jan Łaski ( Lascius 1456 – 1531) the Catholic Archbishop, studied under the personal tutorship of Erasmus, became the Calvinist and the creator of the first Calvinist parish in Frisland. He was later a reformer of the Church of England. Erasm was highly valued by Andrzej Krzycki (Cricius 1482–1537) and Jan Dantyszek (Dantiscius or Johann (es) von Hoefen Flachsbindler (1485 -1548). Tomicius and Cricius, with the support of the king Sigismundus, I made an effort to bring Erasmus in Cracow Academy, in order to reform it in the spirit of humanism. Apart from the social position, Polish Erasmanists were distinguished through their religious attitudes. Stanisław Hozjusz (Stanislaus Hisius 1504-1579), for example, a bourgeois, was a leader of Polish reformation; Stanisław Lismanin, a monk and the confessor of the queen Bona, was later the calvinist activist in Małopolska; Jan Drohojowski was later a bishop of Wrocław, Jakub Uchański (the bishop as well) became the primate bishop, was (an advocate of the National Church, Stanisław Orzechowski was the Catholic fundamentalist, Jakub Przyłuski was a vicar in

Mościska, was later the founder of the calvinist press and at last – Bernard Wojewódka, who was an interpreter of Psalms and a chief editor of the calvinist editorial office in Brześć.

The life and work of Erasmus inspired Polish reformers and artists, who spread his thought in Poland for decades, a long after his death.

### **Absorption: The Invasion of Erasmian book, sources and early interpretations**

The central moment in the reception of Erasmian ideology in Poland was the invasion of the Erasmian book, which crossed the borders of our country around 1515, when Erasmus reached the peak in his writing activity. This broad invasion of Erasmian book in Poland had formed the character of Polish Erasmianism in its first phase, its egalitarianism both in connection to its receivers and its sources of reception, among which there were great cultural centres as well as provincial ones (e. g. Nysa – 1512 and Przemyśl – before 1518). Simultaneously these outposts of Erasmian thought, two main centres appeared in Poland: the central – in Cracow and a western one – in Wrocław. During the first phase of the reception of Erasmus in Poland two parallel streams emerged: socially elitist (subjective and individual, based on the epistolary exchange) and impersonal egalitarian (the reading movement) (Barycz 1971, 10).

#### **The Cracow centre**

The Erasmian thought reached Cracow or more precisely Cracow Academy centre indirectly, because the Cracow Academy had never played any role in the life of Erasmus and he himself found the information about it in the letter of Andrzej Krzycki (Andreas Cricius) from 20<sup>th</sup> December 1525. However, the Erasmian book penetrated the Cracow milieu much earlier. It is very difficult to indicate the date, when Erasmian book appeared in Cracow, because of a lot of misunderstandings stirred up around this fact<sup>1</sup>. There were above all works of a moral and religious character or even theological. In the library of Marcin Biem from Olkusz (1470-1540) one could find three biblical paraphrases<sup>2</sup> and one volume of the Cracow edition of the polemic between Erasmus and Luther from 1526<sup>3</sup>. The similar character had Erasmian works collected in the library of Collegium Maius<sup>4</sup> Academy of Cracow. Among theologians who had vivid interest in Erasmian works there were Jan Leopolda Starszy (Senior 1482-1535) and Jakub from Kleparz. Among humanists who read Erasmian works there were Łukasz Aquilinus, the preacher of King Sigismundus Augustus, Antoni from Napachañ and Sebastian Janeczka from Kleparz (Barycz 1971, 13). Theological Erasmian book could be found in private collections as well. For example, in the library of the humanist and professor of the medicine – Piotr Wedelicjusz from Oborniki, who translated works of Hipokrates<sup>5</sup> (Miaskowski 1908, 28)

The second stream of Erasmian creation, the stream of the new literary culture was implanted at Cracow Academy in 1518 by Leonard Cox, who arrived in Cracow from England. In 1522, he initiated lectures devoted to the explanations of the Erasmian work *De duplici copia verborum ac rerum* with an eye to disseminating the rules of the new Latinism. This work, which consists of the so called “the vault of words” (*copia verborum*) and of “Ideas” (*copia rerum*) became Cox’s favorite instrument of promoting the new Latinism, especially after his settlement in Cracow and the launch of his lectures at the Academy. The enthusiasm which he inspired among Cracow students for Erasmian works led to the creation of Erasmian association there (Barycz 1971, 14). The members of the circle disseminated Erasmian works of a manual-scholar, philological-grammatical and political-propagandist character. One could find there an international mixture associating Jan Sylwester, who later edited the New Testament based on the translation of Erasmus into Hungarian language (1541) ; Jan Hesse, the young humanist from Wrocław, who was later a reformer, and Jan Henckel, the Cracow scholar, who later lectured in Vienna (Barycz 1971, 15). The admiration for the scholar from Basel was expressed in the best way in the letter from Cox to Erasmus from (Cracow, 28<sup>th</sup> March 1527:

<sup>1</sup> The opinion that the first Erasmian book appeared in 1517 in the library of Paweł from Krosno was formed on the basis of the incorrect reading of its title (Barycz 1971, 12)

<sup>2</sup> *In Ioannem, Marcum et Lucam*

<sup>3</sup> *Hyperaspistes diatribae*

<sup>4</sup> Loan register of the Collegium Maius library, the manuscript of Jagiellonian Library no 242.

<sup>5</sup> Among the collected works of Erasmus there are: *Exomologesis sive modus confitendi* (Wydanie bazylejskie, 1524), *Paraphrasis in psalmum tertium, Precatio Dominica, De libero arbitrio, De Dei misericordia*. ( K. Miaskowski, „Piotr Wedelicjusz z Obornik” „Rocznik Poznańskiego Towarzystwa Przyjaciół Nauk”, t. XXXIV, Poznań 1908, s. 28.

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*Dear Erasmus, You so often spend mornings with us, with You we eat lunches, with You we go ahead for a stroll, with You we sit at dinner, with You we spend nights, the most pleasantly. Although, so long distance divides us, You are always between us, and we have never been apart.* <sup>1</sup> (Erasm z Rotterdamu 1965, 60)

The highest degree of expression of that climate one can find in the poem of Stanisław Hozjusz. Who described the friendship between Erasmus and Jan Łaski (Joannes a Lasco), who inspired the activity of the association with Erasmus and who stayed at Erasmus's house in Basel (*Stati Papini... Sylvae cum scholii a Leonardo Coxo Anglo adiectis*, Kraków 1527) (Barycz 1971, 17). The disintegration of the Cracow association after 1527 caused the distraction of its members, but simultaneously the dissemination of Erasmus though e. g. in Silesia, Czech and Hungary.

It is noteworthy that simultaneously to the reception of Erasmian works the lecturing movement developed in the Cracow centre focusing on the interpretation of works of the humanist from Basel. However, this activity much behind the reception of his books in Poland. The first lecturing contact with Erasmian ideas at the Cracow Academy was brought about through a speech by Cox in 1522. The systematic lectures devoted to Erasmus were delivered at Cracow Academy between 1530-1545. There were ten lectures. Three of them dealt with the interpretation of *De duplici copia verborum*, and another seven (- *Modus epistolandi*, with the handbook devoted to letter writing. The team of lecturers, who delivered these lectures, inspired the interest among Stanisław Cieśla (Carpentarius), Bartłomiej from Stardom (de Ponte Regio), Andrzej Glaber from Kobylin, Jerzy (George) from Tyczyn, (Jakub from Gostyń and Jakub Belza (Barycz 1971, 20-23).

The second great Erasmian ferment swept across the Cracow Academy in mid 1540s. Since 1545 Szymon Marycjusz (Maricius) from Płzen<sup>2</sup> and Wojciech Nowopolczyk<sup>3</sup> had delivered lectures on the epistolary art.

This second wave of the interest in Erasmus in Cracow was less enthusiastic but more intellectual. It directed the attention towards his works, his literary and scientific culture, and to the human life aspirations according to his indications. Barycz 1971, 24). Among Polish Erasmians in Cracow one has to list Stanisław Rożanek (Rosarius) from Kleparz, who collected fifteen positions of Erasmian works in his library<sup>4</sup>, as *Moriae encomium*, *Enchiridion militis Christiani*, *Colloquia familiaria* and – very rare in Poland - *Epithome in Laurentium Vallam* (Barycz 1971, 438). The next representative of that second wave, there was Stanisław Grzepski, the classical philologist of the Cracow Academy, who gathered in his library six editions of Erasmian works including the *Adagia*<sup>5</sup>. To sum up the Polish Erasmianism in the Cracow centre one could mention that between 1520 and 1550 it was the important source of the European thought. That is why, all intellectual ferments present there reflected the whole of Central Europe, especially Hungary, the Czech Kingdom and Silesia.

### The Silesian Centre

The next important Centre, which was inspired by Erasmian echoes was the city of Nysa in Silesia as well as the parish school there. Among representatives of this centre one has to mention Walenty Krautwald (1499-1545)<sup>6</sup> and later – Kasper Waydelich, who collected in his library important works of Erasmus, e. g. the paraphrase of st. Paul's letters *Institutio*

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<sup>1</sup> Leonar Cox to Erasmus, The correspondence of Erasmus with Poles, trans. And ed. M. Cytowska, Warszawa: PIW, 1965, pos. XIV, p. 60; Allen, P.S., Allen H.M., Garrot H.W., *Opus epistolarum Des Erasmi Roterdami*, Oxford 1906-1958, No 1803.

<sup>2</sup> Szymon Marycjusz (Maricius) from Płzen (1516-1574), the pupil at first, later the professor of the Cracow Academy, the scholar, admirer and interpreter of the ancient literature. Recognizing the state of Italian universities, in his pedagogical treaty *On schools or academies, two volumes* he stressed the importance of education and presented the tool with which the educational system in Polish Commonwealth should be cured. Marcius, who highly evaluated the work with young people, regretted the depreciation of the teachers' state in Poland. When he found a rich sponsor, he left the teacher's state and devoted himself for the pedagogical theory. He saddled the authority (religious and secular) with the responsibility of the low condition of school in Poland.

<sup>3</sup> (1508-1559). The further tutor of Jan Sigismundus Zapolya. He was a humanist and theological writer.

<sup>4</sup> Rosarius collected in his house the outstanding library, which – thanks to new books and relevance of the choice of its authors created the impressive, as those times, bibliographical collection. For further information see: R. Barycz, *Saga kleparskiej rodziny Rożanków. Historia trochę kryminalna*, [w:] Tenże, *Z epoki renesansu, reformacji i baroku. Prądy-idee-ludzie-książki*, Warszawa: PIW, 1971, s. 400-452.

<sup>5</sup>The edition by F. Froben, 1528. See, the Library of Collegium Maius, Jagiellonian Library, manuscript 242.

<sup>6</sup> The humanist, latinist and hellenist, the adherent of the reformation. He was a pupil of Cracow Academy (1506-1509) and the creator of the richest humanistic libraries in Poland. Among his collection one could find *Moriae Encomium* (Strasbourg, Mateusz Schurer 1511), paraphrase of the letter of st. Paul to Romanians, *Lucubrations* (Strasbourg 1515) and *Apologia ad Jacobum Stapulensem*. (Barycz 1971, 25)

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*principia Christiani, Paraboles* (from 1516), *Hyperaspistes, Lucubrations* and *Moriae encomium* (edition of Basel 1515 r.) (Barycz 1971, 26). Probably, he bought these positions from Kreutwald, who left Nysa and moved to Wrocław.

After the move of Kreutwald to Wrocław in 1514, that city became the important source of the ideas, of the Philosopher from Basel. The early Erasman contacts between Wrocław and Cracow reached 1515, when Jan Turzo, the Rector of the Cracow Academy in 1498, Jan Hess (the further religious reformer of Wrocław and Stanisław Saur – the humanist and polyglot together initiated the cult of Erasmus himself and his works. Walenty Kreutwald joined this team soon. But the most significant place in the history of Erasman contacts between Wrocław and Cracow was occupied by Jan Rullus, who collected in his library a dozen writings and editions of Erasmus, divided into two thematic groups. The first included grammatical-stylistic handbooks and three editions of *De duplici copia verborum*, the commentaries to comedy of the Terencius *Andria*, the handbook for the epistolary art, the edition of *Apophthegmatów* (of Plutarch and *Institutio principis Christiani*. The second group of Rullus collection included the literary writings of Erasmus, among which one could enlist *Apophthegmata, Colloquia familiaria, Moriae encomium, Epistolae* (Barycz 1971, 29). The death of Rullus in 1523 broke the Cracow-Wrocław bond in popularizing the Erasmus thought. Simultaneously, the Cracow Academy turned away from the Erasman movement and creation. Since the middle 16<sup>th</sup> century Polish Erasmanism acquired and individual, unofficial and a slightly secret character of contacts with his work. The remaining volumes of Erasman works from private collection and the register of reading book from Collegium Maius Cracow Academy could be the evidence of that fact.

### Contacts, letters

Simultaneously with the “discovery” of Erasman works in Poland by domestic intellectuals, a certain snobbery appeared among them. It consisted in the strong will to be in contact with him, if not in direct – unless indirect, epistolary one. This will was not unfamiliar even for kings. The signs of adoration for Erasmus, which streamed from Poland, were undoubtedly like a “soothing balm” for Erasmus (Backvis 1975, 563), who at that time became the object of attacks from the Western intellectuals, which resulted in his sourness and misanthropy at the end of his life. Polish intellectuals as well as European ones, who acted in Poland, who contacted with him directly and who were in correspondence with him, were the witnesses of his psychological condition at that time. Direct, personal contacts of Poles with Erasmus were, however, very rare and difficult, which was the result of the difficult character of the scholar. The highly valued by contemporary Polish scholars correspondence between Erasmus and Polish humanists is usually overestimated, taking into account that out of 3141 of preserved letters of Erasmus, those from/to Poles comprised only 92 or the small percentage of Erasmus contacts (Cytowska 1965, 9). Among permanent correspondents of Erasmus there were Church notables: Piotr Tomicki<sup>1</sup>, Andrzej Krzycki<sup>2</sup> and Andrzej Zebzydowski<sup>3</sup>, dignitaries: Krzysztof Sztydlowiecki<sup>4</sup> and Piotr Kmita<sup>5</sup> and citizens of the German origin: Jost Ludwik Decjus (Dietz)<sup>6</sup> and Seweryn Boner<sup>7</sup>, , Jan Dantyszek (Danticius)<sup>8</sup> from Gdańsk and Jan Antonin (Antoninus)<sup>9</sup>.

The most loyal Polish correspondents of Erasmus and simultaneously the most respected by him were Antoninus, Tomicius and Cricius. Tomicius was treated by his contemporaries as a man of the new culture and new life style. Cricius, then of an

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<sup>1</sup> (1464-1535) The Bishop of Cracow and the Great Vicechancellor of Polish Kingdom, secretary and advisor of the king Sigismundus I (Cytowska 1965, 106).

<sup>2</sup> (1482-1537). The Bishop of Przemyśl and Plock, later the Archbishop of Gniezno (1522) and Prime Bishop of Poland. The nephew of Piotr Tomicki (Cytowska 1965, 36).

<sup>3</sup> (1494-1560). The nephew of Andrzej Krzycki. The pupil of Cox and Erasmus. He was in turn the Bishop of Kamieniec, Chelm, Kujawy. Since 1550 he had been a Bishop of Cracow and Chancellor of Cracow Academy (Cytowska 1965, 62).

<sup>4</sup> (1467-1532). The Great Chancellor of Polish Kingdom, voivode and castellan of Cracow. Erasmus dedicated him the work *Lingua* Basel 1525. (Cytowska 1965, 30).

<sup>5</sup> (1477-1553). The Great Marshal of Polish Kingdom (1529). He belonged to patrones of Erasmus (Cytowska 1965, 292).

<sup>6</sup> (1485-1545). He originated from Wisemburg. He was a historia and economist, the member of Cracow city council and the secretary of the king Sigismundus I. During one of his travels in 1522 he stopped in Basel, where he met Erasmus (Cytowska 1965, 22).

<sup>7</sup> (1486-1549). The castellan of Sącz, the district chief and governor of Cracow. In 1531 he sent his son Jan with a friend Stanisław Ajchler (Glandinus) and under the tutorship of Anzelm Eforyn for a vojage to Italy. In a way young men stayed in Fryburg at Erasmus house (Cytowska 1965, 195)

<sup>8</sup> The other name: Flaschbinder (1485-1548), the newlatin poet, diplomat and secretary of the king Sigismundus I. At the end of his life he became a Bishop of Warmia. In 1531 he stayed in Netherlands as a legate at the Charles V court (Cytowska 1965, 218).

<sup>9</sup> From Koszyce (Czech Kingdom) (1499-1543). He was a student of Cracow Academy and Padua University, the medical doktor. From July to November 1524 he stayed AT Erasmus house. In 1526 he settled in Cracow and died as the Court doktor of the king. (Cytowska 1965, 31).



expressive personality and impressive way, as well as of his poetical talent, became the most representative person of the early modern Poland (Backvis 1975, 566). Cricius, with the companion of such Erasmianists as Cox, Decius, Antoninus and Tomicius was an inspirator of the idea, to place Erasmus at the Chair of Cracow Academy, in order to offer him a peaceful haven for the rest of his life. This initiative influenced Erasmus and aroused his liking for Poles, which appeared by the Erasmian increasing interest for Polish affairs, so domestic as international (Cytowska 1965, 10). As the result of this curiosity there was the correspondence between Erasmus and King Sigismundus I, of an irenistic character<sup>1</sup>. The King recommended the son of Seweryn Boner – Jan to Erasmus care<sup>2</sup>. Young Polish dignitary sons consecutively availed themselves of Erasmus hospitality. Except the mentioned Jan Boner, who reached Erasmus home with his friends, the Bishop Cricius sent to him his nephew Andrzej Zebrzydowski, the pupil of Cox. The unexpected, but the most important journey there was a visit of Jakub Growicki at Erasmus house. Jakub Growicki was a canon and custodian at St. Giles church in Cracow, who accompanied the abbot of Cisterians from Mogilno in his way from Vatican. They met Erasmus in their return journey.<sup>3</sup>

The separate attention one should pay to the contacts of the Łaskis family with Erasmus, which had not only epistolary character. There were initiated by Jan senior<sup>4</sup>, then continued by Hieronim<sup>5</sup>, Jan Junior<sup>6</sup> and Stanisław<sup>7</sup>. The friendship of Erasmus and Jan Junior seems to be the beautiful charter in the history of Polish humanism, but simultaneously it revealed the difficult character of the Philosopher from Basel. His correspondence with Jan Łaski senior resulted with the dedication for the Bishop of Gniezno of Erasmus edition of St. Ambrose works. Was it the real expression of respect for him, or only the attention to the friendship and protection of the influential dignity to be in authority? While the dedication remained without any reply from the Bishop – and without any contribution – the intercourses of Erasmus with Łaski family significantly aggravated (Backvis 1975, 567). It is seen in the correspondence of Erasmus with Jan Junior connected with the purchase of Erasmus library in 1525 with the privilege of the lifelong use of it by the philosopher<sup>8</sup>. Łaski bought the library for 300 Polish zlotys, which was the equivalent of 200 florens, when meanwhile in his letter from 21 March 1533 Erasmus stated that its value was 100 florens higher and he had a lot of buyers, who could pay that price<sup>9</sup>. So, it seems that these difference in price meant the sum of gratification for a dedication for Łaski's uncle. It is interesting concerning the fact that the uncle of Łaski died two years earlier than the date of the letter of Erasmus (Backvis 1975, 567).

Analysing the correspondence of Erasmus with Poles and throwing away the conventional form and epistolary expressions, one could reconstruct the relations between Erasmus and his correspondents, independently from the frequency of letters exchange and the quantity of preserved documents. One could notice Erasmus's sympathy to the young intellectuals, tutors and educators of the Polish dignitary's sons.

The paternal relation is seen in Erasmus contacts with Marcin Słapa Dąbrowski, who accompanied Andrzej Zebrzydowski or with Anzelm Eforyn or Stanisław Glandin, who traveled with young Boners – Jan and Stanisław (Cytowska 1965, 11-12). That "father-sons" relationship was reciprocal, because in letters of Jan Antonin, Jan Łaski junior and Anzelm Eforyn to Erasmus there are repeatedly used such phrases as "my father", "the best friend", "beloved Erasmus", etc. The whimsical character of Erasmus was expressed in his letters to the Polish dignitaries. Letters to Szydłowiecki and Cricius, however cordial in its sounds, he kept a distance, nevertheless Erasmus evaluated the poetical art of the nephew of his the most

<sup>1</sup> Erasmus to Sigismundus I, from 15 May 1527 (XVI, AA 1819) , the reply from Sigismundus I from 19 February 1528 (XXIX, AA 1952), Erasmus to Sigismundus I from 28 August 1528 (XXXVII, AA 2034).

<sup>2</sup> Sigismundus I to Erasmus from 17 August 1531 (LI, AA 2520)

<sup>3</sup> Jakub Growicki to Erasmus from 15 May 1533 (LXXIV, AA 2811)

<sup>4</sup> Jan Łaski (Lasco) (1456-1531) the paternal uncle of Hieronim, Jan and Stanisław, the Archbishop of Gniezno and the Great Chancellor of Polish Kingdom (Cytowska 1965, 30)

<sup>5</sup> Hieronim (Jarosław, Jarosz) Łaski (1496-1541), voivode of Sieradz, diplomat and condottiere. Łaski met Erasmus during his stay in Brussel in 1520. He visited him two times in 1521 and 1524. Erasmus dedicated Hieronim two volumes of his *Modus orandi Deum*, Basel 1524, and *Institutio Christiani Matrimonii*, Basel 1526. (Cytowska 1965, 23).

<sup>6</sup> Jan Łaski junior (Joannes a Lasco 1499 – 1560), brother of Hieronim, the nephew of Jan senior, the parish-priest of Łęczyca and Gniezno, religious reformer. He studied at German and Italian universities, from 1524 to 1526 he stayed in Paris, Padua and Basel at Erasmus house, from whom he bought the library. He was an admirer of Erasmus and one of the first propagators of his thought in Poland. He initiated the post mortal edition of his works. In 1539 he associated the reformation movement and acted in Eastern Frisland and England. Since 1556 he had settled in Poland where he acted towards the unification of Polish protestant movement in the national reformation church. (Barycz 1984, 610)

<sup>7</sup> Stanisław Łaski, the brother of Hieronim and Jan junior (d. 1550) was a soldier and diplomat (Cytowska 1965, 23).

<sup>8</sup> The contract deals with the selling of Erasmus' library to Jan Łaski j. Basel 20 June 1525 (XCIII)

<sup>9</sup> Erasmus to Jan Łaski j. from 27 August 1528 (XXXVI, AA 2033)



life-long friend – Piotr Tomicki (Tomicius). Erasmus had the highest opinion of Jan Dantyszczek (Danticius), however only one dedication letter remained, which Erasmus wrote to the Bishop of Chelm from 1532<sup>1</sup>. Undoubtedly, the Erasmianism of Dantiscius, widely known in Netherlands, as well as his attitude in the defence of Erasmus against Belgian Bishops, contributed to the sympathy for him (Cytowska 1965, 12). This attitude, spoken at large about in the Church and at universities, was noticed by European Erasmianists, which resulted in the special gift for Danticius – the portrait of Erasmus painted by Hans Holbain. The Erasmianism of Dantiscius introduced him as a diplomat into the crown of European friends and adherents of Erasmus as well as into his correspondents (Cytowska 1965, 13). Except Danticius, one could find other Polish names in Erasmus letters to his European friends. Among others, one could enlist Tomicius, Cricius, Szydłowiecki and Zebrzydowski. The last one became an object of the anecdote, which Erasmus told to one of his correspondents – Daniel Stibar<sup>2</sup>. In these letters Erasmus enlisted as well his Polish enemies who slandered his name. But this information had never been repeated in any letter to Poles. And Poles in their letter to Erasmus had never mentioned it as well.

### ***Moriae encomium* (The Praise of Folly) in Poland**

The reception of Erasmus in Poland was simultaneous to the reception of his most significant work *Moriae encomium*. According to the edition of this work (Shurer ion Stasburg 1511) it appeared in the collection of Piotr Tomicki (Tomicius) and Walenty Kreutwald, and in 1520 – in the possession of students of the Cracow Academy. The work became soon the one of the four most popular Erasmian works (with *Adagia*, *Colloquia familiaria*, *Institutio Principis Christiani*, *Novum Testament Greace*). But its reception at the beginning was very superficial and formal and it was the reason of the fact that the work did not have a recent translation into Polish. The next reason was that it included crushing critique of the middle ages. The translations of Erasmian works into Polish were accidental, casual and anonymous. Adaptations of Erasmian texts for the purpose of the reformed Churches prevailed and rapidly appeared in Poland. That is why it was in the Enlightenment that the Catholic milieu appreciated the value of non-theological works of Erasmus. The first translations of *Moriae encomium* into Polish language were done in the 19<sup>th</sup> century<sup>3</sup>. Meanwhile, other the works of Erasmus were translated anonymously or under cryptonyms. Two first translations from 1530s and 1540s were *The Holy prayer separated into seven parts* from 1533, and *Volumes called language (Lingua)* from 1542, which Erasmus dedicated to Decius and Szydłowiecki (Barycz 1971, 33). In 1545 the third adaptation of Erasmian work appeared, which was fitted to contemporary Polish situation, as the appeal for peace (*Quarella pacis*) entitled *Polish admonition to all Christians for the agreement, or namely to Poles made* in translation of Stanisław Łaski (Lascio). The same author inspired by one of Erasmian dialogues included in *Colloquia familiaria* wrote in the dialogue form a satirical poem for the Piotrków Sejm in 1535 under the title *De asiana dieta*. Moreover, Erasmian *Colloquia familiaria* remained as the satirical-lampoon pattern of Polish nobles against the marriage of the young king Sigismundus Augustus with Barbara Radziwiłł (Barycz 1971, 34). The next translation appeared in Królewiec in 1558 as an adaptation of Erasmian work *The Christian knighthood and the spiritual life* by Wojciech from Nowe Miasto, which was used for the needs of dissenting churches developing in Poland. The last Renaissance translation of Erasmian work was done by Sebastian Klonowic *The nobility of good manners* from 1674, which based on *De civilitate morum* from 1530.

However, the most important Erasmian work *Moriae encomium*, which included the critic of the society, governments, the poverty of religious and intellectual life, did not reach the separate translation to the time of counterreformation movement, which caused that – except some works of pedagogy or irenology – the rest of Erasmus ideas almost neglected. The similar situation was in Polish reformation movement, where *Moriae encomium* occupied the second-rate place in relation to *Colloquia familiaria* (Barycz 1971, 36). In the libraries of famous protestant intellectuals, as Wojciech Kaliszak in 1579 and Stanisław Lubieniecki junior (1679) *Moriae encomium* was in collection of the first of them, when the second one had only theological works.

The Enlightenment only “discovered” this Erasmian work for Polish culture. Its influence is significant in the art of Ignacy Krasicki in his *Monachomachia* (War of the Monks, 1778), which was the critique of monks' ignorance and the monastery

<sup>1</sup> Erasmus to Jan Dantyszczek (Dantiscius), from 30 April 1532 (LXVI, AA 2643).

<sup>2</sup> Andrzej Zebrzydowski was the object of robbery in Paris. Unknown person in the crowd cut all his richly decorated silver buttons from his clothes (Cytowska 1965, 14).

<sup>3</sup> In 1513 *Moriae encomium* was translated into Czech by Sigismundus Jelensky – Gelenius. In 1517 appeared the first translation into French, in 1518 – German, and in 1549 – English (Barycz 1971, 32). Two first Polish translations were from 1975 as self-dependent and anonymous. The first, hand-written, were translated from French by Erasmus from Mazovia and it is still in the Library of the Plock Society of the Friends of Science. The second originated from Lviv and was supplemented by the autobiographic commentary of the anonymous interpreter, which indicated one of professors of the grammar school (Barycz 1971, 38-39).

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life deformation, and in *Satires* (1779), where the author used the Erasmus formal means – the reversed valuation of the phenomena, to criticize its positive side and to glorify – negative one. During the partitions times *Moriae encomium* was perceived by all three invaders as a work which disseminated the socio-political impatience and the muddle in human mind, and at the same time it came within a censorship. Not till the second half of 19<sup>th</sup> century was the interest in Erasmus works brought to life on the territory of partitioned Poland. Then, we had the two mentioned anonymous translations, from Plock and Lviv as well as the third one – by the bishop Ludwik Łętowski, the church dignitary, who found in the work of the Great Hollender the similarity with his ideas on the ecclesiastic world, its ignorance, material greed and the hankering for power. In his creative translation of the Erasmus work entitled “The defense of stupidity for rational people” from 1861-62<sup>1</sup> Łętowski used the persiflage, which means the upturned critique and the ambiguous praise of all indications of stupidity and offence, which originated from it (Barycz 1971, 40). This work differed from the original in its form as well. Instead of the long narration of the original, Łętowski proposed the aphorism. The next attempt to the inspiration of the Polish reader by *Moriae encomium* undertook the Ossolineum Press in 1953 through the translation of Edwin Jędrkiewicz. Since 1960s Maria Cytowska has been the best Polish translator of Erasmus works<sup>2</sup>.

### The literary Erasmus inspirations

The reception of Erasmus work in Poland had a multilayered character. It started chronologically from the reception of Erasmus esthetical- literary work, through theological-religious, which inspired the Polish reformation movement, educational-didactic, which were present in the Polish intellectual milieu. Even in the times of intensive critique of Erasmus ideology, his satirical works inspired the art of the Enlightenment artists. What is significant for the Polish Erasmusism is that there was the interference of different social and religious orientations, which was the result of the irenology of Erasmus and which rather connected people rather than separated them, independently of their political convictions.

Moreover, since the first phase of the reception of Erasmus work there had not been the resolute polarization of religious standpoints and one could believe in the unity of the Christian Church in Poland. These ideas penetrated the group of intellectual leaders concentrated around Andrzej Frycz-Modrzewski (Andreas Fricius-Modrevius), Franciszek Lisnianin (a monk, Franciscian, the preacher of the queen Bona Sforza, and later – the Calvinist activist in Małopolska and Królewiec – Koenigstein), Jan Drohojowski (The Bishop of Wrocław, the friend and patron of Andreas Fricius-Modrevius), Jakub Przyłuski (the parish-priest in Mościska, the Calvinist, establisher of the press, where he printed *Leges seu statuta Ac privilegia Regni Poloniae*), Bernard Wojewódka (the translator of psalms, the chief of Calvinist press in Brześć), Stanisław Orzechowski (an outstanding stylist, the advocate of Catholicism, publicist, who got an absolution after the break of celibate for his zealous fight against the reformation) (Ziomek 1977, 36-37)

### The Polish esthetic Erasmusism

The reception of Erasmus works started from his esthetic writings, devoted to the epistolary art as well as from the idea of “new Latinism” based on the perception of Cicero’s works. The most outstanding representative of such Erasmusism in Poland was Jan Dantyszek (Jan Dantiscus – 1485-1548), the diplomat, who traveled around Europe in diplomatic missions, the Church dignitary, connected with the court life. He was the most conscious publicist poet Polish-Latin. Considering his diplomatic mission, he stayed in 1530s in Lovanium in Belgium, where he informed local intellectual about the discoveries of Nicolaus Copernicus. The famous poet Niderland-Latin Johannes Secundus devoted several poems to him. His compatriot and friend – Jan Stratius settled temporarily in Poznań, and the Hebraist Jan van der Campen (Campensis) from Lovanium owed the help and protection in his work on Paraphrasis of *Psaltar* to Dantiscus. This paraphrasis became later a basis for the translation by Mikołaj Rej (Nicolaus Rey)<sup>3</sup> (Borowski 1984, 60). Erasmusism of Dantoscus appeared mainly following the program of Erasmus, who focused on the reanimation of neglected Italian humanism. Dantiscus acted in line with this idea. He inclined Jan Campensius, the Dutch humanist to undertake the production of the poetical

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<sup>1</sup> This translation was rather in a form of biographical notes, which he wanted to include to the second or third volume of “Miscelaneas”, which, however, had never appeared after a scandal which accompanied the edition of the first volume and its buying up by the Cracow Chapter (Barycz 1971, 40.)

<sup>2</sup> *Common dialogs* (Colloquia familiaria - 1962), *The correspondence of Erasmus with Poles* (1965), *Dialogs. Selection. Ciceronianus* (1969).

<sup>3</sup> Andrzej Borowski, „Belgijsko-polskie związki literackie”, [w:] *Literatura Polska. Przewodnik Encyklopedyczny*, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 1., s. 59-61.

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paraphrases of psalms *Psalmorum omnium... paraphrastica interpretation*, which was of a realization of anti Ciceronian opinions of Erasmus. The Work appeared in Cracow in 1532 with the introduction of Dantiscus (Ziomek 1977, 91).

### **Erasmus and the governmentality in the art of Polish reformers of the State and Law.**

The reception of Erasmus ideology in Poland was simultaneous with two tendencies characteristic for the Polish culture of 16<sup>th</sup> century and which shaped, for the first time in this country, the so called (public ratio, which was the main political orientation and a consistent set of features, recognized as the "national spirit" of Poles (Backvis 1975, 517). The first of these two tendencies was to become audible and to supervise the leadership of the state affairs. The second one – was to create the integrated and united society of the Polish Commonwealth (Res Publica), the name of which had become an official one for the Jagiellonian Kingdom since 1512 and it was to be identified with the State. It was the period of creation of a certain governmentality, in the meaning of the post-modern philosopher Michael Foucault. In other words, it was a tendency, which overwhelmed the whole West and which continually tended towards the creation of a such type of power, which one could call as a management (government), and which would be situated beyond the rest of types as sovereignty, or discipline, and which – at last provided to, from one hand to the development of a specific sorts of power tools, and from the other – to the development of a specific types of knowledge. It was a process, or rather the result of the process, which caused that the medieval state of law – that became in the 15<sup>th</sup> and the 16<sup>th</sup> century the state of administration – was gradually "governmented" (Foucault 2004). The Polish Erasmianism, which overlapped these tendencies since the beginning of the 16<sup>th</sup> century, produced the outstanding individuals and the intellectual ferment of the Cracow and Silesian Centres (increased the several social-reformist, political and legal works.

As the first of such experiments one could acknowledge the work of Andrzej Glaber from Kobylin (a. 1500-1572), the lecturer and Erasmianist from the Academy of Cracow in 1540-1543. Glaber, clever and of a wide scale of interest, was undoubtedly the proto-feminist, because he – as the first in Poland – undertook an effort of the knowledge popularization and the intellectual emancipation of women. His work *The biographies of Praiseworthy Women*. The expression of his greater literary ambitions there were the satirical narrative work, written in defence of bourgeois laws *Senatulus or the women's Seym* from 1543, the inspiration of which he took from Erasmus<sup>1</sup> (Barycz 1984, 303).

The year 1543 brought the next work of the famous Polish Erasmianist Andreas Fricius-Modreuius. It was a work *Lacius, sive de poena homicidi* (Lascius, Or On The Penalty For Manslaughter), so called *Oratio prima* (The first speech). It was a work in the form of Hieronim Łaski (Lasco) speech in Senatus, and it dealt with the problem of social injustice connected with the punishment for the homicide (Ziomek 1977, 179-180). Andrzej Frycz-Modrzewski (Andreas Fricius-Modreuius 1503-1572) was the most outstanding Erasmianist of the Christian humanism. There was an attitude characteristic for Erasmus as well. It meant the critic of the status quo and the demand of deep changes, both in the Christian practice (as a religious and moral life of Christians) and the practice in Christian culture. In these both dimensions Erasmus postulated the return back to the forgotten primary and authentic sources and to replace the secondary sources and contrary to Christian values by them. He propagated the return to Bible as a primary and authentic source of the Christian faith and to the classical ancient heritage as a root of Christian culture. In his Christian humanism Erasmus understood the faith more as an actual realization of the moral life rules included in the Gospel than the theoretical attitudes and motives of these rules. This attitude consisted in the realization of the plain and intelligible common ethical values but not on the building of the coherent system of its motivation. The second, very important intellectual option of Erasmus was an interiorization of Christian essences and values, which was expressed through the degradation of the range of rituals, signs and symbols so important in Christian religion and through the (emphasis of (values (of experiences and the moral dimension of Christian life. In this type of attitude there was a ruthless condemnation of the war between Christian sovereigns. Erasmus criticized the Christians contemporary to him, stigmatized (hypocrisy, which transforms sins and faults into appearance of virtues<sup>2</sup>.

The opinions of Andreas Fricius-Modreuius were similar to Erasmus. Contrary to the reformation movement which commanded the superiority the Grace over the Order and contrary to Martin Luther's claim, for whom the Virtue did not constitute the Charistian, but there was an incidental result of „Christianity”, Modreuius – like Erasmus – proclaimed the kindness of the human nature, which was exercised and perfected through the act of faith and Grace (Ziomek, 1977, 186). After studies at Cracow Academy (1517-1522), he received the inferior holy orders and worked at the chamber of the Prime

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<sup>1</sup> Henryk Barycz, „Glaber Andrzej”, [w:] Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 1, s. 303.

<sup>2</sup> Juliusz Domański, „Erazm z Rotterdamu”, [w:] Powszechna Encyklopedia Filozofii, wersja dla WWW. <http://ppta.pl/pef/erazmzrotterdamu>. PDF (30.11.2009)

Bishop – Jan Łaski (Lascius) senior. In 1531 he started his service at the office of the Bishop's nephew (- the humanist and reformer Jan Łaski junior (Joannes di Lascio), he stayed in Germany, where he met M. Luther and Ph. Melancton. After the death of Erasmus (1536), he brought from Basel to Poland the library of the Philosopher, bought by Lascio. After his return to Poland (1541) he stayed in Cracow at the Łaskis court and got acquainted with the reformation milieu. In 1547 he became a secretary of the king Sigismundus Augustus and in that dignity he traveled several times abroad. After the abandonment of the function, he settled in Wolborz. He was oppressed by the Catholic Church for his reformist sentiments and even for a heresy (Literatura Polska. Przewodnik Encyklopedyczny 1984, 279-280). Since 1546 he had started the work on his most eminent work *Commentatorium de Republica emendanda libri quinque* (edited partly in Cracow in 1551, in full version in Basel in 1554, partly translated into Polish by C. Bazylik as "On the Improvement of the Commonwealth", Łosk 1577) <sup>1</sup>. The work was deeply settled in the ancient and Christian tradition and connected with the contemporary socio-political, religious and pedagogical Erasmian thought. It increased based on the observation of contemporary socio-political relations in Poland. The work brought the proposal of the fundamental reconstruction of the Polish noble state into the centralized monarchy. It consisted of five volumes: *de Moribus* (On Customs), *de Legibus* (On laws), *de Bello* (On war), *de Ecclesia* (On Church), *de Schola* (On School) and it postulated the equality of all citizens in law, regardless of the social status, the faith and fortune, the primacy of the law in the State, supported by fair courts. The educational system and the Church should be supervised by the State as well (Tazbir 1984, 151). The problem of fair and unfair wars mentioned in the volume III (On Wars) was similarly treated by Erasmus. In that volume the arbitrary argumentation of Fricius-Modrevius was originated not as many on the Holy Bible or Christian tradition as on the opinion of the ancient historians, philosophers, writers. In this volume the next time Fricius postulated the efficient functioning of the State, which defended its borders, built forts, supported and financed the regular and disciplined army. The same opinion was expressed twelve years later by Jan Kochanowski (Joannes Cochanovius - 1530-1584) in his *The Dismissal of the Greek Envoys* (1578).

Erasmianism of Jan Kochanowski appeared in various forms. On the one hand, it came to light in *Epigrams*, which the poet had written for the whole life (published in 1584), and especially in the idea of the "world as a theatre" which was closed to Lukrecjus, Plotyn, Erasmus and Marcus Stellatus Palingenius. In Kochanowski's formulation the topoi lost its tragic dimension and assumed the ridiculous, comic, modest and shifless character (Ziomek 1977, 288). On the other hand, the influence of Erasmus revealed in Kochanowski's work in his governmentality, which became the nucleus of *The Dismissal of the Greek Envoys*, but it was present in *Carmina* (two volumes 1586) in Erasmian motif of the sovereign's responsibility for the society entrusted (*Carmina* XIV, vol. II "You, who rule over the Commonwealth..."). *Carmina*, which the poet had written for his life long, there were a certain dimension of the Renaissance autobiographism. The third, important dimension of Kochanowski's Erasmianism there was a Christian humanism, especially visible in his religious life. It was revealed in Kochanowski's translation of the *David's Psalter* (1579), where he sought the convergence between the Old-Testament and Christian religiosity, and the ancient-pagan tradition (Ziomek 1977, 310). He met the Erasmian works during his long fifteenth years' period of studies, at the beginning in Cracow Academy (since 1544), in Padua (1552-1555). He visited Roma and Napoli and in 1559 traveled to France with a Flemish friend Karl Utenhove, with whom he visited Belgium and Rome and after the short stay there he returned to Poland in May 1559. Since that time he had started his court service with other Polish dignitaries and became one of royal secretaries and courtiers. The period 1564-1570 were the most productive in his poetic life and closely connected with the cultural-intellectual atmosphere of Wawel and Renaissance Cracow and the milieu of courtiers – writers and intellectuals concentrated in this most important Skurce of Polish culture. It was a period of his vivid interest in ideology of reformation and political affairs (execution of laws and the improvement of the State). After 1571 his connection with the court loosened. Kochanowski settled in Czarnolas, where he set up a family and started the period of life characteristic for the agricultural noble family of Polish Renaissance. He wrote poetics, led a life full of happiness and interested in current political-ideological affairs of the century. In 1579 he experienced the mourning after the death of his beloved daughter Urszula – the heroine of *Laments*, and the second daughter – Hanna. Kochanowski did not reach the full edition of his works, completed to print in the Lazarus (Łazarus Andrysowicz) Press of J. Januszowski. He dead in Lublin and was buried in Zwolen. Kochanowski was a poet of uncommon talent. He gave to Polish culture the modern poetical language, the wealth of the new poetical genres, versification and stanza forms. In his attitude to the native language, he shared the Erasmus opinion, who postulated a lecture of the Latin ancient texts "with the notebook", and the

<sup>1</sup> The first edition – not completed because of the Church censorship (The censorship of the Academy of Cracow and synod of Piotrków) without volumes IV and V in Cracow in 1551, Lazar Andrysowicz Press, the Polish translation of C. Bazylik with the Latin introduction of A. Wolan and Polish of Sz. Budny as "On the Improvement of the Commonwealth, volumes four", without the volume on Church, in Łosk 1577. (Tazbir 1984, 151).

imitation of them with the artistic initiative. Therefore, in the opinion of Erasmus who wrote in Latin there was the intuition and motivation of the development of poetry in national languages (Ziomek 1977, 344).

Kochanowski exposed in his poetry – for the first time in such dimension – the world of inward, personal emotions (poetical autobiographism) being at the same time the sensitive observer of the reality (the phenomena of everyday life, public and national affairs) and deeply anxious of the reform of the State and customs. His personality was shaped in connection with the European intellectual culture of humanism and Renaissance, and he became an expression and symbol of it. Close to Erasmus in his meaning of irenism, Kochanowski was an exponent of the deep faith in the world hegemony, the natural law, the possibilities of human mind and virtue, which he acknowledged as the greatest value, especially the virtue of the civil service for the State<sup>1</sup> (Ulewicz 1984, 452-453). His most famous work *The Dismissal of the Greek Envoys* from 1578 took under consideration the moral problem of war and peace in the tradition which reached back to Cicero, St. Augustine and Erasmus, to the tradition which divided fair and unfair wars, defensive and offensive ones. Tradition, which considered, that one could use all peaceful means to avoid the war, but if it was inevitable, one would have used the most effective tactics as well as offensive one (Ziomek 1977, 299). *The Dismissal*. . . situated itself (among the humanistic intellectual commonwealth as *De republica emendanda*. . . by Fricius-Modreuius, where war and peace was not so much a topic, but a situation, in which the moral condition of the society was checked. The ancient mask of the drama referred to the Erasmian postulate of the lecture “with a notebook” of ancient works, but without “antiquating” the contemporaries through giving it the ancient names, pen-naming instead of denominating (Ziomek 1977, 344). That is why Troya in *The Dismissal* is called as Republic (Polish Republic)

Kochanowski, who created more than he wrote, became an authority in the Renaissance Poland and the certain „school” for his imitators as well for admirers of Erasmus art. Marcin Bielski (Wolski)<sup>2</sup> came to the top of the pleiad, the author of *Satires*, in which one followed the *Satore* of Jan Kochanowski. *Satires* of Bielski consisted of three parts of the different value and poetics. The first: *The May dream of one hermit in the green forests*, the second – *The Women’s Seym* and the third – *The Dialog of the three Profets*. *The Women’s Seym* (1586-95) which is the outstanding parallel. Bielski took an idea from Erasmus, whose *Senatulus* was known and read. The facetious and grotesque description of the women’s debate process was taken from Erasmus. In Bielski’s work women debated as well in quarrelsome, disorderly and narrow-minded way and in that dimension the work in anti-feministic. But women debated similarly to men’s way, and – what is sure- not less efficient as their husbands or fathers. In this moment the anti-feministic pretext transformed into the satire of a general, political and social character. Women – contrary to Erasmian work – represented the rational program of political and social reform e. g. regarding to the common duty bound to the defense, the excessive import of goods, or the precautions against the separatist tendencies of the Prussian Duchy (Ziomek 1977, 354). He revealed the eminent orientation in administrative, political and economic affairs of Polish Republic. That is why his work was included into the political-social stream of Erasmian inspirations, into the stream dealt with the improvement of the State and the civil responsibility for the country. It included the anti-clerical and anti-bourgeois accents as well (Krzyżanowski 1984, 83).

The 17<sup>th</sup> century brought the greater depth between the antiquity and Christianity. From the great source of the European culture that the antiquity was, the Middle Ages profited as well, but the greatest difference between the Middle Ages and Renaissance towards to the antiquity was that Renaissance artists in their inspirations of antiquity threw away the mediation of the Church. Erasmus saw in this throwing away of the Church, the dangerous effect of Renaissance in which the contemporary man preferred to be a Cyceronian than a saint (*Cyceronianus*, 1528). In Middle Ages the antiquity supported the Christianity, when antiquity in Renaissance supported the opposition towards the Church. At the end of the Renaissance revealed the aim for the restitution of the superior role of the Church in the culture which appeared through the rebirth of topics and genres of medieval literature, adopted to the new cultural situation<sup>3</sup> (Hernas, 1978, 15). The Erasmian tradition in Poland in 17<sup>th</sup> century was manifested in spectacular, marginal and secular way, in opposition to the hegemony of the church literature. It was a shoddy theatre, the cultural niche of the secular literature. The new Polish comedy was born at

<sup>1</sup> Tadeusz Ulewicz, “Kochanowski Jan” [w:] “Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 1, s.452-454.

<sup>2</sup> (c.a. 1495-1575), the poet, chronicler and translator. In his youth – the courtier of Piotr Kmita. He sympathized with reformist movement, when he stayed in Cracow. Since 1540 he run a farm in his own country. The literary career he begun under the name Wolski with *The Lives of Philosophers* in 1535. Then, he wrote the *Chronicle of the whole World* (1551), and the first in Polish history the general history from the time of the Old Testament to 1550 (The first edition: *The Chronicle or the History of the World*, Cracow 1554). The rest of his works included: moralitet *Justyn I Konstancja Comedy* (1557), pose treaty *Noble’s affair* (1569), *Satires* (1566/67) edited with adnotations of his son Joachim (1586/87) (Krzyżanowski 1984,83).

<sup>3</sup> Czesław Hernas, “Barok”, Warszawa, PWN, 1978, s. 15.



the end of 16<sup>th</sup> century within the mischievous culture, from the work *The Plebeian Expedition* (1590), which used as a base the dialogue between the priest and his servant. The drama realized the simplest dramatic foundations. The same form was used by the mischievous comedies which referred to the humoristic Seyms, which followed the Erasmian pattern. The work of Erasmus *Senatulus sive gynejkosybwedrion* (Publisher in *Colloquia familiaria* from 1516) caused a wave of imitations. In Poland there were: *Senatulus of the women's Seym* of Andrzej Glaber from Kobylin (1543), and *Women's Seym* of Marcin Bielski (1586). The literary stream of seym's dialogues develop its own genre similar to the drama. Its value consisted on its sociological representativeness. Social classes deliberated on the parliamentary right for the assignation of the common constitution. It was the public opinion of the other social strata than the privileged one, achieved in the poetic of a joke and satire, but (- truthfully – exposing the other spheres of social customs, ideas and types (Hernas 1978, 202). One could see the shoveling state in *Synod of Shoveling from the Foot-hills* from 1607, the beggary's state in *The Beggar Peregrination* from 1512, women's seym in *The Seym of Women* (1617) and in *The Seym of Virgins* of Jan Oleski (1617) and in *Prerogatives or Wives Freedom* of Jeremiasz Niewieściński, and at last – the priests' state in *The Synod of Heretical Ministers* from 1611, with the visible reformer accents. The peasants' state was presented in *The Peasants' Lament against Nobles* of Jan Dzwonkowski, in *Seym or Domestic Constitutions* (1608) and in *Law Paragraphs how to Judge Scoundrels and Jugglers* (1611), which was the real constitution of slyboots' life (Hernas 1978, 202). Beyond the minstrel culture, Polish Erasmianism, or rather theological anti-Erasmianism revealed in the art of Fabian Birkowski, who – in his sermons *Orationes ecclesiasticae* from 1622 and in *Sermons for Sunday and Annual Feasts* (1620) warned students' youths against the lecture of Erasmus (Hernas 1978, 203).

Wacław Potocki (1621-1696) was the last, great, Polish Erasmianist of 17<sup>th</sup> century. He was a poet, a noble from the Arian family, who spent the whole life running the farm. He started to write in Arian tradition, using genres, esteemed in this tradition, as didactic and emblematic poems, religious songs, rhymed tales based on the biblical plots. After the decree of Arians outlawry in Poland in 1658, he refused to quit the country and converted to Catholic faith to continue his literary work<sup>1</sup> (Kukulski, 1985, 209).

The early work of Potocki, whose main elaboration was the *The Progress of the War of Chocim* (1670) was closely connected with the baroque dispute on the worldly and spiritual values. The poetical expression of these tradition was an allegoric Christian knight, patterned on the work of Erasmus *Enchiridion militis Christiani* from 1502, who covered with the beaver, which meant the eternal life, protected by a shield, which meant the faith and fought with a sworn, which meant the God's truth – against five enemies, which represented the power of Evil: the devil, the death, the world, the sin, and the body (Hernas 1978, 404). There is a work of Potocki entitled *The Duel of the Christian Knight*, treated as a debut in 1644. The next one, which to Erasmus was *Moralia*. The collection consisted of 2100 works patterned on Erasmus *Adagia* which the Philosopher edited for the first time in 1500 as the collection of the Latin proverbs. *Adagia* had been completed for years and the work obtained a lot of admirers and followers. In 1670 Potocki received the work from one of his friends (edition from 1551) and started his own work in 1688. He finished it in 1694 and he started the work on the second volume, which was broken by his death in 1696. Contrary to Erasmus, whose *Adagia* could be used a practical help in the learning Latin, Potocki in his *Moralia* brought into relief the value of the common sense (delivered by the antiquity (Hernas 1978, 433). The lecture of *Adagia* became the point of reference of the unconstrained moralist and publicist associations. At the same time *Moralia* became the synthesis of the reflection of the old poet. *Moralia* was not thought as a work for a print, that is why one could find there the sharpness (of conclusions and the pessimistic civil reflection. Potocki had observed the degradation of the Polish Republic for nearly 50 years and he discovered the sources of the regression mechanisms of the State. He saw it, described it several times and concretised them. As the loyal towards Erasmus, he criticized all that he disliked in the Church, especially the collapses of the conscious rules and the obligation of the "innocent to the faith" (Hernas 1978, 434). *Moralia* included also the apocalyptic view of the Polish future, in which the disorder led to the loss of the Polish independence (Hernas 1978, 437). The art of Potocki ended the 17<sup>th</sup> century period of Erasmian inspirations in the Polish culture, especially in the dimension of its "governmentality" and the spirit of the improvement of the Church institution and the religious life, and the State condition as well.

**Christian - humanistic reflection on the human nature and own's nature as the inspiration of Polish humanists.**

<sup>1</sup> Leszek Kukulski, "Potocki Wacław", [w:] "Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 2, s. 209.

The second stream of Erasmian inspirations in the Polish culture is visible in the art of Mikołaj Rej (Nicolaus Rey) in his certain literary autobiographism, which revealed the deep humanistic reflection on human nature and the value of one's life. Nicolaus Rey (1505-1569), the poet, prose writer and translator was the one of the leading representatives of the Renaissance literature in Poland. He learned at the beginning in Skalmierz, in Lviv and in 1518 he became a student of the Cracow Academy, but after a year he returned to the family in Żurawin. He was the leader of the reformation in Poland, "the kindly man", who realized in his life the rule of perfection expected by the Renaissance ethics. Staying at the court of Tęczyńskis dignitary family he obtained the culture and education, he shaped his artistic, literary and musical abilities. He was a good landlord, thanks to which he obtained a property and he (could establish such towns as Rejowiec and Oksza<sup>1</sup> (Krzyżanowski 1984, 278). He was interested in politics, the evidence of which can be found in the work *A short dispute between three persons, the Landlord, the Village Chief and the Priest* edited in 1543 under the name Ambroży Korczbok Rożek. That work dealt with the current political system, religious and customary problems, and was settled in the stream of Renaissance "governmentality" and the fight for the execution of the Royal laws and goods. The work was, at the same time a critique of the customs of nobles and clergy, and being an apotheosis of the peasants' state had no equivalent in the Polish literature. The prototype of the work one should look for in the Swiss literature, in the out-put of the Lutheran Joachim Vadianus, the author of *Karstans* from 1521, and at the same time it was situated in the stream of polemic literature of the reformation period (Ziomek 1977, 219-221). But the most important work which is consisted in the Renaissance autobiographism there was *The Life of the Hones Man* written in 1558, which showed the philosophy of life of the poet. In was the noble attitude towards the world, a human being and the poet's own life, which became an important accent of the work of Rej. Simultaneously this attitude was characterized by the contempt towards the fashionable and worldly life, which was a result of the Calvinism of the writer (Ziomek 1977, 240). In 1567-68 Rej explained his attitude the second time in the work *The Mirror or The Image of a Good Man's Life*, which is treated as a testament of the writer. The first volume of that collection included the apophthegmas what meant the speeches of famous people from antiquity and later times, originated from the Latin collections of humanists, first of all – from Erasmus. The work illustrated the everyday life of the Polish landlord of 16<sup>th</sup> century (Krzyżanowski 1984, 693).

In the same stream of the self-consciousness of the human being towards the world and God was represented by Jan Kochanowski in his works distinguished by the autobiographism. His religious attitude, which one could call as a Christian humanism directly linked to the concept of Erasmus and co-related to the writing and translation style of the religious works. In this spirit Kochanowski translated the *David's Psalter* (1579 – Lazarus Press) and he wrote *Carmina*, where the authobiographism was not mean the recalling facts from the poet life, but the creation of the special atmosphere. The autobiographical atmosphere was the one of the most important element of the shaping the Renaissance lyric. In contrary to the Middle Ages, when it was impossible to separate a human being from the (material- carnal Universal, the man of Renaissance accepted its uniqueness and subjective character. Kochanowski found in his *Epigrams* the place for consolidation of the lyric moment, the colour of event and a man's behaviour. In his *Carmina* he went further. This disclosure of subjective "I" from the human world, material things and nature was only a perception of human uniqueness, but the philosophical-moral category as well. The Renaissance autobiography is also the manifest of the artistic self-consciousness. The fullest expression of this self-consciousness one could find in *Laments* written after a death of Kochanowski's daughter – Urszula (Cracow, The Lazarus Press 1580), which dealt with the Erasmian understanding of religiosity as the feeling of responsibility of one's fate and the proverb – "I belief, because it is rational". *Laments* of Kochanowski indicated the masterpiece of epicedial poetry of the Polish Renaissance. The ancient epicedium as the work should consist on *Laudes* (praise), *iacturae demnstratio* (manifestation of the loss), *Lucius* (grief), *Consolatio* (consolation) and *Exhortatio* (admonition). Kochanowski created the cycle, in which the epicedial parts were realized by the followed works (Ziomek 1977, 319). The difference character of *Laments* in the literature consisted of the new conception of the hero. In epicedias there was tripled: the dead person, the relative and the poet. Meanwhile in *Laments* there was a outstanding relationship between them. The main is the poet in his double role as consoling and being consoled, admonishing and being admonished. This is a poetry of the personal crisis of the poet, which meant that the world seen as a harmony and order – lost all its beauty. The autobiographism in *Laments* had its different dimension, because the collection as well as the character of Works illustrated the process of mourning – from the protest to consolation. The part of consolation included the repulse by the poet the philosophy of nature and stoicism and the consolation in the faith. The personal and emotional crisis impaired the poet's optimistic view of the world, but it did not change the general rules of

<sup>1</sup> Julian Krzyżanowski, „Rej Mikołaj”, [w:] „Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 2, s. 278-279.



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Kochanowski's religiosity. This religiosity was connected with the idea of Erasmus, for whom the faith is connected with a life style and the feeling responsible for one's life (Ziomek 1977, 321-322).

In the similar epicedia character Piotr Rojusz (Petrus Roysius vel Petro Ruiz de Moros 1505-1571) created his work. He was the Spanish origin, lawyer, poet and priest, educated in Italian universities and brought to Poland in 1542. He lectured the Roman law in Cracow Academy to 1550, and since 1549 he had been a courtier of King Sigismundus Augustus<sup>1</sup> (Zablocki 1984, 292). Roysius was a friend of Rey, Kochanowski, Fricius-Modreuius and Górnicki, and he was a hero of *Epigrams* of Kochanowski (*About the Spanisz Doktor*). He wrote the court and anniversary poetry. He was an author of epicedium after a death of the king Sigismundus I in 1548 *Historia funebris in obitu divi Sigismundi Sarmatiarum regis...*, which was a description of the Royal Funeral and the praise of the dead, through the enumeration of serf, neighbours and sovereigns, who arrived for the ceremony. Roysius followed in his work the Homer's description in the meaning of Christian Cyceronianism which is disseminated by Erasmus (Ziomek 1977, 350)

### Erasmian reflection on language and the heritage of the Polish-Latin and Latin-Polish poets

The idea of Christian Cyceronianism, which Erasmus proclaimed after Vida (the imitating not the Cyceronian Texas but his creative initiative) was present not only in Roysius texts and Kochanowski's (*Chess*, Cracow 1562 or 1566). It was present also in the creation of the Polish intellectuals of the second half of 16th century, who inscribed into the European humanists stream. One of them – Patrycy Nidecki (1522-1587), the classical philologist, Latin poet and church writer, who studied in Padua and was friend with Jan Kochanowski. Since 1556 he had been a secretary of the king Sigismundus Augustus, later of the queen Anna Jagiellonka. He remained as an esteemed editor and the specialist in commentaries of Cicero's works (*Fragmentorum M. T. Ciceronis tomii IV cum... adnotationibus*, 1561). At the same time Nidecki was the ceremonial poet and the religious polemist<sup>2</sup> (Ulewicz 1984, 21). The next Pole who was inspired by Erasmian Cyceronianism was Jakub Górski (1525-1585), the humanist, rhetorician, logician, philologist and priest. After the studies in Cracow Academy, he became a docent and eight times a rector. He published three handbooks on rhetorics, which increased the latynist culture in Poland. The next handbook of Górski served to dialectics by Cicero patterns and humanists, and it was highly evaluated in Europe<sup>3</sup> (Barycz 1984, 322). In his polemics with Benedykt Herbest (1531-1593), the author of works devoted to the creation and life of Cicero, he supported Erasmus in his position on rhetorical period against the adherents who supported the Cicero's opinion. In spite of the insignificance of the polemic it was important to mention it because of the exhibition of the intellectual atmosphere of 1550s and 1560s, and indicated the certain common value of the European humanists (Ziomek 1977, 345). Although, that common value became looser in 1570s, that was the Erasmian Cyceronianism inspired the intellect of the Polish-Latin poets in 17<sup>th</sup> century, when the counterreformation in Poland assisted with the regress of intellectual literature located Polish Erasmianism at the margin of culture. The end of 16<sup>th</sup> century and at the beginning of 17<sup>th</sup> brought the crisis of social consciousness as well and as the result of an offensive counterreformation it brought the necessity of the religious choices, the verification of values and basic notions. It became a fact after the Council of Trent (1545-1563), resolutions of which paved the way for the broad counterreformation movement and dealt with the educational, sciences', arts' and literary program. In Poland, that crisis appeared through the retreat from the European sources of humanistic culture, and from Erasmus ideas, which was evidenced by the new publications hitherto Erasmianists, who reversed their values there. As the pattern one could recall the collection of poems of Jan Dantiscus *Hymni aliquot ecclesiastici* (1548), which were in ideological opposition to hitherto poet's and diplomat's achievements and were close to medieval values. The similar statement represented Stanislaw Hozjusz (Hosius), the author of the Preface of Dantiscus collection, and the leading representative of Polish counterreformation (Hernas 1978, 16). The most significant pattern of the Polish attempt to the Erasmian work in 17<sup>th</sup> century there were sermons of Fabian Birkowski. The problematic of his two volumes *Orationes ecclesiasticae* (1622) and *Sermons for the Sunday and Annual Feasts* (1620) included the deep critique of Erasmus ideology and the caution against the lecture of his work by Youths (Hernas 1978, 350-351).

### Conclusion

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<sup>1</sup> Stefan Zablocki, "Poizjusz Piotr", [w:] "Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 2, s. 292.

<sup>2</sup> Tadeusz Ulewicz, "Nidecki Andrzej Patrycy", [w:] "Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 2, s. 21.

<sup>3</sup> Henryk Barycz, "Górski Jakub", [w:] "Literatura Polska. Przewodnik Encyklopedyczny, red. J. Krzyżanowski, Cz. Hernas, Warszawa, PWN, 1984, T. 1, s. 321-322.

The reception of Erasmus in Poland proceeded in different parallel streams. The work of the Great Humanist inspired Polish intellectuals in the 16<sup>th</sup> and the 17<sup>th</sup> centuries variously as well. The theological inspirations, linguistic and philosophical ones initiated the Polish „governmentality” and „self-consciousness” of the Polish humanists. That phenomenon accompanied the Erasmian position in propagating the New Latinism gave the beginning to the development of the literature in the national language. Not all of Polish writers and in not all of their works the name of Erasmus (was mentioned as the Master and the inspiration of the work or even its part. That happened in works of Jan Kochanowski and Andrzej Frycz-Modrzewski (Fricius-Modrevius), which however were deeply Erasmian. Sometimes he was only a “bridge” between the Polish and European humanism with its specificity, the “bridge” which was named the “Christian humanism”. The real adherents of Erasmus one could not find within his correspondents but just after the death of the Great Humanist, between the generation of the most significant representatives of, what Claude Backvis called, the “generation of 1543” (Backvis 1975, 572). In 1543 both Janiccius and Copernicus died, two outstanding Polish intellectuals. That year brought the first texts of Mikołaj Rej (Rey), Andrzej Frycz-Modrzewski (Fricius-Modrevius) and Stanisław Orzechowski, three representatives who perfectly differ from each other. In the same year the important decision were taken, such as the decision of the written form of the “Constitution” passed by the Sejm in the Polish language. This generation consisted of people, who – through their birth status and orientation represented the full consciousness of the social strata which created the high culture and successively held sway over nation, but originated from the middle and small noble class. Simultaneously that group required the reform and represented the different degree of fancy toward reformation movement. The fact, that the full reception of Erasmus took place in Poland after his death, thanks to new people, whom Erasmus would have not known, and whom he probably would have not esteemed as his dignitary friends, guaranteed the permanent influence of the Great Humanist on Polish culture. Because of that generation one could talk as of people who established humanism in Poland. They were the authors of the national form of humanism, the rejection of Italianism and accepting of Erasmianism as the point of reference (Backvis 1975, 572).

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## Sustainability Symbol of Justice

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### Abstract

Quality of life has very much to do with being sustainable. In a country where development and money is the means of progressing making profits, are unavoidable. But does the quest for progress hamper sustainability? Sustainability is important because it reflects a balance between freedom and power, independence and authority, rich and poor, justices and oppression. We have seen much oppression that emerges from exercising public power. Despite the formation of institution like integrity bodies, separate organizations to combat corruptions, tribunals and the like, yet public oppression never subside. Rudeness, unwillingness to treat the complainant as a person with rights; refusal to answer reasonable question; neglecting to inform complainant on request of her entitlement; knowingly giving misleading or inadequate advice; ignoring valid advice or overruling consideration which would produce an uncomfortable result for the overruler; offering no redress or manifestly disproportionate redress; showing bias on colour or whatever ground; refusing to inform adequately the right of appeal ; failure to mitigate the effect of rigid adherence to which it can produce manifestly inadequate treatment are all forms of malfeasance of the modern days. The focus of this paper thus is to look at the possible ways of combatting bad administration via judicial review of administrative action. What's interesting is the ability of the court to tease out the complicated issues so that justice could be delivered. Justice is far-reaching if it can be exercised beyond merely the judicial scrutiny. Being able to address the lack of justice is in fact a reflection of sustainability and high quality of life.

**Keywords:** Justice; sustainability, abuse of power, judicial review

### Introduction

#### What constitute justice?

Justice can be achieved by many means. One way is manifested by way of putting things in a rightful place as well preventing all kinds of oppression. Since justice cannot exist without a transparent legal system, the main components of which must embrace clear set of laws that are freely and easily accessible to all, strong enforcement structures, and an independent judiciary to protect citizens against the arbitrary use of power by the state, individuals or any other organization. That being said accountability is no exception. It is also associated with justice. R Mulgan for instance saw accountability in protecting the public's rights. He asserted accountability provide opportunities for otherwise weak and defenseless subjects to impose some control on powerful organizations and individuals who are supposed to be serving their interest (R Mulgan, 2005). Gaudron J in the case of *Corporation of the City of Enfield v Dev Assessment Commission (2000) 199 CLR 135* saw limiting the government power as part of accountability. He asserted accountability can be taken to refer to the need for executive government and administrative bodies to comply with the law and in particular, to observe relevant limitations of their power. For Dawn Oliver, accountability is about requiring to explain and justify against criteria of some kind, their decisions or acts and then to make amends for any fault or error whether by reversing the decision or paying compensation or in some other way- even resigning from office (Dawn Oliver, 2003). Thus the lists are by no means exhaustive.

In another word how the courts interpret the laws to translate justice give rise to the above said results (Shad Saleem Faruqi, 2008). This can be seen among others from how the court defines the law on power to regulate and prohibit as exhibited in the Australian case.

#### Power to Regulate and Prohibit

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Cases have shown how the authorities should exercise the power to regulate and prohibit. It is through these powers that court can identify whether the authorities have exceeded their power in prohibiting and in regulating the rules. Order of prohibition cannot be exercised freely without control. Such act may amount to abuse of discretionary power. This is implied in the case of *Swan Hill Shire v Bradbury* (1937) HCA 15; 56 CLR 746. Under the Local Government Act 1915 Swan Hill Council, sec 198 (1) stipulated that the council can make by-laws to regulate and restrain the construction of buildings, fences on or within ten feet of any street road. So the Swan Hill Council made by-laws in clause 4 conferring power to restrict the building of shops, houses etc unless with approval of the council. The following provisions also confer powers to consider the situation of the building like the plan, materials and estimated cost and 'any such particulars (necessary)' to enable the council or its surveyor to determine whether all the provisions in the by-law are complied with. The Supreme Court of Victoria held that clause 4 of the by laws as invalid. The Council appeal. On appeal the Full Court affirmed the decision of the earlier court and dismissed the appeal.

Dixon J justified that there is no express limitation on the discretion upon the council to approve or disapprove proposal to build. If understood properly the clause intended to give wide discretionary power to the council to the extent that the council can restrict and determined in advance whether the building is fit to be constructed. There is nothing to show that the restriction to build shop buildings was not intentional. Abuse easily occurs where power is wide and undefined. This was worsens when compliance with the by law include not only intention to build but extend further to estimating the cost of building, planning etc. This type of by-law is silent on whether due reason is needed for the council to withhold approval to build. The object of framing such a clause was not to make it an exceptional privilege lying in the special grace of the council. There are reasons why discretionary power is given to the council, maybe legislature distrusts itself to formulate in advance standards that would prove sufficient in all infinite circumstances. Thus when a provision of this kind is made, it is incumbent on public authorities to exercise the discretion with bona fide consideration and without intention to achieve other ends and purpose other than what it is supposed to uphold. The duty may be enforced by mandamus.

Court has to be careful with discretion that was almost without definition. If it were valid, the aggrieved person would be entitled to insist that his application would deserve the council consideration and if it was refused and he was able to prove such refusal was not bona fide or was prompted by motives which fell out of the scope and purpose of the by-law, he would still be entitled to claim its reconsideration. But if the council plainly restricts them, the right of the aggrieved will end there.

Dixon J beautifully stated that unless and until the opportunity is open to the aggrieved to challenge the council, he would never be able to compel the council to decide reasonably in his favor. And until such approval is given, the aggrieved would be committing an offence against the by-law should he continue to construct the building. Moreover, to show the reason for refusing his application would be no easy thing. Every explanations relating to the development of community locale amount to reasons. Dixon J justified, no reason would be held outside the scope and purpose of by laws except it has no link with municipal government. In other word all public reasons are amendable to review unless it has no relevance to authorities concern. Furthermore, although the construction of the building is regarded as a form of activity which maybe unregulated and as a result, expose to abuse and exploitations but that itself is not a thing to be repressed.

Dixon's forceful criticism in terms of regulating and prohibiting public activities is amazing. The power to regulate and prohibit may become evil in itself because if it is interpreted widely, it can authorize complete suppression or conditional prohibition within the power while the same expression can produce startling result if understood in different sense or in bona fide sense. The court concluded that clause 4 was invalid and the appeal should be dismissed.

The power to regulate and prohibit can also be looked at, from the proportionality perspective. The principle formulated by Jeffrey Jowell and Lester require the administrator, to maintain a proper balance between any adverse effect which its decision (may have on the rights, liberties or interest of persons and the purpose which it pursues (Jeffrey Jowell. 1995).

The concept of reasonable proportionality can be a test of validity to see whether the authorities' conducts are ultra vires or not. *Davies v Commonwealth* (1988) 166 CLR 79 thus laid out the guideline for proportionality test. First even if the purpose of law is to achieve an end within the scope of what is incidental to the main power it will not fall within the scope unless it is capable of being considered proportionately with the end of power? (And secondly, to see whether the law satisfied the reasonable proportionality requirement, it is important to determine the scope of law, does it go beyond what is necessarily desirable for the achievement of legitimate object meant to be attained? (By so doing the adverse consequences related to the goal can be avoided.

### **Courts approach to justice in UK**

In UK discharging the constitutional ideals of justice is made by refining the policy choices. The UK has outlined the criteria of accountability in making policy choices. The standard requires for policy choices to be just and fair, there must be rationalization and prioritization of matters. Accountability lies largely in how choices are made. How can decision makers be made accountable for the wrong policy choices they made especially when it severely affect the public? (The people have a share in deciding the best policies that should govern them. This freedom is not without basis. This freedom in fact is rooted in the constitution. The essence of constitution lies in the assurance that these fundamental freedoms should be allowed to develop actively as long as it is not insulting and offensive to others. But government always curtails this freedom when they make policy choices. Policy choices are made without regard to public cry. Policy choices are made without ordering priority accordingly and often sidestepped those seriously affected by it (Diane Longley, 1999). Government often perceives public participation a nuisance and constantly ignores public protest. Because of this, courts through constitutional principle of fundamental liberties had to protect the people's freedom via its careful scrutiny.

Assessing values are hard because adopting policy choices depends on considerable connotations and interpretations. Such being the case, values are often left unarticulated. Priorities are put at the wrong place. Wrong solutions are made and compromises, always marginalized fundamental principle like fairness. Law J asserts court must understand this otherwise it is incapable of guiding the government against arbitrary policy making.

"Discretionary power is not about simple irrationality and failure to consider relevant matter but it is more concerned with how decision maker ordered his priority" (Law J, 1999).

Thus ordering matters based on priority will give rise to accountability. Prioritizing policies to benefit and support the public is what makes it just. Governmental choices therefore must be properly guided as essence of discretionary power actually lies in the ability to choose which among the important matters are most instrumental and to order them accordingly so that justice can be delivered (Diane Longley, 1999).

This substantive fairness is in line with the concept of constitutionalism. Even though the court must not to go beyond the procedural rule but one must bear in mind that such exclusion is subject to upholding the just values which constitutionalism summon. Constitutionalism is nothing but restraints of government arbitrary power. As Thomas Paine forcefully asserted, "government without a constitution is power without rights" (Thomas Paine, 2008). Eric Brandt too asserted that government that truly upholds the constitution is a democratic government and vice versa. The court too stressed that as long as these are observed, it will not be hostile to the authorities (Eric Brandt, 1998).

Acting according to the law does not mean blind submission to the unjust law but the opposite. In other words, "government according to law" means that it is repugnant for government to abuse its power. This strong call for justice also meant that, court could review not only procedural but substantive power of the government (Mark Elliot, 2001).

RH Hickling expanded it further, for man-made law to claim recognition, it must be in harmony with God's law otherwise it will indeed be unjust and arbitrary;

The notion of law emerges at first sometimes so closely identified with the supernatural that it become so formidable as to become rigid like the ten commandment brought down by Moses and the old constitution of Johor, it could no way be changed, it was clothed with divinity, it represented the word of God and no human authority was competent to alter or revoke it. Philosopher began to consider the nature of truth and justice and to claim that the law of man must strive to be just and in harmony with the law of God (RH Hickling:<sup>2001</sup>).

### **Sources of Justice.**

Speaking of justice, the sources thus need to be highlighted. Indeed, courts' basic powers are mostly found in the constitution that derives its sources from the divine law. These powers are implied and inherent and because of the rich constitutional foundation, no expressed exclusion of courts power can discard and eliminate this inborn status. RH Hickling concurred with this notion and strongly claimed that fundamental of the divine law must accompany man made law in order for it to be just. If the divine law is sacred so are the constitutional principles because constitution possesses the energy derivable from divine root not accessible by ordinary human being. The revelations of the holy testament to Prophet Musa a. s and Prophet Muhamad s. a. w are not the making of human principles but of God the All Mighty. As RH Hickling said no human power are competent to override these as they are the words of God. Thus human made law must be in harmony with the divine law to be acceptable. In fact, RH Hickling said it is from this root that other branches of justice started to grow and develop continuously to suit the changing time and circumstances.



He compellingly justified;

When powers are assumed by the ruler it still has a natural content that is sacred, then by instinct men realized that it must be tempered with wisdom. All Malay rulers understood this. Wisdom seeks righteousness and righteousness seeks stable values and principles to aspire justice (RH Hickling, 2001).

He further reinforced the necessity of law arise not only from the divine law but must corroborate with it;

A well behave society can reject letters of thousand of laws but for the rest of us, some rules for the avoidance of physical and emotional collision are necessary. It is in the evolution of these rules that the history and rationale of our legal system can be found; and they themselves have grown out of the truths of religion (RH Hickling, 2001).

He further reinforces that law must uphold justice and moral standards as in such absence corruption and exploitations are bound to happen. He quotes what Devlin said that:

If law is out of touch with the moral consensus of the community whether by being either too far below it or too far above it, the law is brought into contempt. Virtue cannot be legislated into existence but non-virtue can be if the legislation renders excessively difficult the struggle after virtue. Such situation can have an eroding effect on the moral ethos of the community in question. The ultimate justification of law is that it serves moral ends (RH Hickling, 2001).

### **Courts approach to justice in Malaysia**

In Malaysia likewise other countries, portray justice more in a legal context rather than outside it. This can be seen in the cases of constitutional supremacy which denies the omnipotence of parliament and the state of assemblies as well as submitting to the principles of fundamental liberties. These fundamental liberties include right to livelihood, freedom of assembly, freedom against retrospective punishment and right to property.

In *Nordin Salleh v DUN Kelantan* (1993) 3 MLJ 344. An amendment to Kelantan constitution requiring an assemblyman who 'crosses the floor' to vacate the seat and seek re-election was held to violate the fundamental right of association under art 10 as assemblyman are free to cross the floor as set under art 10 of Malaysian Federal Constitution.

Whilst in *Govt of Sel vs Sagong Tasi* (2005) *Sagong Tasi & 6 Ors vs Kerajaan Negeri Selangor & 3 Ors* (2002, 2 AMR 2028). The Aborigines Act 1954 must be brought into conformity with right to property in art 13 (2) of the constitution requiring compensation when acquiring customary land.

The court held that the plaintiffs were entitled to be adequately compensated for their customary land, compulsorily taken by the defendants to build the highway linking the federal capital with the KL International Airport (KLIA).

The brief facts, seven plaintiffs, Sagong and the six others, are members of the Temuan tribe. The first defendant, the Selangor State Government, evicted them and their families from their land in Kampung Bukit Tampoi in Dengkil, Selangor.

The judge concluded that the plaintiffs' rights under common law and the 1954 Act are proprietary rights protected under Article 13 of the Federal Constitution, and that compensation paid to them under the 1954 Act was not adequate within the meaning of Article 13 (2).

Justice also demands in punishing offences it must not be enforced retrospectively. All laws should be prospective, open and clear. As in the case of *PP v Mohamed Ismail* [1984] 2 MLJ 219, where the defendant was charged with drug trafficking which was punishable with life imprisonment or death under sec 39B (1) of the Dangerous Drugs Act 1983. While his trial was pending, the law was amended to provide for a mandatory death penalty. At the close of the trial, the public prosecutor invited the court to impose the enhanced penalty. In refusing the request, the judge held that the amendment could not apply to the defendant's case as it was enacted after the offence was committed.

Whilst in *Lee Gee Lam v. Timbalan Menteri Hal Ehwal Dalam Negeri, Malaysia & Anor* [1993] 3 MLJ 265, the order of detention stated a number of grounds on which the detainee was apprehended, with the word 'or' and not 'and' in between. The court held that the statement of grounds in the alternative denied the detainee his constitutional right to know precisely the reason why he was being arrested thus unjust.

Whilst definition of "Life" in *Tan Tek Seng v Suruhanjaya Perkhidmatan Pendidikan* [1998] 3 MLJ 289 was define widely so as to give justice to the aggrieved. Tan Tek Seng (was charged with CBT and found guilty by High Court. Johor Education Department wrote to Education Service Commission (ESC), recommending Tan to be reduced in rank and salary. However,



ESC decided to dismiss Tan and Tan appealed. It was held by the court that the Word 'Life' in Art 5 (1) not only refer to mere existence of someone but extends to all integral part of life itself and matters which form the quality of life including right to livelihood.

In *Coelho v The Public Services Commission* [1964] MLJ 12 wrongful dismissal was found by the court as unjust. In this case, the Respondent tried to terminate the Coelho based on the reason that the Coelho was appointed on probation. Then Coelho applied for certiorari to quash the dismissal. The Respondent advertised in the Malay Mail inviting applications for the post of an assistant Passport Officer. The applicant made an application and was subsequently accepted for a permanent post and letter of appointment was given on an unconditional basis. The appointment of the applicant was considered as an acceptance. Thus, there was a valid contract of employment. The termination of the applicant on probation thus was illegal as it was supposed to be unconditional offer.

All the above cases, reflects that to uphold justice the right and proper standards must be followed, absence of which can nullify the law and public actions.

### Conclusion

The framework of justice has been depicted. The better it is implemented the stronger the quality of life of the people. This paper is pertinent as it has underlined how justice can prevent abuse of power that ultimately improves the quality of life of all walks of people. The upshot is that rigorous application of justice principles generates higher and better quality of life. Many tools and guidelines are constructed to combat bad governance as illustrated above. The cases in Australia and UK have shown that apart from procedural justice, substantive justice is also equally important. It lies in the domain of morality. The role of divine law in disciplining the positive law should be noted too. As power corrupts; absolute power corrupts absolutely. Due to that the courts were not hesitant to strike out laws which are oppressive and manipulative. The effectiveness of these tools though depends on how serious the concern authorities work to transform them. Sustainability thus can only materialize, in the context of justice manifested in the whole spectrum of life, legal and beyond.

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## **Sustainable Opportunities of Educational Facilities Provided to the Imprisoned Women's Children in Karachi's Central Jail**

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### **Abstract**

This study will discuss the sustainable opportunities regarding educational facilities provided to the children of imprisoned women in the different jails of Pakistan particularly in Central Jail of Karachi. It will also discuss the importance of educational facilities which are required for the mental and personal growth of the children as education has the capability to enhance the general knowledge and the personality of any individual. Education is extremely important for the children whether they live in a society or in prison, because they are the future of any country. So, the point of discussion in this paper will be the provision of educational facilities and sustainable opportunities regarding these facilities to the children of imprisoned women in Karachi and other countries of the world.

**Keywords:** Imprisoned, educational facilities, criminal activities, positive atmosphere

### **Introduction**

This research emphasizes on the sustainable opportunities of educational facilities, importance and availability of children education system improvement and development that are in prison along with their mothers. Whether in Pakistan the law exist from beginning, to protect the imprison children's educational rights and that principle is being dynamically implemented also. This research will give a brief review regarding the topic along with its comparison to other countries as well.

Further, the Pakistan's Law and Justice Commission Secretariat have got many reports and recommendations from the general public and the NGOs that the system of Karachi Central Jail requires improvement with a notion to improve the bad condition of prison inmates (Riaz & Agha, 2011). Recommendation for improving the system of Karachi Central Jail by the Jail training institutes, Pakistan's Human rights and council of Islamic ideology were very useful.

### **Aims and Objectives**

The aims and objectives of this study are as follows:

To ascertain the importance of educational facilities to the children of imprison women

To identify the availability of educational facilities in Karachi Central Jail

To analysis the condition in which children live in prison

To examine the government projects related to the educational facilities of the children of imprison women

### **Research Questions**

Research questions are as follows:

Why educational facilities are important for the children of imprisoned women?

How Pakistan's government makes it possible for the children to attain the educational facilities?

To what extent children can avail the educational facilities in Jail?

### Problem Statement

In a general, children living in jail with their mothers must not be treated as a prisoner and must get educational facilities. Unfortunately children of imprison women are not getting appropriate educational facilities which they required for their bright future (Riaz& Agha, 2011). As in world's several prisons it is usually suggested that the provision of health care with the sufficient recreational facilities including education be proffered to the children imprisoned with their mothers.

### Scope of the Study

This research has provided a review of relevant literature that is helpful for the developmental research and embryonic planning for dealing the increasing issues of the children of imprisoned women.

### Methodology

The data was collected from the primary research. For the purpose of the research questionnaires have been distributed, interview has been conducted and survey has been done. The interviews were taken by the jail authorities and prisoners and the questionnaires were also distributed among them. The aim of this research was to comprehend the educational needs of the children imprisoned with their mothers in the Central Jail of Karachi. This study has also recommended concrete intervention and initiatives that can improve the availability of the educational facilities.

### Data Collection

The study employed a descriptive and exploratory approach to comprehend the authenticity of the children of imprisoned women in the central jail of Karachi. For the combination of the qualitative methods observations and semi-structured interviews has been taken and for the purpose of the quantitative methods survey has been done and questionnaires were distributed. The survey has been done for five days and administered appropriately and the questionnaires contain easy questions in order to allow the jail authorities and imprisoned women to feel ease while filling the questionnaire.

### Data Analysis

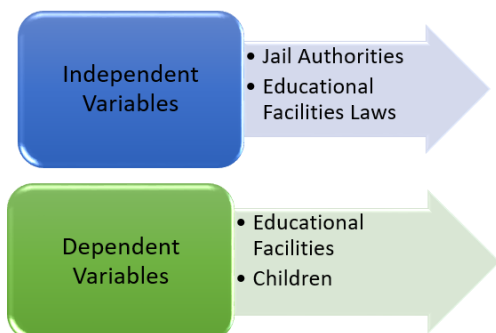
The data was analysed by implementing SPSS in order to get the accurate outcomes.

### Research Ethics

Permission was taken before entering the Central Jail of Karachi and every person including women detainees and the jail authorities who were involved in this study for the purpose interview and survey were guaranteed that their identity will be confidential.

### Limitations

Limitations comprised a strict schedule for the research completion an unexpected situation for instance delay in getting authorization for the visits.



## **Theoretical Framework**

### **Literature Review**

In the recent past the development has led most of the people to violence, disparities, violence and chaos. Indifferent and unplanned chase of the growth have been reason for society disorder and chaos (Ali & Shah, 2011). According to Goshin, Byrne & Henninger, (2014), in the country much of the crime can be characterized to the problem raised by the execution of the development. As per, Arons, et. al, (2014), lack of advantages and benefits and chase of developed usually led to difference and resulting in the increasing rate of criminality.

### **Karachi Central Jail Authorities**

Additionally, in spite of the assurance from the jail authorities, it was observed that in Central jail of Karachi there were not sufficient educational facilities available to the development and track growth of children of imprisoned women (Ali & Shah, 2011). According to Goshin, Byrne & Henninger, (2014), a child who grows in the most secure surrounding at his or her early age is likely to grow into an adult who is emotionally capable.

### **Educational Facilities Laws**

According to Goshin, Byrne & Henninger, (2014), whilst, a child who is not getting this kind of environment which is secure at his or her early age of life would seem to become depressive, instable, thus via lessening their capability to tackle with the ups and downs of life consequently making them more susceptible to criminality. Since kids learn a lot from their observation, an environment of a prison has terrible impact on their socialization (Achakzai&Bukhari, 2012). So, it is important to comprehend that children of imprison women must get sufficient educational facilities.

### **Educational Facilities**

Though, an overall observation of the Karachi central jail environment was that the authorities carried a quite friendly atmosphere and provide educational facilities to the children (Embassy, 2015). Hellerstedt, (2015), identified that jail authorities gave credit for proffering educational facilities to different NGOs and Early Learning Centre (ELC) which was inaugurated by Legal Aid Office (LAO). It is the project which is founded by the government of Pakistan and run under the supervision of the prisoners' welfare committee that has been since the year 2004 for the rights of prisoners.

Cohen, (2014), explored that ELC operates in a way which is similar to the Montessori system with the prospectus for the children. They have designed the whole prospectus separate from the other schools, bearing in mind the surrounding that these kids are in. ELC teachers trained the kids three to four days before to the commencement for a short performance which included learning poems (Achakzai, n. d).

### **Children**

The initial experiences of a baby have a lifetime affects on their emotional and mental health. Also, some studies identified that more than 80 percent of long term prisoners have affections issues that develop from their childhood; this is now proof to recommend that one can forecast two thirds potential criminals by observing the behaviour at two years of age (Achakzai&Bukhari, 2012). As per, Arons, et. al, (2014), if someone wants to change their society for the country's betterment, they should emphasis on the important period between the beginning and the two years of age. Realities of children of imprisoned women have discussed the threats of prison environment on the children, it is very significant to emphasis on the most feasible ways to proffer these children a positive surrounding and educational facilities, therefore allowing them to stay optimistic and become creative, productive as well as Pakistan's law abiding citizens (Bhandari, 2015).

### **Availability of Educational Facilities provided to the Children of Imprisoned Women in Australian jail**

Six states of Australia and two territories implement their own governmental structures in association to the disciplinary facilities that they control (Jiang & Winfree, 2006). Provision of education facilities is made in the legislation and policies of all six states of Australia for the education accommodation of the children of imprisoned women. The customary directions for corrections in the states of Australia that if educational facilities provision is made for the children to exist in along with their main custodian in jail, clear and well planned structured strategies and schemes must be created where the education of the children of imprisoned women are paramount (Murray, Farrington & Sekol, 2012).

Furthermore, ACT the Australian Capital Territory has explained procedures and rules associated to the children living in with the imprisoned mothers in the particular ACT prison (Bagnall, et. al, 2015). Cohen, (2014), explored that female prisoners who are the caretakers of the children and their education facilities are allowed to participate in the children educational provision programs.

### Availability of Educational Facilities provided to the Children of Imprisoned Women in Indian jail

The research reported that children of women prisoner in Uttar Pradesh are deprived of fundamental minimum accommodation of educational facilities. Committee of Justice Lyer investigated the conditions of educational facilities provided to the children of imprisoned women (Kouyoumdjian, et. al 2015). This committee examined that the children were cruelly placed in the jails in common except in some women central jails where the educational facilities was adequate. Though, there is scarcity of pragmatic data and literature on the issues of educational facilities provision to the children (Easteal, et. al, 2015).

The committee of Justice Lyer stated that the facilities of education and re-education for the children were most abandoned aspect in the prison (Saxena, Messina &Grella, 2014). The facilities for vocational training, recreational facilities and the educational facilities for the children are very limited as well which is very alarming situation for the development of the country (Dawson, Jackson &Nyamathi, 2012).

In India women are participating in most of the political insulations, economic and a societal sphere has elevated to higher level (Shortt, et. al, 2014). So, due to this reason, the graph of women involvement in the criminal activities has been increased in the country. Now, the women are imprisoned in the jail in heavy amount. However, the amount of the women detainees is changing since mostly prisoners are under trial procedure.

Shlafer, et. al, (2013), stated that, though, the quantity of the children who are living with their imprisoned mothers is high in some Uttar Pradesh jails. Incarceration of the mother with their young children is an extremely difficult issue. These kids are enforced to spend their childhood with their mothers in jail with other female suspects and criminals as well in a badly unfavourable condition (Brown, 2014).

Percentage of the problems that are faced by children of imprisoned Women in Central Jail of Karachi

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1	8	3.6	4.4
	2	92	41.4	51.1
	3	72	32.4	40.0
	4	4	1.8	2.2
	5	4	1.8	2.2
	Total	180	81.1	100.0
Missing	System	42	18.9	
Total		222	100.0	

#### ANOVA<sup>b</sup>

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	.043	1	.043	.083	.773 <sup>a</sup>
	Residual	92.757	178	.521		
	Total	92.800	179			

a. Predictors: (Constant), imprisoned women

b. Dependent Variable: education facilities

## Results and Analysis

### Statistics of the various types of problems and issues faced by imprisoned women's children

The value of regression is .773<sup>a</sup> (which denotes that (the outcomes of the questionnaire was (negative and also identified that educational facilities in the Central Jail of Karachi needs appropriate monitoring and more investment for the fulfilment of educational goals and objectives.

### Conclusion and Recommendations

This research has discussed the availability and the importance of educational facilities to the children of imprisoned women in Central Jail of Karachi and has identified that the government is working hard for the development of those children since 2004. It was also identified that the security condition within and around the Karachi Central Jail plays a vital role in determining smooth operations of proffering educational facilities to the children.

In addition, it is also identified that the authorities of Karachi central jail environment carried a quite friendly atmosphere and provide educational facilities to the children. Jail authorities gave credit for proffering educational facilities to different NGOs and Early Learning Centre (ELC) which was inaugurated by Legal Aid Office (LAO). It is the project which was founded by the government of Pakistan and run under the supervision of the prisoners' welfare committee that has been since the year 2004 for the rights of prisoners. Also, the school functions in association with the administration of the prison and Prison Inspector General, therefore if there is any issue related to the security they have a system where the management of school informed earlier. Due to this facility the schooling system is running smoothly.

### Recommendations

Recommendations for the smooth availability of educational facilities to the children are as follows:

Accelerate the proposal of teachers in every female prison facilities.

Monetary provisions should be made for the stipulation of the education kits which includes books, uniforms and school bags for the children so as to imitate and endeavour the environment of the schools in the Karachi Central Jail.

Books must be incorporated in appropriately.

Establish library inside the jail so that future imprisoned women's children will be able to take advantage from the educations and books. Budget must be assigned on the regular basis.

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## Modern Teaching Versus Traditional Teaching- Albanian Teachers Between Challenges and Choices

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Msc. Mimoza Belshi

### Abstract

*Education* lies in the foundations of the nation. Providing knowledge to generations, consolidating their future, inspiring them to incarnate benevolence and esteem splendor, valor and good principles has been one of the oldest professions of mankind, the noblest and the most difficult tasks. It is very significant that Albania and its schools have been subject of this paper. The 25-year period of the country's transition and the opening of the Albanian society to the Western World Modernization brought profound changes to the Albanian education institutions, in terms of the curricula, management and the teaching processes. The greatest part of teachers in Albania was educated during the communist period, where pedant and traditional teaching prevailed, mainly deriving from the Russian Academics. Traditional methods consider teachers as the center of the teaching process; as well as managers and the main and referential source of the scientific information. Novelties in the teaching-learning methods applied by Western Schools focus on student centered teaching; they create a variety of situations in which students evolve critical thinking. These methods have been acquired by teachers but, in the conclusions of our paper we noticed that, occasionally, they applied traditional teaching methods (especially in the scientific subjects). There is still space and worth for discussion regarding traditional teaching methods versus the modern ones. Various scholars have considered traditional teaching as the method developing theoretical thinking, whereas modern teaching develops practical skills, pragmatist and able to be oriented to the frenetic development of the world. Teachers, especially those teaching subjects like mathematics, physics and chemistry, consider traditional teaching to be more serious since students achieve better results in these subjects when outdated teaching methods have been applied. This paper and its conclusions can be considered interesting since confrontation of ideas regarding teaching methods remains a challenge for all teachers.

**Keywords:** *modern teaching, traditional teaching, teachers, methods, school*

### Introduction

This writing aims to deal with traditional and modern teaching methods and is based on our twenty and odd years of experience in education. In the course of our relatively long experience and our attempts to do the best in teaching, we have often been faced with two alternatives in terms of selecting teaching methodologies; using the traditional or modern methods of teaching. Teaching is art, perhaps one of the most difficult processes since, providing cognition which remains in the students' consciousness and serves (as a useful means during the whole course of their life, is a real challenge. During these years of transition, when the Albanian education system has been leaping forward to approaching European education, we have been enjoying the progress results; however, we cannot say that every single phase of the progress was as successful as the others. Education is a progressive process, going hand in hand with human development in general as well as with its cultural, technological and social progress; education should be as much coherent and updated as possible, it should be based on effective curricula and be conveyed by people with deep scientific, pedagogical, methodological and ethical knowledge.

Means available to present-day teachers to realize effective teaching processes are endless. This freedom in choosing teaching methods, releases a great number of ideas to be used in our classrooms. The time of our students is priceless so it is very important for teachers to compare, analyze and evaluate methods they are using to motivate students and realize a qualitative teaching. In our research we were focused in teaching methods that have been widely used recently. In the theoretical study of these methods we are presenting our observations and experience as well as that of some other colleagues of ours, related to the work with students. However, by reading this work or any other studies over teaching

methods, nobody can say which method is the most successful or the least successful; Regarding this issue (Kenneth T. Henson claims; "*Methods are better for some purpose, (but there is no method simply the best for everything*").

We agree with the opinion many teachers hold that, the main factor to be considered in selecting teaching methods are the students with their needs and characters since methods working properly for some students seem to be ineffective for the others; this is crucial especially when we intend to involve them all. In this writing we have been trying to present a variety of methods as well as the ways to make them as effective as possible.

### **Teaching is both art and science**

Thirty years ago, the psychologist Silberman stated the following; "To be sure – *teaching like the practice of medicine* – is very much an *art* as far as it requires the use of one's talent and creativity; just like medicine, it is, or, should be science. This is why it involves a repertoire of techniques, procedures and wants to be described, conveyed and improved. Teachers, just like doctors, become great only when they manage to add their creativity and inspiration to this basic repertoire".

In his work, Flinders states;

"The art teaching entails various compound aspects of traditional teaching". It is; (

Communication

Perception

Collaboration

Objectivity in evaluation

Procedures similar to those used by scientists in their scientific work have been used in teaching, too. In many classes, the teachers' performance has been analyzed in four steps as in the following; (

Problem identification,

Setting objectives

Formulating a series of logical steps useful to reach the aims.

Data collection.

Therefore, teachers decide what kind of students' conduct to measure and later on they use the most suitable method to measure it.

### **The importance of method selection**

It is not sufficient that teachers know only the end result to be achieved; they should also know the ways to reach their aims, that is, what teaching methods to use. Therefore, which is the best method? In the last decades of the past century, the Albanian school and the teaching processes have been noticed for the use of the traditional methods used. This kind of teaching features into conveying facts, rules and application of exercises to help knowledge acquisition. However, nowadays teaching processes require conveying concepts, models and abstractions, using strategies that aim to emphasize problem solution. Both types of methods should be combined in the teaching process by using various strategies to make students capable of resolving problems as well as of thinking critically and working together.

The reason is simple; the technologically developed societies require people who are able not only to memorize facts, which is done quite well by computers, but who can understand the information they need easily, are able to apply it effectively and make use of it all their lives. That is why it is necessary for teachers, firstly, to be capable of knowing and comparing models and to build their teaching and learning processes themselves, basing on basic knowledge and wants related to them.

### **Traditional teaching methods**

Three are the main widely-used in the Albanian traditional education, as in the following; (

**Lectures and direct guiding;**

In traditional teaching - a method that has been used by many teachers during their long experience in education, the basic scientific information was conveyed by means of direct lecturing and guidelines provided by teachers. This method, having the teacher as the centre of teaching during classes, emphasizes teaching processes are led by teachers. Students expect to listen to lectures and learn by them.

Tests and exams are the best tools to measure students' performance and the main indicator for knowledge acquisition. Students belong to and sit in the same class and they are provided two kinds of separated tests, A and B. Most of the tests have been taken from the fundamental sources suchlike school textbooks relevant to the taught topics.

### ***Listening and observation***

Teachers discuss with their students about the subject, expecting them to learn everything through lecturing during classes.

For thousands of years traditional teaching has been in the centre of activities in schools and has given shape to the minds of (erudite people and artists as well as to the ordinary men and women... In a younger age, people were supposed to sit in formal education involving the teacher and a group of students gathered in a certain classroom. By using the traditional methods of teaching in formal education, students learn what they need to be successful in their lives. Traditional teaching methods have long been judged as positive and has been tested to be successful; however it has some disadvantages, too, especially regarding the present-day scale of development, when technology has greatly improved teaching effectiveness, making teaching –learning processes more attractive and enjoyable by enhancing interactive relations among students as well as by means of the scientific and educative information schools provide.

### ***Modern teaching methods***

Nowadays, the outstanding achievements in all fields of sciences, in technique and technology as well as in other fields of human development, are constantly inflicting more and more profound changes in the organization of the teaching processes, in order to make it perfect as well as to ensure easier ways for students to acquire knowledge, skills and wants. Such changes are aiming to prepare younger generations to be capable of facing 21<sup>st</sup> century challenges as well as to be skilled and competitive to the labour market. In order to make use of the contemporary teaching methods to all levels of education, changes began to take place into the organization of classes, the application of new teaching techniques and interactive methods, etc. However, great changes took place in the forms of organizing the teaching activities. Effective teaching in a certain classroom depends, firstly, on the teachers' skills to maintain and raise the interest of the students in what is being taught. Engagement of communities to bring changes in education is considerable; millions of Euros have been spent to train and qualify teachers in order to further develop their capacities as well as to integrate them in the global currents of education. The fact that, in all societies of the world, education is a challenge requiring approaching and reproaching in order to find the most adequate ways for the education of younger generations who will have the fates of the countries of the globe as a whole in the future, cannot be disputed.

Teachers are maintaining the course to progress being even supported by the curricular changes the Albanian state has foreseen. These changes require adequate application of the New Curricula as well as permanent professional development for teachers in order to contribute into increasing quality in the field of education.

Respectively, they entail changes into the roles of teachers and students by means of participation of the communities into the life of the school as well as the interaction of many other education factors.

Students' creativity is to be detected and made use of by creative teachers who should enhance such values even by getting out of books and traditional methods, by further developing the students' creative imagination and making them understand that there are too many options to resolve a problem, so students should consider them deeply and make use of all the potential choices.

### ***Use of new technologies in teaching increases its quality***

Technological development in the world is progressing with the speed of light compared to the developments in education which are progressing very slowly. The main commitment of education and its compound elements is to get rid of the ignorance and to disperse the light of knowledge. The interest and the involvement of both the society and the individuals should be in a higher level than they actually are. Education in Kosovo is not following the steps of global developments which are giving the world a new meaning. Initiatives to bring changes and create righteous perceptions about them would never dare to stop. Five hundred years before the new era, the Greek philosopher Heraclitus said to his students;

“Everything changes but the law of change”. We live in a world which changes constantly. Fullan, one of the most outstanding representatives of the theory and practice of change writes; “This is a world in which change is a journey of unknown destination, where problems are our friends, where seeking assistance is a sign of strength, where simultaneous top down bottom up initiative merge where collegiality and individualism exist in productive tension...”

The giant span of internet would not be possible devoid of advanced technology. It is equivalent with the powerful growth of information which would not be made possible without an advanced technology, too. Information occupies unimaginable spaces and keeps growing every single minute. Without advanced technology even the availability of the slightest piece of information, be it the simplest one, would have been impossible.

### **Comparing direct teaching with indirect teaching**

A genuine teaching method derived from the aims of the subject to be taught. One of its main qualities is the coherence it creates between the subject objectives and teaching activities. However, present-day development require teaching to be focused more on providing concepts, models, and abstractions, using strategies which concentrate more into problem investigation and (solution. Both types of learning should be combined in teaching processes with various strategies to make students capable of resolving problems, to think critically and work together. The reason is simple; the technologically developed societies require people who are able not only to memorize facts, which is done quite well by computers, but who can understand the information they need easily, are able to apply it effectively and make use of it all their lives. That is why it is necessary for teachers, firstly, to be capable of knowing and comparing models and to build their teaching and learning processes themselves, basing on basic knowledge and wants related to them. Learning results are classified in two big categories;

1. Facts, rules and applying actions. Direct teaching
2. Concepts, models and abstractions. Indirect teaching

In most cases, the first category implies a low level and simple conducts in the fields of knowledge as well as the emotional and psycho-motor ones. These include levels of knowing, understanding and applying the respective field cognition, levels of awareness, reactions and evaluation of the emotional fields, levels of imitation, manipulation and the accurateness of the psychomotor fields.

The second category displays higher and more complicated levels of conducts in the respective fields of knowledge. They include objectives in the levels of analysis, synthesis and the evaluation of the respective cognitive field; levels of organization and featuring in the emotional fields as well as levels of articulation and naturalization in the psychomotor fields.

In direct teaching the objective is fast acquisition of facts, rules and forming respective wants to them. The content of the subject is divided in small steps which are assimilated easily by means of explanation, examples and practical exercises, etc. Practice, both the led and the independent one, still under the full supervision of the teacher, helps students to actively be involved in the learning processes and to a highest degree.

The objective in indirect teaching is to involve students both in investigation and deliberation, which helps to forming and developing concepts in the form of models and abstractions. Teachers constantly use questions to lead students to discover and generalize as well as to be capable of evaluating their responses. In cases it is noticed that concepts are still unconsolidated, discussions in groups are used; this replaces the teacher's leading role and allows students to express themselves in various ways so consolidating concepts.

Therefore, in many cases, both models can be combined in the same lesson, since a small number of facts, rules or applying actions should be firstly assimilated before commencing with the acquisition of a concept, model or abstraction. In these terms, none of the models can be used to exclude the other, especially when the structure of critical thinking is made in compliance to the following condition;

Realization of efficient strategies, (forms, methods, techniques), makes possible for the application of many alternatives in the learning processes so helping students to develop managing and organizing and communication skills; it enhances diversity in students' learning and creativity. Realization of efficient strategies gives sense to the managing role (manager) of the teachers in the learning process and creates sound bases for the life-long learning. The term 'quality' in education is

closely linked with contemporary models or various methods and techniques teachers use in the teaching processes while being committed to achieve educational objectives.

Teaching and effective learning require the use of appropriate pedagogic and methodological methods. Time has changed for traditional teaching “using a piece of chalk”. Though we can't deny the attributes and advantages of this method in particular situations, but we should emphasize the great importance it has for every teacher, encouraging being a participant. While Kolbi sets the pupil in the center of learning, by evaluating his participation in the learning process as very important in creating his experience in learning. Silcock and Brundert established pupil centered teaching as an approach where the teacher is a facilitator and guidance of the learning process towards teaching where the teacher has control of everything in order to achieve the lesson aims. One of the most common class activities which in fact is the fundament of all learning and educational activities is the communication among teachers and pupils. It is fulfilled in many ways throughout the whole of the lesson time and it directly or indirectly implies all the pupils. It aims to improve the teaching quality. The techniques of asking questions which are included in the interactive teaching context are the recommended modules. Teachers should be open to the pupils' involvement in all stages of the lesson process. The teacher leads and organizes, whereas the pupil is involved everywhere. The teacher should intertwine learning with topics and projects which assure a massive pupils' participation. Pupils should be given the chance to get involved in working with pedagogical means of school texts. This task concentrates them in thinking and studying and the teacher makes them active to improve the scientific level in their subject. Also, the teachers should consider stimulating the feeling of self – confidence to the pupils, which is something to be appreciated.

### **Working methodology**

The scientific question which arises for this work is: Do modern methods have priority compared to the traditional ones for an effective teaching? There have been a lot of studies for this topic, by specialists of the Albanian and foreign education. Literature is mainly based on studies conducted by Albanian experts or institutions, in publicity articles, or national reports and documents, or those by the international organizations in support of education. We think that by means of this work, we will contribute, though a little, in the existing literature because we will treat this topic not only by a theoretical point of view, but even by what really happens in our schools.

The hypothesis that we pose in this work is: The new teaching methods aren't still widely used because of the thought that authoritarian teacher- centered teaching is appreciated not just because of the past teaching models which are rooted in our sub conscience, but even because of the lack of material bases in our schools. Teachers sometimes hesitate to use new methods, though all educational instances offer continuous trainings about the contemporary methodology.

When we analyze a particular issue or phenomena, our aim is to establish the causative relation between them. This relation is expressed through variables. In Education, especially in teaching and the phenomena being studied, we distinguish a whole of variables, so a conditioned variable corresponds to a number of unconditioned variables.

In this work we distinguish these variables: Conditioned variables: Traditional and modern teaching method. Unconditioned variable: The selection of methodology by the teacher.

The population of this study are the teachers and the pupils of elementary school (Third, fourth, fifth classes) in Elbasan. The selected sample was chosen by chance (teachers from different schools in town) where we include public and non public schools.

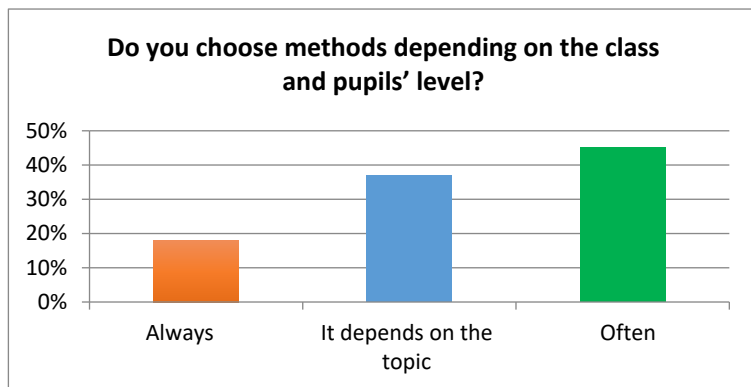
While making this study, we have collected data from six schools in Elbasan. The schools which were involved in the study and the data for the observation were carried out in the same schools: “Europa” school, “Sule Harri” school, “ Qamil Guranjaku ”school, “ Seit Pepa ”school, “ Arianiti school and “Imelda Lambertini” school.

By means of this instrument, we identified the methods, the techniques of the means that the teachers use in the six observed schools, to stimulate pleasure, desire, will and above all, motivation to successfully accomplish tasks in achieving the satisfactory and awaited results. There was a variety of means which teachers used ( not in all cases), where learning games had little part.

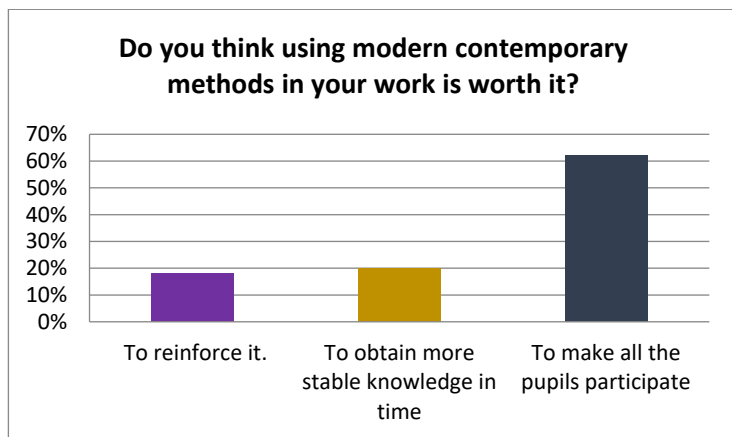
## Data Analyses

By calculating the frequency of each question involved in the questionnaire, it comes out that about 48 % of the teachers use the motivating teaching method. The authoritarian method is used by 30 % and liberal and democratic methods are less used. To stimulate pupils 'active learning, about 60 % of the surveyed respond that they use pupil – centered teaching. Teacher – centered teaching is used in about 30 %. Interactive methods and the methods where the pupil feels leader are the most liked ones. Actually, to stimulate autonomy and self decision, 40 % of the teachers offer the pupils total freedom in choosing and acting, 35% offer the pupils limited freedom and about 20 % of the teachers decide themselves what choices the pupils should make.

By elaborating the data, it results that traditional teaching methods are widely used in the second phase of the lesson, by about 60 % of teachers. In the graphics below we notice that sometimes the methods are chosen based on the class level.



Most of the teachers think that using modern methods makes all pupils participate in the lesson. The other part thinks that these methods give pupils stable knowledge over time.



Nearly 40 % of the teachers say that new techniques in the class make the pupil more active and practical. While 30 % think that these techniques stimulate imagination, the other part think that these techniques distract pupils. 50 % of the teachers plan the lesson with the new techniques because they consider them more effective and varied. The other part uses a mixture of these techniques and the traditional ones.



## Conclusions and recommendations

The reason for choosing this topic is three dimensional. Education is a very important topic which affects all citizens, and even more a nation and a country, because it establishes and strongly affects the development and progress of a society, country or nation. This becomes even more important actually when Albania is committed in the process of integrating into Europe and it aspires to join the EU club, and a well – educated and civilized society is more suitable for a European society. The third reason is professional interest, because we are teachers and the education issues and reforms in this sector affect our everyday work and professional interests.

While observing the lessons, the main focus was the use of methods and strategies to motivate pupils in class. Though our teachers try to implement new contemporary methods, they frequently use traditional methods in different phases of the lesson.

While observing we noticed that the pupils like the methods which stimulate collaboration spirit. They are more creative and free. Another element was noticed while observing in classes where the teacher used traditional methods and the pupils were more concentrated in the lesson and they completed in time all the assignments.

The model of old teachers which is set in our minds like the model teacher sometimes guides the teacher towards using traditional techniques.

Even in really effective classes regarding teaching and learning, the teachers use a very limited number of new techniques.

Along the questionnaires (we noticed that teachers usually prefer motivating pupil – centered teaching with interactive methods, but a major part of the surveyed (prefer (authoritarian teaching where the teacher guides and controls the class, mainly frontal discussion, ask – answer methods).

We noticed that in public “pilot” schools and the private ones where the class level was higher, the interactive methods were more easily applicable. In those classes where the level was lower, teachers felt insecure in selecting contemporary methods and preferred traditional teaching methods though in their lesson plan they had selected modern methods.

So we noticed some inconsistency between what the teacher had written in the lesson plan and what the teacher applied in the class.

Contemporary methods stimulate even a “sleepy” pupil and raise whole class participation in the learning process.

Another conclusion of this study was the tendency of teachers to have absolute control over the class because using contemporary methods created a certain enthusiasm and in this regard, sometimes teachers thought the time is too short to successfully complete all stages.

As teaching is an evolving process, it should walk alongside with social, cultural, political and technological development of society. At the end of this study we recommend what follows:

The teacher should gain more academic freedom, dissociating themselves from the past models because today’s pupil is not yesterday’s one. It has more opportunities to get information, knows technology well as has more freedom in behaving and thinking.

We think the teacher can use traditional and modern methods to make the lesson process more effective.

We also think that the teacher should dissociate himself /herself from authoritarian methods because this harms pupils’ creativity, the teacher is seen with fear and not in the role he/she should have, the role of the inspirer.

Teachers should frequently be trained about contemporary methodology and these trainings should be attended with absolute seriousness to update their knowledge in the branch of didactics.

Exchanging experiences about selected methodologies, the most successful ones as well as the less successful ones, will enable teachers to compare and contrast ideas with colleagues and explore fearlessly the variety of modern methods. To require more specialized assistance from education experts and to require the improvement of those factors which obstacle their work for example: scarce material bases, a not on the proper standard text etc.

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## Experienced and Anticipated Discrimination in Persons with Physical Disabilities in Serbia

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MarijaČolić

### Abstract

The aim of this study was to explore extensity (regarding various life domains in which it appears) and intensity of experienced and anticipated discrimination of persons with physical disabilities; (2) to investigate how experienced and anticipated discrimination relate to each other; (3) to explore relations between experienced and anticipated discrimination and certain socio demographic variables (gender, marriage, residence, family type, employment and age). The levels of experienced and anticipated stigmatization were evaluated by Discrimination and Stigma Scale (DISC – 12). The results showed that persons with physical disability experience discrimination in family life (63. 3%), (starting a family (65. 5%), marriage (45. 4%), role as a parent (45. 3%), in the experience of being avoided or shunned (42. 1%), in relation to professional staff (40. 3%), etc. They anticipate discrimination in making close relationships (46. 3%), in employment (30. 2%) and in education (24. 3%). Multiple regression analysis showed that experienced discrimination is a predictor of anticipated discrimination. Discrimination is more anticipated by unmarried participants, younger, participants living in extended families and by participants not living in their own apartments. It is necessary to design an anti-stigma campaign, which will lead to the reduction of experienced and anticipated discrimination.

**Keywords:** stigma, experienced discrimination, anticipated discrimination, persons with physical disability.

### Introduction

The World Health Organization defines physical disability as “any impairment which limits the function of limbs or fine or gross motor ability” (WHO, 2011). It can be the result of congenital birth issues, accidental injury, or illness. Physical disabilities include impairments which impact one or more major life activities. Goffman (1963) observed physical disability to be a discrediting social identity which influences the sense of personal value. He suggests that it is not the experience of actual limitations that pose the greatest challenge to persons with physical disabilities but rather perceptions of deviance and being labeled as a person with a disability (Goffman, 1963).

Stigma includes three elements: problems of knowledge (ignorance or misinformation), problems of attitudes (prejudice), and problems of behavior (discrimination) (Thornicroft, Rose, Kassam & Sartorius, 2007). There is a great deal of literature exploring attitudes towards persons with physical disabilities. Research of stigmatization was largely conducted in the field of mental illness, but only recently in the field of physical disabilities.

Thanks to progress in human rights, the promotion of social equality legislation and improved access to public spaces in recent decades, people with physical disabilities have attained better social acceptance, greater visibility and more opportunities. But despite this progress, people with disabilities still face stigma and discrimination in many areas of life. The effects of stigma are strong and are manifested in the realm of employment, housing, education, transportation, medical care, making and keeping friends, lower self-esteem and damaged family relationships (Thornicroft, Brohan, Rose, Sartorius & Leese, 2009). Consequences of stigma may take different forms, such as withholding help, avoidance, and segregated institutions (Corrigan & Watson, 2002). There are different expressions of discrimination. Overt discrimination has been reduced nowadays, but new and subtle forms of discrimination exist for different groups in society (Staniland, 2009). Perceived discrimination is defined as the perception of experiencing different and negative treatment just because of belonging to a particular group. Anticipated discrimination refers to the expectation of being mistreated. Anticipation of negative or unfair treatment may result in avoidant behavior of persons with disability (Link, Struening, Cullen, Shrout &

Dohrenwend, 1989). Furthermore, expectation of rejection refers to the anticipated responses of individuals which may or may not be the result of actual experiences of discrimination.

The Republic of Serbia signed the Convention on the Rights of Persons with Disabilities and Optional Protocol in December 2007. The Parliament of the Republic of Serbia ratified them in May 2009. <sup>1</sup> Anti discrimination law in Serbia was passed in National Assembly in 2006. <sup>2</sup> The annual reports of the Commissioner for the Protection of Equality<sup>3</sup> indicate that the greatest number of complaints on the basis of disability was in the field of labor and employment, access to public services and/or using public facilities, education and professional training, as well as in the proceedings before public authorities. The main findings of the Commissioner for the Protection of Equality was “that even though *de jure* prohibition of discrimination and promotion of equality of persons with disabilities exist, they are still *de facto* discriminated in almost all aspects of the private and social life which is, among other things, a consequence of the lasting practice of segregation of persons with disabilities, rooted stereotyped attitudes and prejudice against persons with disabilities.”<sup>4</sup>

The aims of this cross-sectional study were: (1) to explore extensity (regarding various life domains in which it appears) and intensity of experienced and anticipated discrimination of persons with physical disabilities; (2) to investigate how experienced and anticipated discrimination relate to each other; (3) to explore relations between experienced and anticipated discrimination and certain socio demographic variables (gender, marriage, residence, family type, employment and age).

The study conducted was the first systematic study in Serbia in which participants with physical disabilities were asked to report if they experience discrimination in different areas of life.

## Methods

### Participants:

The sample consisted of persons with different types of physical disabilities (N=119, N<sub>male</sub>=59), of different age (18-70), various levels of education, employment, marital and residence status (see table 1). Sample was designed based on probabilistic principles, and therefore it cannot be considered as completely representative for Serbian population.

**Table 1:** Socio-demographic characteristics of a sample (N = 119)

		Frequency	Percent
Gender	male	59	49.6
	female	60	50.4
Education	primary	19	16.0
	secondary	78	65.5
	higher	22	18.5
Employment	unemployed	43	36.1
	student	20	16.8
	employed	31	26.1
	retired	25	21.0
Marriage	single	75	63.0
	married	35	29.4
	divorced	4	3.4
	widowed	5	4.2
Family type	narrow family	37	31.1
	wider family	69	58.0
	alone	13	10.9
Type of residence	own apartment	45	37.8
	relatives apartment	65	54.6
	support	3	2.5
	institution	6	5.0

<sup>1</sup> "Official Gazette of RS - International Agreements", No. 42/2009

<sup>2</sup> Official Gazette of RS, No. 33/2006

<sup>3</sup> The Regular Annual Report of the Commissioner for the Protection of Equality for 2014, Belgrade, March 2015

<sup>4</sup> Alternative report on the implementation of the Convention on the rights of persons with disabilities in the Republic of Serbia, 2015: 6.

Diagnosis	cerebral palsy	17	14. 28
	spinal cord injury	25	21. 00
	muscular dystrophy	15	12. 60
	multiple sclerosis	10	8. 40
	amputation	26	21. 84
	orthopedic cases	26	21. 84
		Mean	SD
Age		35. 68	14. 63

### Instruments:

In the study, the revised 32 item Discrimination and Stigma Scale (DISC 12), interview based instrument, was applied. DISC 12 was administrated in research exploring experienced and anticipated stigma and discrimination of persons with mental health problems. The scale was adapted for persons with physical disabilities, for the sake of this study. Instead of the term mental illness we used the term physical disability. The question whether a person is improperly treated in mental health services was changed to whether a person is incorrectly treated in services for physically disabled persons. DISC 12 was first administrated in the Aspen Indigo study exploring stigma and discrimination in persons with major depression in 24 European cities. The instrument was translated into the Serbian language, back translated, and approved by the general team of the INDIGO study group. Participants were asked to comment on the extent to which they had experienced discrimination as a result of their disability. The instrument addresses key areas of everyday life and social participation, including work, marriage, parenting, housing, leisure and religious activities. This instrument also considers the extent to which participants limit their involvement in areas of everyday life due to anticipated discrimination. DISC 12 considers experiences of positive as well as negative discrimination, focusing on these events from a service user perspective. In the first part (questions 1-21) the experienced discrimination was explored. Service users were asked about situations when they have been treated unfairly because of their disability (for example: "I would like to ask about times when you have been treated unfairly because of disability?" or "Have you been treated unfairly in making or keeping friends?") In the second part (questions 22-25), the anticipated discrimination was explored. Participants were asked how often they had stopped themselves from doing things because of anticipated social responses. The service users were asked to give examples of each experience of stigmatization. For each part of the scale participants had to answer if they encountered these situations *not at all* (score 0), *a little* (score 1), *moderately* (score 2), or *a lot* (score 3). If the question was not applicable for a particular participant, it was treated as a missing value (for example, the question "Have you been treated unfairly in your role as a parent to your children?" was not applicable if the participants had no children. ).

### Procedure:

The scales were administrated by the fourth semester students of the Faculty of Special Education and Rehabilitation at Belgrade University, trained in conducting interview and administrating the scale. The instrument was designed to gather self-reports of discrimination that was actually experienced and anticipated by people with physical disability. Data collection was conducted during 2014. Contacts with participants were obtained through organizations of people with different types of physical disability, in five cities in Serbia (Belgrade, Niš, Kragujevac, Vranje, Leskovac). All participants gave written consent after being fully informed about the study procedures. The participants were informed they could stop answering the questions at any moment and that their responses would be kept confidential and will have no implications for care received. The testing procedure lasted 30–45 minutes. Participants were persons with any disorder of the musculoskeletal system which may have arisen from various causes resulting in reduced mobility (spinal cord injury, muscular dystrophy, multiple sclerosis, amputation, orthopedic cases and cerebral palsy) (Table 1).

### Data analysis:

Pearson correlation coefficients were used to obtain relations between various discrimination scores from DISC12 questionnaire and gender. Paired samples t test was used to investigate differences between experienced and anticipated discrimination of same participants in different life domains. Independent samples t test was used to investigate relations between experienced and anticipated discrimination and participant's gender, marriage status, residence type. Univariate analysis of variance was used to investigate relations between experienced and anticipated discrimination and participant's family type and employment status. Linear regression analysis was used to test prediction of anticipated discrimination based on experienced one.

### Results

Answers on Discrimination and Stigma Scale were scaled from 0 (not at all) to 3 (a lot) and two types of scores were calculated:

**Discrimination extensity**, showing the spread of discrimination across various domains of life, regardless of its intensity. This score was calculated as a number of questions on which a participant marked any answer except 1, that is, answers 2, 3 and 4 (*a little*, *moderate* and *a lot*, respectively). Frequencies of *a little*, *moderate* and *a lot* answers were not considered, but just the information if there was, or was not, any discrimination, for every question.

**Discrimination intensity**, showing the degree of discrimination presence in life, regardless of life domain. This score was calculated as a mean of all questions, for experienced discrimination and for anticipated discrimination. These scores include frequency of different answers (*not at all*, *a little*, *moderate* and *a lot*), not just the information if there was, or was not, any discrimination, for every question. Not applicable answers (NA) did not affect this score, since they were treated as missing values. For example, if a participant had one NA answer out of 21 questions, mean was calculated based on remaining 20 questions.

Both scores have satisfactory reliability, which is shown, with other descriptive statistics, in table 2.

**Table 2:** Descriptive statistics for extensity and intensity of anticipated and experienced discrimination on Discrimination and Stigma Scale

N=119	Minimum	Maximum	Mean	Sd	Cronbach $\alpha$
Extensity of experienced discrimination	.00	21.00	6.39	4.43	0.86
Extensity of anticipated discrimination	.00	3.00	1.06	1.07	0.71
Intensity of experienced discrimination	0.00	2.57	0.55	.46	0.88
Intensity of anticipated discrimination	0.00	3.00	0.70	.79	0.69

Two scores, discrimination extensity and intensity correlate between each other significantly for experienced ( $r=0.926$ ;  $p<0.01$ ) and for anticipated discrimination ( $r=0.789$ ;  $p<0.01$ ). We can see that for experienced discrimination two scores are very similar, while for anticipated stigma they differ, which is why we decided to use both in further analysis.

If we consider experienced discrimination distribution across life domains, we can see that highest level was established for realms of starting a family (65.5%), of family relations (61.3%), of getting married (45.4%), of assuming a parental role (45.3%), privacy (43.7%), employment (42.1%), problems with transportation (40.4%) and of discrimination by professional staff (40.3%). Detailed distribution of discrimination intensity across various life domains is given in table 3.

**Table 3:** Responses for experienced discrimination through different life domains (N (%))

	A lot	Moderate	A little	Not at all	Not applicable
Family	3 (2.52)	33 (27.73)	37 (31.09)	45 (37.82)	1 (0.84)
Avoided or shunned by people	5 (4.2)	14 (11.76)	31 (26.05)	69 (57.98)	/
Making or keeping friends	2 (1.68)	15 (12.61)	21 (17.65)	81 (68.07)	/

Keeping job	3 (2. 52)	8 (6. 72)	9 (7. 56)	99 (83. 19)	/
Privacy	5 (4. 2)	15 (12. 61)	32 (26. 89)	67 (56. 3)	/
Physical health	9 (7. 56)	6 (5. 04)	12 (10. 08)	92 (77. 31)	/
Personal safety and security	1 (0. 84)	12 (10. 08)	20 (16. 81)	86 (72. 27)	/
Marriage/divorce	12 (10. 08)	19 (15. 97)	23 (19. 33)	65 (54. 62)	/
Neighborhood	9 (7. 56)	10 (8. 4)	12 (10. 08)	60 (50. 42)	28 (23. 53)
Role as a parent	6 (5. 04)	20 (16. 81)	28 (23. 53)	50 (42. 02)	15 (12. 61)
Dating and intimate relationship	16 (13. 45)	6 (5. 04)	14 (11. 76)	63 (52. 94)	20 (16. 81)
Finding job	3 (2. 52)	3 (2. 52)	7 (5. 88)	89 (74. 79)	17 (14. 29)
Public transport	5 (4. 2)	19 (15. 97)	24 (20. 17)	71 (59. 66)	/
Police	4 (3. 36)	2 (1. 68)	4 (3. 36)	85 (71. 43)	24 (20. 17)
Stuff	9 (7. 56)	13 (10. 92)	26 (21. 85)	71 (59. 66)	/
Social life	3 (2. 52)	11 (9. 24)	13 (10. 92)	92 (77. 31)	/
Education	5 (4. 2)	4 (3. 36)	12 (10. 08)	80 (67. 23)	18 (15. 13)
Welfare benefits or disability pension	6 (5. 04)	4 (3. 36)	18 (15. 13)	91 (76. 47)	/
Housing	3 (2. 52)	3 (2. 52)	2 (1. 68)	65 (54. 62)	46 (38. 66)
Religious practice	2 (1. 68)	7 (5. 88)	2 (1. 68)	55 (46. 22)	53 (44. 54)
Starting a family or having children	6 (5. 04)	23 (19. 33)	49 (41. 18)	41 (34. 45)	/

On the other hand, anticipated discrimination was explored in domains such as looking for a job, in applying for education and when engaging in close relationships. The highest level of anticipated discrimination was established in seeking intimate relationships (Table 4).

**Table 4:** Responses for anticipated discrimination trough different life domains (N (%))

	A lot	Moderate	A little	Not at all	Not applicable
Stopped self from applying for work	11 (9. 24)	5 (4. 2)	20 (16. 81)	50 (42. 02)	33 (27. 73)
Stopped self from applying for education or training	6 (5. 04)	7 (5. 88)	16 (13. 45)	60 (50. 42)	30 (25. 21)
Stopped self from looking for a close relationship	7 (5. 88)	19 (15. 97)	35 (29. 41)	58 (48. 74)	/

Looking at the difference between experienced and anticipated discrimination intensity, for domains for which it was possible, it was observed that participants anticipated discrimination in intimate relationship more than they actually experienced it. In other two domains no such differences were found (Table 5).

**Table 5:** Statistical significance of difference between experienced and anticipated discrimination on various life domains<sup>1</sup>

	Mean (SD) Experienced	Mean (SD) Anticipated	t	df	p
Close relationship	0. 48 (. 779)	0. 79 (. 919)	-3. 238	118	. 002
Education	0. 73 (. 914)	0. 54 (. 905)	1. 571	88	. 120
Employment	1. 02 (1. 095)	0. 73 (1. 045)	1. 908	85	. 060

Further on, we tried to analyze whether experienced stigma can predict anticipated one. This was done separately for two scores, discrimination extensity and intensity. Analysis showed that anticipated discrimination extensity can be predicted by experienced discrimination extensity ( $F_{1,117}=49. 901$ ;  $p<0. 01$ ;  $R^2=0. 299$ ). Also, anticipated discrimination intensity can be predicted by experienced discrimination intensity ( $F_{1,117}=33. 287$ ;  $p<0. 01$ ;  $R^2=0. 221$ ). These results indicate that experienced discrimination can be considered as one of possible sources of anticipated discrimination.

<sup>1</sup> Differences in degrees of freedom are a consequence of various number of participants for which certain life domain was applicable. For instance, in education 30 and employment 33 participants marked this domain as not applicable for them, and therefore were treated as missing values

As for socio-demographic variables, independent samples *t*-test didn't reveal any significant gender difference in scores of administrated DISC subscales. Same analysis showed that unmarried participants had higher anticipated discrimination intensity than married participants ( $t_{117}=2.236, p<0.05$ ). Also, it was established that participants who did not live in their own apartment reported higher level of anticipated discrimination intensity ( $t_{108}=-3.489, p<0.01$ ) and higher level of anticipated discrimination extensity ( $t_{108}=-2.086, p<0.05$ ) than participants who had lived in their own apartment.

In regards to whom participants had lived with (nuclear family, extended family and alone), a significant difference was observed on anticipated discrimination intensity ( $F_{2,116}=3.983, p<0.05$ ). Scheffe post-hoc tests showed that participants living in extended families anticipated discrimination more than participants living in nuclear families. The highest anticipated discrimination intensity was found in participants who lived in extended families, then in those who lived in primary families, and the lowest intensity was in those living alone.

Univariate analysis of variance showed significant relation between employment status and experienced discrimination extensity ( $F_{3,115}=3.294, p<0.05$ ), (anticipated discrimination extensity ( $F_{2,115}=7.019, p<0.01$ ) and anticipated discrimination intensity ( $F_{2,115}=3.395, p<0.01$ ). For experienced discrimination extensity employed and unemployed adult participants had higher scores retired or students. For anticipated discrimination extensity and intensity, unemployed adult participants had highest scores, retired had lowest scores, while employed and students were in between.

Pearson correlation coefficient showed a negative relationship between age and experienced discrimination extensity ( $r=-0.186, p<0.05$ ), anticipated discrimination extensity ( $r=-0.315, p<0.01$ ), experienced discrimination intensity ( $r=-0.199, p<0.05$ ), anticipated discrimination intensity ( $r=-0.314, p<0.01$ ). Negative correlation coefficients mean that younger participants perceive larger extensity and intensity of both, experienced and anticipated discrimination than older ones.

## Discussion

Participants in this research experienced discrimination in all explored domains, but the mean score was low. However, the consequences of discrimination should not be underestimated because of the accumulation of discrimination experiences. Research in the field of racial discrimination established, for example, that discrimination might accumulate, across processes within a domain (e. g., discrimination in high school may diminish opportunities to attend university) or across domains (e. g. discrimination in education may affect employment opportunities) (Blank, Dabady & Citro, 2004). The results are also in line with findings which point to a high level of empowerment in persons with disability as well as to their better social acceptance and to attitudinal changes among members of the general population. In a British survey it was established that 82% of the sample of persons of general population perceived the persons with disability as everyone else (Stanilend, 2009).

The highest levels of experienced discrimination against persons with physical disabilities in Serbia are reported in areas of family life, starting a family, marriage, role as a parent, privacy, being shunned or avoided, transportation and in communication with professionals.

In our research, younger and unmarried participants have higher scores in experienced and anticipated discrimination, assuming they face more challenges in looking for intimate relationship and starting a family. In general, persons with disabilities have more or less narrowed communications and fewer opportunities to benefit from sexual counseling. In the realms of intimate relationships, the research results show that persons with physical disabilities are not perceived as sexual human beings (Milligan & Neufeldt, 2001). Furthermore, a disability can challenge long-standing family roles. Disabled men have been stereotyped and stigmatized as if they cannot fulfill traditional role of breadwinner (Lewis, 2000). As for disabled women there exists a conviction that they are not able to be mothers and housewives (Addlakha, 2007). They are twice as likely to be divorced (Abu-Habib, 1997). Studies in other developing countries have found similar results (Addlakha, 2007). People with a disability are less likely than people without a disability, to be married (Watson & Nolan, 2011). The difference is evident in the age group 25 to 44. While 48% of the general population in this age group is married, the same figure for people with a disability is 35%. In our research, 75 participants are single compared to 34 married. Possible explanations for the association between marital status and disability are that persons with disability may have greater difficulties in meeting a suitable marriage partner and lower socio-economic status, which contributes to remaining single or having a marital breakdown (Watson & Nolan, 2011).

Another area in which our participants experience discrimination is the role of a parent. Becoming a parent has been often actively discouraged for persons with disabilities, because of possibly giving birth to children with a disability. In a study by Barker and Maralani, disabled parents appeared more likely to have a disabled child than nondisabled parents (14% vs.



3%) (Barker&Maralani, 1997). The reason for this may lie in genetic causes. Also, more disabled parents are unemployed compared to nondisabled parents (48% vs. 22%), a fact which has an impact on raising a child. Kirshbaum et al. pointed to the fact that U. S. child custody laws imply that parents with disabilities are not capable to properly raising a child (Kirshbaum, Taube& Lasian Baer, 2003). In a survey conducted in Montenegro reasons given by respondents indicated that they are less reluctant to become parent are: socio-economic reasons (financial, housing situation), the difficulty in finding partners, prejudices, lack of support services, lack of self-confidence, reasons related to the disability itself (fear of inheriting the disability and fear for their own health) (Federation of the Association of Paraplegics of Montenegro, 2014).

Callow et al. noted that in most U. S. states a parent's disability can influence official decisions about keeping custody of the child (Callow, Buckland & Jones, 2008). Also, access to adoption has been often impeded for persons with a disability by discriminatory practices. But, the research results indicate that predictors of problems in the process of parenting are often the same for disabled and nondisabled parents (Kirshbaum, Taube& Lasian Baer, 2003).

Higher scores in experienced discrimination in the area of family life can be explained by insufficient social support. Although family members may be the main source of support, they also could contribute to discrimination that people with disabilities experience in family life. They can begin to blame others or to withdraw (Corrigan, Watson & Miller, 2006). Family members are more likely to abandon the disabled relatives if they don't believe that improvements are possible (Howard, Leese & Thornicroft, 2000).

Family members could also be a target of stigmatization themselves. Negative attitudes towards family members of persons with disabilities can be described as "stigma by association" (Mehta & Farina, 1988). This type of stigma can strain the relationship between family members and add to the burden or "experience of care-giving" (Lefley, 1989). Family sometimes describes living with a relative with disability as a type of bereavement (Wahl & Harman, 1989). Parents who have a child with a disability are troubled by what will happen when they are old and not able to care for the child. Anxiety, depression and sleep disturbance are common mental health problems in parents of children with a disability (Szmukler et al., 1996). Some parents see the child as an extension of themselves and may become over-protective and encourage dependency (Szmukler et al., 1996). The paternalistic relationship is also a discriminating attitude, which interferes with the capacity for self-reliance of persons with a disability. On the other hand, it is important to recognize that many people with disabilities receive unconditional support from family members. In our research it was established that younger participants experience positive discrimination mostly in family life. Family members are first to help in coping with the constraints and barriers that disabled individuals may face. Many studies show that family members are satisfied with their role of care giving (Thomas, Bax & Smyth, 1989).

It was observed in our research that employed and unemployed participants experience more discrimination than students or retired participants. Persons with disabilities may experience discrimination in looking for a job or keeping a job. According to Thomas et al., (1989) unemployment can have serious negative effect on the lives of disabled persons, such as financial and psychological stress, feelings of frustration and being constrained to live on state benefits. In spite of anti-discrimination laws in numerous countries, the percentage of employed persons with a physical disability is lower than the same percentage among able-bodied persons. According to the US Census Bureau, out of 15. 6 million adults, aged 16-65, 79. 8% without a disability were employed compared to only 34. 6% with a disability (US Department of Commerce, Bureau of the Census, 1999). They also earned less than the general population. It could be due to inadequate education and training of persons with disability, inadequate employment conditions, inaccessible public transportation, and ignorance about their potential at work (Lonnquist, 1979). Employers are concerned about work performance, absenteeism, the level of monitoring needed and the negative attitude of other employees toward persons with a disability (Kregel & Unger, 1993), so their attitudes could be potential barriers.

In a survey conducted in Belgrade, it has been found that the period after acquiring disability affects education, profession and specific needs of the professional rehabilitation. It is estimated that 1/5 of unemployed persons with disabilities live below the poverty line comparing to general population in Serbia (where 7. 9% of the population live below the line of absolute poverty and 13. 2% below the relative poverty line. Almost 4/5 of the respondents believe that environmental barriers represent the main obstacles to obtain the job. Only 1. 95% of persons with disabilities were employed in organizations that were the subject of research. Center for Independent Living of PWDs Serbia, 2010).

In our research 40. 4% participants experience discrimination related to transportation. Difficulties in transportation can be associated with limited life opportunities (access to work, housing, health care or education facilities, shopping, leisure and recreational activities etc.). The Australian Human Rights and Equal Opportunity Commission identified difficulties in getting

to and from work, including lack of physical access and high transport costs as major barriers to work (HREOC, 2005). Accessibility problems include: getting on or off the vehicle, transferring between services, getting to the stop or station, the availability of public transport in the area, badly designed parking spaces, etc. Russell, Quinn, King, Riain&MacGinity, 2008). In Serbia, except the law on the prevention of discrimination, and the prohibition of discrimination in public transportation, laws that govern public transport does not mention accessibility standards. Center for Independent Living of PWDs Serbia, 2007).

In our research 40. 3% of participants report they have been stigmatized in relationships with professionals. In the relationships persons with physical disability often feel patronized or humiliated, excluded from important decisions or lacking the capacity to be responsible for own lives (Grewal, Joy, Lewis, Swales & Woodfield, 2002). Staff attitudes were found to be a key factor affecting disabled people's experiences of accessing goods and services (Grewal, Joy, Lewis, Swales & Woodfield, 2002). Professionals are also seen as unhelpful in dealing with client's stigma (Thornicroft, Rose&Kassam, 2007).

Persons with a disability often report experiences of being shunned and avoided. This can be due to ambiguous interaction of persons with and without a disability, in which a person without a disability, experiencing embarrassment, tries to avoid interaction (Oaten, Stevenson & Trevor, 2011). It may be the reason why persons with disability anticipate discrimination even without experiencing many overt acts of discrimination. So in this research it was established that participants significantly more often anticipated than experienced discrimination in looking for close relationships. Experienced discrimination is a predictor of anticipated discrimination with probability of 29. 9% (with count scores) and 22. 1% (with mean score). This can point to conclusion that along with experienced discrimination other factors contribute to the strength of anticipated discrimination.

A limitation of the study is the number of participants which did not allow generalization of results. Also, persons with different impairments were included in one group. Exploring separate experiences of discrimination in persons with different types of physical impairment would possibly yield different results. In the study, the subjective perception of past discrimination experiences is explored. So, distortions in memory may influence the results.

## Conclusion

Although persons with disability report a low level of discrimination, they experienced it in many important areas of life. The experience of discrimination, even in low intensity, can have serious effect on the lives of persons with a disability. The main finding is that even with low levels of discrimination persons with disability anticipate it. Belonging to a more vulnerable social group, persons with a disability, as well as their family members, should be supported, especially in improving self-esteem and developing coping strategies. It is also necessary to design an anti-stigma campaign which will lead to the reduction of experienced and anticipated discrimination in important areas of life of young persons with physical disabilities. The high percentage of discrimination experienced in relationships with professionals should be taken seriously since their job is to help people with disabilities and to work with them to find strategies to combat stigma and discrimination.

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## Diary - Writing as a Tool for Monitoring and Assessing Intercultural Learning and Cultural Intelligence

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### Abstract

This paper outlines a research project which is being conducted in the educational context of an international Master program: In 2001, an interdisciplinary and cohort-based Master program entitled "International Management and Intercultural Communication/GlobalMBA" was founded, which is currently offered by a four-university consortium that includes the following: Technische Hochschule Köln (TH Köln), Cologne, Germany, the Faculty of Management at the University of Warsaw (UW), Poland, Dongbei University of Finance and Economics (DUFE) in Dalian, China, and the Coggin College of Business at the University of North Florida (UNF) in Jacksonville, USA. During the program's 15-month duration, a multinational cohort of 25-30 students recruited from each of the four universities studies together for one semester at each university. Much of the coursework and assignments as well as the final Master thesis are written in multinational groups of three to four students, thus requiring the students to permanently prove their teamwork skills. Besides, given the in-built mobility and multinational cohort-based structure of the program, the students are continuously exposed to a variety of different cultural experiences and encounters. The program's curriculum includes management-oriented courses as well as courses on the theory and practice of intercultural communication. In one of these latter modules called *Applied Intercultural Communication*, which is taught in every location and has a strong country-specific perspective, students are required to produce reflective diaries describing their cultural experiences. The research project presented here started in 2013 and is based on a qualitative analysis of students' diary entries written during a time span of 15 months as part of the course requirements for this particular module. The project is intended to serve two main purposes:

**Keywords:** Diary-Writing Tool Monitoring Assessing Intercultural Learning Cultural Intelligence

### Introduction

Effective intercultural learning or "cultural localization" requires recognizing, accepting and embracing cultural differences and the inherent diversity which exists in all social interaction. It also means treating individuals as "cultural beings" whose values and behaviours are shaped by the unique culture in which they live. For the students, the diaries are therefore intended as a "learning log" in order to help them gain greater awareness of their own cultural conditioning and values and to critically reflect on the process of cultural adjustment and the experience of travelling and studying within a multinational cohort in four foreign countries. Thus, the diaries represent a dynamic scenario of the students' process of acculturation and localization at various points of their studies. "Cultural localization" is here understood as the practice and process of an individual to accommodate and adjust to cultural differences of both a foreign country and the multinational and socially and ethnically diverse cohort of students.

We, as researchers, educators and program developers, intend to explore how this experience-based approach allows us to chart a student's development and attitudinal shifts from the beginning to the end of a 15-month program, both in terms of personal growth and intercultural learning. We are interested in the question whether, to what extent and in what ways the diaries reveal that intercultural learning and personal development has taken place for the students during the program's duration. The diaries thus are intended to serve as an instrument for monitoring and assessing the process of intercultural proficiency, with a special focus on discovering and assessing which aspects of human experience are *globally shared* and which areas, by contrast, are culturally informed and thus require the students to undergo processes of *cultural localization* and adaption in order to function adequately in new cultural environments. Put differently: In how far and why

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do students modify their cultural boundaries, localize and adapt to the culture around them or hold on to their “culture” and surround themselves with the familiar?

### **Intercultural Competence – a Controversial Concept**

The term ‘intercultural competence’ is widely, almost inflationary, used and controversially discussed.<sup>1</sup> It might therefore be helpful to look at some of the many, often conflicting, opinions on that concept as well as at a number of related concepts and underlying questions, such as: What understanding of culture informs Intercultural Communication and therefore the concept of intercultural competence? Where do we draw a line, on a micro-level, between ‘normal’ and ‘intercultural’ communication? What makes Intercultural Communication ‘intercultural’?

According to Lustig/Koester (2005, 64) intercultural competence is the complex of abilities needed to perform *effectively* and *appropriately* when interacting with others who are linguistically and culturally different from oneself. ‘Effectivity’ here refers to the extent to which “desired personal outcomes” (ibid.) have been achieved and therefore usually reflects one’s own view of one’s performance during an intercultural encounter, whereas ‘adequacy’ refers to the way in which one’s actions are perceived by the communicative counterpart and “fit the expectations and demands of the situation” (ibid.). The efficiency-view of intercultural communication has become hugely popular in a business and management context and it very often implies maximizing one’s chances in a global economy and gaining economic or strategic advantages, for example, in negotiations characterized by power differences.<sup>2</sup> Within an educational context, many of the intercultural competence models follow Michael Byram’s (1997) well-known and widely accepted model of intercultural competence, according to which the learning objectives are grouped into the competencies: factual *knowledge* of social groups and their products and practices (commonly known as “area studies”), *skills* in real-life social interaction and *attitudes*, such as curiosity, openness, empathy and the capacity to become aware of one’s own cultural presuppositions and prejudices. Ideally, a combination of these competencies applied through action then enables learners to achieve harmonious interaction and successful dialogue.

While intercultural competence trainings aim to promote understanding between groups of individuals who are culturally different, they posit cultural difference as the starting point for processing intercultural learning and, in doing so, might fail to recognize specific differences between individuals of any given group. However, such differences can be more relevant than the differences between groups, especially in the case of increasing cultural complexity and diversity within contemporary societies (Welsch 1999, Fang/Faure 2010, Witte 2012). Without intending to deny the importance of cultural difference as a possible starting point for cultural analysis, it might be more appropriate to view any intercultural encounter as situated within a triangle of cultural, personal and social/situation influences that need to be taken into equal consideration. The so-called **Culture-Person-Situation** model draws attention to the fact that misunderstandings may not necessarily be grounded in cultural difference (only), but may, more often than not, be linked to an individual’s experiences, personal dispositions and social situations. As Leenen (2005, 91-92) argues, there are never “purely” cultural encounters as such, because

it’s not cultures that meet, but human individuals who are influenced by a complicated interplay of personal, situational/social and, of course, cultural factors. Therefore a particular difficulty with cultural overlap situations resides in precisely the structural uncertainty as to what the factor ‘culture’ actually means. Generally speaking, one has to assume an interplay between the afore-mentioned factors which cannot easily be decoded. (authors’ translation)

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<sup>1</sup> Over more than five decades of academic research into the nature of intercultural competence has produced a “dizzying amount of material” which “can be explained to a great extent by the lack of any unity in the definition of the term ‘intercultural competence’ itself” (Rathje 2007, 255). Much of this research has produced detailed lists of components which are usually broken down into affective, cognitive and behavioral categories. For such lists see, for example, Bolten (2003) and Deardorff (2006).

<sup>2</sup> Different understandings of the nature and aims of intercultural competence also lead to different perspectives on what kind of competences should be developed. Representatives of the efficiency-view consider intercultural competence as an instrument for achieving economic success. The German intercultural psychologist Alexander Thomas (2003) is one of the most influential proponents of the efficiency concept. While the idea of intercultural effectiveness is more strongly linked to economically oriented applications, more academic and education-based approaches focus on the personal growth and development of the individual. Thus, according to the cooperation-oriented view, intercultural competence is seen as leading to a person’s ethical responsibility and self-reflection as well as creating common ground and a greater understanding between human beings and social groups (Wierlacher 2003).



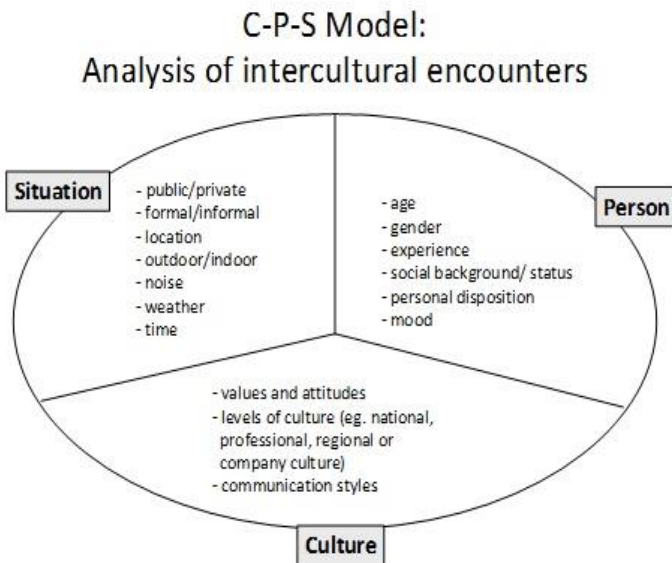


Fig. 1: Adapted according to Leenen 2005, Bosse 2010

The Culture-Person-Situation model, with its special focus on the role of the *situational* and *personal* dimension in encounters, accentuates differentiation within a specific (possibly national) culture and embraces the fundamental complexities within contemporary societies. Context-sensitive approaches to analyzing intercultural encounters are particularly necessary as the development of intercultural competence is largely based on the *individual's* experiences when interacting with members from a different culture – and much here depends on how the term ‘culture’ is understood.

According to the traditional, coherence-based view, cultures are seen as largely homogeneous entities contained within national or ethnic borders, while the dynamic, constructivist process view sees ‘culture’ as a set of values, beliefs and practices shared by members of a social group, leading to a sense of normality and familiarity. German cultural theorist Klaus P. Hansen (2003) has offered a model which is based on the assumption that individuals are no longer primarily part of just one culture, often understood as the membership in a national or ethnic collective, but belong to several collectives at the same time. According to his model of “multicollectivity” (Hansen 2003, 198), cultures exist within human collectives, with the term ‘collective’ including all kinds of groups of individuals – ranging from football clubs to corporate organizations to nation-states – held together by “shared practices” (or “habits” as in Edward B. Tylor’s first anthropological definition of ‘culture’, 1871, 1). In other words, individuals are “doing culture” together within a collective. Hansen does not deny the persistent continuities of nation-states, but in his model they become simply a single, if special, form of a “super-collective” (Hansen 2003, 194). Individuals are able to add collective memberships and cultural customs, even conflicting ones, without having to sacrifice existing ones. The more access individuals have to a wide variety of collectives, the more they will be able to develop familiarity with cultural differences and alternative ways of life.

Based on a definition of ‘culture’ as shared meaning and practices within a collective, any social interaction or communicative situation where at least one of the participants feels a lack of normality and shared meaning (= mis-understanding), could thus be defined as “intercultural”. Such a definition of “intercultural” communication considers the personal interpretations of the participants and limits intercultural communication to situations in which at least one of the participants attribute the problems and conflicts that arise to culture and cultural differences (Piller 2011, 16f). That said, intercultural competence could then be defined as the process of negotiating meaning at the end of which “normality and familiarity” are created (Rathje 2007, 263) – and precisely this process of *negotiating and making meaning* is what we want our students to document and critically reflect on in their diaries.



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Before outlining our diary-writing project and findings in greater detail, it might be helpful to contextualize the project and provide some information on this Master program. The Master “International Management and Intercultural Communication”/ GlobalMBA is an international postgraduate program, which began in 2001 and is now jointly administered by the afore-mentioned consortium of four different partner universities in Germany, Poland, China and the USA. At TH Köln, two faculties provide this Master program in cooperation – the Faculty of Business, Economics and Law and the Faculty of Information Science and Communication Studies. This inter-faculty cooperation at TH Köln/Germany takes account of the fact that the program integrates and focuses on two fields of action and learning – international management and intercultural competence. The language of instruction is English. Students earn two graduate degrees (a Master of Business Administration awarded by UNF, and a Master of International Management and Intercultural Communication jointly awarded by THK and UW), as well as a certificate of attendance for their study time in China. Each university recruits a maximum of 10 students. With regard to the recruitment process and the related aspect of employability of our future graduates the following is important to mention: This Master aims at qualifying students for all aspects of international management as well as for academic research. The program takes account of the fact that professional international management requires intercultural skills. Therefore the main goal of the program is to enable students to become communicative, creative managers in an international environment and, by applying their intercultural competence, to find solutions at the interface of culture and management. Hence, apart from formal admission requirements, there are certain specific qualities which we are looking for in applicants, which include independent thinking, creativity, curiosity, perceptiveness, the ability to change perspective as well as openness and tolerance. <sup>1</sup>

While cohesive course development is generally of the utmost importance, it is absolutely essential with an integrated and uniquely designed curriculum including modules that are taught in all four locations, as is the case with the module “Applied Intercultural Communication”, which provides culture-specific insights into the four countries and cultures involved. Consequently, during an annual Directors Meeting in Cologne in 2012, the program invited all leaders of this particular module to kick-start a discussion on innovative teaching methods, course content and sequencing. Since then, this collaboration has been extended to a research project based on the comparative analysis of diaries written as part of the course requirements for this module in all four locations. <sup>2</sup>

### **Theoretical Background: The Experiential Model of Learning**

During the program’s duration of 15 months, beginning in Germany, a multinational cohort travels and studies together, spending one study period at each university. Thus, intercultural communication is not only part of the formal education and firmly anchored in the curriculum in the form of intercultural awareness workshops and courses, but *actually lived* and experienced. Quite clearly, such a unique program structure facilitates and promotes experiential learning, i.e. learning through observation and reflection on doing. Experiential learning can be illustrated – and applied to this particular program – by the four-step experiential learning model as developed by David A. Kolb in the 1970s and outlined in Figure 2 below. Following this model, in the concrete experience stage, students are exposed *daily, directly* and *continuously* to difference and a large variety of intercultural encounters. This daily lived experience forms the basis for observation and reflection which takes place in the diaries. Students are asked to collect direct observations, consider what is working or failing (reflective observation) and to think about ways of improving on future intercultural interactions (abstract conceptualization). While experiential learning depends on the students’ self-initiative, immersion and active involvement with a concrete experience, the role of the respective module leaders is to facilitate this learning process. Based on the critical incident-technique, we therefore provide the students at the beginning with the following guiding tasks and questions:

Describe in detail an incident and its context which triggered off a misunderstanding or the feeling of uncertainty, alienation, strangeness: Who was involved? What exactly happened? When? Where?

Explain why the experience was critical or significant for you.

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<sup>1</sup> For further information see Mattingly Learch et al. (2016) as well as the program’s official website: [https://www.th-koeln.de/en/academics/international-management-and-intercultural-communication-masters-program\\_7182.php](https://www.th-koeln.de/en/academics/international-management-and-intercultural-communication-masters-program_7182.php)

<sup>2</sup> At the respective universities the following researchers are involved in this project: Ulrike Meyer (OSTr, Technische Hochschule Köln), Prof. Dr. Elke Schuch (Technische Hochschule Köln), Prof. Dr. Halina Grzymala-Moszczyńska (Universität Krakau/Warschau), Prof. Dr. Xiaoyan Yu, (Dongbei University of Finance and Economics, Dalian, China), Dr. Steve Paulson (University of North Florida, Jacksonville, USA).

The event or incident or experience in itself should be important to you, but what is more important is your reaction to it and how it has influenced and informed your thinking and learning. Describe and reflect your own behavior - what did you do, think and feel at the time? How well or badly did you understand the situation – and deal with it?

How far do you think the incident was caused by cultural factors?

What would you do differently next time?

Has the experience somehow influenced your behavior since the encounter?

Do not only describe the experience, but analyse and evaluate the events and the thinking processes involved. You should aim to consider deeper levels of meaning, exploring moral, ethical and social issues.

The aim of these guiding questions is to make students engage in critical self-assessment and to develop empathy and “the ability to understand other worldviews”, which, according to intercultural communication theorists form an important basis of intercultural competence development (Deardorff 2011, 68). Analysis and reflection should finally build the basis for taking action and testing the hypothesis in interaction with others. As a consequence, every future interaction should then be influenced by a cyclical pattern of previous experience, thought and reflection (active experimentation).

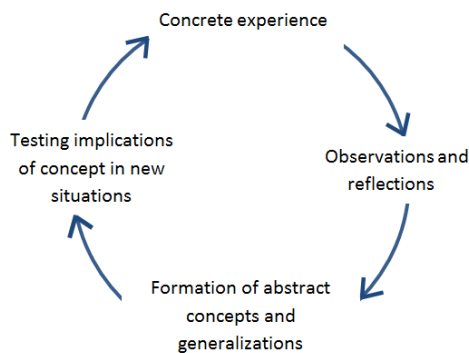


Fig. 2 Kolb's Experiential Model of Learning (EML)

### Diary Content Requirements

Content-wise, we ask the students to pay special attention to the following focus fields:

The process of team and cohort building

Our focus of interest: What factors are mentioned as relevant for building a 'cohort spirit'? What kind of problems do arise in the process of building a team and a cohort in general? Who perceives and mentions problems and who does not? Are solutions offered? What kind of solutions are offered? Have they been implemented at some stage during the diary-writing process – and to what effect?

Dealing with criticism, disappointment and conflict

Our focus of interest: Who criticizes whom for what? How is criticism expressed and received? What constitutes sources of dispute?

Moments and feelings of foreignness.

Our focus of interest: Discover what cultural particularities are observed by students, what kind of language is used to describe 'Otherness' and cultural differences (i.e. essentialist/constructivist? etc.).

### Assessment

Assessment focuses on how successfully students have demonstrated an ability to analyse and reflect on events in order to learn from them. The account must be of an appropriate level of introspection for reflection on the learning process and

demonstrate recognition by the students that their identities are socially constructed. Also relevant to assessment is how much students are able to relate the experience to their current theoretical learning (i.e. intercultural communication concepts and theories). Most importantly, students are asked to be genuine and honest in their reflections and not to write what they think the lecturers might want to hear.

The diary writing ends after the third location (China). In the last location (UNF), students write an analytical account of the learning process (2000-3000 words) based on the diaries, reflecting on their cultural learning and describing the process by which they gained intercultural awareness. Thus, these diary entries should chart a student's development from the beginning to the end of the 15-month program, revealing personal growth and intercultural competence, including both the impact of travelling, living and studying in four countries and the impact of the program with its multinational perspective.

### **Method of data analysis**

This qualitative research is based on reflexive journals. Students submit their diary entries on a monthly basis. They are supposed to write a text of about at least 200 words twice a week and add and comment on one photograph to illustrate their observations. The diary entries are searched for quotations which show the level of their intercultural learning and awareness. The quotations are collected and grouped following the above mentioned research questions and focus fields. In future, it is planned to employ computerized text analysis in order to gain more reliable and efficient insights into how the language used in the diaries allows us to chart the students' intercultural learning process. The following collection of quotations gives a first overview about the learning process and allows for drawing first and preliminary conclusions.

### **Findings**

The following findings are mainly based on the entries of one cohort (Cohort 13, program start in the winter term 2013/14), who have completed the full cycle in all four locations. Therefore only preliminary results are possible. The following examples follow the research questions outlined above.

#### **(1) The process of team and cohort-building**

Before the program start in Cologne, students are encouraged to get in touch with each other via email and other forms of social media in order exchange information and arrange for mutual support concerning accommodation and other administrative issues. Moreover, in order to further facilitate the group-building process, the students take part in an initial obligatory 2 day-intercultural workshop which includes an overnight stay in a venue outside Cologne. The workshop is designed to familiarize students with each other and enhance group cohesiveness as well as to make students aware of their own cultural conditioning and how it affects their values, behavior and assumptions about other cultures.

While groups tend to differ in the degree of their sense of commitment and group-feeling, it can generally be stated that there is an up-beat and very relaxed atmosphere at the beginning of the program, a phase of cultural adjustment that Oberg (1960) would refer to as the "honeymoon"-stage. Entries like the following are, consequently, frequent:

*I had the sensation that we've all become friends within one week, knowing each other quite well and respecting each other's feelings, cultures and backgrounds. ... Everyone seems to be so open-minded and interested in everyone else ...*

One important idea of the multinational cohort-based program structure is that each national group is at one given point host in their own country, while being a visitor /foreigner in the three other countries. This way they learn from each other on the one hand and are prepared to help others on the other hand.

*I love the fact that they can learn from us and we will probably learn a lot from them once we are in the US.*

#### **(1.1) Local and National Rituals of Bonding**

An important and emotionally engaging instrument of cohort-building appears to be cooking, eating and celebrating together. Some important national and local holidays fall into the students' study period in Cologne: One is the US-American Thanksgiving, the other the official opening of the Street Carnival in Cologne. Generally, students enjoy and partake with vigor and enthusiasm in the preparation and celebration of both of these two events. Moreover, most of the students, including the Chinese, get strongly involved in the Christian tradition of Christmas and the long preparatory advent season which includes visiting the local Christmas markets and drinking mulled wine. The cohort organized a Thanksgiving and a Christmas party, where all students contributed with food and drink from their home countries. The social practices of

cooking, eating and spending time together has proven to be a highly effective strategy of bonding and cohort-building, with the integration of the Chinese students working especially well in this particular field.

*Chinese students sometimes might be a bit shy at lectures, but when it comes to cooking they are rocking the stage...*

This example of other-perception shows the student's awareness and understanding of the fact that behavior depends on context and counterpart and that different, sometimes even conflicting, values and behavior are expressed in different circumstances and/ or with different communicative agents.

### **(1.2) Doing and Watching Sports Together**

Another very efficient way of bonding appears to be doing sports together. Quite early on, during their stay in Cologne, the male members of the cohort decided to play football together on a weekly basis. This activity included all (male) Chinese students, who had, up until then, not really been part of the group. The student who took the initiative in organizing this football team wrote:

*I think that team sports, such as soccer, strengthen the spirit of our cohort even further and prepare us for upcoming group works for several reasons. First of all, you always need to rely on your group members. Furthermore, helping each other plays an important role as well, no matter if it is on the field or in the university. Lastly, every team is only as strong as its weakest member. So you always have to ensure that everyone in the group is satisfied with the results and that arising problems are approached together.*

This enthusiasm was fully shared by Chinese students who described how joyful laughter and physical exertion during a game of football combined into a "symphony of passion and warm-blood" and concludes: "*I hope we can organize more activities just like this and I believe I can fully enjoy it.*" It is interesting how linguistically the "I" dissolves into the collective "we", thus expressing a sense of involvement in a shared and global practice. Similarly, watching sports together seems to create strong bonds too: After watching a football match together during which cohort members of different nationalities became passionate supporters of Cologne's local football team, 1.FC Köln, one of the (female) students commented:

*The FC Köln unfortunately did not score, but we had a great evening as a group, got closer in our common ambition to support 'our' soccer club from Cologne. Obviously, when getting local no other category matters. At some point we all simply became citizens of Cologne, loyal fans of the soccer club and no discussions about intercultural interactions were necessary. The only culture we belonged to was the culture of the soccer. It was very fascinating for me to observe this and to realize that each one of us does not belong only to his 'national' culture, but also being a part of many other different (sub-) cultures.*

This student experienced and realized that national affiliations and frontiers become irrelevant in the face of other, more strongly identity-forming memberships in social collectives (i.e. belonging to the GlobalMBA students group, fans of Cologne's local football club).

### **(2) Dealing with Criticism, Disappointment and Conflict**

There are only a few instances where criticism is overtly expressed in the diaries; this might be due to the fact that students are aware of the fact that the teacher reads the diaries – and reads the diaries for assessment's sake, too. However, whenever criticism is expressed, it concerns the attitudes and behaviors of fellow students. Consider the following, where an American student writes an entire diary entry about "assertive people" (without mentioning the person's name). She describes her reactions as ranging from being angry to crying. Then she thinks about how to deal with this kind of problem in the future and writes:

*I want us all to work together in a respectful manner, realizing that everyone thinks differently. Hopefully by the end of this program, I will have learned how to deal better with this type of personality.*

Although, criticism is rarely openly brought up either in the group or in the diaries, the following example shows that when frustration and disappointment was voiced, it can have a fruitful outcome. One (non-Polish) student was dissatisfied with the way the Polish students, who were expected to be the 'hosts' in Poland, behaved towards the rest of the cohort after their arrival in Warsaw:

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*I also talked with X and Y about the last weeks and my disappointment concerning their absence when it comes to exploring Poland. They both took it very seriously which I liked, and they really seemed to be sad, (...) It gave me a better feeling talking to them and I should have definitely done that earlier.*

This incident occurred in the social context of a very strongly knit cohort. The student in question apparently decided that the interpersonal issues had to be brought up rather sooner than later in order to keep the otherwise satisfying relationships on track. As the quote also shows, the person criticized was receptive towards the feedback from his fellow student and willing and able to deal with that criticism in an appropriate and constructive manner. In this sense, explicit verbal metacommunication not only served as an essential and highly efficient tool for handling a particular problem. It was also a way of re-establishing mutual understanding and reinforcing the satisfying aspects of a relationship.

The following diary entry describes a conflict which is based on a different understanding of academic conventions. One of the German students in the current cohort was confronted with plagiarism during group work. He was shocked by the behavior of his Chinese fellow student, but suppressed his first reaction of expressing anger. Again, metacommunication and dialogue helped to resolve the culturally informed conflict:

*Instead of that I chose a more moderate tone and recapitulated the whole thing with Plagiarism. I explained that it was a very severe issue and that it was everyone's own responsibility to assure that his or her work corresponded academic guidelines. My team member apologized approximately 10000 times and rewrote his part of the assignment within two days. At the end I am glad I chose a face-saving communication style (...)*

This diary entry illustrates the student's process of working out the specifics of how to produce situation-appropriate communicative behavior, reverting to cultural theory to explain his reactions. His high level of perceptiveness and self and other-awareness are important indicators for his capacity to be flexible and open to other cultures and to adapt his interactional and behavioral practices to his interactant.

In conclusion, the aspects which were most critically assessed in personal behavior and attitude amongst cohort members were: assertiveness, abruptness, stereotyping, the Chinese students' lack of ability to work independently in groups, and lack of commitment in leisure time group activities. Criticism is seldom expressed openly. However, if it happens, the person bringing up the criticism feels relieved and is satisfied about the result of the metacommunication.

### **(3) Dealing with the Experience of Otherness and Foreignness**

Without any doubt, the feelings of otherness and foreignness were strongest for the Chinese students. There was anger about stereotypes; there was irritation about the German study culture, where Chinese students felt lost from time to time and there was irritation about local traditions. For example, during Carnival, public kissing is widespread and common. However, a Chinese female student who had "dreamed about carnival for months" was "confused", "angry" and "disappointed" when she was confronted with this "rude" local habit. She explained her irritation by reverting to the categories of nationality and gender: As "a traditional Chinese girl", she "did not want to do such intimate action with strangers". This student's lack of flexibility and ability to understand and adapt to a locale-specific practice led to her sense of frustration and alienation from the surrounding culture.

What transpired as a rather disconcerting finding was that Chinese students seem to suffer over-proportionately from stereotyped representations of China and the Chinese. In one diary entry, a female Chinese student indicated that she did "not feel very well" and "uncomfortable" because:

*I do think people have some kind of misunderstanding of China and Chinese people. Like China is lack of human right, people always cheat and plagiarism, people do not respect rights and our living condition is very bad".*

The feeling of being excluded and not being taken seriously seems to be a major source of frustration and alienation for most of the Chinese students. In the current cohort, a Chinese student complains about Germans and Americans lacking sensitivity and patience with their Chinese colleagues for asking too many "stupid" questions:

*I can tell it is discrimination to our Chinese. Some Americans and Germans think we always ask lots of foolish questions, and bored to answer us. But I think these questions are inevitable, because Europe is a new land to us, we cannot understand something doesn't mean we stupid.*

The Chinese student here uses binary language ("Some Americans and Germans" vs. "we"/"us") for his criticism. The 'Americans' and 'Germans' perceived lack of sensitivity can be interpreted as a lack of interactional competence. In the

following example, a German student also uses the language of “othering” in order to criticise the Chinese for not asking enough questions.

*When we finally were finished and asked whether everyone had understood the system it turned out the Chinese students did not but they had not asked us to clarify anything either.*

In this example language is built around the very idea of difference and is used – albeit presumably unconsciously – to “other” people. Again, the very pronouns “they” and “us” here highlight the subjectively perceived differences between the national groups within the cohort. The use of the first person plural pronoun “us” places the author of the diary entry within a group of shared identity (i.e. the Germans, Polish and U.S. Americans). By contrast, the use of the third person plural “they” excludes the Chinese members of the cohort from this shared group identity and puts them at a distance.

### **Results of the Learning Process from the Student’s Perspective: Essay Writing**

The diaries are written in Cologne, Warsaw, Dalian. In Jacksonville, students write a final reflective essay summing up and evaluating their intercultural experience and learning process during the last 14 months. Apart from the intercultural learning as such we wanted to know: In what ways has the study experience “changed” the students? So far, we have had access only to one cohort’s essays. The following topics were mentioned repeatedly:

(1) **Global thinking:** Students found they think “more globally” after the master study course, they felt an “enrichment of worldview” as well as an ability to change perspectives.

(2) **Changed attitude towards their own country:** Students’ attitudes towards their own country changed in the sense that they felt more aware of strengths and weaknesses of their home country they took for granted before. Some even “fell in love” with their own country!

(3) **Appreciation for intercultural teamwork:** Learning how to work in international groups is seen as one of the main outcomes of the study program, as the following quote illustrates:

*...to find out and use the strengths of every single group member and to overcome the cultural differences which are also reflected in the different working styles and approaches.*

(4) **Personal development and growth:** Last but not least, all students feel that they have personally developed during the 15-month period. They feel “less ethnocentric”, they have seen “how my own limitations determine intercultural experience”, they see similarities, where before they saw mainly differences. We found that our students grew not only in terms of knowing cultures better, but they matured as well in terms of personal development. They learned about their own personal limitations and about their own strengths, they learned to see others and themselves from a different perspective. And they found out that there is more that binds them than divides and that the differences between cultures count less than the communalities, as one student from the US put it most impressively:

*Sure, we have our cultural differences but it’s a surreal feeling to come to realize that there are people just like you all over the world. This aspect goes deeper than culture. This goes down to the basic level of humanities.*

### **Research Constraints**

The results from one single cohort cannot, of course, be generalized. The diaries of many more cohorts need to be analyzed before any scientifically valid conclusions can be drawn. Nevertheless, the results from analyzing the first round of diaries have revealed the following: Diary-writing seems to be indeed an effective tool for a more conscious handling of intercultural experience. Moreover, we discovered that – with regard to Kolb’s Experiential Model of Learning – the first stages of the learning cycle have taken place: concrete experience → observations and reflections → formation of abstract concepts and generalizations. In some cases even the fourth stage has been reached, the stage of “testing of implications and contexts in new situations”. Some instances in the diaries reveal that students have used and applied their new ideas gained from certain experiences in order to resolve future issues within the cohort. It would, therefore, be an important future task to explore to what extent and in what sense program graduates have been able to benefit from the experience once they have started their professional careers.

Another research constraint is the fact that we do not know about the students’ level of cultural knowledge and intercultural competence before they start the master program. The entry levels concerning academic background and exposure to cultural experience and theory tend to be very different: Most of the U.S. American, Chinese and Polish students come



from a mainly business background. Besides, most of the Chinese students have never been out of China before and tend to have little or no theoretical background with regard to intercultural communication theory, while some of the German students come from a language or cultural studies background. Obviously, the level of cultural awareness will influence the shape and quality of knowledge they will acquire during the study course. A possible solution to this problem could be to design some kind of initial cultural awareness test in order to find out about the students' cultural literacy entry level.

The main problem with intercultural competence assessment lies in the fact that it is, in the vast majority of cases, almost exclusively based on self-assessment. In line with this aspect is the not negligible fact that students are aware they are writing for course assessment and a program lecturer. This means there is always the potential danger that they are playing along writing what they think the lecturer wants to hear. Diaries then would not be a social document, but an artifact written for the eyes of the beholder.

Moreover, while most of our students are able to reflect on their cultural experiences and also have the analytical skills to conceptualize what they have experienced – two of Kolb's essential requirements concerning the learner – not all of the students are *per se* willing to be involved in the diary writing project which they know is intended for publication. With one cohort so far we have had to face the challenge that quite a substantial number of students did not give their permission to be included in this research project.

### **Conclusion**

One of the main advantages of drawing on diary data has been the multifaceted nature of the insights we have obtained so far. Insofar as the diaries provide an emic (insider's) viewpoint, they have given us valuable insights into the students' perceptions and thoughts concerning their own and others' behaviors as well as of their interpretations of problematic occurrences and interactions. A further main benefit lies in the insights the interactants themselves can gain on their own behaviors. As such, writing diaries can provide an important self-learning and self-development tool.

Although the present project is as yet based on small-scale data, the findings so far have brought to the fore that considerably more thought and effort has been invested by program developers and directors in order to enhance cohort cohesiveness and group-building, and, in particular, with regard to the integration of the Chinese cohort members. While some of the conflicts we read about were due to conflicting personality profiles, we have been able to identify the following culturally informed sources of conflicts: Different academic conventions, different communication styles and different levels of English language competency have an impact not only on the amount of classroom participation but also on the cohort's overall interactional practices and dynamics. The Chinese tend to be relatively moderate and reserved in their communication patterns, while the U.S. American native speakers and the often very fluent German students tend to dominate classroom discussions and work in teams. There is clear evidence that some Chinese cohort feel left out and misunderstood by the rest of cohort. In the light of the findings that at least some Chinese perceive a lack of sensitivity and understanding on the part of the Western cohort members, the students' better understanding of the consequences of their behaviors and of how their actions are perceived by others might improve group dynamics in the cohort.

We hope to have shown with this description of our research project that by including a learner-centred dimension in the form of diary-writing, it is possible to gain additional, beneficial insights into the intercultural learning process. In addition to more conventional qualitative research approaches (e.g. self-assessment questionnaires), the diaries so far have proven to be an important tool for furthering our conceptual understanding of intercultural effectiveness and for furthering the students' own process of self-improvement and learning.



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## Comparative Performance Analysis of Public Sector Sponsored and Private Sector Sponsored Mutual Funds in India

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### Abstract

The concept of mutual funds in India dates back to the year 1963. The era between 1963 and 1987 marked the existence of only one mutual fund Company in India, namely the Unit Trust of India (UTI), with Rs. 67 billion assets under management (AUM). Few other mutual fund companies entered the mutual fund market later on. The private sector funds started penetrating the fund families during 1993. Kothari Pioneer was the first private sector mutual fund company in India which has now merged with Franklin Templeton. By the end of 1993, the total AUM of the industry was Rs. 470. 04 billion. Just after ten years with private sector penetration, the total assets rose up to Rs. 1218. 05 billion and till 2004, it reached the height of 1540 billion. The total AUM of the mutual fund industry has risen up to 14000 billion in April, 2016. Today there are 43 mutual funds in India offering a number of schemes suited to the needs of different type of customers. It has been noticed that the private sector mutual funds have been taking more risks and have also been able to gain higher returns on an average. This paper tries to highlight the comparative performance of public and private sector mutual funds and also throw light on the scope of the existing potential of the fund market in the face of traditional risk aversion of the investors and huge rise in financial assets.

**Keywords:** Mutual Fund, Public sector, Private sector, Performance

### Introduction

Mutual funds are pooled investments which enable investors to gain access to well diversified portfolios of securities. The amounts collected are professionally managed and invested in capital market instruments such as shares, debentures and other securities. It's one of the most suitable investment options as it offers an opportunity to invest in a diversified, professionally managed basket of securities at a relatively low cost and also provides liquidity to the investor as funds can be traded between the investor and the trust manager. In this sense, a mutual fund acts as a pure intermediary which performs the function of buying and selling securities on behalf of its Unit holders.

In India, the journey of mutual fund industry begins with the formation of Unit Trust of India (UTI) in the year 1963. There was the period of complete monopoly enjoyed by the UTI during 1963-1987. This actually marked the 1<sup>st</sup> phase of the Indian Mutual Fund. The 2<sup>nd</sup> phase is said to have lasted the period 1987–1993 when the Government of India allowed public sector banks and financial institutions to set up mutual funds. Various public sector players started entering the market during the later part of 1980s. In November 1987, SBI Mutual Fund from the State Bank of India became the first non-UTI mutual fund in India. This was followed by Canbank Mutual Fund, LIC Mutual Fund, Indian Bank Mutual Fund, Bank of India Mutual Fund, GIC Mutual Fund and PNB Mutual Fund. The 3<sup>rd</sup> phase started with the entry of private sector and foreign funds during the period 1993-2003. During 1993, the private sector mutual funds started penetrating the market. Kothari Pioneer was the first private sector mutual fund company in India which has now merged with Franklin Templeton. Mutual Fund Regulations came into existence in 1993 with re-registering all mutual funds except UTI. In the beginning, the assets under management (AUM) of the UTI were a meager Rs. 67 billion. By the end of 1993, the total AUM of the fund industry was Rs. 470. 04 billion. By 1994-95, about 11 private sector funds had launched their schemes. However, UTI remained the leader with about 80% market share. The permission given to private sector funds including foreign fund management companies, which mostly entered the market through joint ventures with Indian promoters, provided a wide range of choice to investors and more competition in the industry. Private funds introduced innovative products, investment

techniques and investor-servicing technology. SEBI (Mutual Funds) Regulations, 1996 was introduced by The Securities and Exchange Board of India (SEBI) that set uniform standards for all mutual funds in India. After 1996, the mutual fund industry witnessed robust growth and had also been subjected to stricter regulation by the (SEBI). With the increase in the number of players operating in the industry, fund mobilisation also increased and investors started showing more interest in mutual funds. SEBI looked into the aspects of Investors' interests and the Government too came forward to offer various incentives to the investors in order to encourage them.

Now is the age of consolidation and growth which actually started with the year 2003. This can very well be dubbed as the 4<sup>th</sup> phase of the Indian mutual fund industry. In February 2003, the UTI Act was repealed and UTI was stripped of its Special legal status as a trust. Presently Unit Trust of India operates under the name of UTI Mutual Fund. Its past schemes are being gradually wound up. However, UTI Mutual Fund has been still been the largest player in the industry. Thereafter, the mutual fund industry has come to witness several mergers and acquisitions. The acquisition of schemes of Alliance Mutual Fund by Birla Sun Life, Sun F&C Mutual Fund and PNB Mutual Fund by Principal Mutual Fund has been some of the prominent examples. During this period, some more international mutual fund players like Fidelity, Franklin Templeton Mutual Fund etc. have entered India. This is a continuing phase of growth of the industry through consolidation and entry of new international and private sector players.

### **Growth Potential of the mutual fund market**

The Indian Mutual Fund industry has witnessed a rapid growth in recent years. This growth is a combined result of a number of factors including infrastructural development, increase in personal financial assets and rise in foreign participation etc. It has become a preferred investment option compared to many other traditional investment avenues because of factors like growing risk appetite, rising income, increasing awareness and expectation of higher returns.

The Mutual fund industry in India has emerged as a dominant financial intermediary in Indian capital market. Just after ten years with private sector penetration, the total assets rose up to Rs. 1218.05 billion and till 2004, it reached the height of 1540 billion. As of April 2006, the industry comprising of 33 Asset Management Companies managed financial assets of over Rs. 2000 billion (equivalent of US \$45 billion). This was the result of the continuous contributions by an estimated 20 million investors spread all over the country. The interesting point to note here is that though the volume of investment in mutual fund happens to be quite large, stocks and mutual funds only account for 4.95% of personal financial assets in India. Some experts have interpreted this as a kind of an indication of the huge potential in India for growth in investments by individuals into mutual funds and other risk assets. India has recently seen a rapid decline in the number of its extremely poor, along with an increase in its wealthy and middle-income segments. In India, the owners of mutual funds include not only the wealthy but also regular retail investors, and this should further broaden the market of potential mutual fund investors. Kamiyama, (2009). As on 31 March 2012, the average asset under management was Rs 66,47,920 million with a wide variety such as Open-Ended, Close-Ended, Interval, Growth, Income, Balanced, Equity Linked Savings Scheme (ELSS) and so on that caters to the investors' needs, risk tolerance and return expectations. The total AUM of the mutual fund industry has risen up to more than 14 trillion in April, 2016 (Economic Times, 6 May, 2016). Today there are 43 mutual funds in India offering a number of schemes suited to the needs of different type of customers.

The Assets under Management (AUM) have grown at a rapid pace at a CAGR of 35% over the 5-year period from 31 March 2005 to 31 March 2009. Over the 10-year period from 1999 to 2009, the industry grew at 22% CAGR. India has been amongst the fastest growing markets for mutual funds since 2004. During the period 2004 – 2008, the Indian mutual fund industry grew at 29% CAGR as against the global average of 4%. With this impressive growth, the ratio of AUM to GDP in India has also gradually increased from 6% in 2005 to 11% in 2009. There has also been an increase in investment of the gross household financial savings into mutual funds from 1.2% in 2004 to 7.7% in 2008. Gupta, 2011)

It has been observed that the saving pattern of Indian household sector is moving in favour of mutual funds. Traditionally, the asset portfolio of Indian household sector has been dominated by the time deposits and recurring deposits in the banks. Gradually, this trend has changed and there is more emphasis on investment in the mutual funds and the direct investment in the Securities market. Highly security-oriented Indian household sector is transformed into marginally risk-oriented sector and the risk-oriented segment of Indian Household sector has diverted the flow of their savings to the Stock markets through the medium of Mutual Funds. Raut, 2011). This interesting transformation of saving and investment decisions of Indian Household sector in recent years has become the cause of absolute growth of Mutual Fund Industry in India. Mutual Fund have mobilised resources largely from the household sector to the Capital market for transforming savings of the household sector into investment in the Capital market. There is positive trend of resource mobilisation by the Mutual Funds. Therefore,

Mutual Funds have the potentials to promote rate of capital formation in Indian economy in the decade of 2010-11 to 2020-21.

### Unit Holding Pattern of all Mutual Funds

Unit holding pattern of all Mutual Funds is more skewed towards individual household sector of Indian economy. On the other hand, unit holding pattern of corporate sector is the minimum. However, in spite of large unit holding by the individuals, there is less contribution to the total net assets by these individuals. On the contrary, in spite of minimum unit holding by the corporate sector, there is highest contribution to the total net assets by this sector. From the analysis of data on unit holding pattern of Private Sector Mutual Funds and Public Sector Sponsored Mutual Funds in India, the following observations are made:

1. Out of a total of 4.77 crore investors accounts in the mutual funds industry, 3.12 crore investors accounts i.e. 65.41% of the total investors accounts are in private sector mutual funds whereas the 1.65 crore investors accounts i.e. 34.59% are with the public sector sponsored mutual funds which (includes UTI Mutual Fund).

2. However, the private sector mutual funds manage 77.97% of the net assets whereas the public sector sponsored mutual funds own only 22.03% of the assets.

Details of unit holding pattern of private sector and public sector sponsored mutual funds are given in the following tables:

**Table 1: UNITHOLDING PATTERN OF PRIVATE SECTOR MFs (as on March 31, 2010)**

CATEGORY	NUMBER OF INVESTORS ACCOUNTS	% TO TOTAL INVESTORS ACCOUNTS	NET ASSETS (RS. CRORE)	% TO TOTAL NET ASSETS
Individuals	30,041,859	96.24%	191,172.34	39.74%
NRIs	787,791	2.52%	24,703.76	5.13%
FIs	211	0.00%	6,204.35	1.29%
Corporates/Institutions/Others	385,856	1.24%	258,997.02	53.84%
TOTAL	31,215,717	100.00%	481,077.47	100.00%

**Table2: UNITHOLDING PATTERN OF PUBLIC SECTOR SPONSORED MFS (INCLUDING UTI MF) (as on March 31, 2010)**

CATEGORY	NUMBER OF INVESTORS ACCOUNTS	% TO TOTAL INVESTORS ACCOUNTS	NET ASSETS (RS. CRORE)	% TO TOTAL NET ASSETS
Individuals	16,285,824	98.65%	54,217.94	39.90%
NRIs	155,691	0.95%	2,725.1	2.00%
FIs	5	0.00%	130.65	0.10%
Corporates/ Institutions/ Others	66,474	0.40%	78,815.56	58.00%
TOTAL	16,507,994	100.00%	135,889.25	100.00%

### Methodology and Analysis of Data

This paper has tried to evaluate the growth of mutual funds during 2000-01 to 2015-16. It also aims to evaluate resource mobilisation and assets under management by mutual funds in India and to examine Unit holding pattern of Private and Public Sector mutual funds in India. The methodology adopted is to collect secondary data from various sources (mentioned in the References) and analyse this data with simple statistical tools such as Time Series Analysis and Correlation Regression Analysis.

First we have considered all the mutual funds existing in the market as on July, 2016 and have taken all the schemes offered by different funds. Various mutual funds have been offering open ended, close-ended, dividend option, growth option, direct and indirect schemes. We have taken the assets under management of all the AMCs and computed the one

month, three months, one year and three lowest and highest performers based on the risk adjusted NAV figures. Then we have narrowed down our study to find out the performance of equity oriented schemes offered under direct and growth options.

### **Performance Measurement**

Like all other studies on mutual funds, we too have measured the performance of mutual funds basically on the basis of three important models derived independently by Sharpe, Jensen and Treynor.

Sharpe Ratio gives the Fund return in excess of risk free return/ Standard deviation of Fund. Sharpe ratios are ideal for comparing funds that have a mixed asset class. The higher the Sharpe ratio, the better a fund's returns relative to the amount of risk taken.

Treynor ratio is the Fund return in excess of risk free return/ Beta of Fund. Treynor ratio indicates relative measure of market risk. The higher the Treynor ratio (higher will be the returns and lesser market risk of the fund).

Jensen's measure shows relative ratio between alpha and beta.

R- square measures the correlation of a fund's movement to that of an index. R-squared describes the level of association between the fund's volatility and market risk.

Standard Deviation allows us to evaluate the volatility of the fund. The standard deviation of a fund measures this risk by measuring the degree to which the fund fluctuates in relation to its mean return.

Beta is a fairly commonly used measure of risk. It basically indicates the level of volatility associated with the fund as compared to the benchmark. Beta > 1 = high risk; Beta = 1 = Average; Beta <1 = Low Risk

For understanding risk and return analysis, we have computed (Compounded Annual Growth Rate (CAGR) for 1 year, 2 year and 3 years, We have also calculated Standard deviation, (R- Square, Beta, Sharpe, (Treynor and Jensen measures. The results are classified on the basis of six categories of mutual funds like, i) Private AMCs, ii) Joint Venture predominantly Indian, iii) Joint venture foreign, iv) Joint venture Indian, v) IDBI and UTI and vi) DHFL. These classifications are based on the NAV India guidelines and computations are done by us from the data.

### **Results and findings**

The tables appended in the later pages have given the results and calculations based on the data provided by NAV India. First they show the profiles of the mutual funds. The later tables show some of results based on certain set criteria.

#### **A. Performance in terms of periodic averages return analysis**

i) In terms of periodic averages return analysis based on risk adjusted net asset values for the period (June (to July 8, 2016, Birla Sun Life CEF - Global Agri Plan (G) under JV Indian category has been the lowest performer in the one month while Edelweiss Emerging Leaders Fund - Direct (G) under Indian private category has emerged the best performer.

ii) In case of three months performance measures, for the period April 8 to July 8, 2016, Birla Sun Life Inter Equity - Plan A (D) under JV Indian category performed lowest and ICICI Pru Banking & Financial Services - Direct (G) has emerged the best performer.

iii) In case of one year periodic returns for the period July 9, 2015 to July 8, 2016 Baroda Pioneer PSU Equity Fund - Plan A (G) under the category JV Foreign performed lowest of all funds. Here Sundaram Rural India Fund - Direct (D) under Indian Private AMC has performed the best.

iv) Again, in case of three year periodic average return analysis for the period July 9, 2013 to July 8, 2016, Taurus Ethical Fund - Direct (B) under Indian private category has performed the poorest of all. Here Joint Venture Indian AMC DSP BR Micro-Cap Fund - Direct (G) has performed the best of all.

#### **B. Comparison of Schemes Performance based on Traditional Measures of Risk Analysis:**

##### **Standard Deviation**

Out of all the schemes, Escorts High Yield Equity Plan - Direct (D) under Indian Private (has got the highest S. D. with 26. 73 and Baroda Pioneer Bank &Fin Serv Fund-Plan B-Dir (D-RI) under JV foreign has got the lowest S. D. at 1. 41.

### Sharpe ratio

Two of the funds in the market, namely, Baroda Pioneer Bank&Fin Serv Fund-Plan B-Dir (D-RI) and Tata Resources & Energy Fund - Direct (D), both under Indian Private category have registered highest Sharpe ratio. On the other hand, Baroda Pioneer PSU Equity Fund - Plan B - Dir (D) under JV Foreign has shown lowest Sharpe ratio.

### Beta value

Taurus Banking & Financial Services - Direct (D) which is under Indian private AMC has shown highest Beta value during the study period; while two JV Indian funds namely, BOI AXA Mid Cap Equity & Debt Fund - Direct (D) and SBI Shariha Equity Fund - Direct (D) have registered lowest Beta value

### Fama Ratio

The scheme Tata Banking & Financial Services Fund - Dir (D) under Indian Private AMC has shown highest Fama ratio during the period. The Joint venture foreign AMC Baroda Pioneer PSU Equity Fund - Plan B - Dir (D) has registered lowest Fama ratio.

Next we have calculated the alpha and beta values of different categories of mutual funds after computing the adjusted R squares, standard errors by taking into account the intercept and coefficients of the regression equations. This has been done after computing the trend values risk-return analysis of different AMCs. Then we have found out the Sharpe ratio and Treynor ratio of different categories of funds. Both these ratios have indicated that Joint Venture foreign category of funds have outperformed the other categories in matters of getting rewards over risks of the portfolios. Again, the other methods of risk-return analysis based on standard deviations and adjusted NAV calculation clearly point to the fact that the private sector AMCs are generally inclined to taking more risks in their hunt for better returns. Even though many of them couldn't achieve better results over the long term horizon, some of them like, Reliance, Birla and Tata schemes have done well in risk-return analysis.

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Footnotes:

AMC = (asset management company)

AMFI = association of mutual funds in India

AUM = asset under management

NRI = non- resident Indian

RBI = Reserve Bank of India

S. E. = standard error

SEBI = Securities and Exchange Board of India

**Tables**

Table 3

Asset Under Management of Various Categories of Asset Management Companies (Rs. Crores)							
Year	Foreign	Indian private	J. Foreign	V. Indian	J. V. Predominantly Indian	IDBI & UTI	DHFL
2005	4450	2730	3680	8309	20617		
2006	616	749	459	705	4810.273	37	
2007	7854	2655	4925	12660		25391	
2008	583	902	021	95	14110.58	3	
2009	8984.3	4188.96	5788.07	18345.43	25567.11	32262.93	
2010	6296.8	3918.4	5129.32	19296.07	34756.1	37089.15	
2011	7798.115	5495.747	4748.785	32141.67	57121.91	54326.71	
2012	9905.864	5068.532	4649.067	36393.24	58301.14	31031.25	
2013	9691.25	5219.518	3745.823	30509.76	42349.62	26265.74	
2014	10733.92	5276.049	4905.421	31930.35	28699.56	28699.68	71673
2015	12251.3	5719.969	6541.914	40450.12	46358.77	33056.12	93.91028
2016	16256.01	7718.309	8025.492	55369.71	59608.48	41099.69	164.8091
2017	21689.91	10674.49	8298.396	71756.57	78981.64	51524.9	531.415
2018	20836.76	12478.3	6823.713	80534.16	86656.15	55986.3	18018.45

Table 4

Market share based on Asset Under Management of Various Categories of Asset Management Companies							
Year	Foreign	Indian Private	Joint Venture Foreign	Joint Venture Indian	Joint Ventures - Predominantly Indian	IDBI & UTI	DHFL
2005	9	6	8	18	10.78557	46	0
2006	11	3	7	18	20.87415	37	0
2007	443559	403091	083944	28321	26.87405	33	0
2008	913107	679745	816912	12082	32.63923	34	0
2009	824583	400141	938006	88559	35.34051	33	0
2010	815222	467144	198552	03851	40.11111	21	0
2011	090759	357525	127208	47113	35.35566	23	0
2012	098339	472111	157958	60725	31.27953	33	0
2013	8.47418	956482	594188	27.9792	32.06619	22	0
2014	635675	100195	263379	41403	31.66579	21	0
2015	909122	384543	408563	47398	32.44168	16383	218279

Table5: Performance (Based on periodic averages of Returns adjusted Net Asset Value)

One Month Lowest Performers (June 8, 2016 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
Joint Venture Indian	Birla Sun Life CEF - Global Agri Plan (G)	-5.4455
Joint Venture Indian	Birla Sun Life CEF - Global Agri Plan (D)	-5.4414
Joint Venture Indian	Birla Sun Life CEF - Global Agri Plan - Direct (G)	-5.4081
Joint Venture Indian	Birla Sun Life CEF - Global Agri Plan - Direct (D)	-5.4079
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (D)	-4.823
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (G)	-4.8228
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A - Direct (G)	-4.7821
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A - Direct (D)	-4.7817
Indian Private AMC	Tata Digital India Fund (D)	-4.6719
Indian Private AMC	Tata Digital India Fund (G)	-4.6719

Table 6

One Month Highest Performers (June 8, 2016 to July 8, 2016)			
Asset Management Category	Schemes	Return (adj nav)	
Indian Private Company	L&T Emerging Businesses Fund - Direct (D)	8.74	
Indian Private Company	Sundaram PSU Opportunities Fund (G)	9.2435	
Indian Private Company	Sundaram PSU Opportunities Fund (D)	9.2437	
Indian Private Company	Sundaram PSU Opportunities Fund - Direct (G)	9.2479	
Indian Private Company	Sundaram PSU Opportunities Fund - Direct (D)	9.2483	
Indian Private Company	Edelweiss Emerging Leaders Fund (G)	10.4055	
Indian Private Company	Edelweiss Emerging Leaders Fund (D)	10.4521	
Foreign AMC	GS PSU Bank BeES	10.4755	
Indian Private Company	Edelweiss Emerging Leaders Fund - Direct (D)	10.5061	
Indian Private Company	Edelweiss Emerging Leaders Fund - Direct (G)	10.5137	



Table 7

Three Month Lowest Performers (April 8, 2016 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (D)	-4.4781
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (G)	-4.4777
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A - Direct (G)	-4.3552
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A - Direct (D)	-4.3546
Indian Private AMC	Tata Digital India Fund (D)	-1.8048
Indian Private AMC	Tata Digital India Fund (G)	-1.8048
Indian Private AMC	Tata Digital India Fund - Direct (D)	-1.4082
Indian Private AMC	Tata Digital India Fund - Direct (G)	-1.4082
Joint Venture Indian	HDFC Arbitrage Fund - WP (Div-M)	0.1109
Joint Venture Indian	HDFC Arbitrage Fund - WP - Direct (Div-M)	0.1925

Table 8

Three Month Highest Performers (April 8, 2016 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
Joint Venture Indian	Birla Sun Life Banking & Financial Services-Dir (G)	22.0994
Joint Venture Indian	Birla Sun Life Banking & Financial Services-Dir (D)	22.19
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. A (G)	22.5056
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. A (D)	22.5056
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. A - Dir (G)	22.6792
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. A - Dir (D)	22.6792
Joint Venture Indian	ICICI Pru Banking & Financial Services (G)	27.1429
Joint Venture Indian	ICICI Pru Banking & Financial Services (D)	27.1758
Joint Venture Indian	ICICI Pru Banking & Financial Services - Direct (D)	27.4882
Joint Venture Indian	ICICI Pru Banking & Financial Services - Direct (G)	27.5196

Table 9

One Year Lowest Performers (July 9, 2015 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
J. V. Foreign	Baroda Pioneer PSU Equity Fund - Plan A (G)	-18.0974
J. V. Foreign	Baroda Pioneer PSU Equity Fund - Plan A (D)	-18.0974
J. V. Foreign	Baroda Pioneer PSU Equity Fund - Plan B - Dir (G)	-17.5199
J. V. Foreign	Baroda Pioneer PSU Equity Fund - Plan B - Dir (D)	-17.5199
Foreign AMC	GS PSU Bank BeES	-16.8942
Joint Venture Indian	HDFC Large Cap Fund (D)	-12.8772
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. B (G)	-12.1671
J. V. Predominantly (Indian)	Reliance Capital Builder Fund II - Sr. B (D)	-12.1671
J. V. Predominantly (Indian)	Reliance Japan Equity Fund (G)	-11.0699
J. V. Predominantly (Indian)	Reliance Japan Equity Fund (D)	-11.0699

Table 10

One Year Highest Performers (July 9, 2015 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
Indian Private AMC	Escorts High Yield Equity Plan - Direct (B)	16.849
Joint Venture Indian	DSP BR Micro-Cap Fund (D)	16.9727
Joint Venture Indian	DSP BR Micro-Cap Fund (G)	16.976
Joint Venture Indian	DSP BR Micro-Cap Fund - Direct (G)	17.838
Joint Venture Indian	DSP BR Micro-Cap Fund - Direct (D)	17.8399
Indian Private AMC	Sundaram Rural India Fund (G)	18.3849
Indian Private AMC	Sundaram Rural India Fund (D)	18.5857
Indian Private AMC	Sundaram Rural India Fund - Inst (D)	18.7622
Indian Private AMC	Sundaram Rural India Fund - Direct (G)	18.8715
Indian Private AMC	Sundaram Rural India Fund - Direct (D)	19.0348

Table 11

Three Year Lowest Performers (July 9, 2013 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
Indian Private AMC	Taurus Ethical Fund - Direct (B)	-40.9836
J. V. Foreign	HSBC Emerging Markets Fund (D)	5.8811
J. V. Foreign	HSBC Emerging Markets Fund (G)	5.9331
J. V. Foreign	HSBC Emerging Markets Fund - Direct (D)	8.1733
J. V. Foreign	HSBC Emerging Markets Fund - Direct (G)	8.1891
Joint Venture Indian	HDFC Arbitrage Fund - WP (Div-M)	8.3
Foreign AMC	GS PSU Bank BeES	8.4194
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (G)	9.173
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A (D)	9.217
Joint Venture Indian	Birla Sun Life Inter Equity - Plan A - Direct (G)	10.8189

Table 12

Three Year Highest Performers (July 9, 2013 to July 8, 2016)		
Asset Management Category	Schemes	Return (adj nav)
J. V. Predominantly (Indian)	Reliance Small Cap Fund (G)	202.6651
J. V. Predominantly (Indian)	Reliance Small Cap Fund (B)	202.6651
J. V. Predominantly (Indian)	Reliance Small Cap Fund (D)	202.6849
J. V. Predominantly (Indian)	Reliance Small Cap Fund - Direct (B)	210.5775
J. V. Predominantly (Indian)	Reliance Small Cap Fund - Direct (G)	210.5775
J. V. Predominantly (Indian)	Reliance Small Cap Fund - Direct (D)	210.962
Joint Venture Indian	DSP BR Micro-Cap Fund (D)	219.4102
Joint Venture Indian	DSP BR Micro-Cap Fund (G)	219.4203
Joint Venture Indian	DSP BR Micro-Cap Fund - Direct (D)	225.9933
Joint Venture Indian	DSP BR Micro-Cap Fund - Direct (G)	226.0427

Comparison of Schemes Performance based on Traditional Measures of Risk Analysis: Standard Deviation, Sharpe Ratio, Beta, Fama Ratio

Table 13

Schemes with Highest Standard Deviation		
Asset Category	Management	SD
J. V. Indian	HDFC Infrastructure Fund - Direct (D)	2.00
J. V. Predominantly Indian	Reliance Banking Fund - Direct (D)	2.03
UTI	UTI-Banking Sector Fund - Direct (D)	2.15
Indian Private AMC	Taurus Banking & Financial Services - Direct (D)	2.22
Foreign AMC	Invesco India Banking Fund - Direct (D)	2.23
J. V. Foreign	Baroda Pioneer Bank&Fin Serv Fund - Plan B-Dir (D)	2.29
Indian Private AMC	Sahara Banking & Financial Services - Direct (D)	2.30
J. V. Foreign	Principal Dividend Yield Fund - Direct (Div-H)	3.19
Indian Private AMC	Peerless Equity Fund - Direct (Div-Q)	3.74
Indian Private AMC	Escorts High Yield Equity Plan - Direct (D)	26.73

Table 14

Schemes with Lowest Standard Deviation		
Asset Category	Management	SD
J. V. Foreign	Baroda Pioneer Bank&Fin Serv Fund-Plan B-Dir (D-R)	1.41
J. V. Indian	BOI AXA Mid Cap Equity & Debt Fund - Direct (D)	1.42
J. V. Indian	SBI Shantha Equity Fund - Direct (D)	1.47
Indian Private AMC	Sundaram Equity Plus - Direct (D)	1.49
UTI	UTI-Wealth Builder Fund - Direct (D)	1.49
Indian Private AMC	Tata Ethical Fund - Direct (D)	1.51
J. V. Indian	SBI Magnum Global Fund - Direct (D)	1.52
Foreign AMC	Invesco India Dynamic Equity Fund - Direct (D)	1.79
UTI	UTI-MNC Fund - Direct (D)	1.93
Indian Private AMC	Peerless Midcap Fund - Direct (D)	5.17

Table 15

Schemes with Highest Sharpe Ratio		
Asset Category	Management	Sharpe Ratio
J. V. Indian	Birla Sun Life MNC Fund - Direct (D)	0.10
UTI	UTI-Transportation & Logistics Fund - Direct (D)	0.11
Indian Private AMC	Motilal Oswal Most Focused Multicap 35 Fund-Dir (D)	0.11
J. V. Indian	ICICI Pru Exports and Other Services Fund - Dir (D)	0.11
Foreign AMC	Franklin India Smaller Companies Fund - Direct (D)	0.11
IDBI	IDBI Diversified Equity Fund - Direct (D)	0.11
Indian Private AMC	Motilal Oswal Most Focused Midcap 30 Fund-Dir (D)	0.11
Indian Private AMC	Tata Banking & Financial Services Fund - Dir (D)	0.12
Indian Private AMC	IDBI Equity Advantage Fund - Direct (D)	0.12
Indian Private AMC	Tata Resources & Energy Fund - Direct (D)	0.12

Table 16

Schemes with Lowest Sharpe Ratio		
Asset Category	Management	Sharpe Ratio
J. V. Foreign	Baroda Pioneer PSU Equity Fund - Plan B - Dir (D)	-0.04
Indian Private AMC	Tata India Pharma & Healthcare Fund - Direct (D)	-0.04
J. V. Predominantly Indian	LIC MF Banking & Fina Serv Fund - Dir (D)	-0.02
Indian Private AMC	JM Equity Fund - Direct (Div-H)	-0.01
J. V. Predominantly Indian	Reliance Tax Saver (ELSS) Fund - Direct (Div-A)	-0.01
Indian Private AMC	JM Equity Fund - Direct (Div-A)	-0.01
Indian Private AMC	JM Equity Fund - Direct (Div-M)	-0.01
Indian Private AMC	JM Equity Fund - Direct (Div-Q)	-0.01
J. V. Indian	JPMorgan India Economic Resurgence Fund - Dir (D)	-0.01
DHFL	DHFL Pramerica Diversified Equity Fund - Dir (D)	0.00

Table 17

Schemes with Highest Beta		
Asset Category	Management	Beta
J. V. Indian	Birla Sun Life Banking & Financial Services-Dir (D)	1.16
Foreign AMC	Invesco India Banking Fund - Direct (D)	1.16
Indian Private AMC	Sahara Banking & Financial Services - Direct (D)	1.18
Indian Private AMC	Sundaram Fin Serv Opportunities - Direct (D)	1.19
Indian Private AMC	JM Core 11 Fund - Direct (D)	1.20
J. V. Indian	HDFC Infrastructure Fund - Direct (D)	1.20
J. V. Predominantly Indian	Reliance Banking Fund - Direct (D)	1.22
UTI	UTI-Banking Sector Fund - Direct (D)	1.25
J. V. Foreign	Baroda Pioneer Bank&Fin Serv Fund - Plan B-Dir (D)	1.26
Indian Private AMC	Taurus Banking & Financial Services - Direct (D)	1.28

Table 18

Schemes with Lowest Beta		
Asset Category	Management	Beta
J. V. Foreign	Baroda Pioneer Bank&Fin Serv Fund-Plan B-Dir (D-R)	0.00
J. V. Indian	BOI AXA Mid Cap Equity & Debt Fund - Direct (D)	0.00
J. V. Indian	SBI Shantha Equity Fund - Direct (D)	0.00
J. V. Indian	ICICI Pru Technology Fund - Direct (D)	0.49
J. V. Predominantly Indian	Reliance Pharma Fund - Direct (D)	0.52
J. V. Predominantly Indian	SBI Magnum Global Fund - Direct (D)	0.53
Foreign AMC	Franklin Infotech Fund - Direct (D)	0.53
UTI	UTI-Pharma & Healthcare Fund - Direct (D)	0.56
J. V. Indian	ICICI Pru Exports and Other Services Fund - Dir (D)	0.56
Indian Private AMC	Tata India Pharma & Healthcare Fund - Direct (D)	0.57

Table 19

Schemes with Highest Fama Ratio			
Asset Category	Management	Schemes	Fama Ratio
J. V. Indian		ICICI Pru Exports and Other Services Fund - Dir (D)	0.07
J. V. Predominantly Indian		Reliance Small Cap Fund - Direct (D)	0.07
Foreign AMC		Franklin India Smaller Companies Fund - Direct (D)	0.08
J. V. Indian		SBI Small & Midcap Fund - Direct (D)	0.08
J. V. Indian		DSP BR Micro-Cap Fund - Direct (D)	0.08
UTI		UTI-Transportation & Logistics Fund - Direct (D)	0.08
Indian Private AMC		Motilal Oswal Most Focused Multicap 35 Fund-Dir (D)	0.08
Indian Private AMC		Motilal Oswal Most Focused Midcap 30 Fund-Dir (D)	0.08
Indian Private AMC		Tata Resources & Energy Fund - Direct (D)	0.09
Indian Private AMC		Tata Banking & Financial Services Fund - Dir (D)	0.10

Table 20

Schemes with Lowest Fama Ratio			
Asset Category	Management	Schemes	Fama Ratio
J. V. Foreign		Baroda Pioneer PSU Equity Fund - Plan B - Dir (D)	-0.06
Indian Private AMC		Tata India Pharma & Healthcare Fund - Direct (D)	-0.05
Indian Private AMC		Sahara Banking & Financial Services - Direct (D)	-0.04
J. V. Indian		SBI PSU Fund - Direct (D)	-0.03
Indian Private AMC		Sundaram Growth Fund - Direct (D)	-0.02
Indian Private AMC		Tata Digital India Fund - Direct (D)	-0.02
Indian Private AMC		Sundaram PSU Opportunities Fund - Direct (D)	-0.02
Indian Private AMC		Taurus Banking & Financial Services - Direct (D)	-0.02
Indian Private AMC		Indiabulls Value Discovery Fund - Direct (D)	-0.01
J. V. Indian		SBI Magnum Comma Fund - Direct (D)	-0.01

Table 21

Alpha and Beta of Equity-Close-Dividend Direct Schemes Under Various AMC Categories and Sensex					DHFL				
Private AMCs					J. V. Predominantly Indian				
	Coefficients	Standard Error	t Stat	P-value		Coefficients	Standard Error	t Stat	P-value
Intercept	3.709131474	1.178961109	3.146902402	0.003798997	Intercept	1.514105793	0.641168751	2.361477834	0.025393292
BSE Sensex	1.294096283	0.169181893	7.649141743	1.96196E-08	BSE Sensex	1.115314841	0.091224098	12.2260988	9.67857E-13
Adjusted R Square	0.657179566				Adjusted R Square	0.836598998			
J. V. Foreign					IDBI & UTI				
	Coefficients	Standard Error	t Stat	P-value		Coefficients	Standard Error	t Stat	P-value
Intercept	3.797509577	0.179039502	21.21045657	1.14306E-13	Intercept	-0.166524766	0.690176291	-0.241278595	0.811923883
BSE Sensex	0.025996811	0.022231165	1.169385878	258383599	BSE Sensex	0.9224247	0.08948872	10.30772038	3.2229E-09
Adjusted R Square	0.02000621				Adjusted R Square	0.840318213			
J. V. Indian					Sensex				
	Coefficients	Standard Error	t Stat	P-value		Coefficients	Standard Error	t Stat	P-value
Intercept	1.736750718	0.672957078	2.580774875	0.01518465	Intercept	0.818	0.273	2.992673	0.00261
BSE Sensex	1.094930863	0.096594476	11.33533619	3.57017E-12	BSE Sensex	0.937	0.337	2.780118	0.00681
Adjusted R Square	0.809511629				Adjusted R Square	0.818	0.273	2.992673	0.00261

Table 22

Correlation matrix of Equity-Close-Dividend Direct Schemes Under Various AMC Categories and Sensex							
	Private AMCs	J. V. Foreign	J. V. Indian	DHFL	J. V. predominantly Indian	IDBI & UTI	Sensex
Private AMCs	1.000						
J. V. Foreign	0.512	1.000					
J. V. Indian	0.953	0.451	1.000				
DHFL	0.915	0.310	0.932	1.000			
J. V. predominantly Indian	0.937	0.439	0.968	0.942	1.000		
IDBI & UTI	0.937	0.337	0.974	0.960	0.967	1.000	
Sensex	0.818	0.273	0.903	0.936	0.918	0.921	1.000

Table 23

Sharpe Ratio and Treynor Ratio of Equity-Close-Dividend Direct Schemes Under Various AMC Categories						
AMC Category	Private AMCs	J. V. Foreign	J. V. Indian	DHFL	J. V. Predominantly Indian	IDBI & UTI
Sharpe Ratio	-0.549809306	8.600350119	-0.886476797	-1.33595329	-0.942717498	-1.39086758
Treynor Ratio	-2.784955066	139.2863149	-4.065096847	-6.340673792	-4.323442873	-6.604333123

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## A Simple Proposal on the Calculation of Elasticity of Technology with Respect to Real Exchange Rate

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### Abstract

Real exchange rate changes can have impacts on technological progress and productivity growth. If this is so, real exchange rate becomes one of the reasons of the endogenous growth. This study proposes simple methods in order to calculate possible relation between real exchange rate changes and technological progress. Based on those methods, one can calculate the elasticity of technology with respect to real exchange rate and compare that parameter with the empirical findings of the literature. This is the offer of the study.

**Keywords** Real exchange rate; Economic growth; Technological Progress; Endogenous growth.

### Introduction

Economic growth occurs if the capacity of an economy increases. Technological progress is one of the reasons of this capacity expansion. Real exchange rate changes can have effects on the technological progress and productivity growth. This situation is broadly discussed in the literature (see, for example; Aghion, Bacchetta, Rancière and Rogoff, 2009; Guillaumont Jeanneney and Hua, 2011: 633-635).

If real exchange rate changes have an impact on technology, then, real exchange rate can be an endogenous variable that has an effect of long-run rate of growth or technological progress. This means that real exchange rate becomes one of the reasons of the endogenous growth. From this perspective, calculation of the elasticity of technology with respect to real exchange rate is important. This study is only a simple attempt in order to calculate the elasticity of technology with respect to real exchange rate.

The study is organized as follows: Next section explains functional relation between real exchange rate and level of technology. Then, two methods are presented that gives calculation of elasticity of the level of technology with respect to real exchange rate. Finally a short conclusion is presented.

### Functional Relation between Real Exchange Rate and Level of Technology

From the demand side, real gross domestic product ( $Y$ ) is equal to:

$$Y = C + I + G + X - M \quad (1)$$

where  $C$  is consumption,  $I$  is investment,  $G$  is government expenditure,  $X$  is export,  $M$  is import.

From the supply side, real gross domestic product ( $Y$ ) is equal to:

$$Y = K^\alpha (AL)^{1-\alpha} \quad (2)$$

where  $K$  is capital,  $A$  is level of technology,  $L$  is labor,  $\alpha$  is elasticity of output with respect to capital. Note that there are constant returns to scale.

If there is equilibrium, then it will be:

$$C + I + G + X - M = K^\alpha (AL)^{1-\alpha} \quad (3)$$

Rearranging:

$$\frac{C + I + G + X - M}{K^\alpha} = (AL)^{1-\alpha} \quad (4)$$

$$\left( \frac{C + I + G + X - M}{K^\alpha} \right)^{\frac{1}{1-\alpha}} = AL \quad (5)$$

$$\left( \frac{C + I + G + X - M}{K^\alpha} \right)^{\frac{1}{1-\alpha}} \frac{1}{L} = A \quad (6)$$

Note that  $X - M$  is a function of real exchange rate ( $r$ ), gross domestic product of that country ( $Y$ ) and gross domestic product of other countries ( $Y^*$ ):

$$X - M = f(r, Y, Y^*) \quad (7)$$

Then it will be:

$$\left( \frac{C + I + G + f(r, Y, Y^*)}{K^\alpha} \right)^{\frac{1}{1-\alpha}} \frac{1}{L} = A \quad (8)$$

#### Result:

There is a relation between real exchange rate and the level of technology and there can be a relation from real exchange rate to the level of technology

#### Calculation of Elasticity of the Level of Technology with respect to Real Exchange Rate: Method 1

Real exchange rate is equal to:

$$r = \frac{eP_f}{P_d} \quad (9)$$

where  $e$  is nominal exchange rate,  $P_f$  is foreign price,  $P_d$  is domestic price.

Dividing nominal gross domestic product ( $y$ ) to real gross domestic product ( $Y$ ) will be equal to:

$$\frac{y}{Y} = P_d \quad (10)$$

Rearranging with rate of growth:

$$\ln y - \ln Y = \ln P_d \quad (11)$$

$$\frac{d \ln y}{dt} - \frac{d \ln Y}{dt} = \frac{d \ln P_d}{dt} \quad (12)$$

$$g_y - g_Y = g_{P_d} \quad (13)$$

where  $g_y$  is rate of growth of nominal gross domestic product,  $g_Y$  is rate of growth of real gross domestic product,  $g_{P_d}$  is rate of growth of domestic price.

Similarly, rate of growth of real exchange rate will be equal to:

$$gr = ge + gP_f - gP_d \quad (14)$$

Using  $gy - gY = gP_d$  rate of growth of real exchange rate will be equal to:

$$gr = ge + gP_f - gy + gY \quad (15)$$

Since production function is equal to  $Y = K^\alpha (AL)^{1-\alpha}$  then it can be rewritten as rate of growth:

$$gY = \alpha gK + (1-\alpha)gA + (1-\alpha)gL \quad (16)$$

Then rate of growth of real exchange rate will be equal to:

$$gr = ge + gP_f - gy + \alpha gK + (1-\alpha)gA + (1-\alpha)gL \quad (17)$$

Dividing to  $gr$  :

$$\frac{gr}{gr} = \frac{ge}{gr} + \frac{gP_f}{gr} - \frac{gy}{gr} + \alpha \frac{gK}{gr} + (1-\alpha) \frac{gA}{gr} + (1-\alpha) \frac{gL}{gr} \quad (18)$$

Rearranging :

$$1 - \frac{ge}{gr} - \frac{gP_f}{gr} + \frac{gy}{gr} - \alpha \frac{gK}{gr} - (1-\alpha) \frac{gL}{gr} = (1-\alpha) \frac{gA}{gr} \quad (19)$$

$$\left( 1 - \frac{ge}{gr} - \frac{gP_f}{gr} + \frac{gy}{gr} - \alpha \frac{gK}{gr} - (1-\alpha) \frac{gL}{gr} \right) \frac{1}{(1-\alpha)} = \frac{gA}{gr} \quad (20)$$

Thus, one can calculate the elasticity parameter using that basic equation.

### Calculation of Elasticity of the Level of Technology with respect to Real Exchange Rate: Method 2

Since production function is equal to  $Y = K^\alpha (AL)^{1-\alpha}$  then it can be rewritten as rate of growth:

$$gY = \alpha gK + (1-\alpha)gA + (1-\alpha)gL \quad (21)$$

Assume that:

$$\frac{gA}{gr} = u \quad (22)$$

$$gA = ugr \quad (23)$$

Then, rate of growth of real gross domestic product will be:

$$gY = (1-\alpha)ugr + \alpha gK + (1-\alpha)gL \quad (24)$$

The last equation can be rewritten as per labor:

$$gY - gL = (1-\alpha)ugr + \alpha(gK - gL) \quad (25)$$

$(1-\alpha)ugr$  is the contribution of real exchange rate growth to the per labor output growth.

Therefore, if following equation is estimated, then, the contribution of real exchange rate growth to the output growth and

the elasticity parameter  $\frac{gA}{gr} = u$  can be calculated:

$$\ln \frac{Y}{L} = C + \alpha \ln \frac{K}{L} \quad (26)$$

where  $C = (1 - \alpha) \ln(ugr)$ .

Thus, if  $\alpha$  is estimated then  $\frac{gA}{gr} = u$  can be calculated.

However, this identification does not take into account human capital. This is the disadvantage of that analysis. One can augment the analysis using human capital variable.

If human capital variable ( $H$ ) is incorporated as in Mankiw, Romer and Weil (1992), then production function will be:

$$Y = K^\alpha H^\beta (AL)^{1-\alpha-\beta} \quad (27)$$

where  $\beta$  is the elasticity parameter.

Then,  $\ln \frac{Y}{L} = C + \alpha \ln \frac{K}{L}$  can be rewritten:

$$\ln \frac{Y}{L} = C + \alpha \ln \frac{K}{L} + \beta \ln \frac{H}{L} \quad (28)$$

where  $C = (1 - \alpha - \beta) \ln(ugr)$ .

Thus, estimating (28), one can calculate the elasticity parameter.

### Conclusion

Real exchange rate changes can have effects on the technological progress and productivity growth. This study proposes simple methods in order to calculate the elasticity of technology with respect to real exchange rate. Using those methods, one can calculate the elasticity parameter and compare that parameter with the empirical findings of the literature. This is the offer of the present study.

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## Violence Against Women in Albanian Society

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### Abstract

Violence against women is a phenomenon that in recent years a growing worldwide sensitive topic. What happens in the Albanian society is that battered women do not find support either in state institutions which are responsible for the protection of women's lives nor in social circles as the family which should show care for them on a good line. Lack of support for abused women do not report cases of violence, as it has resulted in interviews in our study. Recent years have increased efforts to mitigate and prevent this phenomenon yet statistics show shqëtësuese society figures.

**Keywords:** violence against women, reporting, support networks, Culture

### Introduction

Domestic violence occurs in many human societies, regardless of the level of economic and social development of them. It is a global phenomenon and affects all layers of the population of young and old, educated or illiterate, married or single, affecting every nationality, class, race or ethnic group. It includes violations of civil rights, cultural, economic, political and social human rights. Alarming data from around the world about the extent of domestic violence confirm the fact that domestic violence is an international problem. Fourth Conference of the United Nations in Beijing (1995) stated that violence against women constitutes a violation of human rights and an obstacle to the achievement of equality, development and peace in society.

We do not exaggerate if we say that domestic violence and crime in recent years, has "triumphed" over other types of crimes. Unfortunately, today the violence is very close to us, close to our home, within the family. Violence accompanies us as living and without feeling, uncontrollable, almost like an epidemic. People who experience violence as victims or witnesses, learn (among others) fear, to avoid violence or become equally violent as the perpetrator. Violence often turns to tragedy, in most cases "lucky" that accompanies human life like a shadow. Newspapers and general media report almost daily about this phenomenon difficult to handle and more difficult to report, as to understand the dynamics of violence is often not easy.

### Purpose

The aim of this study is to explore the depth of the problem of violence and a better understanding of the experiences and the experience of women.

### Objectives of the study:

- To discover what the women's perceptions of abusive behavior and in what circumstances;
- To discover the strategies that women use to avoid violence or to reduce its consequences;
- To identify the consequences of domestic violence on women;
- Identify women's attitudes towards abusers and abusive relationships;
- To define the social constraints faced by battered women;

### Meaning domestic violence.

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Albanian law defines domestic violence as "any act or omission of a person to another person resulting in the violation of physical integrity, moral, psychological, sexual, social and economic, committed between persons who are or have been family relationship ". The definition of domestic violence in the sense of Article 3 of Law no. 9669, dated 18.12.2006 "On measures against domestic violence", unless specified otherwise in particular its provisions, the terms "violence" means any act or omission of a person to another person, resulting in a violation of their physical, moral, psychological, sexual, social, and economic. "Domestic violence" means any act of violence committed between persons who are or have been in a domestic relationship. In most cases directed violence, against women within the couple, from parents to children, among children themselves, parents from children to the elderly run against persons with disabilities.

Physical violence includes: delay, hitting, scratching, pinching, biting, throwing, closing at home, hitting with various objects, threatening with a knife or other weapon, refusing to help the woman when she is pregnant, or 24 target, to form the most serious - murder, attempted murder, injury, etc. Physical violence is a form of violence that victims have easier to perceive and accept the very nature of its exercise and visible traces it leaves on the victim.

Moderate physical violence - includes one or more of the following physical, collisions with kicks, jumps on, postponements, withdrawals dragging, slapping and / or hair pulling.

- severe physical violence - includes one or more of the following physical, shocks, beatings, burning with purpose, spirit or drowning seizures, and / or weapons threats or use of a weapon against a person.
- Physical violence with guns - including threats and / or attacks with guns or any other object that can cause physical injuries.
- Physical violence with serious injuries - including physical violence that causes physical injury to a person.

Sexual violence includes: treatment of partner (partner) as a sexual object, the obligation to striptease, forced to have sex, insisting to touch and to do everything you want, the obligation to have sex with someone else, committing acts sadistic sexual, forcing the partner to have sex after physical abuse or as a condition to maintain their relationship, extramarital sexual relations etc. It is noted that spouses or partners who practice this form of violence, want to demonstrate their strength and ability to dominate and to humiliate the victim.

Psychological violence includes ignoring the feelings of the wife, constant criticism, contrary to ongoing thoughts, humiliation in public or private, try to convince his partner that violence deserves its actions, threat partner for adultery, signs of jealousy constant threat of taking the children, keeping the money hidden, home maintenance work, child abuse, etc. calls degrading names. Most psychological abuses occur in the context of other forms of abuse including verbal, economic and social isolation. Men who exercise physical abuse, psychological abuse and usual practice. Psychological violence to its own nature, it is very difficult to identify, because it leaves visible traces, such as physical, but verbal attacks, humiliation, threats, restrictions may be even more damaging than physical assault.

Four different types of psychological violence:

- Verbal violence - when the woman criticized, insulted, humiliated and / or speak in a way that attacks the character and troubled sense of self-worth and self-confidence.
- Psychological threats - when the woman is threatened and that caused a sense of fear through threats to physically hurt him and / or others close to her, and / or to destroy something that is important to by undermining the sense of security.
- Controlling behaviors - when a woman ignored, kept under control and isolated from jealous behavior and accusing the wife is unfaithful to him shaken sense of self-worth and self-confidence.
- Economic Violence - keeping under control the money of the house, including the salary of the woman, where she is employed outside the home. Economic violence has to do with controlling partner's financial income family or a ban on participation of women in decisions on spending money, even refusing to give money to cover basic household needs, denial of ownership of property joint, damage or destruction of property, theft of property, etc.

**The consequences of violence on victims can be categorized into three groups:**

Consequences related to mental health, depression, fear, anxiety, lack of self-esteem, anorexia and insomnia, post-traumatic disorders, suicide attempts.

Consequences related to physical health: death, partial physical disability or permanent injury, abuse drugs and alcohol, irritable bowel syndrome, smoking or unprotected sex devastating.

Consequences related to reproductive health, unwanted pregnancies, gynecological problems, sexually transmitted diseases, abortions, etc. underweight births.

### **Some factors affecting domestic violence**

Despite what is said often, domestic violence is not caused by disease, gene, alcohol or drugs, loss of self-control, anger, stress, the victim's behavior or problems in the relationship / couple, but, by the desire to dominate someone for I had it in hand, to decide to exercise the power of control. So the key factors of domestic violence related with power and control that seeks to establish the man over woman, the parent on the child, others on persons with disabilities. Below we list some other factors (secondary) that may affect the domestic violence and can be classified into.

macro-level factors, including: the impact of culture, economy, politics, etc. large demographic movements.

micro level factors (family or micro), which may include family relationships, patterns which are grown, family education, upbringing of children, etc.

personal level factors, which may include: mental health problems of the individual, alcohol abuse, drugs, stress, cultural level, various personality disorders, personal experiences in family relationships, etc.

### **Methodology**

The method chosen to carry out this study is case study that focuses on one or a few units of a particular phenomenon order depth study of events, relationships, experiences or processes that appear within this particular unit. This type of study is a very popular study in social sciences, especially in small-scale studies. The case study method focuses on a elementev units that will be studied and aims to illuminate the universal in the particular seeing.

The real value of the case study is that it provides the opportunity to explain "why-to" things that happen, rather than simply finding out what these things are. Usually the case that forms the basis of the study exist in a natural way, not an artificially created situation for the purposes of this study means that the case is a naturally occurring phenomenon appeared. Case study aims to study in depth the events, phenomena and various social situations with an emphasis on relationships / processes rather than results and final product. This type of study has as main focus of the particular study that is studying the issue and is not intended just to get a general panorama of the issue. Another feature of the study is that it uses more resources than a research method (Tahiri.F, Rama.R, Sota.M, research methods in social sciences, EEST PRINT, Tirana 2013).

### **Sampling and methods of selection**

The group of participants consists of 3 cases of battered women who live in the northern area. The purpose of the sampling was to understand the experiences of women raped, forms of violence they experience and they found support from family and friends. This sample is not representative for battered women and their experiences. However it notes that customs and experiences that women have expressed in these interviews, can be characteristic for many Albanian women.

Selection of participants was conducted through sampling qëllimëshëm. This method operates on the principle that we can get more accurate information if we focus on a relatively small number of people and that are selected to be part of the study on the basis of recognized qualifications. Intentional sample gives us the ability to select on the basis of suitability and knowledge that the researcher who is studying the issue. Based on prior knowledge, the researcher can intentionally select the sample in order to ensure the full inclusion of people or issues in our case study.

To discover how abused women describe their personal experience, they were used qualitative research methods. For this study was designed to guide the interview that the format was based on semi-structured interviews and the interviews were conducted three meetings for each woman. For the compilation of interviews, we tried to develop questions as neutrally as possible, in order to discover the local interpretation of the issue. The interviews covered several topics, some of which were related to violence, while others were related to family life. Topics related to violence covered questions ranging from the creation and negotiation of conflict, the specific arguments as a result of conflict, to the violent events and their

consequences for both partners. In the sphere of everyday life, the questions included the division of roles within the family, the decision-making process, the issue of joint activities within the family or individual.

The interview included a series of open questions about women's experiences in connection with the abuse. Questions were designed to elicit concrete answers were combined with open-ended questions so that respondents could describe their experience in their own words. In semi-structured interviews the interviewer is prepared to be flexible in terms of the scope in which the topics are taken into consideration and allow the interviewee to develop ideas and could speak more fully about the matter raised by the researcher.

#### **Limitations of the study.**

1. limited time to address the case in detail
2. Difficulty in finding women raped since the shelter to battered women do not get the woman voluntarily to realize an interview
3. Difficulties for conducting interviews with battered women since the two of them continue to live with the abuser.
4. Limit was the difficulty of finding a suitable place to conduct interviews

#### **Analysis results of the interviews**

The term violence against women refers to any act of violence based on gender, which has the effect or will certainly have the effect of injustice physical, sexual or psikogjike, inflicted on women and girls, whether this violence have occurred in private or public situations. Men's violence against women in general is characterized by privacy, which means that they hold just inside the door of the house and do not expose. It is clear in this study, after three cases were initially kept secret and even counseling to the relatives had not sought. Women's narratives prove that abuse is a complex phenomenon that includes various forms ranging from isolation, forced prostitution, sex with violence and up to violence during pregnancy.

Acts of physical and psychological abuse often addressed not only the respondents but also family members.

#### **• Physical abuse**

When people talk about domestic violence, often referred to physical abuse of a spouse. Physical abuse is the use of physical force against someone in a way that injures or endangers that person. Physical abuse in situations of domestic violence includes a wide range of behaviors, including, but not limited to stroke, beating, choking, kicking, pulling hair and attack with crowbars. Physical attack or beating of a partner or a family member if a crime occurs inside the house, if it happens abroad.

There was controversy regarding the definition of physical violence. Two cases were with the 8-year education was not impressed a buffet, while the case was highly educated was serious concussion. This is related to the manner in childhood socialization random third-Besa. Various forms of physical violence that resulted in this study, which were experienced by women in their marriage are: throwing or pushing, slapping and kicking, pulling hair, lug, hitting with hard objects that can hurt.

Impacts of physical violence in its various forms to battered women can often be severe, which can lead to short or long term problems of physical health, disability, and even death caused by murder or suicide.

#### **Psychological abuse**

From interviews, three cases of psychological abuser sampling gave the following features:

There is no desire to change behavior;

Everything he does, thinks that it is right;

Do you think that woman is, the poor and to be subjected to violence;

There has learned to take responsibility for their actions;

abuser is obsessed and compulsive, as is taught and also thinks that it will continue;

Despite can leave the impression that, in real perpetrators are not confident, so they always feel insecure;

Bullies o simmer with jealousy, hatred and bitterness. Usually they have a wide range of prejudices that cast on others;

Bullies are people who have not learned to cope with the consequences.

Some forms of bullying, issued by the interviewer:

One of the most common forms of bullying threat. Curses are a pattern of behavior used rënë family, especially the mother. Curses represent a human effort powerless to influence something over which he has no influence. His powerlessness he compensates with the curse, which is intended as a magical wish that the person appointed to happen a bad thing. Increase voice and swearing in the reality of today no longer pose a problem, since it seems to have turned into something very common in any environment, especially in the family. Raising one's voice becomes the goal of imposing others. While swearing, mean that the relationship between them is tense, things are not going well. Men shouting feel that there is no negative consequence, so its use does not seem a problem.

The third type of domestic violence measured in this study is sexual violence. Sexual violence includes any situation in which a woman is forced to participate in sexual activity degraded, unwanted or unsafe.

Domestic violence has profound consequences on the welfare of women in general. Exercise of domestic violence puts women at greater risk for physical and mental health including depression, anxiety, trauma, insomnia, low self-esteem, pessimism about life, injury and suicidal tendencies. These specifications continue after stopping the violence for a long time. The more severe the abuse, the more severe its impact on physical and mental health of women. The impact of the different types of abuse and of multiple episodes, it seems that are increasing over time.

Domestic violence isolates women directly and indirectly from their support network. They gradually reduce their social activities at the request of their partners, or shame or out of concern not to worried friends and family.

## Conclusions

This study is a qualitative study designed to explore the perceptions, beliefs, attitudes and behaviors of women raped Albanian, consequences and ways of coping with domestic violence. The study suggests that there is a complex interweaving of cultural, social, economic and interpersonal factors that may put women at increased risk of violence Albanian. The findings dispel the myth that domestic violence is largely a problem of the poor and uneducated, and that abuse transcends socio-economic boundaries.

The interviews identified atafgjata tragedies that have imbued the lives of women, each of which shows the life killed by hidden pain, but also announced the resistance of many of them. The study shows that abuse in relationships between partners is more likely to occur and continue, when the couple, especially the man, holds traditional attitudes toward family roles. The findings indicate that abusive men are dominant in the decision making process of the family, while women are expected to assume responsibility for housework and childcare.

Even when a woman is at high level professional and social, it is not exempt from bearing the burden of all the household chores. Women need to fulfill their roles as wives and mothers, and be prepared to sacrifice their lives for the sake of marriage.

Women still have to act as prescribed by burrat.Rëfimet women have proved that domestic abuse is a complex phenomenon, and includes various forms of verbal, emotional, physical, sexual and economic. Domestic violence has profound effects upon children, whether they suffer physical violence or not. Social isolation is also mentioned as a strategy used by abusive partners to increase control and reduce the ability of women to leave abusive relationships.

It feels the need to tackle domestic violence in Albania. We have built a good relationship of cooperation between the Government and civil society to combat violence against women. In order to reduce the incidence of domestic violence in Albania, it is necessary to create a common vision that will lead us into actions. To prevent violence, but also to help the victims, lawyers, psychologists, doctors, police and social workers work together.

## Recommendations

- The training of social workers in the community how to inform the victim about legal liability, available financial support or other support provided by the state, procedures to ensure this support. They should be trained to identify violence and victims who need treatment.
- Establish programs to increase the level of education of women in order to facilitate their employment.
- Develop training on domestic violence issues for journalists and students respect the victims.
- Plan and sex education in schools and to prevent gender violence.
- Policies to promote cooperation of various stakeholders in this field, such as police forces, health workers and social workers.
- Policies to reiterate the institutional capacity to efficiently respond to the violence of women.
- Set up support groups for battered women where they have the opportunity to share their experience.
- Build community networks where coordinated and integrated health system, the judicial, police, churches, social workers and community groups meet regularly to develop and implement a coordinated response to domestic violence.

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## The Influence of Electronic Word-of-Mouth Communication on the Behaviour of the Theatre Audience Analysed Through the Kosovo Example

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### Abstract

The expansion of Internet, the development of the new information and communication technologies as well as social networks have revolutionized the social interaction as they have enabled individuals to quickly and conveniently get in touch with each other. The interaction performed online, defined as online interpersonal communication, or the Electronic word-of-mouth (eWOM), as seen in numerous research papers, impacted the consumer behaviour. This paper analyses audience behaviour when making decisions vis-à-vis cultural offers presented in social networks. Although the issue of subjectivity in relation to the offered content in these platforms is set up as a determining factor for using e-WoM and the social networks, the main results suggest that both have been used by audience as a primary source of information when deciding to visit a cultural event. Moreover social networks have been described as places where information is not headed by clienteles, thus significant, customer friendly and trustworthy, despite the fact that all these information are based on subjective impressions of each social network user. The limited number of research on the impact of online communication of the theatre audience has been perceived as an obstacle, as there are no guiding direction how we should do it, and as a challenge, given that through this research we will set the baseline for future researches that will analyse the effectiveness of eWOM.

**Keywords:** e-WoM, social networks, Internet, Information and communication technology, costumers, theatre.

### Introduction

*"Audience development is not just about people who come to the arts. It's also about people who don't come."*

Richard Hadley, Director, Audiences Europe Network

During the '90, Kosovo, especially Albanian population<sup>1</sup>, has experienced media blackout; no electronic media operated in Kosovo for a decade, and the only national television, Radio Televizioni i Prishtinës<sup>2</sup> (RTP) has fulfilled information needs of only one part of the Kosovo population<sup>3</sup>. During this period Albanian print media have been closed several times, as they took the role of the only source of information<sup>4</sup>. As a result most of the information have been shared through the word-of-mouth (i.e., face-to-face and/or through the telephone conversations), which played a great role in all spheres of life, though its impact significantly was determined by the persuading abilities of a person conveying the message<sup>5</sup>. The persuasive

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<sup>1</sup> According to the statistics comprised Albanian population represented 81.6% of Kosovo population. Enti i Statistikës së Kosovës, for more information visit the official web page of the Kosovo Agency of statistics; <http://ask.rks-gov.net/>

<sup>2</sup> Radio Television of Prishtina, or RTP, the first Albanian Radio Television of Kosovo was established in 1945 after the World War II. The broadcasting of this television program was interrupted by the violent actions of the Serbian government in 1990. By Ibrahim Berisha, *Komunikimi medial në shoqërinë postkonfliktuale*; extracted from the *Thesis Kosovo*, nr. 1, 2008 [https://aab-edu.net/downloads/01\\_2008\\_07\\_ibrah\\_jnaDQ.pdf](https://aab-edu.net/downloads/01_2008_07_ibrah_jnaDQ.pdf)

<sup>3</sup> It has fulfilled the information needs of Serbs, who represented 9.9 % of Kosovo population and 8.5% per cent of "other nationalities" including Yugoslavs and non-declared.

<sup>4</sup> Biggins, M. and J. Crayne, (2000) *Publishing in Yugoslavia's Successor States*, The Haworth Information Press, An Imprint of The Haworth Press, Inc. New York, USA; Volume 1, Numbers 2/3. Pg. 162 - 163

<sup>5</sup> Krauss, R. M. (1987). The role of the listener: Addressee influences on message formulation. *Journal of Language and Social Psychology*, 6, 81-97.



significance of the word of mouth, a set of artistic proofs which are controlled by the speaker<sup>1</sup>, has had a major impact on what people knew, felt and have done during the media blackout days in Kosovo.

Theatre survived the media blackout of nineties. The number of visitors of theatre kept on increasing regardless the fact that no marketing tools have been used in order to attract audience. We cannot document this period<sup>2</sup> as the data obtained from the official web page of the National Theatre of Kosovo<sup>3</sup>, cover only the period until 1989 when theater had over 400 premieres with about 10,000 reruns followed by over 3.3 million spectators<sup>4</sup>. As a result and in order to document the impact of word of mouth on theatre we had to rely on the information assembled through the interviews with artists and art critics, who conveyed the message that the word of mouth and print media played a great role in audience development, which, according to the findings of the conference "European Audiences 2020 and beyond", is very important<sup>5</sup>, should we want to maintain qualitative theatre to be resulted in the increased number of audience.

In 1999 Kosovo has been enriched with print and electronic media whereas the penetration of the Internet<sup>6</sup> and the Information Communication Technology (ICT) in Kosovo slowly started its development. From being almost non-existent 16 years ago, Kosovo IT companies started offering wide range of ICT services to their customers<sup>7</sup>, which has transformed the communication channels from the word of mouth to computer-mediated communication<sup>8</sup>, a process during which people meet and develop relationships relying on typed messages, or the Electronic word-of-mouth (eWOM), as a primary mechanism of expression<sup>9</sup>.

The new media technology, developed to ease this communication, plays a significant role as it offers new ways to achieve efficient distribution of messages, by enabling direct and interactive communication at a very low cost<sup>10</sup>, promotion of new offers as well as advertising and enhancement of offer<sup>11</sup>. Given the significance of this new way of communication, already embraced by various establishments, the cultural institutions in Kosovo, have started using these communication tools to share relevant information to the potential customers in order to increase the number of audience<sup>12</sup>. Therefore, the e-

<sup>1</sup> Steinberg, S., (1999). *Persuasive Communication Skills: Public Speaking*, Cape town : Juta Co and Pvt Ltd.

<sup>2</sup> There are no data covering the period from 1990 until 1999, as the NTK, administered by the state, was closed for most of the Albanian workers, artists and the visitors .

<sup>3</sup> <http://www.teatrikombetar.eu/?m=t&id=4>

<sup>4</sup> Official web page of the National Theatre of Kosovo; <http://www.teatrikombetar.info/al/perne/1/>

<sup>5</sup> European Audiences: 2020 and beyond was held from 16 – 17 October 2012; Conference conclusions; [http://ec.europa.eu/culture/library/reports/conference-audience\\_en.pdf](http://ec.europa.eu/culture/library/reports/conference-audience_en.pdf)

<sup>6</sup> According to the 2013 report on Internet Penetration and Usage in Kosovo, of the Kosovo Association of Information and Communication Technology (STIKK), internet penetration across the country is comparable to global norms. Internet penetration based on users is 76.6%, and based on households is 84.8%. [http://www.mfa-ks.net/repository/docs/STIKK\\_raport\\_eng\\_2013\\_short\\_web.pdf](http://www.mfa-ks.net/repository/docs/STIKK_raport_eng_2013_short_web.pdf). According to the Internet World Statistics as of Dec 31/14, Kosovo counts 1,523,373 Internet users, whereas the penetration rate is 80.9%; <http://www.internetworldstats.com/europa2.htm>; Accessed in December 2016.

<sup>7</sup> IT Barometer 2015 Kosovo; Published by The Kosovo Association of Information and Communication Technology (STIKK); [http://stikk.org/fileadmin/user\\_upload/it\\_barometer\\_kosovo-2015\\_ang\\_1\\_.pdf](http://stikk.org/fileadmin/user_upload/it_barometer_kosovo-2015_ang_1_.pdf). Last visited in December 2016.

<sup>8</sup> The most interesting aspect of the advent of computer-mediated communication (CMC) is how it reveals basic elements of interpersonal communication, bringing into focus fundamental processes that occur as people meet and develop relationships relying on typed messages as the primary mechanism of expression.

<https://pdfs.semanticscholar.org/7445/be9f99267248664b1c568a096e81b741c586.pdf>

<sup>9</sup> Walther, J. B. (1996). Computer-mediated communication: Impersonal, interpersonal, and hyper personal interaction. *Communication Research*, 23, 3–43.

<sup>10</sup> Cockrum, J., (2011). "Free Marketing: 101 Low and No-Cost Ways to Grow Your Business, Online and Off"; Published by John Wiley & Sons, Inc., Hoboken, New Jersey, Page 97.

<sup>11</sup> Interview with Haqif Mulliqi, former Head of the Board of the National Theatre Kosovo, interviewed by Shpresë Mulliqi, 01.07.2016

<sup>12</sup> Hence now, all of them are open for wider public through the Internet based Web pages: National Theatre:

<http://www.teatrikombetar.eu/?m=t&id=4>, Kosovo Ballet: <http://www.baletikosoves.com/>, Ensemble "Shota":

<http://www.ansamblishota.org/al/index.php?p=0>, National Gallery: <http://www.galeriakombetare.com/>, Cinematographic Centre of Kosovo: [www.qkk-rks.com](http://www.qkk-rks.com/); The institutional accounts on social networks and in Youtube: <https://www.facebook.com/Teatri-Kombetar-i-Kosoves-525429354192045/>, <https://www.facebook.com/BaletiKombetariKosoves>, <https://www.facebook.com/pages/Filharmonia-E-Kosoves/506386249406854?fref=ts>, <https://www.facebook.com/Galeria.e.Arteve.e.Kosoves>, <https://www.facebook.com/Galeria.MKRS>, [https://twitter.com/QKK\\_Kosova](https://twitter.com/QKK_Kosova), <https://www.facebook.com/QKK-Kendra-Kinematografike-e-Kosoves-120072128088984/>.

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Culture, defined as an application of information communication technologies on the culture industry<sup>1</sup>, has significantly affected the operational management of cultural institutions such as theatre, as well as other fields of operation of cultural institutions.

The objective of this paper is to analyse the power of the eWoM and its impact on the audience when making decisions vis-à-vis theatre offers. With the goal to support theatre in its struggle to return the audience in theatre, the research enabled us to gather and analyse relevant information, in order to define how the visitors of the National Theatre of Kosovo use the social networks during the decision-making process.

### The background of the research

National Theatre of Kosova is struggling to get its audience back as well as to motivate the new ones to become regular visitors. The persistent problem has been discussed by the management, media and the civil society but no research has been done so far to assess what triggered the audience parting from theatre nor has been looked for the ways to invite the audience. Meantime the National Theatre of Kosova is still using the traditional marketing channels like announcements, commercials and posters to reach the audience, which is getting the largest share of marketing budget, but it is less investing and doing minimum related to the online activities such as advertising on official website and eWoM supported by social networks, which according to the European Theatre Convention are getting more importance<sup>2</sup> as they are based on the need of audience for reliable and neutral information.

Based on statistics Kosovo has 1,080,038 Internet users of age 10-60, a population that is very much active on social networks. The Kosovo Association of Information and Communication Technology report specifies that,

*Emailing, Facebook, Skype and Youtube are the main services that are used in Kosovo; That 73.3% of Internet users use the Facebook service, which shows that 73.3% of 76.6% of Internet users are Facebook users – meaning that 43.6% (approximately 790000) of Kosovo's total population uses the Facebook service<sup>3</sup>.*

Having that in mind the impact of word of mouth on Kosovo culture, and based on the international researches which emphasise the fact that the emerge of new media, has made customers more engaged in finding effective and reliable way to communicate and to find information, through this research we have analysed customer's behaviour in Kosovo when searching information related to theatre events. As the information derive directly from the audience and are not provided by the theatre, the use of social networks to collect information and post them for community consumption as well as the impact of the eWoM have been evaluated, considering that these are more customer oriented information and thus better accepted<sup>4</sup>.

With the aim of getting relevant data we have visited three theatre performances, the most visited ones, in order to find out what motivated the audience (as it appeared that the National Theatre hasn't done more for one performance than the other). Our research has been based on the study *Digital audiences: Engagement with arts and culture online*<sup>5</sup>, which states that *customers search for sources of information which are easy to access, such as the online platforms, which enable visitors to share their thoughts, opinions and experiences.*<sup>6</sup>

The relevance to the research subject

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<sup>1</sup> CULTURELINK, Network of Networks for Research and Co-operation in Cultural Development was Established by UNESCO and the Council of Europe in 1989; *eCulture: The European Perspective; Cultural Policy, Creative Industries, Information Lag*; Proceedings from the Round Table Meeting, Zagreb, 24 – 27 April 2003; Institute for International Relations, Zagreb, 2005

<sup>2</sup> Audiences for European Theatre, Study on the Status Quo of Audience Development and Audience Research in the European Theatre Convention, 2014

<sup>3</sup> [http://www.mfa-ks.net/repository/docs/STIKK\\_raport\\_eng\\_2013\\_short\\_web.pdf](http://www.mfa-ks.net/repository/docs/STIKK_raport_eng_2013_short_web.pdf). Accessed in December 2016.

<sup>4</sup> Audiences for European Theatre.

<sup>5</sup> Digital audiences: Engagement with arts and culture online; Retrieved from the <http://www.aandscotland.org.uk/documents/2012-05-28-13-11-39-10-Digital-audiences-for-arts-and-culture-november2010.pdf>

<sup>6</sup> Digital audiences: Engagement with arts and culture online; Finding information about arts and culture online

When asked 'How do you go about finding new arts and culture related websites?' the vast majority (85%) selected the response 'Google': 'If you've got a computer, it's the easiest way to find out what's on' 45-65 year old 1% of respondents mentioned a range of alternative providers such as Yahoo, Ask.com and Bing. Recommendations from friends or family were the second most common route for discovering arts and culture related websites (37%), which (like Google) is consistent across all subgroups of the sample.

Understanding customer behaviour forms the basis for developing successful marketing strategies<sup>1</sup> the behaviour of the theatre audience is a field which is not analysed in Kosovo. It has been acknowledged that it contributes to the financial wellbeing of the theatre but there is still much to be done in order to understand the way customers behave<sup>2</sup> and how can be motivated by the management of the company. It is obvious that with the constant technological advancement customers are changing their behaviour patterns looking for more “customer-friendly” sources of information such as Facebook, Instagram, YouTube<sup>3</sup> which are replacing the old-fashioned word of mouth.

We have selected National Theatre of Kosovo and individuals making decisions about the use of their available resources (time, money and effort)<sup>4</sup> by considering its complexity and in order to understand customer behaviour vis-a-vis theatre. This selection has been done due to the fact that theatre product is not a simple item, goods or service of consumption, theatre is a set of activities that constitute experiences. The theatre product-the performance, cannot be verified prior to the “consumption”-watching; performance is done by people and that implies that it is not possible to obtain two products/performances alike and the *product is produced and consumed* at the very same time, in a simultaneous way. Due to all the particularities and unique characteristics of the theatre product, customers develop a special behaviour in their decision making process, which is very often conditioned by the word of mouth.

Typologies of the costumers and the complexity of audience behaviour in decision-making process

During the research process, researcher has come across the three types of customers; the *constant costumers* who visit theatre on the premiere of the performance, prior to any feedback or any information. These costumers belong to an institutionalized type of visitors who get informed by the theatre about the products, through the old, and so called well established, marketing tools such as TV ads and posters in front of the theatre.

The second type of visitors the researcher came across are *hesitant costumers*, similar to the constant customer, however this one is hesitant in making his/her decision and wishes to participate more in the process. This type of customer gets informed through the theatre but searches for additional information by getting in contact with producers or actors.

The third type of visitors the researcher came across are the *costumers who get informed through the social networks*, through the so called computer-mediated communication, which replaces the traditionally well-established communication through the word of mouth. They make their plans based on the information obtained through the eWoM.

While writing about the findings of this research we had to keep in mind the fact that results might change within months as every person goes through the changes in life, depending on which they will change from one typology to another.

Methodology of the research

According to the European Theatre Convention empirical evidence about situation and audiences of theatres in Europe so far has been rather heterogeneous.<sup>5</sup> According to the ETC in a number of countries, including Kosovo, there is no such information. Hence the lack of comparable data on National Theatre of Kosovo and its audience was a major challenge when outlining new tools and measures for audience development. In the given situation we had to rely on the information obtained from the institution, which was done through the interviews. The outlined information related to the behaviour of the customers of national theatre shall serve as a point of reference.

In order to perform the study and to identify costumer visiting patterns we have looked into the theatre offer: the genres of the performances and how many performances they show.<sup>6</sup> According to the managerial director the total number of visitors in 2015 is 17447, out of which 93 percent are inhabitants of Prishtina<sup>7</sup> whereas 15 percent are from the region. The interviewed persons in this research are not selected at random; they are selected on purpose in order to satisfy the focus

<sup>1</sup> Michael J. Papa, Tom D. Daniels, Barry K. Spiker, (2009). Organizational Communication Approaches and Trends-UET Press, p. 14

<sup>2</sup> Blackwell, L.D., Miniard, P.W. and Engel, J.F., (2006). *Costumer behavior*. 10th ed. Mason: Thomson Business and Economics.

<sup>3</sup> Based on the statistics of the Internet World Stats Kosovo has 860,000 Facebook users on Jun 30/16, and 45.7% penetration rate. Retrieved from the <http://www.internetworldstats.com/europa2.htm>; Accessed in December 2016.

<sup>4</sup> Schiffman, L. G. and Kanuk, L. L., (2010) *Consumer behaviour*. Global Edition. London. Pearson Higher Education.

<sup>5</sup> Retrieved from the Official Web page of the European Theatre Convention; <http://www.etc-cte.org/index.php>

<sup>6</sup> According to the Managerial Director of National Theatre of Kosova in their repertoire they have 8 productions per annum, with 234 performances. Interview with Valdet Avdiu, former director of the National Theatre of Kosova; interviewed by Shpresë Mulliqi, 01.08.2016.

<sup>7</sup> The National Theatre of Kosovo is located in Prishtina, the Capital city of Kosova.

of this study. Thus, fifty (50) persons have been selected; among each generation, people are selected by gender: 23 men and 27 women in order to create a wider perspective. In addition, the entire sample has been selected according to the completion of three criteria. Participants of the sample had to be: Frequent visitors of the theatre, active internet users and users of the internet as a main source of information when planning their visits to theatre and other cultural institutions.

Interviewed persons are of the different age groups: from 19 to 30 years (29 persons or 58%), from 31 to 41 (9 persons or 18%), from 42 to 51 (3 persons or 6%), from 52 to 61 (6 persons or 12 %) and from 62 to 72 (3 persons or 6%), as it is considered a good sample in order to get reliable information and also due to the fact that they are familiar with old marketing tools (posters, outdoor announcements, etc.) as well as with the new media, namely internet and social platforms.

In order to find the required participants, researcher has visited three performances, the most visited ones, and selected persons who fulfilled required criteria such as the costumers type, age, gender and the place they come from, which was not an easy task due to the hesitance encountered when explaining the purpose of the research. Researcher has also used the Facebook account of the National Theatre in order to find and contact people, followers of the National Theatre, for the interviews.

### **Results of research on the role of social networks and the development of theater customer through the eWoM**

Questionnaire and the interview results suggest that eWord-of-mouth and computer mediated communications have more influence on customers than any other type of communication<sup>1</sup>. The research shows that consumers do not use only the information prepared by the marketing departments, but the unbiased information that come through the Internet before making decision. These are the information distributed through the social networks, experiences shared through the eWoM, photographs, and uploaded videos. According to the results customers need to get firsthand information from reliable sources as they believe that these are non-clienteles driven information and do not imply any type of monetary refund. The research to e certain extend confirms authors saying that the eWord-of-mouth is one of the most powerful forces on the marketplace (Silverman, 2001 p. 23).

On the other hand, as we have focused our research on three generations, we have encountered some differences. Users of Internet and social networks, persons of age between 19 to 30 and 31 to 41, which represent 38% of the respondents, are the regular customers as well as active information seekers of all generations. They are experienced to search and find online information. According to the interviewees they find the information on the internet and social networks in several ways; some information are placed by actors, interested to let the public know that they are engaged in a theatre project, some information are placed by the director or the writer of the theatre play but most of information are placed by customers, the theatre audience. However, at this point the interviewees have also raised the questions related to the subjectivity and the credibility when information placed by those actively involved in production, though they admitted that these information are used as a valid reference for further search.

In regards to the interviewees of the age from 42 to 51, which represent 6% of respondents, they do not use social networks as frequently as the other generations. In spite of that, when deciding to go to the theatre they also are influenced by the eWoM. In this case they look for user friendly web pages and internet based media. Channel for information about the production used at large, according to the interviewees, are: YouTube 14,4 (< 5%) and Twitter 15,4 (< 5%), Facebook namely the Facebook page of the theatre 9,8 (ca. 10%) and the WoM (Partners / friends / associates / relatives 1,4 (ca. 40%).

It is interesting that the interviewees of age 52 to 61 and of the age 62 to 72 are the one that most of the information gets from the old fashioned marketing tools; they together make 18% of respondents. Information placed on social media is a reference but the first sources of information billboards and outdoor posters. Although the issue of subjectivity in relation to the offered content in these platforms is set up as a determining factor for using social networks, the main results suggest that the customers trust the eWoM when deciding to visit a cultural events as the information is not headed by clienteles, thus significant, customer friendly and trustworthy, despite the fact that all these information are based on subjective impressions of each social network user.

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<sup>1</sup> Herr, P. M., Kardes, F. R., and Kim, J, (1991) Effects of Word-of-Mouth and Product-Attribute Information on Persuasion: An Accessibility-Diagnosticity Perspective, *Journal of Consumer Research*, 17 (4).

The groups of interviewees who prefer old marketing and information tools state that certain reviews are perceived as false; therefore question of credibility must be examined.

### Conclusions

eWord of Mouth spread through the social networks has an impact on the behaviour of theatre costumers. Social networks offer customers the opportunity to express themselves, share contents, ideas and experiences which other customers may use as a reference in their planning; fact which is greatly appreciated among customers due to the high needs of information which they require. The development of Internet and social networks has changed communication patterns drastically<sup>1</sup>, though cultural institutions, in our case theatre, still allocates a large share of marketing budget on standard print advertising and the production of classical own print media like programs, theatre newspapers etc.. Parallel, the majority of cultural institutions has installed the basic channels of digital communication and is offering user friendly social media, at least Facebook, though not frequently updated.

Social networks are searched and used all along the decision-making process for cultural products and by all generations of users. However, its use varies among the different stages of the process as well as among generations. In the pre-purchase stages social media form the main source of information. Customers when searching for information are eager to read customers' experiences which are perceived as far from marketers' bias, user-friendly information, more credible and reliable and which offer a two-sided perspective. A wide number of platforms are used: forums, blogs and social networks for information hence it would be very interesting for cultural institutions to increase their presence through social media marketing strategies.

In spite of the wide use of social networks, questions concerning subjectivity and credibility might arise. Some reviews and opinions are perceived as false, therefore customers feel forced to carry out an evaluation process of the computer mediated information in order to find the truth behind those contents; this process might be time consuming and thus may persuade customers to turn less time consuming sources of information. In this point a great generational differences have been identified, while the youngest generation of users attribute more credibility and are more influenced by eWoM and the internet, other generations use internet and social media based information as complementary information rather than a determinant. In regards to the post event phase the eWoM is used for sharing personal experience whereas the social networks are used to share contents and upload information to friends' and online communities.

This study is a very first research done in order to understand correlation between the eWoM, the social networks and customer behaviour hence it should be used by the cultural institution for audience development. As Richard Hadley, the Director of the Audiences Europe Network has stated the *Audience development is not just about people who come to the arts. It's also about people who don't come.* The impact of internet and social networks confirmed by the interviewed customers implies that cultural institution should focus in developing a new communication strategy in order to attract them by providing them with the information they need and require.

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<sup>1</sup>Audience Development research; Retrieved from the <http://www.etc-cte.org/base.php?code=908>

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## Educational Practice for the Pupils' Motivation, for the Realisation of the Meaningful Reading

Adriana Qafa

### Abstract

In this study, I will present some ideas on today educational practice for the pupils' motivation, for the realization of the meaningful reading. There is a special place for the methodical ranking of the reading process, from the beginning in the school age until to expressive reading as the highest place of the literature reading; the main requests of this reading, like the deep meaning of the subject, exploration of the idea, and the other elements of the subject, implementation of the technique's rules of the expressive reading, such as breathing, voice, diction, intonation, spelling, stoppages, logical emphasizes, emotional expressions, temper, timber, gesticulations, and mimic. There is also highlighted the fact that the used method comes from the pupils' results and depends on the capability and level of the teacher, from the programming's scale, the tools that are put into disposition, the age and the level of the pupils, and from the environment that the teacher creates during the courses. At the end, there are some practical guidelines for the realization of the expressive reading in the literature subject.

**Keywords:** expressive reading, educational method, expressive reading techniques, level of teacher, practical guidelines.

### Introduction

Along reading, speaking and listening, reading like a communicative skill, is a very important activity and also an important source of knowledge; thus, it takes a very important place in the program of the subject for literary reading in school. This fact realizes a good knowledge from the teacher to the process of reading and the realization of an effective teaching toward students to become good readers, active and capable to be involved in independent ways and reading activities.

Today, reading has gained a new characteristic, new elements that must be known and promoted for the progress of each individual. In a special way, school must know these characteristics; through it enables a high quality of pupils' achievements in the whole teaching process. The problems of pupils in reading based in all educational levels, have great importance, after that, we generally meet in a superficial from the parts of a low results that come as a result quality of teaching and learning. It's increasingly spoken in the educational practice, nowadays, the motivation of a meaningful and expressive reading.

There are different practices to achieve a good reading that are followed by successful strategies and techniques that are linked a lot with the penetration of pupils in content and the deep meaning of the texts we read.

The quality and validity of reading is an important aspect of teacher's work in school, not only in literary reading of subject. There are a lot of studies that bright in the quality of reading. Today, in many specialized institutions are prepared tests where a new technology is applied to evaluate reading in understanding plan, quality and its speed too. We are all conscious of a poll applied by the World Bank in Albania where noticed that 57 % of pupils till the age of 15, didn't know to read, according to the actual reading it doesn't mean decoding but skills of pupils to rebuild the structure and content of expressed ideas in different literal parts and beyond.

These verify that pupils are not only able to summarize texts' summaries but they are rarely courage to support the evaluation of interpretation. This observation leads to another conclusion that the ways of reading reflects a low level of thinking process, there lacks a literary reading and the critical analysis of the literal text. This raises the task of teachers to direct pupils developing the ability of highest level of thinking. By looking at learning as a cognitive process of a higher level, it requires an understanding, conclusions, making the time of literary reading is a logic place to start the process.

The pupils must learn and read to decide in situations that create conditions of a real reading. Thus, to learn how to read means to actually read. The meaningful and expressive process reading passes in some steps from the first class and higher to get better till it becomes perfect as a process. When the child enter in school, he has formulated some hypothesis



about writing, in this way he is now a reader, and this experience must be taken into consideration during further teaching of reading in school.

Later, we see the transition of early reading in the automation process of reading where pupils are involved in an intentional reading to decode difficult texts and new words (unknown words) and also to read faster.

The last step, which is achieved through reading in the subject of literary reading, pupil achieves to control the meaning of the text he has read, to read with rhythm and intonation, to use his experience in reading and recreate the meaning of different literary texts.

This is a methodical ranking of reading process; it makes us think that pupils firstly “learn how to read” and later “read how to learn”. This alternative attracts the attention of the school, didactics over reports and relations where reading must have been like a process, and also as an artistic literacy reading. This shows that lots of researchers have seen reading as a communicative activity in many uses; it must serve to all fields of knowledge and literature. In many researches of the language field and didactics where prevails the idea that reading must be involved and goes to a continued demand of the whole text, of the whole school curriculum and also some demands in all school subjects.

In her work M. Gjokutaj has written: “In the practice of Albanian schools, there are places for modifications and reconceptions because the dominance of idea for a long time that reading is an aim mainly in the subject of artistic, literary reading has forwarded a bias in the process of reading by creating reductions in other school subjects. (1)

But the question is, how should be a reader to whom we should aspire to?

Traditionally, the expressive reading was done in a certain stage of the class, usually after the presentation of the topic before the development of the content. So its object is seen only the book of the literary reading, where teachers only in this case raise up the demands for an expressive reading. This has been a close overview of reading that didn't respond to its final objectives.

The expressive reading must permeate the whole class of the literary reading and hunts out only through reading of literary pieces, but also in other instruments of reading for example, assignments, homework done by pupils, creative works with writing, other school's texts aims a reader to understand better the aims and objectives of reading and applies new rules to be able to identify the important information in a text by bringing knowledge or early experiences to build a meaning in its text. Thus, a good reader reads to answer the questions, to learn from a written text and it comes true when achieves the rates of a meaningful and expressive reading.

Like many other reading processes, a meaningful and expressive reading must not realize without practice, without the teacher's example because it couldn't let since the first steps of pupils to look after themselves. Firstly, pupils must know and then own mechanisms that are necessary for the embezzlement of expressive reading. If a pupil tries or not the power and the beauty of language like a tool, not only in communication but also in expressive reading, this depends on a passionate work of teacher who creates an atmosphere that stimulates pupils' trial and judgements. They should be encouraged to ask questions, to make predictions and organize ideas that support their judgements about the information they get from the literary parts.

Teachers, who encourage discussions before the reading process, help pupils to activate previous knowledge, also allow pupils search further through reading that is necessary need. In this way, teacher helps pupils to identify the aims for reading to formulate hypothesis and test the truth of their hypothesis through the reading process. He leads the discussion by evaluating every meaning or interpretation given by pupils, every judgement in a way form a sub-context as it is said by Koçi Petriti, first operation of the text deals with the philology (2). So, with the explanation of vocabulary by giving the proper context for new words, a word has different meanings in different contexts.

The importance of the expressive reading is clear in the content of the subject's program of the literary reading. There focuses that, pupils should win the reading technique to enable an expressive way of reading, a right conscious one, a fluent reading by respecting the rates of spelling and writing to know and apply in practice for the elements of the expressive reading with gradual increase from class to class accompanied with breathing, stoppages, intonation of spelling and understanding of literal parts in the whole text, after that, it makes an attractive content, it raises up vivid pictures of pupils, it promotes the interest, light up imagination, pays attention, helps them to distinguish which has the main valuable importance and it makes pupils feel and live the literary texts.

The expressive reading involves all included parts of a literary passage, content, ideas, structure, artistic tools, the stylistic of language, all accompanied with writing and spelling, with practical character of literature and language. He, generally reads, understands, lives more with literary passage, and applies the spoken and written texts in relations with others and his personal life.

In front of a text the reader creates its meaning for all those who read it. The comprehension of a text is an act of work and the structure of understanding in different levels. Thus, in a class, pupils can give interpretations from a text's reading. Based on this result, there are different thoughts from different researchers. Some researchers think that the meaning is inside the literary text and belongs to the text that discovered it.

In this case, the problem often stays in the facts. That interpretation of the reader may not be fixed with the author's one. Other researchers protect the thought that meaning is not in the text depends on the knowledge that the reader has opposite the text.

According to this viewpoint, each reaction of the reader from the text has the common values as it is said that: "A realised description mustn't ever be a simple numeration, its values consist before all the unity of the described details pre-determined to realize an effect. This unity, this effect declares the spiritual state and mood of the person who did the description. (3)

Each reading is the structure of meaning and comes out from a numerous visual and abstract indicators. But, it exists even a concept of an independent meaning from the reader and this is the meaning that the author gives to his text. For this reason, to read means to not only build a meaning but in the same time to rebuild the meaning that the author has wanted to give to his text. The structure and the re-structure include more than a simple intellectual activity because reading changes. So, we may say that writing has not a single meaning. To read what is written, may be in different forms, but to read means to read even what isn't written, thus to read what is written between lines. To achieve this, in the center of the lesson, we see the reader, where the pupil is promoted to participate in a colloquial, conversation, over the given meanings of the literary text. With the concept of reading between lines, the reader recognizes the views and aims to interpret and judge his thoughts.

Except this kind of reading, meaning and the aim of reading process of literary text achieves it through reading beyond the lines where we face the suppositions linked with the results and taking out of the conclusions that aren't expressed from the author in literary pieces. The process of analyses allows pupils to make new synthesis, understand and reflect deeply linked with the importance of the ideas. This purpose of work with literary text surely has difficulties because it searches a lot of facts above all the cultural information of pupils, a rich and personal experience. But this doesn't mean that it's not reachable because a good teacher knows how to function the personal experiences of his pupils.

Teacher asks different questions, such as: If what the author says is true, what other conclusions can we come out? If things weren't as the author has mentioned, but differently, which is our viewpoints? What differences do we expect if events come from the author's view? What kind of differences do you want to see and why? There are other questions that move on the pupils and reader's fantasy by enriching the meaning of the stories with their experiences, where is included the reader's experience. So, the pupils must not be in the repetitive level of communication and also to create a parallel text's creation.

To achieve this, in the literary reading class, develops a talk throughout highlight values, factors and subjects of literal communication. As we mentioned above, questions that are asked to pupils must be numerous by leading to the content, characters, the message's clearance, artistic language, etc. The character of question gradually gets more difficult till it joins to questions with creative characters. The teacher should look after the pupils, to speak more, to express his thoughts freely, to give arguments by arguing them, to evaluate the text in maximum, to not forget the context and the message that come out from the text and contexts, because thoughts and movements of the reader come out not only from the text, but also must be argued with pupils' facts. In this viewpoint, the text of the literal reading has a new development in the class.

Nowadays, our society faces with new a phenomenon that negatively indicates in the process of meaningful and expressive reading. The long stays in front of the television, computer, electronic games, all make and push the children to lower in minimum the parameters of creativity that are necessary for reading.

So, the movement of interests from electronic multimedia to the art of word needs the commitment of the society, especially schools that directs to its efforts through the word's improvement and the development of methods by finding some movements that make a good reading for pupils who are orientated from the book.

The teacher searches the formation of a positive staying over reading, when he prepares teaching, he takes into consideration not only the literal piece but even the pupil. He must be focused in differences that his pupils have in reading, he plans activities for all difficulties. Through reading he must see the way of pupils' communication with different psychological, social and linguistic levels of knowledge. The planning of the class in the subject of literary reading is another moment, which helps in the formation of an expressive reading and in the crystallization of positive pupils' staying. Here we stress a phrase of S. Mc. Namara and G. Moreton: "To plan effectively by not taking so much time, the teacher must be completely clear what his children need to know and to proceed till the end of the topic." (4)

For this, the teacher uses a lot of techniques like concentration above the act of reading as an entire one without spoiling the literal creation, by clarifying the way that the author has integrated pieces like the whole one. The insurance of success is another positive movement in the promoted process of the child to read because this stay doesn't depend from the time that pupils spend in reading. The success is to another powerful mechanism of motivation; it's like a failure that comes from his results. For this reason, a good teacher plans activities where all pupils live and feel success that dedicates to them.

Another way, except the planning of successful activities for pupils, is the knowledge of real mood for each pupil and their presentation in class. All teachers according to the subject they teach and also their personalities influence a considerable indication in the formation of all pupils. The teacher has the ability to promote pupils like active participants in the class, to support their feelings, to express warmth, enthusiasm, to understand difficulties and their needs for help, to be elastic in their staying, to increase the collaboration between pupils, to argue their thoughts, there are necessary qualities for the teacher, to give the waiting results in the school process. This realizes not only when the teacher has the leader's role in the teaching process but also has a multi planned, cultural and professional formation.

Stigler said: "We ask teachers to take a great responsibility for the formation of professional basic knowledge." (5)

In conclusion, we may say that the meaningful and expressive reading, a reading with proper intonation is the only tool, implement to judge over understanding scale of text from the reader's part.

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## Discrimination of Roma Women Regarding Their Access to Reproductive Health Services in Albania

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### Abstract

The situation of Roma women regarding the provision of the reproductive health services is a sensitive issue in the Albanian reality, in the framework of the implementation of the fundamental rights and in the framework of achieving social justice. Previous reports with their focus on "Roma population" have brought surveys related to different fields, including employment, education and estimation of the general situation of Roma community in such fields. From this point of view it is estimated that there is a lack of special reports treating only the situation of Roma women, in different aspects of their economic, social, cultural life and their health as well. Furthermore, a review of the previous literature in such a field shows a lack of study regarding the situation of Roma women in their access to reproductive health services. Taking into consideration the reasons mentioned above, this paper aims to serve as an orientation for the course of the State & Community Policies in such a field. The paper is focused in three main aspects: analysis of the Albanian normative framework in regard to reproductive health, situation of Roma women regarding their access in reproductive health services and drawing conclusions regarding the equal treatment of Roma women in the field of reproductive health.

**Keywords:** Roma women, discrimination, reproductive health

### 1. Introduction

Reproductive health is a very important part of general health, constituting a central feature of the human development. As a universal concept, the reproductive health is of special importance for women, especially during their reproductive years. Due to the importance of such a concept for the general health, it can be considered as a pre-condition for the economic social and human development.<sup>1</sup>

At a world level, the International Conference on Population and Development (ICDP), held in Cairo, in 1994, was the first conference that accepted the development of a Programme of Action to address the reproductive health. Before these years, the notion of reproductive health was almost unknown, due to the state policies orientated towards the demographic growth of the population. The approach to the reproductive health services approved by ICDP was based on the views regarding the estimation of women and on the concern for their health and prosperity. Furthermore, the reproductive health capacity was transformed from a means of population control into an issue of strengthening women to exercise their personal autonomy in relation to their sexual and reproductive health within their sexual, economic and cultural context<sup>2</sup>. The concept "reproductive health" was defined in paragraph 7.2 of the Programme of Action (ICDP, 1994) as "*a state of complete physical, mental and social wellbeing in all matters relating to the reproductive health system*" Reproductive health therefore "*implies that people are able to have a satisfying and safe sex life and that they have the capacity to reproduce and the freedom to decide if, when and how often to do so*".<sup>3</sup>

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<sup>1</sup> For further information see: United Nations "Guidelines on reproductive health" in its online format at <http://www.un.org/popin/unfpa/taskforce/guide/iatfrehp.gdl.html> referred on 15.10.2015.

<sup>2</sup> Carmel Shalev "Rights to Sexual and Reproductive Health - the ICPD and the Convention on the Elimination of All Forms of Discrimination Against Women", article presented in the International Conference on Reproductive Health, Mumbai (India), 15-19 March 1998, jointly organised by the Indian Society for the Study of Reproduction and Fertility and the UNDP/UNFPA/WHO/World Bank Special Programme of Research, Development and Research Training in Human Reproduction tek <http://www.un.org/womenwatch/daw/csw/shalev.htm>

<sup>3</sup> Ibid.

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At the same time, in Albania, the concept of family planning and modern contraception before the '90-ties was a taboo, due to strictly followed pro-natal policies during the time of mono-party system. Modern contraceptive methods were almost unknown for the wide population, while in pharmacies could be found only a limited number (mainly of condoms) which were given only in special cases.<sup>1</sup> Abortion was considered illegal. Abortion was considered as a criminal offence and the women who aborted were stigmatized and prejudiced by the society<sup>2</sup>.

After the '90-ties, with the change of the political system, Albania started to embrace the concepts of family planning, the modern contraception, the reproductive and sexual health, by formatting and completing the legal framework of the reproductive health.<sup>3</sup> From this moment and on, the right to benefit from the health services, in general and from the reproductive health services in particular, is considered to be part of the fundamental human rights. The law "*On the health care in the Republic of Albania*" defines and guarantees equal rights in the health care services, based upon non-discrimination, and is considered as a fundamental principle. The setting up of the health care service is based upon the efficiency and the quality of the service by guaranteeing the safety of the patient and impartiality. Being fair in the treatment means offering the health care services taking into consideration all the different needs that the individuals have, aiming at setting up an adequate system and sensitive from the gender point of view. Equal treatment and non-discrimination of Roma women in relation to their access to the reproductive health services is part of the obligations of the Albanian State in compliance with the international standards.

From a methodological point of view, the compiling of this paper and identification of accurate findings, are based upon the combination of qualitative and quantitative methods. The review of the existing legislation and of the existing literature, related to the issue, has been the main source regarding the theoretical point of view. Meanwhile, in order to reflect the concrete situation of Roma women regarding their access to reproductive services, the paper is based on the questionnaires prepared by the author for this aim. The report is based as well on the direct interviews performed by the author with Roma women. In order to set up a trust relationship with Roma women, the filling in of the questionnaires and interviews were realized with the intermediation of experts belonging to Roma community, or with the intermediation of the organizations defending the Roma women rights. There were interviewed 70 Roma women of the age group from 16 to 60 years old and were organised 4 meetings with 8 roma women each one. Delivery of questionnaires was extended in some cities of Albania, such as in Korça, Pogradec and Tirana, where the concentration of such a population is higher than in other cities/towns. Details, gathered findings and data analysis are reflected in the respective parts of the paper. Data analysis is based on the principles of participation in a study/survey by not using in any case personally identified information.

## 2. National legal standards in the field of reproductive health

The constitution of the Republic of Albania (1998) includes the highest legal standard in guaranteeing of the fundamental rights. In the Constitution of RA, the protection of the health of the mother and of the child constitutes one of the main basic obligations of the state. Article 55 of the Constitution defines that "*Citizens enjoy in an equal manner the right to health care from the state.*" The Constitution defines expressively in article 54 that children, the young, pregnant women and new mothers have the right to special protection by the state.

Also, the Albanian legislation in the field of protection of equality and non-discrimination guarantees equal access in public services, including reproductive health services despite the race or the ethnic origin. This means that the Albanian state has the positive obligation to guarantee the full access of Roma women in all the components of the services in the field of reproductive health.

Law "On protection from discrimination" regulates the implementation and the respecting of the equality principle in relation to a number of unlimited reasons including *inter alia* the race and the ethnic origin. The aim of this law is to ensure the right of each person (including Roma women) to be treated equally under the law, to have equal possibilities and opportunities to exercise their rights (understand "in the field of the reproductive health") as well as an effective protection from discrimination due to the ethnic origin.<sup>4</sup>

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<sup>1</sup> ACPD and UNFPA "Alternative Report of NGO-s on the situation in the country related to the reproductive health components", pg 6.

<sup>2</sup> Gjonça, A., Aassve, A., and Menclarini, L. 2009, "The highest fertility in Europe—for how long?" Determinants of fertility change in Albania, *Demography* 52(5):76–96 [English edition].

<sup>3</sup> See above, Ref.4.

<sup>4</sup> Article 2 of the law No. 10221, dated on 4.2.2010 "On protection from discrimination"

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Article 20 of this law ensures protection against discrimination in the field of goods and services. In a specific way the right to profit from the services having to do with the health (including reproductive health as well) is guaranteed in letter (b) of the second paragraph of article 20. For the aim of this paper, discrimination of Roma women regarding their benefit and access to the reproductive health services implies that the physical individual and/or the legal entity that offers goods or services in relation to reproductive health, whether or not with payment:

refuses to offer a woman goods or services due to her Roma origin;

Refuses to offer a Roma woman goods or services in a similar manner, or with similar qualities, or in conditions similar to that in which those goods or services are offered to others.<sup>1</sup>

Guaranteeing a high health care, either physical or mental is part of the social objectives of the Albanian State (Article 59/1 (c)). Nevertheless, in the Constitution text is identified the lack of special provisions protecting the reproductive rights. Based on this identification, it is necessary to refer to specific laws that regulate the field of reproductive health: Law no.8045, dated 07.12.1995 "On termination of pregnancy" and Law no.8876, dated 4.4.2002, "On reproductive health".

According to the law "On reproductive health" the term "*reproductive health*" means general physical and mental well-being, as a whole, with the absence of problematic incapacities and illnesses, as well as every other basic conditioning provision that the reproductive system needs for the functions, processes and ability for a satisfactory and safe sexual life. It means the ability of people to reproduce and their freedom to choose the manner and time of reproduction, as well as to be informed of where they can do this and where they can find such services.<sup>2</sup>

Article 3 of this law defines that the reproductive health care includes an entirety of methods, techniques and health services that affect the reproductive health of people, preventing and solving their problems, as below:

The right of Roma women to benefit services counseling and information on family planning.

Law "On reproductive health" foresees that "*Every woman, free and excluded from any form of discrimination, obligation or force, has the right to control and freely to decide about all questions related to her sexuality and her sexual and reproductive health.*" The law sanctions the right of each individual to decide freely, but by respecting the desire of each partner, regarding the time, the number of births and the intervals of birth giving, to get informed for the necessary means of realizing and to request for the highest standards of the reproductive and sexual health. From this point of view, the Law "On reproductive health" guarantees to each individual the decision-making to exercise the reproductive rights according to their interests and desire, free from discrimination, obligation and violence.<sup>3</sup> This freedom in decision-making implies that no woman could be forced to be pregnant and every medical intervention related to the reproductive health should be realized with the free consent of the person upon whom the medical intervention will happen.<sup>4</sup>

Women's right for information is defined as well in the law "On Termination of pregnancy". Article 2 of this law sanctions that the woman has the right of accurate information and counseling before termination of pregnancy. Counseling and information regarding the family planning service after the termination of pregnancy is considered as an immediate issue to avoid the unwanted pregnancies.

Also, an important role should be played by planning & counseling clinics for women. According to the law, such clinics should give the women who have requested to terminate the pregnancy, the proper information and counseling. The law allows termination of pregnancy only with the consent of the woman. Nevertheless the law defines that when it is possible, in counseling and in decision taking for the termination of pregnancy can participate the husband as well. In cases of voluntary termination of pregnancy the right for information implies the obligation of the doctor to inform the woman in relation to:

Medical risks/threats deriving from termination of pregnancy

The rights, the assistance and the guaranteed advantaged in relation to the family, the mother and the child

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<sup>1</sup> Article 20/1 of the law "No. 10221, dated 4.2.2010 "On protection from discrimination"

<sup>2</sup> See definition of "reproductive health" in article 2 of the law no.8876, dated 4.4.2002, "On reproductive health"

<sup>3</sup> Article 8 of the law no.8876, dated 4.4.2002, "On reproductive health"

<sup>4</sup> Article 9 of the law no.8876, dated 4.4.2002, "On reproductive health"

Institutions and bodies that can offer moral & financial support to the woman

Clinics and hospitals who realize the termination of pregnancy.<sup>1</sup>

If the woman repeats her request for termination of pregnancy after getting the information, the doctor asks for a written consent from the woman. The confirmation should be given within 7 days from the first request. In cases that there is a minor girl up to 16 years old, the law foresees that for the termination of the pregnancy it isn't necessary to get only the request and the consent from the girl. In such cases, is necessary to be deposited the consent of the parents or of the legal guardian of the girl<sup>2</sup>.

Law "On termination of pregnancy" foresees that the woman may ask for the termination of pregnancy with her own will, within the 12<sup>th</sup> week of pregnancy, if she judges that pregnancy creates psychological problems to her<sup>3</sup> and up to the 22<sup>nd</sup> week of pregnancy in case of identification of medical problems. Termination of pregnancy is allowed for social reasons, within the 22<sup>nd</sup> week, in case that a commission composed of 3 specialists assess that pregnancy has come as a result of rape, or as a result of any other sexual crime, as well as in cases when there are certified other social reasons.<sup>4</sup>

### **The right of women to benefit from the services of prenatal care, safe delivery and postnatal care.**

Law "On reproductive health" guarantees the right of women for a safe motherhood. According to this law, each woman should take the necessary care in order to have good health from pregnancy up to giving birth to the child. In this point of view, each woman should have access in all the services offered, with a high quality, before delivery, during and after delivery, for the prevention of unwanted pregnancy, prevention of unsafe abortion and premature delivery. In this context, family planning services should be used and promoted to protect the woman health and to avoid the unwanted pregnancy. General checks before delivery is allowed for all the women .<sup>5</sup> Provision of health protection during pregnancy and the assistance during delivery are necessary to minimize the risk for the health of the woman, of the fetus, of the newborn, or of the child.

The right of women to information and to benefit from services on sexuality and on reproductive health.

Law "On reproductive health" guarantees the right of each individual to be informed, advised, to get the education and the necessary health and social service to enjoy good sexual health, as well as to exercise their reproductive and sexual rights.<sup>6</sup> Every woman has the right to freely control her reproductive life, as well as to benefit from the use of safe methods, which should be affordable and acceptable for the family planning. Before using such methods, every woman should take the proper information regarding the risks and the advantages of each method including the use of condoms, vaginal barrier methods, oral contraceptives, implants, injection methods, IUD, voluntary male and female sterilization and the emergency contraception.<sup>7</sup>

The right of women for safe services, affordable and acceptable in the field of the reproductive health<sup>8</sup>

Law "On reproductive health" foresees the right of all individuals for useful, acceptable, accessible and qualitative services in the field of reproductive health<sup>9</sup>. According to this law "*All individuals have the right to benefit from scientific progress and new technologies related to reproduction and sexuality, when they are safe and acceptable.*"<sup>10</sup> The health services in the field of the reproductive health should be easily achievable from Roma women, in order to enable them to have possibilities to benefit from them aiming at the protection of their sexual and reproductive health. The legislation defines that all pregnant women enjoy for free the periodic medical following of their pregnancy, the birth and after the birth, especially obligatory

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<sup>1</sup> Article 4 of the law no. 8045, dated 07.12.1995 "On termination of pregnancy".

<sup>2</sup> Article 8 of the law no. 8045, dated 07.12.1995 "On termination of pregnancy".

<sup>3</sup> Article 10 of the law no. 8045, dated 07.12.1995 "On termination of pregnancy".

<sup>4</sup> Article 11 of the law no. 8045, datë 07.12.1995 "On termination of pregnancy".

<sup>5</sup> Article 27 of the law no.8876, dated 4.4.2002, "On reproductive health"

<sup>6</sup> Article 5 of the law no.8876, dated 4.4.2002, "On reproduction health".

<sup>7</sup> See article 26of the law no.8876, dated 4.4.2002, "On reproduction health"

<sup>8</sup> Article 10 of the law no.8876, dated 4.4.2002, "On reproduction health"

<sup>9</sup> Anastas.A " Women's rights in the Albanian legislation", Information booklet, OSCE-Presence in Albania, 2010

<sup>10</sup> Article 10/3 of the law no.8876, dated 4.4.2002, "On reproductive health"



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pre-natal and post-natal examinations, which are designated by act of the Minister of Health.<sup>1</sup> The obligatory examinations prescribed by the doctor are offered without payment and every woman has the right to have for free her personal journal on the progress of the pregnancy. It is important that the health services should have a special individual character, which means that they should be offered for every woman by taking into consideration the health situation, the age and the individual characteristics.

Certain services of the reproductive health can help women treat their infertility. For this aim, the law "On reproductive health" defines their right to benefit from the application of the modern technological methods for the reproduction after taking the necessary information on the contents of the supplementary reproductive technologies, on their efficiency, on the optimal periods for their application, on the medical consequences and on the potential side effects, as well as on the information on the validity of other methods on treating the infertility.<sup>2</sup>

#### Protection of breastfeeding

In 1999, the Assembly of the Republic of Albania approved a law on the protection of breastfeeding<sup>3</sup>. More than defining the rules for the protection of breastfeeding, this law defines the rules of trading the alternative products of the child's food. Previous surveys in this field have considered the law "On promotion and protection of breastfeeding" as a law drafted only to discourage the substitution of breast milk with the artificial one, in order to define rules in trading the products for little children and to spread the information regarding the advantages of the breastfeeding. Based on this in the evaluation report of CEDAW for Albania (2005), it is highlighted that the protection dedicated by the Albanian legislation to breastfeeding is limited and provisions or programs to provide the proper food for the new mothers lack in general.<sup>4</sup>

The law defines the obligation of the directors of the health centers and of the health authorities, either local or national ones, to promote, to support and to protect breastfeeding and to make public the problems created by the alternative feeding. Nevertheless, the law contains few and insufficient provisions to promote and to guarantee breastfeeding of the child. The law doesn't foresee measures to support the mother for the breastfeeding of the child with her natural milk.<sup>5</sup>

#### 3: Discrimination of Roma women regarding their access in the reproductive health

Roma community composes one of the cultural and language minorities in Albania having many problems regarding their economic situation and the regarding the barriers they have to face during their everyday life. There is a lack of official statistics related to the number of Roma population in Albania. So, this paper will refer to the statistics given by the studies performed by the Roma organizations in Albania and by independent institutions. Their statistics give a number of the population that varies from 90 to 120 thousand and most of them live in urbane zones and in the suburbs of the cities<sup>6</sup>. At the same time, these studies have highlighted that the growth of Roma population is 3 %, by over passing the percentage of the growth of the Albanian population.<sup>7</sup> This paper, even though it doesn't cover all Roma community, through the analysis of the personal experiences of Roma women, highlights that Roma women have lower access to the services offered in the field of the reproductive health and in the field of family planning than the other part of the women. Their health situation is worse compared with the other part of the population. This is influenced by the economic situation of Roma women and by the style of their life. In order for this paper to be of as much help as possible to the Roma community, based upon the questionnaires and upon the interviews performed with Roma women, it will offer, in this part of it, an analysis of the scope of discrimination towards Roma women in the field of the reproductive health. It will identify some of the most frequent practices of discrimination towards Roma women in two main directions: firstly, under the framework of the differentiated treatment of Roma women from the providers of the reproductive health services and secondly considering such a treatment from the point of view of Roma women access in reproductive health services and the existing institutional barriers.

The differentiated treatment:

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<sup>1</sup> Article 24 of the law no.8876, dated 4.4.2002, "On reproductive health"

<sup>2</sup> Article 20 of the law no.8876, dated 4.4.2002, "On reproductive health"

<sup>3</sup> Law No. 8528, dated. 23.9. 1999, "Promotion and protection of breastfeeding"

<sup>4</sup> See USAID "Report on evaluation of implementation of the Convention on Elimination of all Forms of Discrimination Against Women, in Albania, December 2005, page 47.

<sup>5</sup> Anastas.A "The rights of women in the Albanian Legislation", informative booklet, OSCE Presence in Albania, 2010, page 38.

<sup>6</sup> For more see "The decade of Roma inclusion 2012-2015", page 6.

<sup>7</sup> Ibid.

In general terms the differentiated treatment of Roma women during the provision of the reproductive health services includes: scornful treatment, superficial treatment, verbal abuse, providing separated services, delayed care, refusal of care provision from the doctors, etc. In order to make better known the practices of differentiated treatment the following part of the paper is focused upon the treatment of concrete situations which are evidenced in different cases. The differentiated treatment from the provider of the services especially from the medical personnel in many cases goes against the rules of ethics norming the relations between the medical personnel and the patient. It is clearly set that such relations are not affected by the ethnic origin of the patient in any case. The key issues identified in relation to such a treatment are as follows:

### **Refusal of the specialized medical personnel to offer services to Roma women:**

In general, refusal apply by the respective medical personnel who are obliged to offer the health service required by Roma women. The reasons of the differentiated treatment may be different. Such reasons may be related either to the ethnic origin or to lack of offering money from Roma women. So in some cases, the medical personnel refuse to offer the proper treatment to Roma women based on the fact that Roma women are poor and as a consequence they are not going to pay them. **Request for informal payment** is considered as the reason of not offering the medical services and the medical care to the majority of the women included in the survey. 68% of the interviewed women reported that the doctors have requested money to assist in the moments of child birth. In their interviews Roma women have stated: *"I was about to give birth to my child. No one approached me. The doctors requested money. I felt abandoned"*(M.M 30 years old). *"I remember that no one cared to bring my child to me. Such a situation continued to happen till the moment that my husband offered money to them. I don't know where he found that sum of money, because we didn't have any possibility"*( G.M 27 years old) *"The doctors have treated me normally...but I paid money to them"*(E.T 45 years old).

The informal payment as a discriminatory criterion is identified even in previous studies focused on Roma population. So in an evaluation of the situation of Roma population in 2011 has resulted that *"Almost 83% of the interviewed individuals of Roma community pay bribes for health services in the public health centers and in public hospitals. Informal payments and other corruptive forms of payment bring about the increase of the costs for the health services, improper health treatment and health deterioration."*<sup>1</sup> In other cases, the differentiated treatment was simulated by ethnic factors. In such situations the doctors refuse to provide services of reproductive health to Roma women **due to their origin**. *"The doctors do not want to provide medical checks for us because we come from Roma community. They mock on us. They say: you have a lot of children"*(E.H 25 years old). *"I was waiting in the corridor to be medically checked. I heard two nurses talking to each other [One of them said "I can't stand Roma community. Their women are always pregnant. This one here (speaking for me) is not more than 15.]"* (S.H 21 years old).

### **3.1.2 Providing reproductive health services not with the same quality**

Another practice of differentiated training is **providing reproductive health services not with the same quality** as it is offered to women who do not belong to Roma community. It is worth emphasizing as cases of differentiated practices such as providing superficial medical check, within e very short time, or delaying for a long time the provision of necessary services to Roma women. *"Nurses were indifferent towards me. They didn't treat me the same with the others"* (M.M 20 years old) *"The doctors were not careful at all with me. The doctors didn't provide me a proper medical care. After I gave birth to my child I had infection"* (G.M 40 years old). Besides the superficial treatment, another identified situation among Roma women is the delay of the service (Roma women are left to wait for long periods of time). According to them, the doctors wanted to finish all their visits with non-Roma women and then, if the doctor had time he/she may offer medical checks for Roma women. M.M tells that *"When I want to give birth to my child, I was told to wait, because there were other patients. I could hardly stand"*. M.R speaks of a similar situation: *"When I went to the doctor for a sonography, I was left to wait. All the other cases finished before me"*.

### **3.1.3 Inferior treatment of Roma women from the specialized medical personnel:**

Inferior cases are related to all those cases when Roma women "are maltreated" by the medical personnel through verbal abuse, insults based on their ethnic origin, or there are cases of benefiting from reproductive health services under conditions that are not the same as the conditions under which the patients coming from non-Roma origin profit such

<sup>1</sup> See Center for Economic and Social Studies (CESS) "Study on evaluation of the needs of Roma and Egyptian communities in Albania", Tirana, 29 February 2012, page 33.

services. Roma women tell the doctors mock on them. Sometimes they offend them or they keep away from Roma women "due to their lack of cleanness", due to "high number of children", or due to "frequency of pregnancy".

### 3.2 Lack of access of Roma women regarding the reproductive health services

Based on an assessment of Roma women situation regarding their access to reproductive health services it results that Roma women face with a lot of barriers in order to have such services. It is important to make known such barriers, in order to lead the Albanian policymakers towards strategies and Plans of Action that address directly the removal of such barriers, or at least guarantee a gradual minimization of them. On the other side, the existence of barriers, especially the existence of institutional barriers regarding the access of Roma women in benefiting from reproductive health services, may bring about either a direct, or an indirect discrimination referring to the consequences coming as a result of not taking measures to eliminate such barriers. Lack of access due to barriers produces "exclusion from the provision of services in such a field due to the ethnic origin from Roma community". Such barriers may be divided into four main categories, which are as follows: information barriers, geographical barriers, economic barriers and institutional ones.

#### 3.2.1 Lack of information regarding the components of the reproductive health

Regarding the information **barriers**, it is identified that the majority of Roma women do not have any access to information on the provided services under the framework of family planning, on the concepts of reproductive system and on the components of the reproductive health. Roma women were asked in relation to their sources of information on such services. Almost 70% of them mentioned as their source of information their mother/ their sister/ TV. 20% of them defined as a source of information the teachers at school, while 10 % of the participants in the study mentioned as a source of information the school texts (biology). It is worth emphasizing the fact that none of the interviewees mentioned the doctors as a source of information on the components of the reproductive health services and of the family planning.

Roma women didn't have information regarding the methods used to avoid the unwanted pregnancy. Roma women had lack of access in information in relation to the contraceptive methods in favor of family planning and in avoidance of unwanted pregnancy. They also lacked information relating to their use. In a lot of cases, the women emphasized the fact that they were not interested in the usage of such methods, because they cost money. According to the interviewees, the abortion is the main method used to terminate the pregnancy. To make an abortion or not is not decided by Roma woman herself, but it is a decision taken by other members of the family. The decision is taken usually by her husband, by her mother in law, or by her parents.

Some of the interviewees reported that in the health centers where they have gone there have been some informative booklets related to such issues, but some of them said as follows: *"I do not understand booklets given to me, because I do not know how to read. I do not understand doctors as well when they speak."*(E.H 36 years old) *"It has never been organized any training with us. We should be gathered and the doctors should explain to us such issues. We can not understand such things by ourselves."*(A.K 25 years old). The access to information is related as well to the low access of Roma women to institutions of providing education services. Lacking the necessary education, it is very difficult for Roma women to understand and to absorb the proper information given sometimes even through the TV transmissions as a source of information. Based on what is described above it is very much important to take measures to ensure raising of Roma women access to the information on the understanding and on the functioning of the kinds, on the manners and on the cases of using the available methods on family planning and on the avoidance of unwanted pregnancy.

#### 3.2.2 Lack of documents.

Another barrier hindering Roma women regarding their access in such services is **lack of proper documents to benefit from the services**. Reproductive health services are provided only to the women who are in possession of a Health Card. Roma women who are not issued with a Health Card can lose their access to the institutions who offer such services. Among the interviewed Roma women there was a part of them who were not registered, who didn't have the identity card, who were not employed, or who did informal work (didn't have any regular employment contract), who haven't registered their children, who didn't have birth certificates, etc. Each of the documents mentioned above may be a condition to be fulfilled in order to benefit from the public health insurances. Being not insured, Roma women do not have access even in the services provided by the reproductive health. One of Roma women said: *"I was told that if you don't have a Health Card you would profit nothing free of charge. Per each check up you are going to do, you are going to pay"*. Roma women relate the reasons and the obstacles to be issued with the necessary documents with the institutional barriers. They were asked on the reasons of not been issued with the Health Cards. Some of them answered: *"There are needed a lot of documents.*

*You have to wait a lot of time to get the Health Card". One of the activists who protects the rights of Roma women told as follows: "Roma girls face difficulties in being provided with Health Cards. We have assisted a case. G.M was only 14 years old. She got married with a boy who was 18 years old and she immediately remained pregnant. She couldn't go to the doctor to check whether her child was growing up normally, or just to know the sex of her child, because she didn't have a Health Card, so no one took care of her. We assisted her to issue her Health Card. So only in her last month of pregnancy she could have the first sonography of her child." The same activist in relation to the difficulties of providing Roma women and girls with the Health Cards highlighted: "we have encountered a lot of difficulties in different institutions. It has been so difficult to obtain Health Cards for Roma women and girls due to the set of documents needed. Roma women and girls didn't have such documents. So I had to go in different institutions to get these documents. We had to spend months in order to obtain a Health Card. Not all the doors of the institutions are opened for them." On what is described above the respective state institutions not only shouldn't become an obstacle themselves in issuing health Cards for Roma women, but they have to take the necessary measures to raise the institutional cooperation in order to ensure Roma women all the opportunities and not to wander from one institution to the other to gather the necessary documents. The institutions should facilitate the procedures to issue Health Cards for Roma women. On the other side it is considered necessary holding of informing session for Roma women and girls in relation to the necessity of registration and of being issued with the personal Health Card. They should be informed as well regarding the necessary documents needed to get registered and on the benefits deriving as a result of being registered in the respective institutions.*

### 3.2.3 Physical/geographical barriers

Regarding the physical/geographical barriers, monitoring of discriminatory practices towards Roma women has proved that **lack of health care centers/ care centers for women in the area of living of Roma population** is one of the cases of discrimination towards such a population. The majority of roma women reported that there wasn't any health care centers set up near the areas where they live. In order to consult the doctor or to have certain check ups they have to travel a lot.

Roma population usually is settled in the suburbs of the cities, so their living area is away from service providers. Such a distance limits the access of Roma women to reproductive health care services. The transport costs sometimes are very expensive for them. Such a situation brings as a result lack of access of Roma women to the doctors during the whole period of before and after giving birth to their child. Lack of centers near their locations cause a lot of problems for them. Even when Roma women have got information in relation to family planning, their access in the provided services in these centers become impossible due to the distance and due to transport costs. So, as a result, such barriers may oblige Roma women to apply the "domestic" forms and to try the informal "clinics" in cases of abortions. Such a form of discrimination becomes stronger with Roma women and girls who live in rural areas, or in isolated areas.

Physical barriers to the access of Roma women in the centers where such services are provided come as well as a result of frequent displacement of such a community from one area to the other, from one village/city to the other. As a rule such a displacement should be followed by the transfer of the respective documents as well, in order to deregister the Roma population from one public health center and to register them in the public health center in the area where they are displaced. During the interviews realized with Roma women, some of them considered the transfer of documents from one health center to the other as irrelevant due to lack of access in such centers, due to informal payment, due to long time spent for the procedures, etc.

Under such conditions, should be taken measures to ensure an equal access in the centers providing reproductive health care services for all Roma women and girls despite the area where they come from. New health care centers should be set up in order to offer an equal service to all categories of the population.

### 3.2.4 Lack of cultural intermediators

Lack of cultural intermediators is another barrier that hinders the access of Roma women to the institutions and centers that offer reproductive health services, especially for those Roma women who do not speak and understand the Albanian language. Almost all the previous surveys performed in relation to the peculiarities of Roma population have come to the conclusion that they are a language minority. This finding implies the fact that Roma population speaks its own language. Even that Roma women live in Albania, a part of them doesn't speak the Albanian language. Lack of language knowledge is one of the reasons of their discrimination, because due to lack of communication in the Albanian language they lose the provided health care services. Roma women were asked whether their limited knowledge in the written and spoken Albanian language has been a barrier in getting the full and clear information in relation to the services in general and to the reproductive health services in particular. They were also asked whether the limited knowledge in Albanian language

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has created problems in getting such services. Roma women answered as follows: *"It is very difficult for me to explain to the doctor my own health problems during the pregnancy, because I do not understand the language they use"*. *"Yes, it is a barrier. I don't know how to read and write" (A.K 30 years old)*. *"It is difficult for me; I do not understand the doctors when they speak. I do not understand what they tell me to do" (E.Zh)*. Based on the situations described above and taking into consideration the low access of this community in the educational institutions, it is necessary to have the presence of the cultural intermediators coming from this community and employed by the institutions that offer reproductive health services.

#### 4. Conclusions

Equal treatment and non-discrimination of Roma women regarding their access to the reproductive health services are part of the obligations undertaken by the Albanian State to implement the International Rights in such a field. Acknowledgement of the equal rights of Roma women and setting up a proper environment to fully implement their rights is as well part of the challenges that the Albanian policymakers and lawmakers have to face and address during all the period of Roma decade (2010-2015).

This paper identified that Roma women in a way or in another, are excluded from the possibility of applying into practice, in an equal and full way, their reproductive rights. Their access to the reproductive health services is hindered from the existence of a lot of barriers of the economic, geographical, informative and institutional character. The differentiated treatment offered to this ethnic category of the population and the lack of equal access are in themselves forms of direct and indirect discrimination of the public or private providers of services in such a field.

The doctors refuse to offer services to Roma women in the field of reproductive health for two main reasons: Roma women are in a very difficult economic situation, so usually they do not have possibilities to pay for the doctor (in an informal way), in order to profit the service. The second reason is related mostly to their ethnic origin. The doctors hinder the access of Roma women in the services provided in this field. Fight against corruption remains one of the most important challenges that the Albanian health service is facing with.

Roma women have to wait for a longer time as compared to other women coming from a non-Roma origin for the same provided services. They face lack of access in some cases. They face as well with the prejudices and with the insults regarding the high number of children they have and regarding their personal hygiene. In their relations with Roma women medical personnel do not respect the principles of the Code of Ethics that defines the relations of the doctor with his patients. On the contrary, there are cases of prejudices in the doctors' behavior towards such an ethnic category of the population and such prejudices are turned into racial discrimination.

Week infrastructure and the geographical barriers bring about another problem that influences in the discrimination of Roma women regarding the provision of reproductive health services. Consulting centers for women and the health care centers in most of the cases are less accessible or sometimes not at all accessible for Roma women due to the large distance of the centers from Roma population areas of living. The transportation costs are not affordable for this category of the population. Such a distance brings as a result that Roma women suffer from a lot of health problems during their period of pregnancy, because they can not have access to continuous and periodic medical checks, either in the period before giving birth to their children, or in the period after they have given birth to their children.

A part of Roma women do not have access in public services offered in the field of the reproductive health, due to lack of necessary documents. Other identified problems are lack of information and low level of awareness raising among Roma women regarding the components of the reproductive health and family planning. The reasons that influence in lack of information are as follows: low educational level of Roma women, difficulties in understanding the Albanian language, lack of training in relation to family planning and to use of contraceptive methods to avoid the unwanted pregnancy etc. Due to low awareness and due to lack of information, abortion remains for the majority of Roma women the best and the most practical solution in cases of an unwanted pregnancy.

Lack of cultural intermediators is another barrier hindering Roma women access to institutions and centers that offer reproductive health services, especially for those women who do not understand the Albanian language. Low awareness level of Roma women has brought about lack of treatment of their cases in the specialized bodies/institutions that protect the equal treatment (such as the institution of the Commissioner for the Protection from Discrimination). Roma women have very little information, or they do not have information at all regarding the available legal instruments in the Albanian

legislation to condemn the cases of racial discrimination in the field of provision of services. The law “On protection from discrimination” is accessible in Roma language, but still it is not known by the majority of Roma women. Lack of information is related not only to the treatment of discrimination cases, but it is related as well to the scope of rights that they enjoy by the Albanian law in the field of reproductive health.

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## Analytical Hierarchy Process as a Decision-Making Model

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### Abstract

When the problems we face are complex and affect each other, then the decision making process is more difficult. In most cases we apply established policies or choices without knowing which the best choice is. To make appropriate decisions that can solve the problems encountered should be analyzed very well the reasons that create problems and their reciprocal influence. AHP helps the decision of the people who will decide the problem by taking a hierarchical structure evaluation, opinions, experiences and all information about this problem. This flexible structure enables analytical feelings and instincts to organize and align with a shape that resembles human logic. Thus this analytical flexible structure, allowing to adjust the paper instead of the mind, gives people the opportunity to intervene in the most difficult problems and complex.

**Keywords:** decision-making, analytical hierarchy process, model

### Introduction

The process of hierarchical analysis (AHP-Analytic Hierarchy Process) fell for the first time as an idea in 1968 by Mazers and Alpert, and in 1977 by Saaty was processed and turned into a model that can be used for decision making solving problems (Kaan Yaralıoğlu, 2006). AHP enables forecasting and decision-making by creating a hierarchical flexible structure about the problem that will be decided. The method is based on comparisons made by the importance of the twin values of these elements or elements that influence decision-making. The comparison is done using a previously defined table on the hierarchical structure formed about a problem.

### Research methods

Banks or various institutions have a constant need for decision-makings. This need for decision-makings in most cases is immediate and in most others is also a *fast end solution* in decision. The accuracy of decision making is as much important as the speed of decision making. In this article is expressed the synthesis of a number of articles and studies on ways of decision making. Therefore it has reached the conclusion that the process of hierarchical analysis is a method which not only provides rapid feedback but also a method of easily usable by many levels of non-high qualified staff.

### Methodology

The process of hierarchical analysis model is easily usable, highly flexible due to social and economic behavior changes and quite quick in decision-making. Creation of this model is quite easy and goes through stages aggravated and evaluative which mimic human logic and coherent based on estimates. The core of this model is the use of the matrix which is based on comparing two levels starting from basic to higher levels. Explaining the scheme used in this model and tracking model levels is essential for the final decision of this model.

### Creating hierarchies

Created hierarchies can be both structural and functional types. Structural hierarchies are formed as a result of the process of deciding upon the class of elements, placing the highest level to the lowest, considering features such as age, color, size, elements that are inside the structure. Hierarchical structures mimic the human brain solving problems systemically while facing them.

While functional hierarchies are created by dividing complex system into smaller parts and simple, given the links under each - other. These elements are related to the problem generally fall under the criteria defined class, they are divided according to the levels of the most intricate to the most lowly. Generally element that lies at the highest level is called "points of focus" (SAATY, 2000).

### Proximity to the truth of solutions with AHP method



Four conditions must be met that the solutions offered to solve the problem by AHP method be closer to the truth. These terms are reciprocity, homogenization, logical and continuity of the union (SAATY, 1994).

### Reciprocity

As the need of the matrix twain comparison structure, comparison of elements  $w_i$  and  $w_j$  is done twice. At first it evaluates how many times the element  $w_i$  is important by element  $w_j$  then evaluate how much more the element  $w_i$  is important by element  $w_j$ . Because comparison of two elements made in the same period of time, naturally follows that if a component for example is twice more important than item  $b$  then it is indisputable that the item  $b$  is  $\frac{1}{2}$  times more important than the item's  $a$ .

$$a_{ij} = \frac{1}{a_{ji}} = (a_{ji})^{-1}$$

### Homogeneity condition

Homogeneous elements belonging to a particular class should be grouped together. So comparisons can be made between homogeneous elements and most importantly indicative table can be used to set numerical rating from 1 to 9. For example, it is illogical to compare the size between basketball ball and sun so that it is impossible to use indicative table of numbers used from 1 to 9. Since all the elements included in two comparisons, higher limit and lower limit ( $K$ ) reads:

$$\frac{1}{K} \leq a_{ij} \leq K$$

$$K > 0 \quad (i, j = 1..n)$$

In twain comparison matrix being that we will always assess digit largest and smallest for any matrix we have a constant ( $K$ ).

### Near consistency

As indicated above, the homogeneity of the elements to be included in the twain comparing influences the consistency of the matrix. On the other hand because the matrix is the result of a certain rating, it expresses the implemented opinion or the consistency of present residence. Calculating the consistency of evaluation of elements that are part of the established hierarchical structure shows how close to the truth is the evaluation. As expressed above conditions required that a matrix be consistent are shown below:

$$a_{ik} = a_{ij} \cdot a_{jk}$$

$$a_{ij} = \frac{1}{a_{ji}}$$

$$(W_i = 2W_j) \text{ dhe } (W_j = 3W_k) \text{ atëherë } (W_i = 6W_k)$$

The possibility of being all in a matrix is very small. But when we make an assessment taking into account all these it may come to a close matrix that is fully consistent matrix. Variance of matrix should not exceed 10% (generally accepted 5% for  $n = 3$  and 8 % for  $n = 4$ , for  $n \geq 5$  %10) (SAATY, 1994).

### Uniform Continuity

Twain comparing matrix  $W_i$  ( $i = 1, 2 \dots n$ ), as a function of  $a_{ij}$  must be sensitive to small changes in  $a_{ij}$  so that the proportional value of  $W_i / W_j$ , produce good forecasts versus  $a_{ij}$ . Namely whether in the hierarchy formed in a matrix derived from no consistency and this condition is caused due to wrong assessment, to enable the consistency of the matrix the error in the assessment must be found and repair. These repairs are effective when  $W_i$  is sensitive to small changes in  $a_{ij}$ .

## Functioning of Analytic Hierarchy Process

Analytical Hierarchy Process is a decision-making process. This process consists of three stages, during the formation of the hierarchy, the calculation of the final consistency and evaluation of results. These steps will be explained below in a row.

### The formation of the hierarchy

Analytic hierarchy process mimics the analytical thinking way of the human. To get a healthy decision problems are evaluated by dividing into smaller parts. This fragmentation process continues until the causes of the problem is clarified. From here we understand that the complexity of the problem and the level of details affect in the classification and separation of levels of hierarchy for the decision to be taken (Zahedi F., 1986).

AHP method starts with selection of options and criteria that will make up the hierarchy of decision making about the problem we have in focus (Steiguer, 2003). Once the problem is identified, the desired decisions taken in connection with this problem are defined and these decisions are accepted as objectives. The target set at the highest peak of the hierarchy and then all of the elements belonging to the problem shared by level of importance and homogenization are conditioned by a level criteria specified above (Steiguer, 2003).

### Formation of the twain comparison matrices

While using AHP method for the problems, to determine the approximate importance of the criteria and sub-criteria after the formation of hierarchical model, we must create twain comparison matrices (Sipahi S, 2002). The importance value of elements while twain comparing is defined according to the above level criteria.

Comparison matrix between elements is a square matrix of dimension  $n \times n$ . The values at diagonal of the matrix take the value 1 by the matrix components. The comparison matrix is shown below.

$$A = \begin{bmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ a_{n1} & a_{n2} & \dots & a_{nn} \end{bmatrix}$$

Components on the diagonal of comparative matrix take the 1 (one) value because  $i = j$ . In this case the question item compared with itself. Comparison of elements become one by one taking in advance the level of importance of each of them.

All comparisons are made to the values remain above the diagonal that has the values 1 in the comparative matrix. To remain components which are below the diagonal that would normally be sufficient to use formula number 1.

$$a_{ji} = \frac{1}{a_{ij}} \quad (1)$$

### Determination of the priority values in comparison doubles

Twain comparing generally is a natural process of matching elements which are placed according to criteria based on people's preferences and can be explained by the sensitivity, order of importance or their consent (Saaty, 2001). Comparative Matrix shows elements within a certain logic by level of importance. So double values in the matrix comparisons show the gravity value for each element priority, using mathematical manipulations. But for all relevance within elements, namely to determine the distribution of importance in percentage, use the columns of vectors generated in the comparative matrix. So to determine all relevance criteria column vector formed with the number  $n$   $b$  and  $n$  component (Yaraloğlu, 2001). This vector is shown below:

$$B_i = \begin{bmatrix} b_{11} \\ b_{21} \\ \cdot \\ \cdot \\ \cdot \\ b_{n1} \end{bmatrix}$$

In calculating the column vector  $B$  we can use formula number 2. That is the formula used in the twain comparison matrix, evaluation of every element in the same column is divided by total values which are in each column:

$$b_{ij} = \frac{a_{ij}}{\sum_{i=1}^n a_{ij}} \quad (2)$$

For example, if comparative matrix  $A$ , which shows the comparison with each other elements of assessment, is defined as follows and are required to calculate the vector  $B_1$ .

$$A = \begin{bmatrix} 1 & 1/3 & 5 \\ 3 & 1 & 4 \\ 1/5 & 1/4 & 1 \end{bmatrix}$$

In this case the element  $b_{11}$  of vector  $B_1$  will be calculated  $b_{11} = \frac{1}{1 + 3 + 0,2}$

It is done at the same way for the other elements of vector  $B_1$  so the vector obtained as follows. When assemble the components of the column vector we see that the total is 1 (one).

$$B_1 = \begin{bmatrix} 0,238 \\ 0,714 \\ 0,048 \end{bmatrix}$$

When you repeat the steps explained above in the values of other elements, we will have the so many  $B$  column vectors as the number of elements. When we collect according to the format of the matrix all the numbers  $n$  in the benefit column vector  $B$ , the shown below  $C$  matrix will form which is a normalized matrix.

$$C = \begin{bmatrix} c_{11} & c_{12} & \dots & c_{1n} \\ c_{21} & c_{22} & \dots & c_{2n} \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ c_{n1} & c_{n2} & \dots & c_{nn} \end{bmatrix}$$

If we consider the above example matrix  $C$  will be as follows:

$$C = \begin{bmatrix} 0,238 & 0,210 & 0,500 \\ 0,714 & 0,632 & 0,400 \\ 0,048 & 0,158 & 0,100 \end{bmatrix}$$

Using normalized matrix  $C$  can obtain the value of the importance by percentages of types by elements. For this, as shown in the formula number 3, taken the arithmetic mean of the components of the lines formed in the normalized matrix  $C$  and derived vector from this column vector of  $W$  is called priority vector.

$$w_i = \frac{\sum_{j=1}^n c_{ij}}{n} \tag{3}$$

Vector  $W$  is as shown below:

$$W = \begin{bmatrix} w_1 \\ w_2 \\ \cdot \\ \cdot \\ w_n \end{bmatrix}$$

When choosing the example above priority elements of the vector can be calculated as follows. In this case the value of three factors together they will have approximately these values. The first factor 32%, 58% the second factor and the third factor 10%.

$$W = \begin{bmatrix} \frac{0,238 + 0,210 + 0,500}{3} \\ \frac{0,714 + 0,632 + 0,400}{3} \\ \frac{0,048 + 0,1580 + 0,100}{3} \end{bmatrix} \cong \begin{bmatrix} 0,32 \\ 0,58 \\ 0,10 \end{bmatrix}$$

### Calculation of the consistency

Although AHP method is a consistent system itself, the authenticity of the results will be dependent on compliance with comparisons between the elements that makes the decision maker. If the decision maker is shown contradictory assessments, he could not find where the dot is bigger discrepancy when he comes back. While AHP method using the advantage of double aligning assessments not only find the discrepancy but also shows that which may be appropriate values (Saaty, 1990). AHP method proposes a process to measure compliance of these comparisons. In the end it gives us the opportunity to test the consistency of the priority vector that is the degree of consistency (CR-consistency Rate) then the comparison made between the elements one by one. Core calculation of CR based on AHP method to compare the number of elements with a coefficient ( $\lambda$ ) called fundamental value. To calculate the basic value of coefficient ( $\lambda$ ) at the beginning it have to obtain column vector  $D$  which is obtained by multiplying the priority vector  $W$  with comparison matrix  $A$ .

$$D = \begin{bmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ \cdot & & & \cdot \end{bmatrix} \cdot \begin{bmatrix} w_1 \\ w_2 \\ \cdot \\ \cdot \\ w_n \end{bmatrix} = \begin{bmatrix} x \\ \cdot \\ \cdot \\ \cdot \\ \cdot \end{bmatrix}$$

As defined in the formula number 4, acquired basic value ( $E$ ) for each element in the evaluation of reciprocal elements between column vector  $W$  and  $D$ . The formula number 5, which include the arithmetic average of these values gives value basic ( $\lambda$ ) in connection with the comparison.

$$E_i = \frac{d_i}{w_i} \quad (i = 1, 2, \dots, n) \quad (4)$$

$$\lambda = \frac{\sum_{i=1}^n E_i}{n} \quad (5)$$

After the calculation of basic values ( $\lambda$ ) with the help of formula number 6 we can find Consistency Index (CI-consistency Index).

$$CI = \frac{\lambda - n}{n - 1} \quad (6)$$

While in the last step of CI is obtained CR by dividing the standard adjustment value shown in Table 1 called random indicator (Random Index RI). In Table 1 is selected the value which correspond to the number of elements. For example, the value of RI to be used in a comparison with the 3 elements under table 3 will be 0:58.

**Table 1:** Value of Random Index (RI)

n	1	2	3	4	5	6	7	8	9	10	11	12	13
Treguesi i rastësishëm	0	0	0,58	0,9	1,12	1,24	1,32	1,41	1,45	1,49	1,51	1,48	1,56

**Source:** Oğuzlar, 2007.

$$CR = \frac{CI}{RI} \quad (VII)$$

In cases where the estimated value of CR is less than 0.10 then is clear that the comparisons made by the decision maker are consistent. If the value of CR is greater than 0.10 then we have an error in calculation method AHP or instability in the comparisons made by the decision maker.

### Finding the importance of the distribution from percentages degree for each element

At this stage determined the distribution of importance from the degree of percentage rate for each element. Saying in other words, matrix procedures and one by one comparison will be repeated as many time as  $n$  number of elements. This time the dimensions of comparative matrix  $G$  to be used in the decision points for each element will be  $m \times m$ . After each comparison procedure column vector  $S$  is obtained that shows the distribution of the importance degree and by percentage degree and decision points of the evaluated item by the dimension  $m \times 1$ . This column vector is shown below:

$$S_i = \begin{bmatrix} S_{11} \\ S_{21} \\ \cdot \\ \cdot \\ S_{m1} \end{bmatrix}$$

### Distribution of the end points of the decision.

At this stage of the decision matrix  $K$  with dimension  $m \times n$  formed by the columns of the vector  $S$  with  $n$  pieces with dimension  $m \times 1$  explained above. The decision matrix shown as follows:

$$K = \begin{bmatrix} S_{11} & S_{12} & \dots & S_{1n} \\ S_{21} & S_{22} & \dots & S_{2n} \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ S_{m1} & S_{m2} & \dots & S_{mn} \end{bmatrix}$$

In conclusion, when the decision matrix  $W$  is multiplied following the column vector (vector of priority)  $S$  we obtain a column vector  $L$  with  $m$  elements. Column vector  $L$  gives the percentage distribution of decision points. In other words the total value of the elements of the vector is 1. This distribution also provides the order of importance of the decision points.

$$L = \begin{bmatrix} S_{11} & S_{12} & \dots & S_{1n} \\ S_{21} & S_{22} & \dots & S_{2n} \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ \cdot & & & \cdot \\ S_{m1} & S_{m2} & \dots & S_{mn} \end{bmatrix} \times \begin{bmatrix} w_1 \\ w_2 \\ \cdot \\ \cdot \\ \cdot \\ w_n \end{bmatrix} = \begin{bmatrix} L_{11} \\ L_{21} \\ \cdot \\ \cdot \\ \cdot \\ L_{m1} \end{bmatrix}$$

Method of Analytic Hierarchy Process is developed by passing through all the stages described above.

### Conclusions

Pattern formed with the help of AHP method being simpler than the older models in use, a model of renewable over time and open to changes is more likely to be used in a lot social science fields in the future. All elements found in the hierarchical structure of the model form with the help of AHP method, after passing in the process of twain comparing, prioritize each criterion. Given that the criteria used in the model show changes from person to person for every person have different point advantage. Thanks such a model it's possible to create accurate decision making. Consequently, this model is quite convenient for the banking system, which needs accurate decision (granting loans, credit cards, etc.).

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## Hybrid Model of Increasing Consumers Activities on Private Universities at Jakarta

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### Abstract

The model inquiry for an effect of marketing mix and the best service quality on perception of image and the implacations of consumer activities in private universities. The structural equation modelling techniques was conducted applied in survey research method to analysis from 224 respondents in higher education at Jakarta. The resulted indicated that marketing mix variables positively have influenced but not significant on image and consumer activites. The best service quality variable have positively impact and significant leads on image with standardized regression weights  $\text{value}=.706$  and  $P_{\text{value}}.001$ . Furthurmore service quality and image variables were indicated that positively impact and significant on consumer activites, with standardized regression weights  $\text{value}=.474$  and  $.393$  than  $P_{\text{value}}.001$ . The research structural equation model have the marjinal fit on hybrid model with  $\chi^2_{\text{value}}=802.07$ ,  $P_{\text{value}}=.000$ ,  $\text{RMSEA}=.101$ ,  $\text{GFI}=.794$  and  $\text{CFI}=.849$ .

**Keywords:** Service Quality, Image, Consumer Activities.

### Introduction

The role of higher education in the graduate program of strategic and meaningful customer value for the students in building intellectual community in Indonesia in the future, so institution graduate programs have a high role in the effort to build the competitiveness of Institutional and competitive advantage. Furthermore, according to Kotler and Keller (2016) for the success of future marketing should be holistic, build stronger brands through performance rather than through the promotion and leads electronically as well as through building information and communication systems are superior. The philosophy of the marketing concept (Limakrisna and Susilo, 2012) aims to provide satisfaction to the desires and needs of consumers, so that the concept can be applied marketing is a business philosophy that states that the satisfaction of customer needs is a prerequisite for the economic and social viability of the institution, in order to make a profit.

#### 1.1. Marketing Mix and Service Quality

In the service of educational institutions should pay attention to stakeholders/stakeholder potentially consist of 16 (sixteen) "major publics", individuals and groups are very influential in the university (Kotler et al, 1995). Alma (2005) states the elements of the marketing mix strategy in education services consist of traditional 4P and 7P namely 3P again in marketing services. Furthermore, marketing a successful future must be more holistic and has a slim departments (Kotler and Keller, 2016). The role of marketing is not just relying on the promotion and advertising of various kinds and in large numbers, but the performance marketing is becoming a main stay of superior. Then, according to research findings, Viacava (2010) in higher education management in complex human characteristics needed perspective and potentials that develop in human thinking as logically automatic data processor for logic that can be developed to take into account the interaction between emotion and cognition and the environment. Marketing orientation of higher education institutions according to Wright (2012), the marketing literature describes the four types of marketing orientation, colleges and universities should be fully aware of the potential benefits and costs of each type of orientation. On the marketing orientation of a college or university can have a significant impact on all aspects of the marketing strategy.

To create good quality care requires a planning framework and strategic analysis and to achieve that the dimensions of service quality, there are five dimensions service quality by Lovelock (2012), quality of care consists of five dimensions of service quality known as: 1) Reliability, the ability to carry out the promised service reliably and accurately. 2) Responsiveness, willingness to help customers and provide services quickly, 3) Assurance, knowledge and courtesy and their ability to convey trust and confidence. 4) Empathy, willingness to provide depth and special attention to each customer. 5) Tangibles, physical appearance, equipment, and employee communication materials. Then the good quality of service will have a positive impact as follows; established a long-term mutually beneficial relationships, opening up opportunities business growth through repeat purchases, the formation of customer loyalty, the impression of positive word of mouth to attract new customers to the increase in the number of graduate students, and the public perception of the customers who were positive for higher education institutions and increasing competitiveness globally. Then the quality of services is a reflection of updating programs on the four Ps, stated by Kotler and Keller (2016) in the renewal of



the marketing mix idea. Furthermore, according to Lovelock and Wright (2005) the quality of services is a cognitive evaluation of long-term delivery of services to the customers of a company. The main objective in improving the quality of services is to reduce the gap that is the overall value customer. On the theory of five (5) most important dimension of quality of services includes, Faganel & Macur (2006): 1. Reliability, 2. Responsiveness., 3. Assurance., 4. Empathy., 5. Tangibles.

## 1.2. Image of the Institution and Consumers Activities

The consumers buy something, not just a need that stuff, but there is something else to be expected. According to Kotler and Keller (2016), Buyer decides an offer with the delivery of the most superior value. Value is the center of the marketing concept which mainly comes from a combination of quality, service and price. The image can be reflected through brand equity, value-added services provided by the institutions, and consumers is reflected through thoughts, feelings and activities of consumers in respect of the institution, the appropriate level of good perception of price, market share and the level of benefits provided. Furthermore, something else was in accordance with the image formed in him. Therefore, it is important to inform the public organizations in order to establish a good image (Alma, 2005). Sutojo (2004) says that the company has a good image and strong benefits: (1). Strong competitiveness in the medium and long term, (2). Provide protection during the crisis, (3). Being reliable attractiveness executive, (4). Improve the effectiveness of marketing strategies, (5). Operational cost savings. Dimensions which is the focus of marketers to consumers' desire for the purchasing actions include: (1). The concept of products and services delivered to consumers. (2). Situations that may affect the purchase by the consumer. (3). Impulse purchases by consumers. (4). Its purchasing actions by consumers. (Bennett, 2010). Furthermore, according to Indrajit & Djokopranoto (2006) is a customer of the university students who study at the university, where students follow a very intense process that occurs at universities in the manufacture of the product, whether the product is a student himself, learning, mastery of knowledge or education. Students participate in the process, so it affects the quality of the product.

### Problem Formulation and Research Objective

Based on the above, this study in addition to reconfirm the results of previous studies (Yulius, 2004) on the effect of marketing mix of education on the image of private universities and the implications for the number of active students, also test the service quality variables (developed by; Lovelock & Wright (2005), Lupiyoadi & Hamdani (2006), Faganel & Macur (2006), and Alma (2005) on the image of the institution and its implications on the activities of students in the Department of Architecture Faculty of Engineering Private Universities in Jakarta. For this study will try to answer the problems as follows; how does the marketing mix, best service qualities influences to the image of the institution and impact on consumer activities in the Department of Architecture Faculty of Engineering Private Universities in Jakarta?

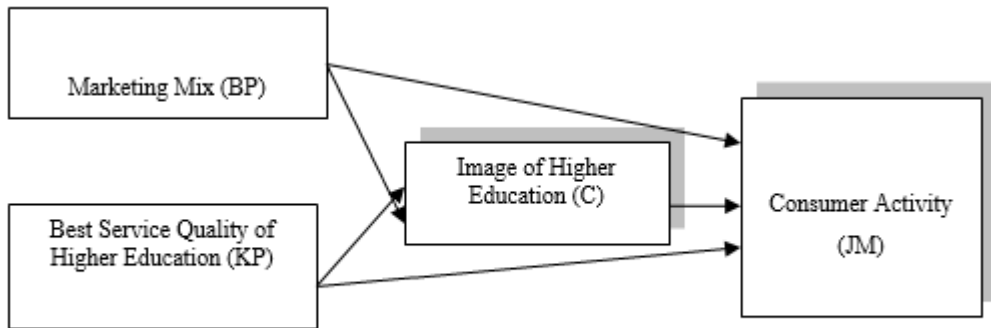
In connection with the problems that have been formulated, the purpose of this study is: determine the influence of marketing mix, best service qualities to the image of the institution and impact on consumer activities in the Department of Architecture Faculty of Engineering Private Universities in Jakarta.

## Conceptual framework and literature

### 2.1. Hybrid Model

The development of a theoretical model by conducting a series of scientific exploration through literature review in order to obtain a theoretical justification to be developed, it could be seen in figure 1 below:

Figure 1. Theoretical Hybrid Model Development of Consumer Activity Through the Image of Institutions from Best Service Quality and Marketing Mix in Private Universities in Jakarta



## 2.2. Research Hypothesis

By paying attention to the study of theory and literature as well as reviewing the research framework diagram generated research hypotheses as follows:

### 2.2.1. Marketing Mix Influence of Institutional Image

According to Cetin (2004) university in the face of diverse issues and challenges of the present, must provide quality higher education to the existence of image quality/good reputation of the university. Meanwhile, according to Kotler (2001) that the marketing mix variables are determinants of corporate image. While the research results Yulius (2004) of the results of empirical research found that the marketing mix affects the image of education in total PTS and the most dominant element is the element of human resources and infrastructure elements of the research materials. Chattananon, Lawley, Trimetsoontorn (2007) indicate the build image company through social marketing programs and communications companies by creating a positive consumer attitude. Further research findings of Li & Hung (2009) showed a significant selective marketing tactics and predictable with very significant on the school's image. Promotion Tactics is a strategy that is most effective prediction of the behavior of parents. Finally the image of the school as a mediator of the relationship between parent and loyalty marketing tactics. Based on these descriptions, the hypothesis can be formulated as follows:

H<sub>1</sub>: services marketing mix affects the image of the institution in the Department of Architecture Faculty of Engineering at Private University in Jakarta.

### 2.2.2. Effect on Image Quality Service Institution.

According Lupiyoadi and Hamdani (2006), where gaps in services exist or are not perceived perception of perceived customer and customers expect the same proven, then the company will acquire the image and positive impact. Meanwhile, according Ruyter and Wetzels (2000), in experimental studies show long-term care better affect the image. Then according Gronroos (1984) dimensions of service quality related and an important feature of an image. A review of Nguyen & LeBlanc (1998) indicated a positive influence on the quality of services to the formation citra. Selanjutnya according Gurbuz (2008) service quality affects the product image. Based on these descriptions, the hypothesis can be formulated as follows:

H<sub>2</sub>: service quality affects the image of the institution in the Department of Architecture Faculty of Engineering at Private Universities in Jakarta.

### 2.2.3. Marketing Mix Influence of Consumer Activities

In the model of supply of higher education services according to Alma (2005) and the results of research Yulius (2004), shows the marketing mix affects the increase in the number of applicants, ie applicants service users. Meanwhile, according to Bennett (1997), there is a relationship between the marketing mix with the purchase process. Later testing of Ndubisi (2007) showed a significant effect on the relationship between marketing strategy customer loyalty. Further arguments from Harvey (1996) on marketing in schools and educational institutions are expected to attract college

students. According to Rosenberg & Czepiel (1984) Marketers arrange special marketing mix and marketing organizations modifications and create a balance between the marketing performance of new and old customers to improve profit growth. Then, according to Judd (2003) marketing mix can help in consumer-oriented institutions to produce a competitiveness through differentiation and provide value to the customer. While the research results Eusebio et al., (2006), found that an effective marketing strategy occurs in the orientation towards customers. Based on these descriptions, the hypothesis can be formulated as follows:

H.3: Marketing mix affects the activity of students in the Department of Architecture Faculty of Engineering at Private Universities in Jakarta

#### 2.2.4. Effect of Service Quality of Consumer Activities

According to Alma (2005) on the model of supply of higher education services, required quality of service for customer satisfaction that will increase the number of applicants. Furthermore, according to Bloemer, Ruyter and Peeters (1998) were an important influence on the reliability dimension or dimensions of quality to customer loyalty. Also according Gurbuz (2008) states in its findings that a positive perception of service quality effect on the loyalty costumers. Furthermore, according Li et al., (2009) empirical research results, indicating a positive effect of the quality of services to customers. Based on these descriptions, the hypothesis can be formulated as follows:

H.4: service quality affect the activity of students in the Department of Architecture Faculty of Engineering at Private Universities in Jakarta.

#### 2.2.5. Effect of Image Institution of Student Activities

According to Nguyen & LeBlanck (1998) image of a strong positive impact on trust costumers. According to Bloemer, Ruyter and Peeters (1998) dimensions of the image affects customer loyalty. In accordance with the opinion from Andreassen and linstad (1998) that the direct effect of the image on customer loyalty. Furthermore, the opinion of Russell (2005), the image becomes the most important consideration for the consideration of decision making by students for course selection and learning place. Based on these descriptions, the hypothesis can be formulated as follows:

H.5: The image of the institution influence the activity of students in the Department of Architecture Faculty of Engineering at Private Universities in Jakarta.

### Data and Methodolgy

An analysis hybrid model conducted in this study is Structural Equation Modeling (SEM). SEM used in this study because it has the ability to confirm the dimensions or indicators of a concept of latent variables, as well as to measure the relationship between variables that have been supported by theory and empirical research (Hasnawati, 2005). Structural equation modeling using latent variables by the number of indicators that many theoretical terms it is better because it will be able to explain the measurement error in the model be better. (Ghozali, 2008). Given in this study the number of indicators a lot of the questions are: 1. Variable of services marketing mix has 49 indicators, 2. Variable of quality of service has 86 indicators, 3. Variable of image of the institution has 18 indicators and 4. Variable of activity students have 12 indicators. So one way to overcome this is to estimate the model with a single indicator composite SEM with AMOS 16.0. (Ghozali, 2008). Structural equation formulated to express causality between different constructs as below in equation 1 and 2:

$$C = \gamma.1 BP + \gamma.2 KP + \zeta.1 \quad (1)$$

$$JM = \gamma.3 BP + \gamma.4 KP + \beta.1 C + \zeta.2 \quad (2)$$

Equation specification measurement model: a variable that measures the constructs defined and define a set of matrices that show the correlation between the hypothesized constructs or variables. Evaluate structural components hypothesized causal relationships among latent variables in a causal model and show an entire hypothesis testing of the model as a whole.

### Structural Equation Specification Notation:

Num	Notation	Spesification
1	BP	Exogenous Variables / Superior Marketing Mix
2	KP	Exogenous Variables / latent Best Quality Service
3	C	Endogenous Variables / Latent Well Image of Institutions
4	JM	Endogenous Variables / Latent Harder Consumer Activities
5	$\Gamma$ (gamma)	Direct link exogenous variables on endogenous variables.
6	B (Beta)	Direct link endogenous variables on endogenous variables.
7	Z (ZETA)	An error in the equation is between exogenous and / or endogenous on endogenous variables
8	$\Lambda$ (Lamda)	The relationship between exogenous or endogenous latent variables to indi- indicator.
9	E	Error

## Results

### 4.1. Normality Evaluation Data and Data Outliers

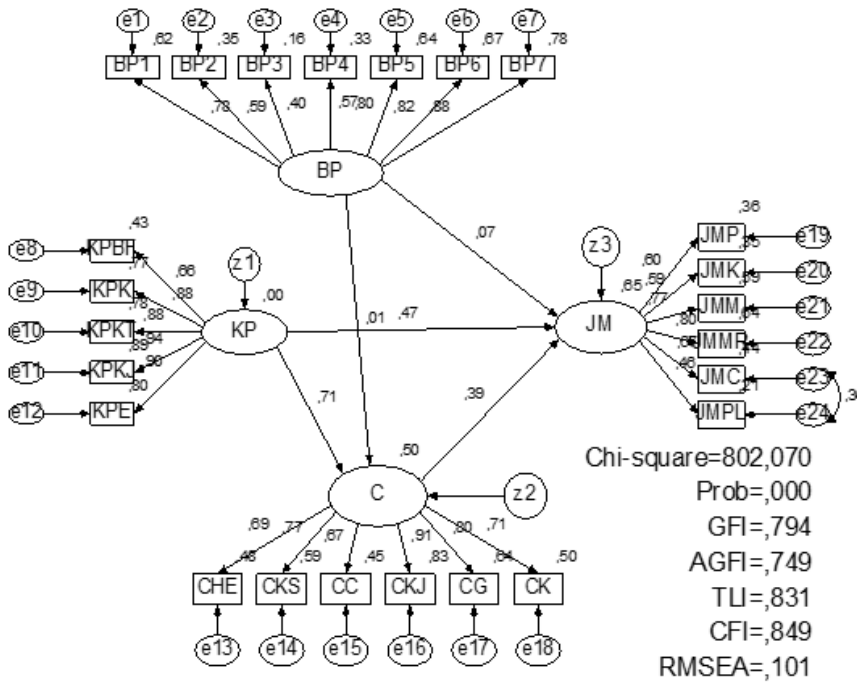
According Ghozali (2008) method of maximum likelihood (ML) calls for the assumptions that must be met, namely the distribution of observed variables is multivariate normal. In multivariate value 177.927 is the coefficient of multivariate kurtosis with 37.690 critical value whose value is above 2.58, so the data are not multivariate normal. For that were estimated by a bootstrap procedure. In the original model without bootstrap value of chi-square = 562.888, with a probability of 000. While the results of the probability value Bollen-Stine bootstrap  $p = .000$  is significant that these results remain consistent.

Evaluation of multivariate outliers is necessary because although the data were analyzed showed no outliers in univariate level, but it can be observasi- observation outliers. Distance mahalnobis to among variables could be calculated and will show a variable distance from the mean of all variables (Ferdinand, 2005). Mahalanobis distance calculation is based on the value of the chi-square distribution table  $\chi^2$  the degrees of freedom by 24 (the number of sub-variables) at the level of  $p < 0.001$  ie = 42.980. Therefore, data with Mahalanobis distance is less than 42,980 are considered multivariate outliers occur. Based on multivariate outliers evaluation, there are 25 observations have a value greater from Mahalanobis Distance value of 42.980, but in this study the observations are not excluded from the model, because in the analysis of the results of the study, if there is a specific reason to remove the case indicates the presence of outliers, then the case must still be included in the subsequent analysis.

### Analysis of Hybrid Model

An output of the hybrid model in this study can be seen in figure 2 below:

**Figure 2.** Hybrid Model Outcomes of Consumer Activity (JM) Through the Image of Institutions (C) from Best Service Quality (KP) and Marketing Mix (BP) in Higher Education



Source: Primary data processed

Furthermore an evaluation criteria of empirical research of level of the fitting hybrid models, could be seen in table 1 empirical model evaluation criteria below:

**Table 1.** Empirical Model Evaluation Criteria

Num	Criteria	Cut-of Value	Result of Model	Model of Evaluation
1	Chi-square	Be hope of small ( 0= value of fit complete)	802.070	It is not very good fit model
2	Probability	≥ 0.05	,000	Covariance matrix difference between the population and the example is significant.
3	GFI	≥ 0.90	0.794	Marjinal
4	AGFI	≥ 0.90	0.749	Marjinal
5	TLI	≥ 0.90	0.831	Marjinal
6	CFI	≥ 0.90	0.849	Marjinal
7	RMSEA	0.05 ≤ $\chi$ ≤ 0.08	0.101	Closed good fit model

Source: Output Model conducted by AMOS (primary data processed)

Estimates of the criteria (Absolute Fit Measure) and evaluation of influence coefficients between variables on path. Chi-Square ( $\chi^2$ ), chi-square value of 802.07 and is significant at the 0.000 probability. The significance level was below the criteria for .05. The information indicated that the difference between the covariance matrix of the sample population is significant. Chi-square values are high relative to the degree of freedom (246), shows that the covariance or correlation matrix of the observed with the predicted differ significantly and this results in the probability ( $p = 0.000$ ) less than the level of significance, therefore, test the accuracy of the model with a value based on Chi-Square categorized excluding very good fit. GFI - Goodness Fit Index, a measure of non-statistical value ranging from 0 (poor fit) until 1 (perfect fit). GFI

values generated in this study is .749, the value of GFI is below the acceptance criteria is  $GFI \geq .90$ . The magnitude of this value shows only marginal support to the theoretical model.

Path coefficients (standardized regression) Effect of inter-variable, to test the hypothesis presented that show the influence of the path coefficients between variables, can be seen in Table 2 below:

**Table 2.** Coefficient of Path (Standardized Regression) Effect of inter-variable and P value

Num	Path	Estimate (Standardized Regression Weights)	P. value
1	BP → C	,007	,939 (not significant at .05)
2	KP → C	,706	*** (significant at .001)
3	BP → JM	,068	,456 (not significant at .05)
4	KP → JM	,474	*** (significant at .001)
5	C → JM	,393	*** (significant at .001)

Source: Output AMOS 16.0 (Primary Data processed)

## 5. Discussion and conclusion

### 5.1. Empirical Model Hypothesis Testing

This research study would be proposed five hypotheses of four variables, namely; superior marketing mix (BP), best quality of service (KP), the well image of the institution (C) and harder consumer activities (JM) in the Architecture Faculty of Engineering at Private Universities in Jakarta. This hypothesis is estimated by the maximum likelihood estimates in the structural model, the path coefficients (standardized regression) between variables and the effect of the P value.

#### 5.5.1. Empirical Model Hypothesis Testing.

Hypothesis 1 is proposed marketing mix affects the image of the institution in the Architecture Faculty of Engineering programs willing private university in Jakarta. Marketing mix variables constructed by seven dimensions pertains: (1) Product service (BP1), (2) Cost of services (BP2), (3) The location of services (BP3), (4) Promotion of services (BP4), (5) Officer services (BP5), (6) Infrastructure services (BP6), (7) Process services (BP7). While the well image of the institution in a variable environment of Architecture Faculty of Engineering courses in private universities in Jakarta built by six dimensions which include: (1) The perception of trust (CK), (2) Ideas (CG), (3) perceptions of performance (CKJ), (4) image Perception (CC), (5) perception of the impression (CKS), (6) emotional relationship (CHE). The effect of superior marketing mix variables on the well image of the institution is positive with a value of estimate (standardized regression weights) of .007 and not significant at P value = value .939 (the value is far above the significant level at .05), so the hypothesis 1 can not be confirmed.

Hypothesis two proposed is the best service quality affects the well image of the institution in the study program of Architecture, Faculty of engineering, private university in Jakarta. Variable of quality of service built by five measurement dimensions which include: (1) Dimensions of physical evidence (KJBF), (2) Dimensions Reliability (KJK), (3) responsiveness dimension (KJKT), (4) Dimensions assuredness (KJKJ), (5) Dimensions of Empathy (KJE). While the well image of the institution in a variable of environment of Architecture Faculty of Engineering at Private Universities in Jakarta built by six indicators of measurement include: (1) The perception of trust (CK), (2) Ideas (CG), (3) perceptions of performance (CKJ), (4) image Perception (CC), (5) perception of the impression (CKS), (6) emotional relationship (CHE). The effect of the variable of services quality is a positive well image of the institution with a value estimate (standardized regression weights) of, 706 and significant at a P value value = \*\*\* (significant at the .001 value) thus hypothesis 2 can be confirmed.

Hypothesis three is proposed superior marketing mix affects the harder activity of students in the Architecture Faculty of Engineering courses, private university in Jakarta. Marketing mix variables constructed by seven dimensions include: (1) Product service (BP1), (2) Cost of services (BP2), (3) The location of services (BP3), (4) Promotion of services (BP4), (5) Officer services (BP5), (6) Infrastructure services (BP6), (7) Process services (BP7). While the student activity variables in the environment of Architecture Faculty of Engineering courses in private universities in Jakarta built by six indicators of measurement include: (1) Academic activities (AMP), (2) non-academic activities (MCA), (3) The recommended

(AMM), (4) Assess the reputation (AMMR), (5) customer intelligence level (AMC), (6) environmental influences (AMPL). The effect of marketing mix variables on the activity of the students is positive with a value of estimate (standardized regression weights) of .069 and not significant at P value = value .456 (the value is far above the significant level at .05), so the hypothesis 3 can not be confirmed.

Hypothesis four proposed is superior service quality affects the student activities in the Architecture Faculty of Engineering courses, private university in Jakarta. Variable quality of services in the Architecture Faculty of Engineering courses in private universities in Jakarta built by five measurement dimensions which include: (1) The dimensions of physical evidence (KJBF), (2) Dimensions Reliability (KJK), (3) responsiveness dimension (KJKT), (4) Dimensions assuredness (KJKJ), (5) Empathy Dimension (KJE). While the student activity variables in the environment of Architecture Faculty of Engineering at Private universities in Jakarta built by six indicators of measurement include: (1) Academic activities (AMP), (2) non-academic activities (MCA), (3) The recommended (AMM), (4) Assess the reputation (AMMR), (5) customer intelligence level (AMC), (6) environmental influences (AMPL). The effect of service quality variables on the activity of the students is positive with a value of estimate (standardized regression weights) of .474 and significant at a P value = \*\*\* (significant at the .001 value), thus hypothesis 4 can be confirmed.

Hypothesis five proposed is the well image of the institution influence the harder activity of the students in the courses of Architecture, FT, Private Universities in Jakarta. Variabel Image institutions built by the six dimensions of measurement include: (1) The perception of trust (CK), (2) Ideas (CG) , (3) Perceptions of performance (CKJ), (4) Perception of image (CC), (5) Perception of the impression (CKS), (6) Emotional relationship (CHE). While the student activity variables in the environment of Architecture Faculty of Engineering at Private universities in Jakarta built by six dimensions of measurement include: (1) Academic activities (AMP), (2) Non-academic activities (MCA), (3) The recommended (AMM), (4) Assess the reputation (AMMR), (5) Customer intelligence level (AMC), (6) Environmental influences (AMPL). The well image of the institution variable influence on the activity of the students is positive with a value of estimate (standardized regression weights) of .393 and significant at a P value value = \*\*\* (significant at the .001 value) thus hypothesis 5 can be confirmed.

Further statistical conclusions on the research hypothesis can be seen in table 3 below:

**Table 3.** Conclusions of Statistics Value on Hypothesis

No	Hypothesis	Nilai estimate (standardized regression weights)	P Value	conclusion Statistics
1	The hypothesis proposed is a marketing mix affects the image of the institution in the Architecture Faculty of Engineering programs willing private university in Jakarta.	.007	.939	Positive and not significant
2	Hypothesis two proposed is an effect on the image quality of the services in the study program of Architecture, Faculty of engineering, PTS in Jakarta.	.706	*** (significant at .001)	Positive and significant
3	Hypothesis three is proposed marketing mix affects the activity of students in the Architecture Faculty of Engineering courses, private university in Jakarta	.069	.456	Positive and not significant
4	Hypothesis four proposed is service quality affects the student activities in the Architecture Faculty of Engineering courses, private university in Jakarta.	.474	*** (significant at .001)	Positif and signifikan
5	Hypothesis five proposed is the image of the institution influence the activity of the students in the courses of Architecture, FT, PTS in Jakarta.	.393	*** (Significant at .001)	significant and positive

(Source: processed primary data)

### 5.5.2. Discussion of Research Model



Based on the test results and test the suitability of statistical, empirical models in this study as a whole can not be said to be a very good fit model but not a very good fit model. This happens because the results of the reference values and criteria in conformance testing and statistical test models are: Chi-square value evaluation model that does not produce a very good fit model and the probability value (P value) which is the covariance matrix between populations and sample is significant. Values of GFI, AGFI values, values TLI and CFI values produce marginal evaluation model. While the RMSEA value is the evaluation of the model is not a very good fit model. The model is a very good fit can not be presented in this research model is none other than because the data generated in this study are very diverse, both data between variables or data in a variable itself.

Results of this study was known that the superior marketing mix and not a significant positive effect on the well image of the institution in the Architecture Faculty of Engineering at Private Universities in Jakarta, so the first hypothesis failed to be confirmed (rejected). According to Cetin (2004) university in the face of a multitude of issues and challenges in today's era of applying high quality education, university image and marketing system and with regard to relevant stakeholders. Furthermore, according to Kotler (2001) that the marketing mix variables are determinants of corporate image. Results of testing hypothesis 1 does not support the results of research conducted by Yulius (2004) of the results of empirical research found that the marketing mix affects the image of education in total Private Universities and the most dominant element is the element of human resources and physical infrastructure elements. The results of this study do not support the findings; of research Chattananon et al., (2007) indicates build corporate image through social marketing programs and communications companies by creating a positive consumer attitude. Further research findings of Li & Hung (2009) showed a significant selective marketing tactics and predictable with very significant on the school's image. Promotion Tactics is a strategy that is most effective prediction of the behavior of parents. Finally, the image of the school as a mediator of the relationship between parent and loyalty marketing tactics. There is consistency in the results of this study with previous research studies showed that the application of the marketing mix does not contribute directly to the institution's image in the Architecture Faculty of Engineering Private Universities in Jakarta.

Hypothesis 2 can be confirmed that the best quality of services and significant positive effect on the well image of the institution in the Architecture Faculty of Engineering at Private Universities in Jakarta. The results are consistent with the opinion according Lupiyoadi and Hamdani (2006), where the gaps in service provision does not exist, then the company will acquire the image and positive impact. The results of this study support previous studies in which the results of the study indicated that the best service quality positively and significantly related to the well image of the institution. The best quality of service is found a positive effect on the image of the banking institution (Nguyen & LeBlanc, 1998). Furthermore, according Gronross (1984) dimensions of quality-related and very important in the image. Meanwhile, according Ruyter and Wetzels (2000), in experimental studies show long-term care better affect the image. The results of this study also support the research of Gurbuz (2008) service quality affects the product image. Consistency in the results of this study with the results of previous studies showed that the application of the best quality services contribute directly to the institution's well image in the Architecture Faculty of Engineering at Private Universities in Jakarta.

The results of this study are three known hypothesis can not be confirmed (rejected) is the superior marketing mix and not a significant positive effect on the harder student activity programs within the Department of Architecture Faculty of Engineering Private Universities in Jakarta. The results of this study do not support the results of previous studies that the total marketing mix affects the number of the harder active students (Julius, 2004). Furthermore, according to Alma (2005) on the model of supply of higher education services, in which the marketing mix affect the number of applicants are university students service users. Then according to Bennett (1997) the marketing mix affects the buying process and Harvey (1996) argues methods and ideology of the commercial marketing is very appropriate to be applied by a professional role in educational institution/University which is expected to attract students. Later testing of Ndubisi (2007) showed a significant effect on the relationship between marketing strategy customer loyalty. Besides, this study does not support the thesis according to Rosenberg & Czepiel (1984) Marketers arrange special marketing mix and marketing organizations modifications and create a balance between the marketing performance of new and old customers to improve profit growth. The results of this study do not support previous studies by Judd (2003) marketing mix can help in a consumer-oriented institution to produce a competitiveness through differentiation and provide value to the customer. While the research results Eusebio et al., (2006), found that an effective marketing strategy occurs in the orientation towards customers. With the results of this study do not support previous studies of the marketing mix does not contribute directly to the activities of students in the Architecture Faculty of Engineering Private Universities in Jakarta

Four hypotheses can be confirmed that the best quality of services and significant positive effect on the harder student activities in the Architecture Faculty of Engineering at Private Universities in Jakarta. These findings imply the existence and improvement of quality of service (dimensions of physical evidence, the dimensions of reliability, responsiveness, and empathy assuredness) will be able to increase the harder activity of students (lecture, non-academic activities, recommend, assess the reputation of the institution, "the customer becoming harder to please" and environmental influences) in the Architecture Faculty of Engineering at Private Universities in Jakarta. This study supports the notions according to; Alma (2005) on the model of supply of higher education services, quality of service to customer satisfaction will increase the number of applicants that prospective service users as of output. Meanwhile, the opinion of Russell (2005) In evaluating the perception of quality of service on international students, the university requests to adopt marketing strategies to increase the number of international student population and increase revenue. In line with the thinking of Bennett (2010), marketers must understand the process that consumers make purchases of goods or services in relation to the use of marketing mix strategy successfully. The marketing mix is up to date to cover; people, processes, programs and performance Institution. Furthermore, according to Kotler and Keller (2016) who stated marketing will work well if personnel in the organization has a strong commitment and also reflects marketers to understand consumers better and more widely, not just the purchase of goods and services. According Stimac and Simic (2012) strategy that can be applied to institutions of higher education; form a marketing department, marketing tools that should be used to promote the institution: publicity, web marketing, public relations, direct marketing aimed at students of potential current and former students to enhance the image and reputation of higher education institutions.

Furthermore, according to Bloemer, Ruyter and Peeters (1998) were an important influence on the reliability dimension or dimensions of quality to customer loyalty. In addition, this study also supports research by Gurbuz (2008) states in its findings that a positive perception of service quality effect on customer loyalty. Furthermore, the results of this study support the research conducted by Li et al., (2009) empirical research results, indicate a positive influence of the quality of customer service. With the inconsistency of the results of this study with previous research studies, the quality of the services contribute directly to student activities in the Architecture Faculty of Engineering at Private Universities in Jakarta. Consumers have the intention to buy will be very subjective, uncertain and have alternative choices of goods and services. Based on research and internal and external influences, marketers often ask consumers about buying intentions of consumers to be able to predict sales. Dimension which is the focus of marketers to consumers' desire for the purchasing actions include: (1). The concept of products and services delivered to consumers. (2). Situations that may affect the purchase by the consumer. (3). Impulse purchases by consumers. (4). Its purchasing actions by consumers. (Bennett, 2010)

Five hypotheses can be confirmed that the image of the institution positive and significant effect on the activity of the students in the Architecture Faculty of Engineering at Private Universities in Jakarta. These findings indicate the existence and the increase in the institution's well image FT Private Universities Architecture courses in Jakarta will be able to increase the more harder activity of students in the Architecture Faculty of Engineering at Private Universities in Jakarta. The results of this study support previous studies of Julius (2004) image of the Private Universities affects the number of active students, but the effect is relatively small. Besides, the results of this study also support the notions according to; Russell (2005) the reputation of Bournemouth University tourism courses is very important for students to take the decision to choose a course. Then Bloomer opinion, Ruyter and Peeters (1998) Dimensions of the image on the market positioning is very important relative to control retail banking customer loyalty. Furthermore, according to Andreassen & Lindestad (1998) corporate image affects directly to the customer loyalty. According to Nguyen & LeBlanc (1998) image of a strong positive impact on customer confidence. With the inconsistency of the results of this study with the results of previous research studies, the well image of the institution directly contribute to the more harder student activities in the Architecture Faculty of Engineering at Private Universities in Jakarta.

#### 5.5.4. Conclusions

Based on the analysis and discussion that has been described, it can be concluded that; superior marketing mix and not a significant positive effect on the well image of the institution in the Architecture Faculty of Engineering at Private Universities in Jakarta, so the first hypothesis failed to be confirmed (rejected) and the findings of these results, the findings of this debilitating mix theory services marketing. Based on these findings mean marketing mix but the positive effect is relatively small so it does not significantly influence the image of the institution that needs to improve and optimize the dimensions of the superior marketing mix variables which include; process of educational services, physical

infrastructure, education services officer, product education services, the cost of education, location services education and promotion services.

The best quality of service and significant positive effect on the well image of the institution in the Architecture Faculty of Engineering Private Universities in Jakarta, so the second hypothesis can be confirmed, and the findings of this study, these findings reinforce the theory of service quality. Based on these findings mean the best service quality can be improved by optimizing the well image of the institution. Marketing mix and not a significant positive effect on the more harder student activity programs within the Department of Architecture Faculty of Engineering Private Universities in Jakarta, so hypothesis 3 confirmed failure (rejected) and the findings of this study, these findings undermine theories marketing services mix. Based on these findings mean marketing mix but the positive effect is relatively small so it does not significantly influence the more harder activity of the students, so it needs to improve and optimize the dimensions of the marketing mix variables which include; process of educational services, physical infrastructure, education services officer, product education services, the cost of education, location services education and promotion services.

The best quality of services and significant positive effect on the more harder activity of the students in the study program Architecture FT Private Universities in Jakarta, so hypothesis 4 can be confirmed and the findings of this study, these findings reinforce the theory of service quality. Based on these findings mean the best of service quality can be improved by optimizing the more harder activity of students. The well image of the institution positive and significant effect on the more harder activity of the students in the Architecture Faculty of Engineering courses in private universities in Jakarta, so hypothesis 5 can be confirmed and based on the findings of this research, these findings reinforce the image of the institution theory. Based on these findings provide the well image of the institution can be improved by optimizing the more harder activity of students. To be able to improve significantly the purchaser at an educational institution, it can improve the best quality of services with consideration; assuredness, empathy, responsiveness, reliability and physical evidence.

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## Implementing a Simulation Model for the Evaluation of Bgp Updates Impact on Real-Time Applications

Ledina Hoxha

### Abstract

Border Gateway Protocol (BGP) is the actual routing inter-domain protocol in the Internet. The size, heterogeneity and changeability that characterize today's Internet put always increasing requirements on BGP performance. The research community has already reported the unwanted characteristics of BGP like low integrity and slow convergence through theoretical analyzes and empirical measurements. Simulations allow for more realistic and flexible experiments than the theoretical approach and also lower costs than the measurements in real life environments. The first part of this work describes theoretically characteristics and problems related to BGP and also expectations of the today Internet users to real time applications (like VoIP). The second part concentrates in identifying and implementing of the elements for creating an integrated simulation environment for evaluating the effects of slow convergence of BGP in these applications. At last it is evaluated the created environment through some small scale simulations that try to model the now days Internet Structure.

**Keywords:** AS, BGP, QoS, Simulation, NS2.

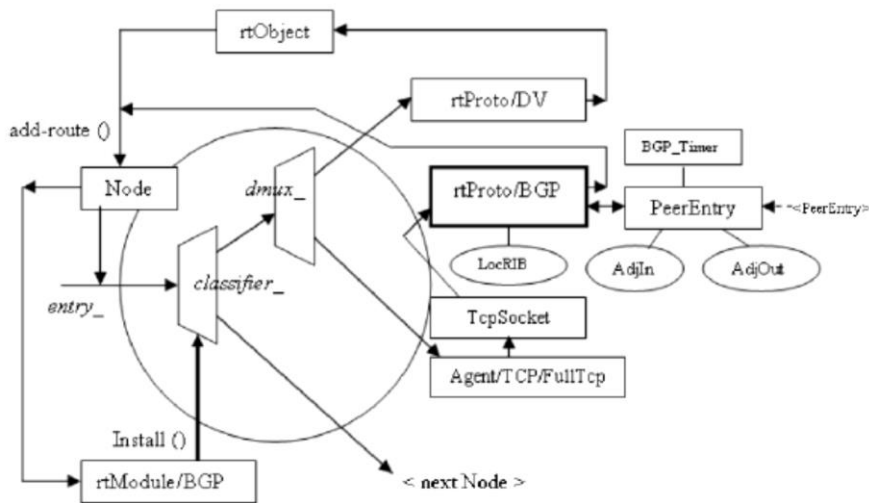
### 1 The Routing Modeling

Using the topology generator offers us the possibility of obtaining topologies closer to reality and is a practical tool. The problem lies in the fact that GT-ITM generators provide network topology but does not allow modeling of how packets are transmitted in the network. Therefore it is necessary for this part to be implemented by the user himself.

In this case, the interest falls on the routers which enable communication between the Autonomous Systems that implement BGP routing protocol. What should we model is exactly how these routers communicate with each other through e-BGP sessions, routing tables that build the way how they share the information.

Unfortunately, BGP doesn't offer a prepared module for the implementation of the BGP. Consequently, referring to Figure 1, you need to make some modifications to the code ns2 in order to install the appropriate module. BGP for ns2 module, known as ns-BGP, is adopted to ns2 in 2004 [14] initiated by the BGP and TcpSocket modules from SSFNet [26] and implementing this protocol version 4 (BGP-4). SSFNet is a network-based simulator that enables Java language simulations through a configuration known as DML (Domain Modeling Language). With that SSFNet is based on Object Oriented language, its BGP module was a good starting point for ns2 module.

In ns2, unicast routing is achieved using tracking plans and control. The first plan makes the classification and the forward of the packets to the destination using the classification and routing modules. Classifier module manages routing node and provides an interface for the routing plan. Classifier are two types: address classifier and ports classifier. Packet classifier controls the address and sends it to dmux if it is the node itself the destination node of the package or transmits it to the following node. Dmux passes the packet to an agent in accordance with a specified destination port. While the second plan allows for the creation of the road, processing, routing algorithms and management of routing tables. Figure 1 illustrates the structure of ns-BGP unicast based on the initial structure of unicast for ns2.



**Figure 1:** unicast structure of ns-BGP

As shown in the figure, the classification modules as classifier of the gate and the address send incoming packets to the respective agent or an outgoing link. These modules themselves are managed by the routing module.

Control plan consists of the following components: the logic path, the routing object, the side of the path and routing protocol. The central routing table is sustained by routing logic and routing facilities used in simulations with dynamic routing. Routing Objects encapsulate routing protocol by capturing and holding the attributes of each route announced. Finally, from the components of the routing protocol have been implemented and some specific routing algorithms.

Moreover, since the node BGP derives from a node unicast ns, Figure 1 shows and the inclusion of specific modules of the BGP and TcpSocket BGP. rtModule / BGP module manages the IPv4Classifier object while the new protocol rtProto / BGP is located in TcpSocket modules for transmitting the packets.

For each communication part BGP, is allocated an object used to establish the connection, exchange BGP messages and close the session. Four key classes used in the implementation of the BGP are:

#### TcpSockets

A socket is an Application Programming Interface (API) used in communications network. Applications treat socket connection to the network as the UNIX file descriptor. Similarly with the files, communications ends can be written by providing reading or erasure opportunities.

TcpSocket class is added as an implementation of the API socket, similar to the UNIX implementations. Its main functions are obey, hear, connect, close, read, and write.

#### IPv4Classifier

IPv4Classifier derives from Classifier class. It is implemented as a doubled class in ns2 (in C ++ and OTcL). This class uses the map from the standard libraries of C ++ models to store and look in the routing tables. To classify an incoming packet IPv4Classifier controls destination address of the packets and uses the information in the routing table to identify the paths.

#### rtModule / BGP

rtModule / BGP is a new routing module implemented in Tcl that provides a registration interface. When a node is created the information must be registered and the existing objects classifier in the joints must be replaced.



rtProtoBGP

rtProtoBGP Class (Agent / rtProto / BGP) is implemented as double class in ns2. An instance of this class implements BGP-4 in a node. This new routing protocol realizes most of the actions of BGP, setting communication session BGP between the parties, learning different paths through BGP speakers, selecting the best route and its preservation in the table (IPv4Classifier), and management of BGP situations.

Finally we can say that ns-BGP is in accordance with RFC 1771.

This module offers the option of setting BGP timers and the ability to implement the path deliberators.

## 2.Data model building

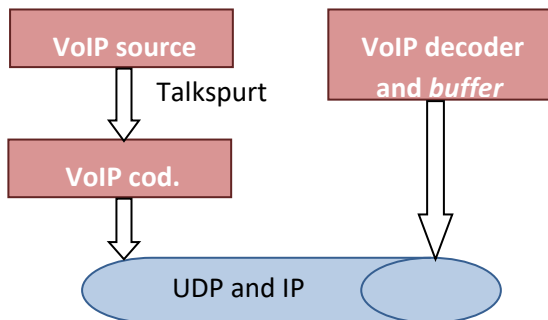
The traffic model type that is used to understand the traffic flow in the network and the approximation level with the reality, are vital parameters for the network.

Traffic analyse offers informations of average loads type, requests about the bandwidth in different applications etc. Traffic models helps network designers to make suppositions about the network based in an passed experience and also performance forecasts in accordance with the future requests.

In this paper our goal is to distinguish the effects that BGP update moments have in real time applications and specifically in VOIP.

Unfortunately ns-2 doesn't have a prepared already integrated module for VOIP.

In this concret occasion is chosen the simplest way to model a traffic in real time, based also in the below sceme for the VOIP traffic.It's structure is shown in the picture.



**Figure 2:** VoIP module structure

If we could simplify this sceme in ns2 level we can tell that the easiest way for generating VoIP traffic is by creating an UDP agent whom is putted a traffic agent in application level, CBR.

To define CBR parametres is used the settings table of different codifiers of VOIP.

**Table 1:** Parametres for different codifies of VoIP

Parametres	G.711	G.723.1	G.729
Bit rate (Kbps)	64	6.3	8
Interval between frames (ms)	20	30	10
Data size (Bytes)	160	24	10
Packet/s, Np	50	33	100

At the end we can say that for this paper purpose VOIP traffic is modeled as a data flow with a certain packet dimensions and transmission order.

## 3. The network state and the performance evaluation

According the chart in the picture after is defined the network and the data model, we can obtain the network state.

Ns2 is a simulator which depends from time and events. For this reason the network state is obtained by defining a start and end moment of the simulation and the events that will happend in this time.

In this paper the simulations are chosen that the average running time of a simulation is 80s. Simulations start at moment 0 and then are developed in order different events.

The first events group is exactly the information exchange of the routing between nodes. After nodes exchange information with each other, begins the CBR traffic transmission. This traffic will continue to be sent until the simulation time ends.

The second events group is the repeal and the continous announce of a path of a router. This normally will be accompanied with a refresh of the routing tables and will create delays in the network as consequence of the time of routers convergence. This is the moment where will be checked two of the quality main parametres packet loss and delays, so is realised the performance validation.

#### 4. Model changes

In order to appreciate as exactly as possible the performance, according with the posed problem, several times is required that some of the models parametres to be changed.

This includes changing the nodes number, simulation scennario, etc.

#### 5. Simulations and results

The simulation results for the created architecture are evaluated through different generated files. The used Software is Nestwork Simulator version 2.34 (ns 3.34) on the Ubuntu 8.10 operating system.

##### 5.1 Routing Model chosen authentication

To verify the implemented routing protocol behaviour is done a simple test with the following specifications. Th epicture below shows the network topology used for simulation. The network consist of 3 AS where each of them is represented from a node AS 0, AS 1, and AS 2 (nodes 0,1 dhe 2 respectively). IP adress of each node is shown in the table. The adressng scheme is 10.(AS nr).(nodenumber).1.

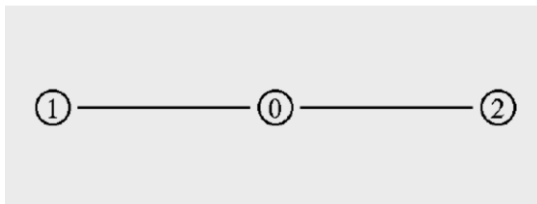


Figura 3: Network topology

Table 2 : IP Adress

node 0 10.0.0.1	10.0.0.1
node 1 10.1.1.1	1 10.1.1.1
node 2 10.2.2.1	2 10.2.2.1

BGP agents are configured in each of the three nodes (0,1 and 2). For the nodes 0 and 2 the interval values of *hold timer* and *keep-alive timer* are those by default specified in RFC 1771 [15] (*hold time*: 90 s, *keep-alive* : 30 s). To see the situation in reconnection situation, the interval of *keep-alive timer* for the agent BGP in node is kept in the 200 s value. This way the BGP agent in node 0 won't receive the message "keep the connection alive" during the time and will request the reconnection.

In the 0.25 s BGP agent in node 0 advertises a new path for the adress 10.0.0.0/24. In 0.35 s, the BGP agent in node 0 advertises a new path for the adress IP 10.1.1.0/24. In 0.45 s, BGP agent in node 2 advertises a path for the dresen IP 10.2.2.0/24. In 28 s, 90.38 s, and 119.0 s, ns2 shows routing tables for the BGP agents. The simulation ends in 120.0 s. *tc* file for this simulation is attached in **Shtojca 1**.

time: 28

dump routing tables in all BGP agents:

BGP routing table of node0

BGP table version is 10, local router ID is 10.0.0.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.0.0.0/24 self ---

\*> 10.1.1.0/24 10.1.1.1 --- 1

\*> 10.2.2.0/24 10.2.2.1 --- 2

BGP routing table of node1

BGP table version is 16, local router ID is 10.1.1.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.1.1.0/24 self ---

\*> 10.2.2.0/24 10.0.0.1 --- 0 2

BGP routing table of node2

BGP table version is 10, local router ID is 10.2.2.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.1.1.0/24 10.0.0.1 --- 0 1

\*> 10.2.2.0/24 self ---

time: 90.38

dump routing tables in all BGP agents:

BGP routing table of node0

BGP table version is 23, local router ID is 10.0.0.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.0.0.0/24 self ---

\*> 10.2.2.0/24 10.2.2.1 --- 2

BGP routing table of node1

BGP table version is 42, local router ID is 10.1.1.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.1.1.0/24 self ---

BGP routing table of node2

BGP table version is 23, local router ID is 10.2.2.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.2.2.0/24 self ---

Time: 119

dump routing tables in all BGP agents:

BGP routing table of node0

*BGP table version is 30, local router ID is 10.0.0.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 self ---

\*> 10.1.1.0/24 10.1.1.1 --- 1

\*> 10.2.2.0/24 10.2.2.1 --- 2

*BGP routing table of node1*

*BGP table version is 56, local router ID is 10.1.1.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.1.1.0/24 self ---

\*> 10.2.2.0/24 10.0.0.1 --- 0 2

*BGP routing table of node2*

*BGP table version is 30, local router ID is 10.2.2.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 --- 0

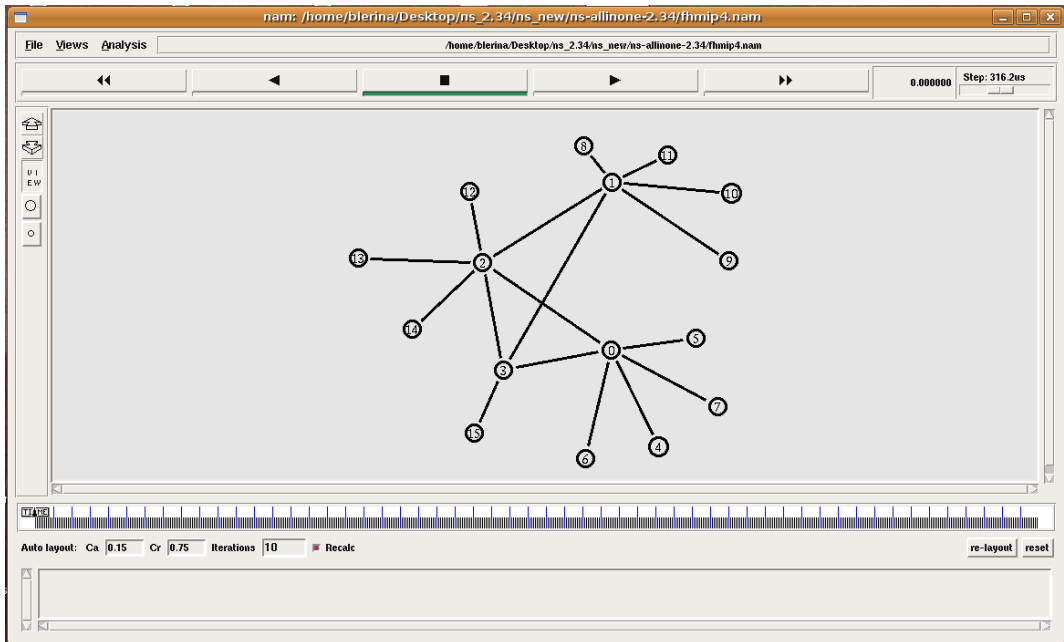
\*> 10.1.1.0/24 10.0.0.1 --- 0 1

\*> 10.2.2.0/24 self ---

As it can be seen from the routing tables, every BGP agent learns about other agents during the 28 second. In the 39.0 second the session falls out between nodes 0 and 1 and nodes 0 and 2 remove the path toward the net 10.1.1.0/24 from their tables. Also node 1 deletes the paths that had for 0 and 2. After is reestablished the session nodes 0 and 1 exchange all the information that had in the routing tables and converge for the second time. This test verifies the correctness of the routing protocol model.

## 5.2 Stub-Domain with CBR traffic topology simulation

The topology used in the simulation is given in the picture below:



**Figure 4:** Network topology according the stub-domain model

As we mentioned above the topology is generated through GT-ITM according the model Transit-Stub of the Internet. The routing Module does not offer many adopting chances in case of a large number of nodes and as a result we have chosen the option of modeling a subgraph of the Internet.

This subgraph consists of a transit *domain* which has 4 nodes (BGP routers) and 12 terminal domains which are modeled with a router each one.

**Tabela 3 :** graph settings

Lloji i AS	AS number	Node number	Nodes
AS transit	1	4	0,1,2,3
AS terminal	12	12	4,5,6...15

This topology is generated from the input file in the GT-ITM .

In the total we have 16 nodes. As shown in the table the transit domain is modeled with 4 nodes that exchange BGP communication with each other. All four these are (edge) routers. Transit AS is organised with a *cluster* and two path reflectors which are nodes 2 and 3. For terminal AS is chosen the logic of showing them through a node. This is in accordance with the AS definition. The addressing scheme is chosen in the form 10.0.\$i.1 for the routers inside the transit AS where \$i is the node number (0,1,2 or 3) and 10.\$j.\$i.1 for the routers in AS stub, where \$j is for the AS number and \$i for the node number (4,5..15).

The network configuration is realised as below:

BGP Agents are configured in each of the nodes. Interval values of *hold timer* and *keep-alive timer* are default (*hold time*: 90 s, *keep-alive* : 30 s).

UDP Agents are configured in nodes 0 (burimi) dhe 1. The traffic in these two nodes passes through node 2, according the routing tables.

CBR traffic is modeled with these settings: packetSize\_ 160, interval\_ 0.02 and rate\_ 64kb.

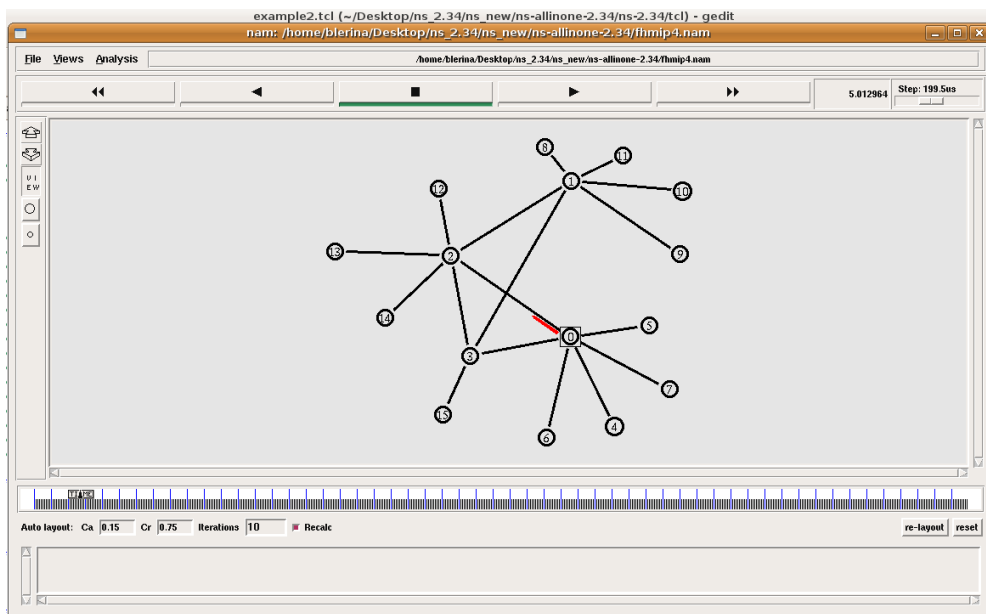
After the node configuration, the following step is defining the scheduled events. In this simulation we want to see the convergence time of the three routers included in the communication which are n15, n3 and n2. The events are scheduled as it follows:

- In 5.0 fillon transmetohet trafiku CBR
- In 6.0 agent 15 shows the routing table
- In 30.0 agent 3 shows the routing table
- In 30.0 agenti 2 shows the routing table
- In 35.0 agent 15 announces the net fall 10.12.15.0/24"
- In 36.0 agent 15 shows the routing table
- In 36.0 agent 3 shows the routing table
- In 36.0 agent 2 shows the routing table
- In 36.0 agent 15 network 10.12.15.0/24"
- In 55.0 agent 15 no-network 10.12.15.0/24"
- In 62.0 agenti 3 shows the routing table
- In 62.0 agent 2 shows the routing table

The last event is realised with the goal to see the system behaviour in a situation where a path is shown and is disconnected again and again during a short period of time (route flapping).

In this way it will be seen if there are lost or dalyys in packets during BGP routing tables updates.

### 5.3 Simulation results



Nam, we see that the first packet CBR is generated in the 5.0 second:

**Figura 5.-a:** Is sent the first packet CBR

In the 35.0 second we see that is sent the information for a falling path from node 15.

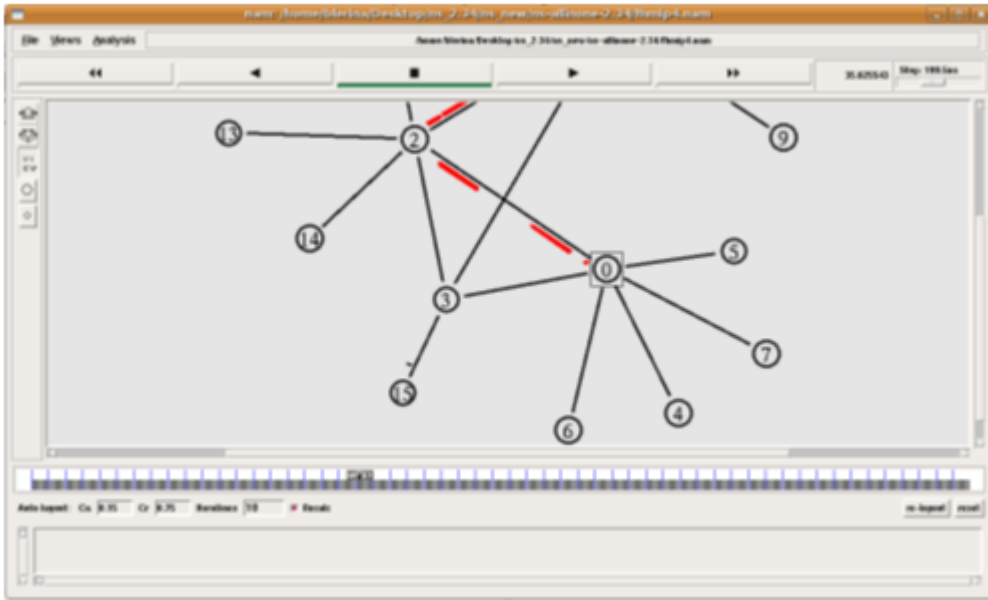


Figura 5.-b: Is sent the routing *information*

Node 3 learns about the node 15 fall and passes this information to its neighbours:

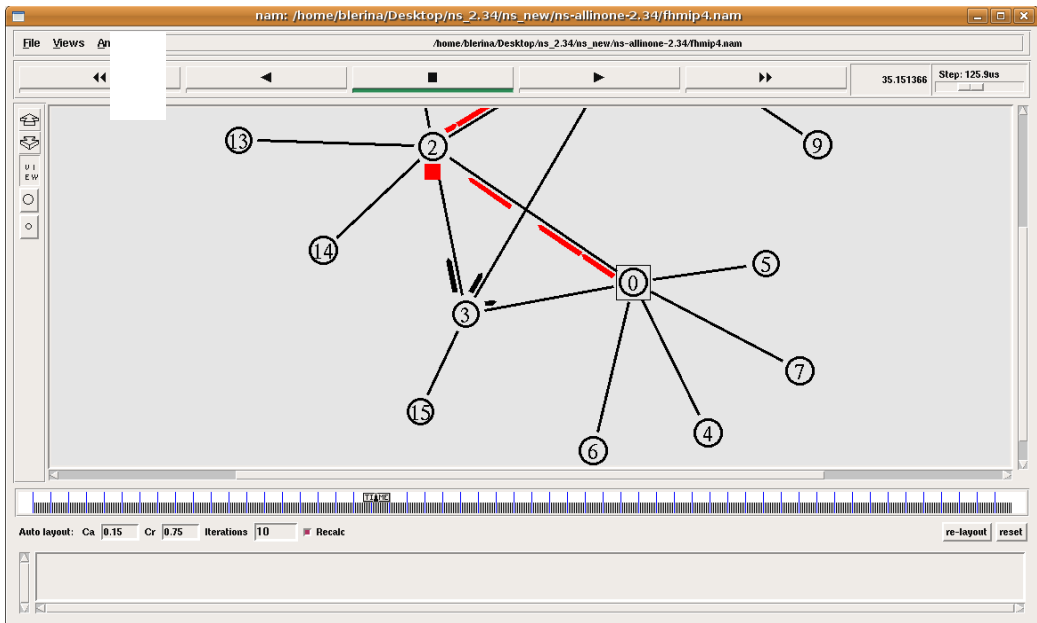


Figura 5.13-c: Shpërndahet informacioni rrugëzimit



During running time in the screen we have this data about the routing tables.

Node 2 advertises node 13 about the changes in the routing as shown in the picture :

**Figura 5.-d:** The routing information is distributed from node 2

Meanwhile the routing tables in different moments are shown below :

Time: 30

*BGP routing table of n3*

*BGP table version is 14, local router ID is 10.0.3.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

*10.0.0.0/24 self ---*

*10.1.4.0/24 10.0.0.1/32 --- 1 i*

*10.2.5.0/24 10.0.0.1/32 --- 2 i*

*10.3.6.0/24 10.0.0.1/32 --- 3 i*

*10.4.7.0/24 10.0.0.1/32 --- 4 i*

.....

.....

*10.10.13.0/24 10.0.2.1/32 --- 10 i*

*10.11.14.0/24 10.0.2.1/32 --- 11 i*

*10.12.15.0/24 10.12.15.1/32 --- 12*

*BGP routing table of n2*

*BGP table version is 12, local router ID is 10.0.2.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

*10.0.0.0/24 self ---*

*10.1.4.0/24 10.0.0.1/32 --- 1 i*

*10.2.5.0/24 10.0.0.1/32 --- 2 i*

.....

.....

*10.10.13.0/24 10.10.13.1/32 --- 10*

*10.11.14.0/24 10.11.14.1/32 --- 11*

*10.12.15.0/24 10.0.3.1/32 --- 12 i*

Based on this data we see that in the 30 second agents 3 and 15 have converged and have a clear information about the network.

In the 35 second is announced the network fall 10.12.15.0/24. Nodes 2 and 3 remove the path to this network from the routing tables.

In the 36 second the path is established again and nodes 2 and 3 must convergence in second 60, but in second 55 the path falls again. Node 15 advertises the network again that the path is set up. All these falls and raises of the paths cause often packets sending which consume the bandwidth and the nodes elaborating abilities. Because the programmed module does not have mechanisms for "route flap damping" the network passes from a divergence state which can not be solved between 80 seconds chosen for the simulation.

After finishing the simulations the first element which is taken in consideration is the number of lost packets before to schedulate the unstainability event and after schedulation of this event.

From the registration file we see that in the case where the simulation is done without the events presence that cause path fluctuation lost packets are in the level 776. After the mentioned events this number goes in 797. This means that the loosing level in packets is increased with 21 in 100 seconds of simulation.

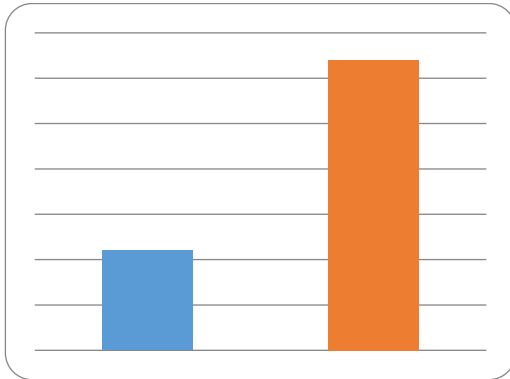


Figure 6: Packet loss

## 6. Conclusions

In this paper is offered an integrated environment for the simulations realisation which ai mis to study the convergence problem of BGP in the trafic of real time communications *croos-domain*. For this environment is followed a metodology which starts with the network model definition, ns2 modulesrmination and continous analysis "What-If".

Network topology modelation is a very important step. Internet modelling often is turned in a challenge as a result of its diversity nature, dimensions and heterogenity. To create a model near the reality are preferred to be chosen the random generators, but which models partly the internet hierarchy.

The realised simulations shows that the convergence time of BGP are in accordance with the base requirements for BGP. Also it shows that the convergence time problem affects directly in the traffic which permeats the networks. In a large simulation this affect will be multiplied in accordance with the network sizes taking in consideration the fact that the consumed bandwidth from the packets BGP is in related with network dimensions.

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## The Strategy of Implementation of Social Health Insurance Scheme in Albania

Degjoni Rudina

### Abstract

This abstract is to provide a concise description of the strategy of implementation of social health insurance scheme in Albania. The health insurance scheme in Albania was established from 1995 year<sup>1</sup> and it covered a basic list of reimbursable drugs and the payment of family doctors in the system since its inception. From year to year, the scheme evolved gradually, with different expanding the range of the covered services through shifting from undifferentiated funding to payment for health services packages in Albania. From the year 2013, Health Insurance Fund of Albania<sup>2</sup> takes the decisions to change the mechanisms of the health insurance scheme. The new health insurance scheme covers the primary health care service, the hospitals service and the list of reimbursable drugs. This abstract proposes which are the principles on which the health insurance scheme will be based in Albania, which are the categories benefiting from the health insurance scheme and which are the amount of compulsory health insurance contribution. In brief, the current social health insurance scheme situation in Albania includes any problems as health financing; if the social health insurance scheme is consolidated. These proposals in this abstract are ambitious and require detailed implementation of social health insurance scheme and planning for the Albanian population how to be insured in the health sector of Albania.

**Keywords:** health insurance scheme of Albania, social implementation, categories of benefiting.

### Introduction

The model of health insurance scheme in the Republic of Albania is a mix model of Bismarck and Beveridge model, which is based on mandatory and voluntary contributions, as well as in funding from the state budget. According to the Law no.10383, dated 24.02.2011, "On compulsory healthcare insurance in the Republic of Albania"<sup>3</sup>, as amended, the compulsory insurance finances the compulsory insurance services packages that include medical check-ups, examinations and treatment in public primary health care centers and public hospitals, medical check-ups, examinations and treatments in private primary health care and hospital providers, drugs, medical products and treatments by contracted providers of health services. Health insurance scheme is based on the model of the single payer, which is Compulsory Health Insurance Fund that manages the scheme in accordance with national health care policies.

The Fund of Albania uses methods of health services payment in order to influence the growth of access, prevention and improvement of population health indicators in the Republic of Albania.

The mechanism of the health insurance scheme implementation is the annual contract with health public and health private providers for the provision of health services packages in Albania. The Compulsory health insurance of Albania is based on the contributions of employees, employers, state and other sources for other people, based on the principle of solidarity. The Compulsory health care insurance scheme of Albania intends to cover the population with health care services, financed by the public and private sector. In the Republic of Albania the paying social security and health insurance contributions makes it possible to benefit from the two Laws of Albania, the first one is a social security law<sup>4</sup> and the second one is the health insurance Law<sup>5</sup>. In the Republic of Albania the contributions are collected by the tax authorities on behalf of the Social Insurance Institute and the Institute of Health Insurance. The minimum salary considered for calculating social security contributions as from 08.01.2013 is 19,026 ALL and the maximum monthly

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<sup>1</sup> Law No 7870 date 13.10.1994 "On Health Insurance in Albania"

<sup>2</sup> Law no.10383, dated 24.02.2013, "On compulsory healthcare insurance in the Republic of Albania"

<sup>3</sup> Fjoralba Memia (2014) "The benefits of Compulsory Health Insurance Fund of Albania"

<sup>4</sup> Law no. 7703 date 11.05.1993 "The Social Security Law in Albania"

<sup>5</sup> Law no. 7870 date 13.10.1994 "Health Insurance Law in Albania"

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salary is 95,130 ALL<sup>1</sup>. But, in the employment relationship, the employer is obligated to implement the minimum monthly basic salary nationwide<sup>2</sup>, which from the date 07.01.2013 is 22 000 ALL. As of January 1, 2014 health insurance contributions are calculated on the gross salary and not on the minimum/maximum wage as previously estimated<sup>3</sup>. The contribution for Health Insurance in Albania is 3.4%, while the Social Security contribution is 24.5%. The employer pays 16.7% of contributions, while the employee pays 11.2% of contributions.

Compared with countries in the region, Serbia has the highest rate of social security contributions, followed by Bosnia - Herzegovina and the Republic of Albania.

## Chapter I

### Health Insurance Scheme of Albania

#### The primary health care

The health Insurance scheme of Albania covers the primary health care service other the community centres. The primary health care services in Albania should provide health services in quantity and quality, in accordance with Health Care Law, the Law on Drugs, the professional protocols adopted, the code of ethics in Albania and medical deontology, standards and norms. The Ministry of Health established the Order of Physicians and the Order of Nurses, Law "On Protection of Personal Data" and Insurance Legislation Health. The services will be provided without discrimination of any kind of discrimination in Albania, with fully respect and maintain the confidentiality of all data and information of every person, his dignity and privacy. The primary health care service in Albania is responsible for the registration of inhabitants by medical personnel contracted. All the residents of the Republic of Albania choose GP and family doctor based on the principle of free choice. The number of residents registered to a family doctor, it must be in accordance with the standards determined by the Ministry of Health of Albania. The family doctors forced to make health coverage to residents on rate standards approved only when there is no alternative. The family doctors recommended the population of Albania by the community to registering with the same doctor of region. The residents of Albania have the right to change the family doctor no more frequently than once a year, when they have completed derecognition previous doctor. The primary health care service should will guarantees that their staffs provide quality health services, based on the medical knowledge and medical technology, which will make the primary health care service to put in disposal all the diagnostic tools, medical devices and drugs prescribed by the protocols.

#### The hospital service

In Albania, the major provider of health care services is the government. The hospital care in Albania is organised on three levels care:

*The primary health care level that provided at health centres and polyclinics;*

*The secondary health care that provided at districts hospitals; and*

*The tertiary health care that provided at the University Hospital Centre (CHU) located in the capital Tirana, where more than one - fifth of the population lives.*

The hospital services in Albania respect the right that patients have to inform on everything about health and the health insurance scheme. Each service provided by all providers of hospital services should be full implementation of the referral system in the health service, as well as other acts issued for this purpose by the Ministry of Health in Albania and the health insurance scheme of Albania. Compulsory Health Insurance Fund of Albania, based on the contributions of employees, employers, state and other sources for other people, as provided for in this law, based on the principle of solidarity<sup>4</sup>. Compulsory Health Insurance Fund, scheme intends to cover the population with health care services, financed by the public and private sector, according to health insurance law.

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<sup>1</sup> DCM no. 581, dated 07/17/2013

<sup>2</sup> DCM no. 573, dated 03/07/2013

<sup>3</sup> Social Insurance Institute

<sup>4</sup> Fjoralba Memia (2014) "The benefits of Compulsory Health Insurance Fund of Albania"

In the Republic of Albania, the hospital services provide full services based on yearly legal contract, between Fund and the management of hospitals. The hospitals provide all the services, in full compliance with the instructions and the normative acts adopted by the Ministry of Health and the Administrative Council of Fund of Albania.

Standards and norms set for hospital services by the Ministry of Health, Clinical Practice Guidelines (CPG) and Clinical Practice Protocols (CPP) approved by Ministry of Health, General Regulation of the operation of the hospital as well as the obligations under this regulation defines the services and functions.

### **The list of reimbursable drugs**

In Albania, a list of reimbursable drugs applied, as a part of the system known as the reimbursement list. Every year, in the list is currently different drugs on the reimbursement list (patent drugs, generic drugs and drugs with trade name). A generic drug is a pharmaceutical product, usually intended to be interchangeable with an innovator product, manufactured without a license from the innovator company and marketed after the expiry date of the patent or under other exclusive rights<sup>1</sup>. Over recent years, several attempts have been made to enhance the reimbursement list in terms of including additional drugs and, at the same time, lower the total expenditure by introducing generic versions. Even that, the trend the presence of generic drugs on the reimbursement list is very important to upgrade the health insurance sector in Albania.

Compulsory health care insurance finances compulsory insurance services packages that include the following:

*Reimbursable drugs by the list of health insurance fund*

*Visits, examinations and medical treatments in public primary health care centres and public hospitals;*

*Visits, examinations and medical treatments in private primary health care providers and private hospitals;*

*Drugs, medical products and treatments from contracted health service providers.*

During the year 2014, after the approval and the implementation for the first time of the health packages<sup>2</sup> the cost of which was accurately defined<sup>3</sup>, the health insurance scheme established a unified standard both in public and private hospitals, opening for the first time the road to a change in the way of hospitals financing, not according to an historic budget but according to real needs of Albanian population. This is a significant step, which the strategy of implementation of social health insurance scheme undertook in order to implement fair policies concerning the health coverage in Albania.

## **Chapter II**

### **The health insurance scheme based in Albania**

#### **2.1. The principles of health insurance scheme in Albania**

Compulsory health insurance scheme aims health coverage of the population, through the following principles:

*Compulsory and voluntary insurance;*

*Solidarity*

*Equal access to all citizens of Albania*

*Efficiency and quality in health care financing*

*Partnership relations between purchaser, provider and beneficiary*

*Free choice of Albanian doctor*

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<sup>1</sup> D. Xhafaj and L.Malaj (2014) "The presence of Generic Medicines on Albanian reimbursement list over recent years", WJPPS

<sup>2</sup> DCM no. 308, dt.21.05.2014 "On approval of the package of health services to be financed from the Fund of compulsory health care hospital service"

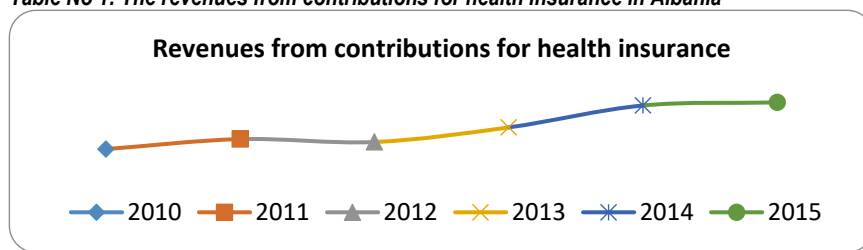
<sup>3</sup> Order no. 258, dated 17.06.2014, the Ministry of Health "On approval Courier Services protocols to be financed by the Fund Security Compulsory Health Care".

The basis for the calculation of the contribution is the gross wage of the insured individual. The State's contribution for the economically non active individuals is based on the consumption per capita of the health service, indexed with inflation coefficient. Consumption per capita of the health service is determined by the Fund of Albania and is approved by the Assembly of the Fund together with the annual budget. The basis for the calculation of self-employed contribution is the double of the minimal wage to the effect of contributions calculation. The minimal wage to the effect of self-employed contributions calculation in the city and village is defined by Council of Ministers of Albania decision.

## 2.2. The contribution rate of Albania

The Contribution rate of the compulsory health insurance is 3.4% of the basis for the contributions calculation. Contributions for the employed are paid 50 % by the employer and 50% by the employee. The contribution collection collects from General Tax Directorate compulsory health insurance contributions from the employers, for employees and self-employed and transfers them to the Fund, in compliance with the relevant legislation in force. The Social Insurance Institute of Albania, collects and transfers to the Fund of Albania the compulsory health insurance contributions of the self-employed in agriculture (the farmers). The Fund of Albania is responsible for the calculation and collection of the voluntary health insurance contributions. The Fund of Albania collects contributions from the State Budget for the economically inactive population.

**Table No 1: The revenues from contributions for health insurance in Albania**



## 2.3. Categories benefiting from the health insurance scheme in Albania

In the Albania every citizen, who pays health insurance contributions or whom the state pays is insured and benefits from the health insurance scheme in country. Compulsory health insurance and payment of relevant contributions in Albania are mandatory for all economically active persons with permanent residence in Albania as:

*Economically active people: means all the employed, self-employed, employers and people with regular incomes from personal and real estates or other similar sources.*

*Economically non-active people: means all the individuals, whose contribution's payment is financed from the state's budget or other sources, as defined by law.*

*Employed people: means all the individuals that are employed by an employer.*

*Employer: means all the individuals, either natural or legal, who hire other people and pay them a reward for the performed job, according to the job legislation.*

*Self-employed: implies all the individuals who work for themselves, as handicraftsmen, small businessmen, consultants, sole owners of a business, farmers and other crafts similar to them, according to the job legislation.*

*Contributors: implies all natural and legal persons, just like employers, employees, self-employed and the state, who are obliged to pay contributions to the Compulsory Healthcare Insurance Fund in compliance with the law<sup>1</sup>.*

*Beneficiaries: implies the individual, who is entitled to use health care services according to the compulsory health care insurance scheme or benefit reimbursement of health services costs, according to a compulsory health insurance contract.*

<sup>1</sup> Law no.10383, dated 24.02.2013, "On compulsory healthcare insurance in the Republic of Albania"



*Direct payments: implies payments made from beneficiaries of the compulsory health care insurance for health services packages, regardless of the payment of contributions of the compulsory health care insurance scheme.*

*Exclusion from benefits: implies health services, drugs, and medical equipment, which are not financed by compulsory health care insurance, but are paid totally by the patient.*

*Price: is the monetary payment for the provision of health care services.*

*The benefit package from the compulsory health care insurance: implies the standard of health services benefits, which includes the primary health care and hospital care services, reimbursed drugs and drugs for hospital usage as well as medical facilities.*

*Unpaid family worker: implies a family member who works and cohabits with a self-employed and does not have any other occupation.*

The compulsory health insurance of Albania, covers also, the following categories of economically non-active people, whose contribution's payment is financed by the State Budget or other sources as provided:

*people benefitting from Social Insurance Institute;*

*people benefitting economic assistance or disability payments, in accordance with the relevant legislation;*

*people who are registered as unemployed-jobseekers at the National Employment Service;*

*foreign asylum seekers in the Republic of Albania;*

*children under the age of 18 years old;*

*pupils and students under 25 years old unless they have incomes from business activities;*

*categories of persons defined by special laws.*

### **Recommendation**

In the Republic of Albania, the strategy of implementation of social health insurance scheme is the only way to manage and to develop health services. In order to improve quality the strategy needs contribution collection to become more effective with transparent co-payment system. It is interest of the health insurance scheme, to determine the contribution of the Albania people in order to generate resources for adequate health care of population. Improved legislation concerned, radically improved services, health facilities for the population, categories of different residents who are determined by special ways are some of the strategies of the social health insurance scheme of Albania. The purpose of this abstract is to provide a concise description and recommendation of the strategy of implementation of social health insurance scheme in Albania. To develop the scheme of health insurance the following steps are:

*The new role of the organization of the health insurance scheme of Albania as an autonomous public Fund in Albania.*

*A clear indication of the changes to the funding primary health care services.*

*A clear indication of the changes to the funding hospital health care services.*

*The new responsibilities of the health insurance scheme of Albania.*

*A needs of plan for training and upgrading the scheme.*

*A new financial resources for the health insurance scheme.*

*Creating the Health card of the residents of Albania.*

*Creating the electronic registration of the residents of Albania*

Even those, in Albania the health scheme system have the opportunities to improve data and information about the benefiting categories from the health insurance scheme. Improved all the economically active e non-active persons with permanent residence in Albania is mandatory to improve the functions of the implementation of health insurance scheme in Albania.

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## The Influence of Motivation on the Quality of the Leader – Follower Relationship

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### Abstract

The subject of this research is the connection of the motivational structure with the quality of the leader – follower relationship. The aim is to determine the ways to improve the quality of the leader – follower relationship which will consequently enhance the productivity and the satisfaction of employees. The research results have shown that the motivational factors, such as reward systems, good interpersonal relationships, career development possibilities and good team spirit, are significantly statistically associated with the leader – follower relationship. The sample includes 300 respondents with different educational and professional profiles, employed in various public and private sectors in Serbia. An interdisciplinary approach has been used in this paper, and the data have been processed by SPSS statistical analysis. Based on this research, we may conclude that the strategy of motivation throughout an organization is necessary. It should integrate motivational actions into several segments: the development of the importance of work, the awareness of employees' personal values, good interpersonal relationships and the atmosphere of team work.

**Keywords:** employees' motivation, leadership, interpersonal relationships, team spirit

### Introduction

The issue of motivation is a core issue of the whole human activity, the value system of a personality, work activities, as well as the society in which this process occurs. Motivation is a key concept for understanding the reasons of human behavior in a certain way. Knowledge of human motivation is the key to understanding the principles of human functioning at all, even within the organization. (Čukić, 2004). Human need cannot always be expressed, unless it is unsatisfied, and only to the extent that it is not satisfied. The logic of such a simple change in the strength of individual motifs can be seen in the appearance of the peculiar turns in prevalence of one kind of motive over another one. In order to be successful the employee must, above all, be satisfied with his or her work. As soon as a need is satisfied, it loses its drawing power. If the need is partially satisfied, an appropriate motive is partially weakened (Spector, 1996).

Leader-follower relations, based on expanded roles, are attributed to the group of leader's close associates, and they are based on a formal job description group of other contributors. It is believed that subordinates become followers of the inner group of associates, based on how well they function with the leader and whether they are willing to take on additional tasks. Subordinated employees that keep only formal, hierarchical relationships with their leader become followers of an external group. (Kesić, 1999).

### Motives and Motivation

In order to successfully operate, each company must find an optimal combination of material and non-material incentives for their employees, but that will depend on many factors: the sector in which it operates, competition in the labor market, the nature of work, the employment structure (Schabracq et al, 2002).

It is of the utmost importance for company's management to know the profile of the motivation of its employees. In order to achieve the maximum degree of motivation of employees, the needs and motives of the people led must be recognized by their leaders, as well as knowing how to ensure their satisfaction. The satisfaction of employees is the only way to ensure stable, high levels of productivity and creativity of employees in long terms (Cooper, 1998).

There are three dimensions of motivation that are essential for understanding its impact on the operational performance of employees: direction, intensity and persistence. People in an organization may be motivated, but in the wrong direction (Franceško, 2003). The intensity of motivation is determined by the amount of effort someone invests per time unit, in order to satisfy their needs (Perrewe, Ganster, 2007). If intensity of motivation is higher, the employees in the company will invest more effort to carry out their tasks, and their performance will be better. Finally, the persistence of motivation shows the time spent in investment of certain level of effort in a certain direction. Some may be motivated extremely for very short period of time, while others may be motivated at low level of intensity for a longer period. (Ghuari & Gronhough, 2005).

The motivation tools of non-economic character have special significance in the modern economic environment. In order to satisfy these motives of employees, monetary funds are not generally needed, as much as personal affirmation of employees, respect for their personality, adequate arrangement of employees, in accordance with the level of their expertise; the opportunity for advancement in their profession and set of numerous other subjective aspirations of employees, which are immaterial. (Mandić, V. 2014)

### **The Theory of Vertical Integration Relations**

The theory of vertical integration relations sees leadership as a process in which the focus is set on the interaction between leaders and followers. The relationship of the leader-follower is a basic concept in the leadership process (Kesić, 1999). Relations between leader-follower are based on expanded roles, attributed to the group of leader's close associates, and these are based on a formal job description to the group of other contributors (Northouse, 2008).

It is believed that subordinates become followers of the inner group of associates, based on how well they interact with the leader, and whether they are willing to take on additional tasks. Subordinated employees that keep only formal, hierarchical relationships with their leader become followers of an external group. While close associates receive an additional empowerment, opportunities and rewards, other followers receive customary fees for work (Brown, 2006).

Positive features of the theory of LMX (Franceško & Mirković, 2003) lie within the fact that leaders use some of his subordinates (followers of the inner group) more than others (followers of outside groups) to effectively reach the organization's goals. Secondly, the theory LMX is unique in terms that, unlike other approaches, it puts leader-follower relationship into to the center of leadership process. In those terms, this theory is important because it focuses on the importance of effective communication in leader-follower relationship. In addition, it treats its subordinates equally. Finally, there are large number of studies behind this theory that confirm the connection of high-quality leader-follower exchange with the positive results of the organization (Vujić, 2003).

### **Research Methods**

The objectives of this research are the following:

-to examine the importance and presence of work motivation, as well as its relationship with the quality of the leader-follower relationship;

-to determine, based on the results, how can the quality of the leader-follower relationship be improved, and therefore, productivity of employees and their satisfaction in the workplace as well.

Hypothesis: There is a correlation between the elements of work motivation and quality of leader-follower relations of employees.

Variables and instruments:

The dependent variable: the quality of the leader-follower relationship is measured by LMX 7 questionnaire (Graen and Uhl-Bien), containing 7 items. The variable: The quality of the leader-follower relationship is operationalized as the "level of trust and respect that subordinates show to their leader" through the following statements: "Do you know where you stand with your leader (follower), and do you usually know to what extent is your leader (subordinate) satisfied with what you're doing?", "How well does your leader (subordinate) understand your problems and needs at work?", "To what extent does your leader (subordinate) recognize your potential?" and so on. For each statement participants rounded up one number, out of five, which expressed the level of their agreement with the statement.

Independent variables: the 10 forms of work motivation measured by a questionnaire which was created by modifying Kahn's research by Professor Čukić, PhD. (Kahn,R.L according to Likert, R. 1961, Cukic, 2003)

Specifically, respondents were asked to judge what, in their opinion, was the importance of each of the 10 motivators, as well as how these motivators were represented in their working organization. Respondents expressed their agreement on the seven-point Likert scale, circling one of the answers, ranging from 1= not important to me, through: 4= moderately important, to 7= extremely important to me. The motivators are as follows: Salary according to work amount, The amount of the salary itself, Pensions and security for old age, Not putting too much effort, Getting along with people at work, Getting along with managers, Team work ability, Possibility of having an interesting work, Opportunities for promotion at work, Good physical working conditions.

### Sample

This study has included 300 respondents, 130 males and 170 females. The respondents are individuals who are engaged in the framework of teams, dedicated to different levels of complexity of employment engagement. The sample consisted of respondents of different educational and professional backgrounds, working in different - both public and private sectors, from Serbia. Respondents age range was between 18 and 65 years. The average age was 37 year-olds.

### Data processing:

Data obtained in this study were processed within statistical package SPSS. Statistical analyzes that were used are: descriptive statistical methods (frequency, arithmetic mean and standard deviation) (Descriptive Statistics: Frequency, Mean, Std. Deviation) and Pearson coefficient of linear correlation (Pearson Correlation).

## Research Results

Descriptive Statistics survey on motivation of personal importance for the motivator in the workplace

The table below shows the arithmetic means and standard deviations of answers on all ten questions, about the importance of each motivator for respondents, and related to the job activities they perform.

Table: Arithmetic mean and standard deviation of responses

Motivators	Arithmetic mean	Standard deviation
Salary according to work amount	6.34	,54
The amount of the salary itself	5.98	,71
Pensions and security for old age	5.37	,66
Not putting too much effort	4.25	,92
Getting along with people at work	6.32	,82
Getting along with managers	6.20	,80
Possibility of having a quality work	5.49	,68
Team work possibility	5.63	,64
Opportunities for promotion at work	5.81	,73
Good physical working conditions	5.84	,60

Based on the obtained values of arithmetic means of response, we can conclude that respondents, on average, estimate that their most important motivator is when salary received is set in accordance to the amount of work they have provided (M = 6.34). It is more important to them than the salary (M = 5.98). Also, they find that relationships with both colleagues (M = 6.32) and with the managers are of significant importance (M = 6.20). The least important motivator for them is to not be in a position to put too much effort at work (M = 4.25).

Descriptive statistics questionnaire about motivation for representation motivator in the workplace

The table below shows the arithmetic means and standard deviations of answers on all ten questions, regarding the presence of certain elements of the work motivation in their work organization.

Table: Arithmetic mean and standard deviation of responses

Motivators	Arithmetic mean	Standard deviation
Salary according to work amount	4.42	,74

The amount of the salary itself	4.98	,71
Pensions and security for old age	4.37	,56
Not putting too much effort	3.75	,82
Getting along with people at work	6.20	,80
Getting along with managers	5.12	,79
Possibility of having a quality work	5.01	,66
Team work possibility	4.72	,54
Opportunities for promotion at work	5.22	,71
Good physical working conditions	5.41	,45

Based on the values of arithmetic mean, we can conclude that the respondents, on average, estimated that getting along with their colleagues is the most common motivator ( $M = 6.20$ ), followed by getting along with their managers ( $M = 5.12$ ), as well as the possibility for a quality work ( $AS = 5.01$ ). The least represented motivator is not putting too much effort in the work itself ( $M = 3.75$ ).

The correlation of work motivators and quality of leader-follower relationship

With the aim of testing the hypotheses on the existence of correlation factors of work motivation and quality leader-follower relations, we correlated the variables: Quality of the leader-follower relationship (which is expressed through summation score on the questionnaire LMX 7) and 10 motivators. The Pearson coefficients of linear correlation were created - for the importance of those motivators, as well as for the presence of these motivators within an organization.

Table: Pearson Correlation on presence of working motivators and quality of the leader-follower relationship

Variable	quality of the leader-follower relationship
Salary according to work amount	$r=.53$ ; $p=.00$
The amount of the salary itself	$r=.17$ ; $p=.19$
Pensions and security for old age	$r=.13$ ; $p=.11$
Not putting too much effort	$r=.05$ ; $p=.31$
Getting along with people at work	$r=.47$ ; $p=.00$
Getting along with managers	$r=.28$ ; $p=.02$
Team work possibility	$r=.45$ ; $p=.00$
Possibility of having an interesting work	$r=.13$ ; $p=.11$
Opportunities for promotion at work	$r=.32$ ; $p=.01$
Good physical working conditions	$r=.21$ ; $p=.03$

$r$ = Pearson Correlation

$p$ = Significance

According to the results obtained, it can be concluded that the quality of the leader-follower relationship statistically significantly correlates with the following motivators: "Salary according to the work amount" ( $r = .53$ ,  $p = .00$ ), "Getting along with the people at work" ( $r = .47$ ;  $p = .00$ ), "The possibility of team work" ( $r = .45$ ,  $p = .00$ ), "The possibility of promotion at work" ( $r = .32$ ,  $p = .01$ ) and "Getting along with managers" ( $r = .28$ ;  $p = .02$ ). This result indicates that the ratio of the leader-follower relationship, according to the self-assessment of the respondents, is of more quality, when there is fair remuneration present in their working organization, i.e. when salary is received in accordance with the amount of work provided, and also when there are better relationships with colleagues and managers, as well as stronger team spirit. An increase of the possibilities for career development also leads to better leader-follower relationship.

Table: Pearson Coefficient of Correlation between importance of work motivators and quality of the leader-follower relationship

Variable	quality of the leader-follower relationship
Salary according to work amount	$r=.21$ ; $p=.06$
The amount of the salary itself	$r=.33$ ; $p=.01$
Pensions and security for old age	$r=.74$ ; $p=.00$
Not putting too much effort	$r=.14$ ; $p=.16$
Getting along with people at work	$r=.51$ ; $p=.01$
Getting along with managers	$r=.25$ ; $p=.05$

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Team work possibility	r=.19 ;p=.10
Possibility of having an interesting work	r=.11; p=.13
Opportunities for promotion at work	r=.35; p=.01
Good physical working conditions	r=.13; p=.12

According to the data it can be seen that there is a statistically significant correlation with the variable "Quality of the leader-follower relationship" and following motivators: "The amount of salary itself" ( $r = .33, p = .01$ ), "Pensions and security for old age" ( $r = .74, p = .00$ ), "Getting along with people at work" ( $r = .51, p = .01$ ), "Getting along with managers" ( $r = .25, p = .05$ ) and "Opportunity for promotion at work" ( $r = .35, p = .01$ ). Based on these results it can be concluded that the more important the salary, pension security, as well as good interpersonal relationships and opportunities for promotion at work are to the respondents, the quality of the leader-follower relationship is ranked higher among them.

## Discussion

This research has also confirmed the importance of work motivation in the work process, as well as its relationship with the quality of the leader-follower relations. Employees in Serbia have estimated that their most important motivator for them is when salary in an organization is received according to the amount of work they have provided, and to them, it is even more important than the salary itself. Also, they find organizational relationships very important, both with their colleagues and leaders. This can be connected with the mentality of the Serbs that foster close friendships and good relationships, so it is not surprising that these are very important for them on organizational level, where they spend a lot of time on daily basis. The least important motivator for them is not to have to put too much effort at work. This result is a little surprising because one would expect that employees prefer to work less and be better paid, so it is possible that some respondents gave socially desirable answers, or that the working awareness of the respondents is at a high level, so that they do not mind working too much if they will be paid accordingly.

When it comes to the presence of motivators in the organization, there is a similar situation, i.e. the respondents, on average, have estimated that getting along with their colleagues is the most common motivator, followed by getting along with their managers, and the possibility of quality work. The least represented motivator is not putting too much effort in work. It should be noted that the ability of teamwork is also less frequent motivator, and that many organizations should work on it.

The results have shown that the elements of work motivation such as a fair reward, good interpersonal relations, career prospects and cultivating team spirit, statistically significantly correlated with the quality of the leader-follower relations, so that the basic hypothesis from which we have started in this work is confirmed. This result is very important, particularly if viewed in the spirit of the development of teamwork, which is missing in our companies, but also in terms of showing the leaders that it is their responsibility to motivate their employees, which should lead to increased productivity.

In the end, it can be concluded that the development of an atmosphere of teamwork is based on the satisfaction of social needs, through favoring teamwork as an effective way of achieving goals. The manager indirectly encourages team building through cooperation development, group cohesion and working aspirations of the group, as well as encourages group followers to think as a team and to work as a team. Therefore, a comprehensive strategy of an organizational motivation is what would most likely lead to increased working capacity in the Serbian working organizations, as well as higher production, greater motivation of employees at work, and therefore greater life satisfaction of a person in the workplace, which is one of the greatest values that should be nourished by a man of today.

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## The Importance of Professional Training for Establishing Psychological Health Workers

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### Abstract

Training is an important part of modern European healthcare services and is often cited as a way to improve care quality. Health workers constantly participate in training aimed at enhancing their professional, although often noted lack of training adapted to their specific needs. The purpose of this study was to identify the needs for vocational training that nursing Shkodra need to handle psychologically their patients where specifically the main goal is to recognize the level of practical skills adviser to the profession of a nurse, techniques, application of these skills in hospital settings. Results of the study reported that about 63.3% of subject report that they are trained on the techniques of psychological counseling, about 18.5% of the subjects are familiar with these training through scientific articles, about 41.1%, through announcements made by the Directorate of Public Health, 18.5%, via the internet, 16.1% are recognized through curricula, 5.6% through newspapers. And 87.4% of subjects were equipped with skills and techniques to handle the emotional state of patients or their families, while 12.6% report that these exercises are not equipped with these skills, as about 90.7% of the sample report that would have liked to be trained to enhance their professional skills in dealing with emotional concerns etc.

**Keywords:** Psychology, skills, training, professional development, communication, general practitioners, nurses

### Introduction

There is a serious shortage of well-trained to employees of nursing, and this situation is creating severe difficulties in the delivery of high-quality psychological service. Techniques for psychologically-informed practice are diverse in themselves, and recommendations to improve care have included developing communication skills, cultural sensitivity and interpersonal interactions to name but a few. In addition to these abilities, the rapidly-expanding evidence base of diagnoses and their treatments creates a need to regularly update healthcare professionals' own psychological knowledge. 'Education, training, and development' are regularly acknowledged as the preferred way to enhance skill acquisition, and more frequently the only way to improve patient care in this context (Department of Health, 2013).

The need for training is a concept that is quoted in an ongoing but very rarely recommend how it should be. Numerous issues facing health workers especially nurses lead to the birth of the need for their participation in appropriate training that make them better able to handle situations of patients who go to great psychological burden.

The purpose of psychological professional development is to improve patient outcomes; therefore it is necessary to gain practical knowledge for the profession of nurses to affect patients effectively. However, there are relatively few studies that determine the effective training of personnel psychological health.

During the past decades, advanced practice nurse roles have been successfully established (e.g., in the USA, Canada, Great Britain, Holland, in Zealand, and Australia). The advanced practice nurse role includes educational advancement, specialization, and role expansion (Harmic) and is shaped by country and context specific characteristics (Wong, 2008). Nurses who successfully train and practice their roles are constantly in a process of maturity enabling equipping them with skills in order to rate the patients' holistic. A recent Nordic study also revealed that top-level managers and politicians emphasize that the acute and complex needs of ill people will require nurses who possess an advanced competence, relative to both medical treatment and psychological nursing care (Finnbakk, Skovdahl, Fagerstrwm, 2012). After a brief description of the theoretical baths are needed to be presented and the objective of this study which was: identification of vocational training needs that nursin Shkodra can handle psychologically their patients where more specifically key goal was the knowledge level of practical skills to the profession of nurse counseling techniques, the application of these skills in hospital settings.

## I. METHODOLOGY

### Participants

Participated in this study, 201 nurses and nursing students of the city of Shkodra. The statistical data report that about 86.7% of participants in the study were female and 13.3% male, 97.7% are over age group 20-29 years, 11.6% were aged

30-39, 4.3% are aged 40- 49 years, 2.9% are 50 and older. About 51.6% have higher education, 31.9% have a master, and 2.2% have doctorate education level. About 60% of participants turns out to have 0-years of work, 8.1% appears to have 1-5 years of work, 9.3% appears to have 6-11 years of work, it appears that 12.8% work 12-17 years, and 5.8% it turns out to have more than 18 years of work.

**Table 1. Socio-demographic characteristics of all study participants.**

Demographic characteristics	Sex of respondent		Total
	Male (%)	Female (%)	
All respondents	33 (13,3)	159 (86.7)	201
<b>Age</b>	12 (57.1)	118 (83.1)	
21-31	6 (28.6)	14 (9.9)	
32-42	3 (14.3)	4 (2.8)	
43-53	12 (51.6)	2 (1.4)	
54-65	18 (31.9)	81 (50.9)	
Educational level	3 (2.2)	60 (37.7)	
Bachelor		14 (8.8)	
Msc	3 (10)	100 (65.4)	
Phd	6 (20)	10 (6.5)	
work experience	12 (40)	9 (5.9)	
0 years	3 (10)	25 (16.3)	
1-5	6 (20)	9 (5.9)	
6-11			
12-17			
More than 18			

**Measures**

It is used a questionnaire in this study: Clinical powers to nurses (NCCS) Nieminen and Fagerstrom 2005. Nurse Clinical Competence Scale Based on ICN: definition of Nurse Practitioners i.e.: the expert knowledge base, complex decision-making skills and clinical competencies for expanded practice example of items to be assessed: -I take responsibility for my own actions -I work independently -I am systematic in my way of working -I am self-critical about my way of working -I conduct physical assessment of the patient -I have independent responsibility for the examination, care and treatment of patients with complicated- and uncomplicated illness -I provide individual advice on health promotion and illness prevention to the patient, taking national recommendations into consideration -I take active responsibility for my own professional development.

**Research question:**

How is the level of competences to nurses to carry out psychological counseling to their patients?

**Hypothesis:**

The level of competence of exercising psychological consulting skills to nurses is high.

**Data management and analysis**

The analysis of this research was performed by statistical Package for Social Sciences (SPSS) version 21. Descriptive analysis as well as analytical Was employed to Determine psychological level vocational training which are equipped nursing students and nurses of the city of Shkodra. The results are presented in statistical way according to some demographic data.

**Results**

The statistical data about the training received during the last 3-5 years on techniques of psychological counseling to students and teachers report that 63.3% of subjects were trained on techniques of psychological counseling during the last 3-5 years, also around 36.7% they are not trained in the techniques of psychological counseling during the last 3-5 years. Statistical data derived from descriptive analysis about the manner of obtaining information about the training techniques of psychological counseling report that 18.5% of the subjects are familiar with these training through scientific articles, about 41.1% through announcements made by the Department of Public Health, 18.5% via the internet, 16.1% are recognized learning through curricula, 5.6% are known through newspapers.

The results of the question: during training made part of the training has been a device with practical skills and techniques advised to treat emotional or psychological patients, their relatives, etc.? Reported that 87.4% of subjects were equipped with skills and techniques to handle the emotional state of patients or their families, while 12.6% report that these exercises are not equipped with these skills. Details about the need to have this category for obtaining training to support their professional practice primarily in the treatment of emotional distress report that 90.7% would be like to be trained to enhance their professional skills and 12.6% report that they would not They wish to train.

The results of the level of ability that these entities to advise patients about their concerns psychological and emotional results show that 65.7% of respondents think that they are able to advise psychologically their patients, 17.4% think that they are not able to handle psychologically patients about their concerns. Results arising in connection with counseling techniques that use respondents in their work with patients reporting that 4.9% interact with their patients, 24.3% report that they listen carefully to their patients about the concerns, 17.5% try to be empathetic, 3.9% report that they offer continuous support patients, 1.9% try to alleviate emotional symptoms, 8.7% strive to continuously encourage their patients, 20.4% encourage their patients to speak openly in about emotional concerns that they may have 2.9% report that they try to reduce the level of stress and anxiety in patients, 3.9% up trying to raise the morale of patients, 5.8% try to provide a better environment, comfort, try 3.9% increase the level of positive emotions of patients, 1.9% and to help their patients to remain calm. (See table 2).

Received training during the last 3-5 years of psychological counseling techniques.	Yes % 119 (63.3)	No % 69 (36.7)
Ways of getting information about the training techniques of psychological counseling	scientific articles Staff from DFS Website curriculum Newspaper	23 (18.5) 51 (41.1) 23 (18.5) 20 (16.1) 7 (5.6)
Asked during training, the training part was a device with practical skills and techniques to advise psychological or emotional treat patients, to their relatives, etc.?	Yes % 159 (87.4)	No % 23 (12.6)
You would like to have the opportunity to receive training, which focus specifically on increasing the skills to deal with emotional distress?	Yes % 165 (90.7)	No % 17 (9.3)
Do you think you are capable or prepared psychologically professionally to advice patients about their concerns?	Yes % 132 (65.7)	No % 35 (17.4)
What are the psychological techniques to use during your work with patients?	Conversation Patient listening carefully Being empathic Continued provision of support Emotional symptom relief Encourage continuous patient Promoting an open communication Stress reduction in anxiety symptoms.	5 (4.9) 25 (24.3) 18 (17.5) 4 (3.9) 2 (1.9) 9 (8.7) 21 (20.4) 3 (2.9) 6 (5.8) 4 (3.9) 4 (3.9) 2 (1.9)

## **Discussion**

The Findings of the study equipped Was psychological counseling techniques. Information about the organization of such training is generally received more training that organizes the Regional Directorate of Public Health in Shkodra.

Nursing students and nurses of the city of Shkodra expressed the wish to participate in training that help enhance their professional skills especially in the training main objective is giving them the skills counseling, they also see themselves capable to treat patients using psychological counseling techniques.

In connection with the techniques that they use to treat their patients psychologically they report results used the some practical techniques which in some way may help their patients to be more calm their emotional. Results of the study generated a confirmation of the hypothesis report filed by the researcher. The data derived from this study are now declined with other studies that also suggest that students and employees of nursing participated in vocational training among other things, part of these trainings are very effective to improve the professional skills of employees health, and this effect increases when these skills to achieve desired results in patients.

In a study conducted by Hollimworth and Hawinks attended by 39 nurses results showed that nurses who had undergone intensive training to improve their skills consulting in the exercise of their profession, were found to be better able to handle their patients with psychological disorders. After the training there was a difference in understanding and providing psychological support. While the group of nurses who did not participate in this training were unable or unwilling to apply the skills of counseling care.

This highlights the need to address nurses' attitudes and beliefs that may interfere with psychological support for patients with various emotional difficulties (Hollimworth and Hawinks, 2002). Increased professional training tailored to the specific needs of professional nurses can positively influence the growth of professional skills of these employees. Results of the study provide a brief overview about the level of psychological counseling skills to benefit from various professional training to students and the city of Shkodra nurses.

Realizing the importance of this study was associated with the identification of needs for the implementation of professional training in accordance with the objectives of the work of these employees. Results of the study though, may be modest groundwork for a future work with the aim that can be expanded and the inclusion of a representative sample with.

The results can be generalized only to be included in the study sample, but can be reversed by researchers who want to submit similar data. It is important to get to know the limitations of this study.

- *First limitation associated with the selected method and questionnaire for this study*

- *Second limitation is related to the number of participants in the study which it can't be generalizing*

*and in a group or similar populations.*

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## Msmes Productivity in Nigeria

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### ABSTRACT

This study uses the World bank enterprise survey data for Nigeria to examine Micro, Small and Medium Enterprises (MSMEs) productivity rate in the Nigerian economy. The study explores factors that constrain MSMEs output growth in Nigeria. Some of the factors identified include huge infrastructural gap, inadequate institutional support and low access to credit. The resultant effect is a low investment commitment amongst MSMEs thus hampering the productivity of MSMEs in the Nigerian economy. The MSMEs productivity growth rate was measured using annual sales of firms from the World bank enterprise survey data for Nigeria. This research employs the non-parametric variance estimation using the locally-weighted scatterplot smoothing (LOWESS) method on three sets of two-points data (2006 and 2003, 2008 and 2002, and finally 2012 and 2009) of annual fiscal sales for each category of firms comprising micro, small, medium and large firms. The result shows that the small businesses have a negative productivity growth rate in Nigeria. This is in line with IFC (2013) which found that small businesses have the least productivity growth rate amongst firms of all sizes. However, this study departs from IFC findings which states that small businesses' low productivity growth rate is tenable across all the sectors of the economy. The study found that small businesses actually recorded high productivity growth rate in some subsectors of the economy that specializes in product customization such as garment and furniture. Therefore, this study validates the flexible specialization theory that emphasizes the economic importance of MSMEs in the post-industrial era where product customization is the new order of production. The policy implication of this study is that any targeted intervention in the MSMEs sub-sector of the economy designed to increase productivity, should be channeled into the subsector with the most employee specialization as well as product customization.

**Keyword(s):** MSMEs, small business, Output, Productivity

**JEL Classifications:** P42 M13 O55

### INTRODUCTION

This study examines Micro, Small and Medium Enterprises (MSMEs) productivity rate in the Nigerian economy, using World bank enterprise survey data for Nigeria. The link between MSMEs productivity and economic growth stems from its ability to boost competition and entrepreneurship which in turn have spillover effects on innovation, aggregate productivity and efficiency in an economy (Beck, Demirguc-kunt and Levine, 2005). However, factors that determine MSMEs output shares, output composition, market orientation and location (Tambunan, 2008) are constrained in Nigeria. These factors are natural and technical endowment, favourable business environment, level of infrastructural development and government support (such as the provision of necessary information on business opportunities, capacity training, monitoring and mentoring, and loan guarantee schemes). In Nigeria, there is huge infrastructural gap, inadequate institutional support and unsupportive credit environment with a resultant effect on low investment commitment to bring start-up and young firms to a commercial scale. All these, coupled with scarce entrepreneurship is crippling the output expansion of MSMEs in the Nigerian economy. This study therefore seeks to examine MSMEs productivity in Nigeria.

Output growth in MSMEs can be identified from three sources namely: increase in the number of establishment (taking into consideration that the number of employee and output of the existing firms remain constant), increase in the number of employees (with the number of firms and productivity held constant), increase in the output or productivity, which can be termed efficiency (holding constant the number of firms and employee in each firm) or the combination of the three



factors. This study was basically limited to the increase in the output or productivity overtime, due to the aim of the study and the nature of the data used.

IFC (2013) found that increase in employment for microenterprise firms outweigh increase in productivity, and that microenterprise firms have the least productivity growth rate among all types of firm sizes. IFC result affirms that the result is tenable across all the sectors of the economy as well as across regions and country income groups. However, ILO (2015) is of the opinion that small firms exhibit this trend of lower productivity in the manufacturing and services sector only, while ascertaining that young (1-5 years old) small firms have the highest growth rates. IFC concluded that on the average, larger enterprises are more productive than the small businesses because they benefit from economies of scale, and invest more in machinery and skilled development. They also display tendencies to develop new products and make use of outsourcing that tends to increase workers' productivity (large firms tend to be more innovative). African Development Bank (AfDB, 2010) report also confirms that microenterprise firms are the least productive of all sizes of firm. There is the need to ascertain which is obtainable in the Nigerian economy.

Modern theories on MSMEs ('Pro-SMEs Policy' thesis and Flexible Specialization theory), specifies that MSMEs plays two important roles simultaneously: economic growth acceleration through increase in their output, and poverty reduction through job creation and income generation effects. There are also the indirect effects of growth-linkage on employment, consumption and investment that positively impact economic growth.

Therefore, MSMEs firms are highly heterogeneous for one single trend pattern of explanation to their contribution to output. Also, in the developing countries like Nigeria where MSMEs are often characterized by high presence of informal microenterprises and few small and medium sized enterprises, there is the need to empirically investigate the contribution of MSMEs to output growth rate. This will enable a proper segmentation of the heterogeneous MSMEs into which will be good for income stabilization policy, employment creation and productivity increase, for the purpose of a suitable intervention. It is in this light that this study examines the relationship between MSMEs productivity growth rate in Nigeria.

### **STYLISTED FACTS ON MSMEs IN NIGERIA**

According to the 2013 data released by Small and Medium Enterprises Development Agency of Nigeria (SMEDAN) in collaboration with the National Bureau of Statistics (NBS), shows that Nigeria has 37,067,416 MSMEs (Micro 36,994,578, Small 68,168, and Medium 4,670) in establishment number. Employing 59,741,211 representing 84.02% of the total labour force in the country. MSMEs contributed N38.78 trillion to the GDP representing 48.47% of the total GDP for the year, with micro enterprise alone contributing 80.76% of the output by MSMEs. MSMEs contribution to export as a ratio of GDP stood at 7.27% during this same period. One of the importance of MSMEs is its contribution to the international market in the form of export and import. In Nigeria, evidence however shows that Nigerian MSMEs are still far from playing any significant role in the international market in comparison to what is obtainable in some other part of the world. MSMEs export ratio of GDP is 35% of Asia's exports and 25% for OECD economies (OECD, 1997). In India, MSMEs are contributing on the average 40% of the country's total exports (SME Chamber of India).

This shows that the Nigerian MSMEs have not been able to penetrate the international market given the fact that informal microenterprises dominate the small business in Nigeria. In this respect, a lot needs to be done to bring these small businesses to the realm where they can successfully compete with their counterpart worldwide. Expanding the MSMEs capability to operate in the global market through first and foremost formalizing the many informal microenterprise, providing market information and support, will bring about increase in the output growth rate, as well as generating more jobs and income.

### **FACTORS AFFECTING MSMEs PRODUCTIVITY IN NIGERIA**

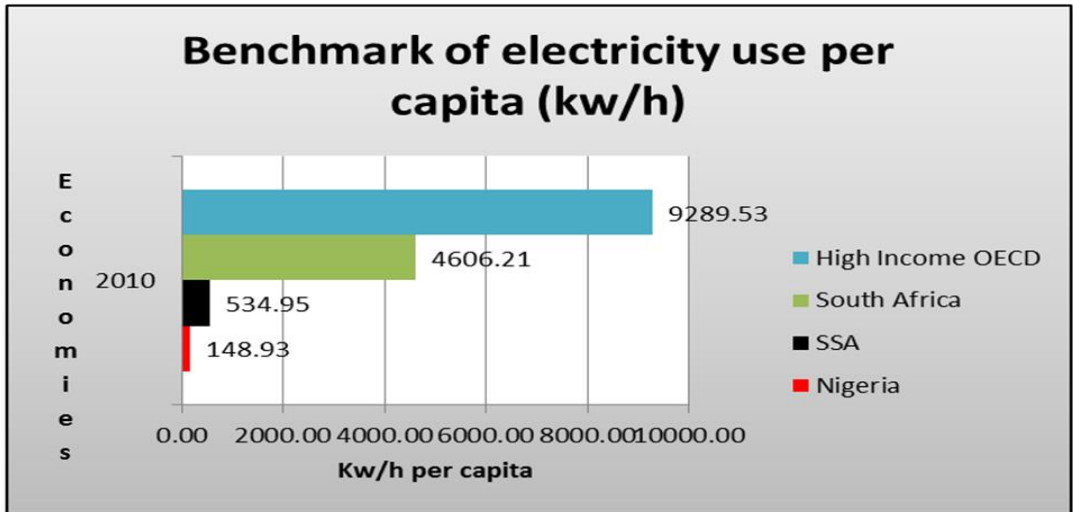
There are so many factors affecting productivity growth rate of small businesses in the Nigerian economy. These factors include poor infrastructural development, unsupportive credit market, inadequate institutional support and the issues with globalization (dumping).

#### **Huge Infrastructural Deficit.**

The level of infrastructural development in a country, to a great extent determine the productivity in the economy (Ekeledo & Bewayo, 2009). One of the major factors affecting MSMEs output growth is the huge infrastructural deficit in Nigeria. Poor supply of electricity and bad road network are chief among these infrastructures. Despite the fact that the Nigerian economy recorded over 5% GDP growth rate for almost twenty years on the average, electricity consumption per capita

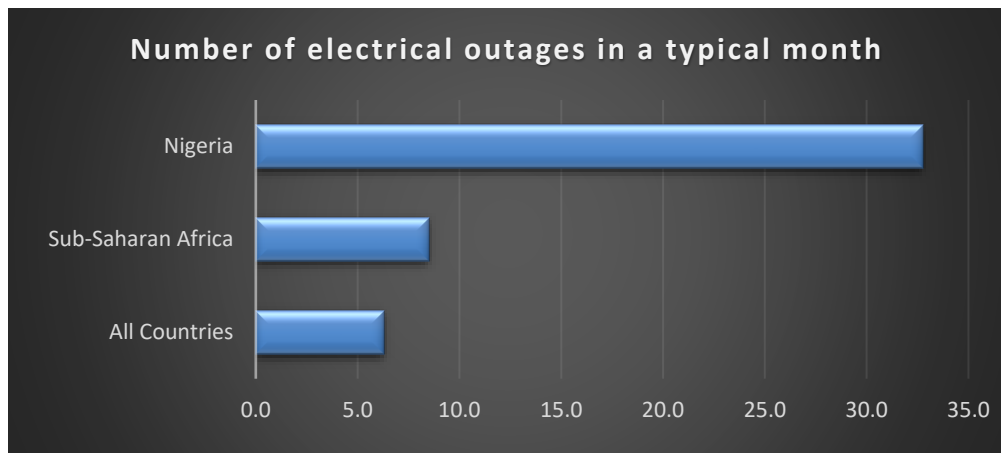
was rather on the decline. Majority of the rural areas in the country are still not connected to the national electricity grid, therefore the masses are made to generate their electricity through electricity generating machine individually. The areas covered by the national grid are not in any way better-off because of the incessant power failure. Comparing Vietnam economy that has lower GDP growth rate, shows her to have been able to achieve hundred per cent rural electrification, while more than 50% of Nigerian population are yet not on the national grid (World Development Indicators, 2015).

**FIGURE 1: BENCHMARKING ELECTRICITY USE PER CAPITA**



Source: World Development Indicators, 2015.

**FIGURE 2: NUMBER OF ELECTRICAL OUTAGES IN A TYPICAL MONTH**



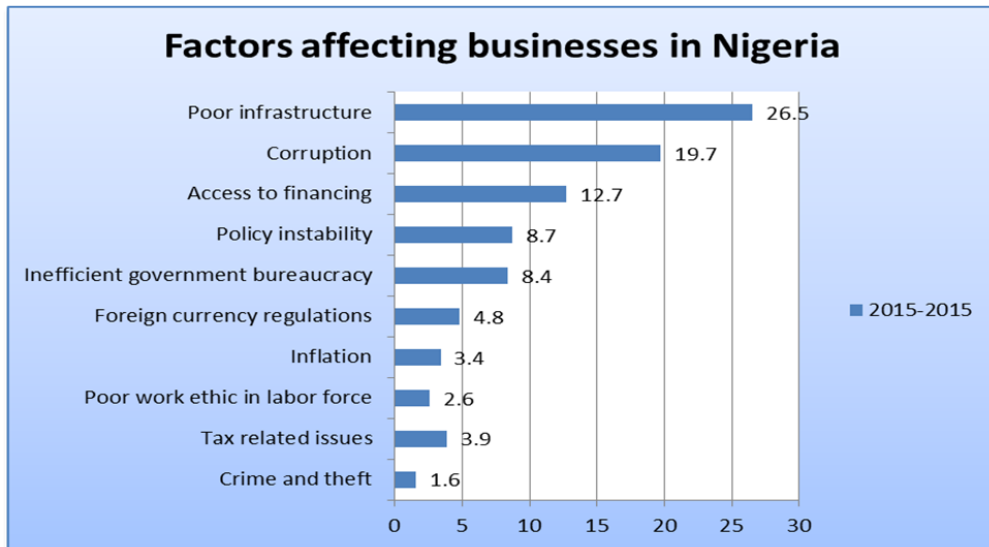
Source: World Bank Enterprise Survey (2014)

The gap between Nigeria and other comparable developing countries in electricity access and consumption is not encouraging. Looking at South Africa that has a population of less than one third of the Nigerian population is generating on the average more than nine folds of electricity Nigeria is generating. This problem is posing a huge challenge to enterprise development in the Nigerian economy. It is a known fact that many Multi-National Companies (MNC) are

relocating outside Nigeria, citing electricity constraints as the source of relocation. A good example is the Dunlop and Michelin tyres that stop Manufacturing in Nigeria.

The lack of access to stable supply of electricity and all other form of infrastructural facility (Figure 3) is taking tolls on the Nigerian economy. This is affecting the capacity utilization in all forms and sizes of enterprise, and in particular hurting MSMEs output growth rate in the economy. Frequent outages in electricity supply can affect output levels with adverse implications for firm productivity and efficiency, especially for MSMEs that are not financially buoyant to self-generate electricity.

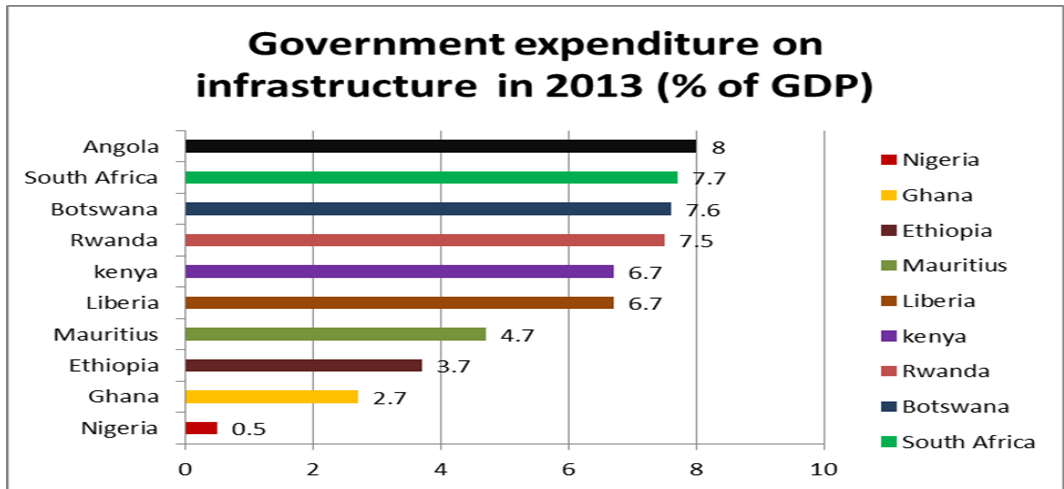
**FIGURE 3: FACTORS AFFECTING ENTERPRISE OPERATIONS IN NIGERIA (WORLD BANK ENTERPRISE SURVEY, 2014)**



**SOURCE:** World Economic Forum Global Competitiveness Index, 2015

Over the years, Nigeria government commitment to investment in the infrastructural sector of the economy was impalpable. For example, Figure 4 shows that in 2013, Nigeria budget for capital investment in infrastructure was just 0.5%, about the least in Africa.

**FIGURE 4: GOVERNMENT CAPITAL EXPENDITURE ON INFRASTRUCTURE AS A RATIO OF GDP IN SUB-SAHARAN AFRICA.**

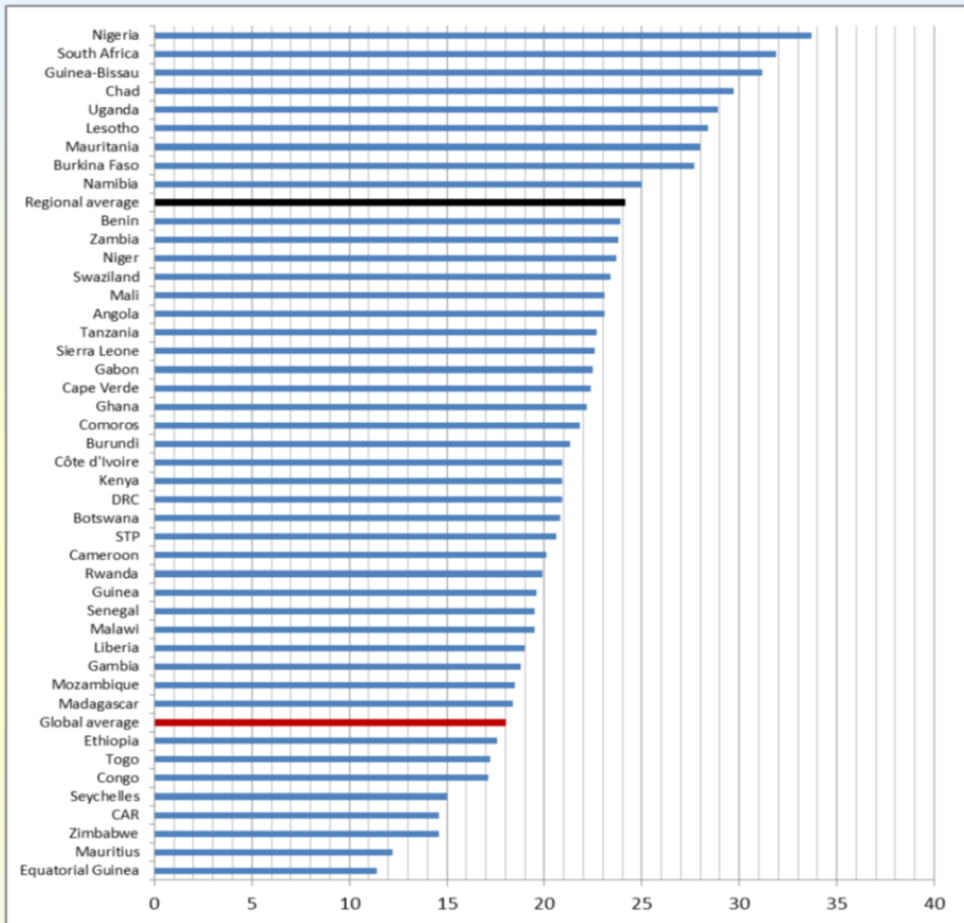


**Source:** World Bank, 2015

On the road network, Nigeria has the largest road network in West Africa, and next to South Africa in the sub-Saharan African region. According to Central Intelligence Agency (CIA) World fact book, Nigeria has 193,200 kilometers of surfaced roads for 2004 record. The roads in Nigeria are however poorly maintained and are often cited as a cause of the country's high rate of fatal road accident. According to World Health Organization (WHO) report titled 'Road Safety in the WHO African Region' in 2013, Nigerian roads was adjudged to be the most dangerous in Africa. It identifies Nigeria roads with the highest fatality at 33.7 death per 100,000 population per year. The road network potent danger to enterprise growth in term of huge cost of maintenance on transportation facilities, as well as more time is wasted in movement, and valuable lives and resources are being destroyed daily through road accident.

**FIGURE 5: ROAD DEATH RATES BY COUNTRY (2010)**

**Figure 2: Road death rates 2010**



CAR = Central African Republic

DRC = Democratic Republic of Congo

STP = Sao Tome & Principe.

Source: Curled from [www.who.int/violence\\_injury\\_prevention/road\\_safety.../2013/.../factsheet\\_afro.pdf](http://www.who.int/violence_injury_prevention/road_safety.../2013/.../factsheet_afro.pdf)

### Access to Finance

The growth of MSMEs depends on the ability to overcome the credit constraint and develop their potentials in physical and human capital. Investment in capital requires greater access to finance. Ogujiuba (2004) also noted that lack of adequate and timely access to finance is a key obstacle to the growth and profitability of MSMEs in the developing countries. The absence of efficiently operating rural financial markets is a serious constraint on sustainable rural MSMEs development in the developing countries. Financial access by MSMEs increases income through productive investment and helps to create employment opportunities through increase in MSMEs activities (CGAP, 2009).

To diagnose the problems militating against MSMEs in Nigeria, the Small and Medium Enterprise Development Agency of Nigeria (SMEDAN) and National Bureau of Statistics (NBS) in 2010 and 2013 conducted a nationwide survey on MSMEs, which found among many other things that access to credit is the top priority areas of assistance that the MSMEs need and want. Also, Peter Bamkole, Director of Enterprise Development Centre, Pan-Atlantic University, listed six broad constraints that limit the growth of MSMEs in Nigeria using "MISFIT" acronym to represent problems of access to Market; Infrastructure; Support services; Finance; Information; and Technology. He however submitted that of the six constraints, access to finance is of high priority (KPMG, 2014).

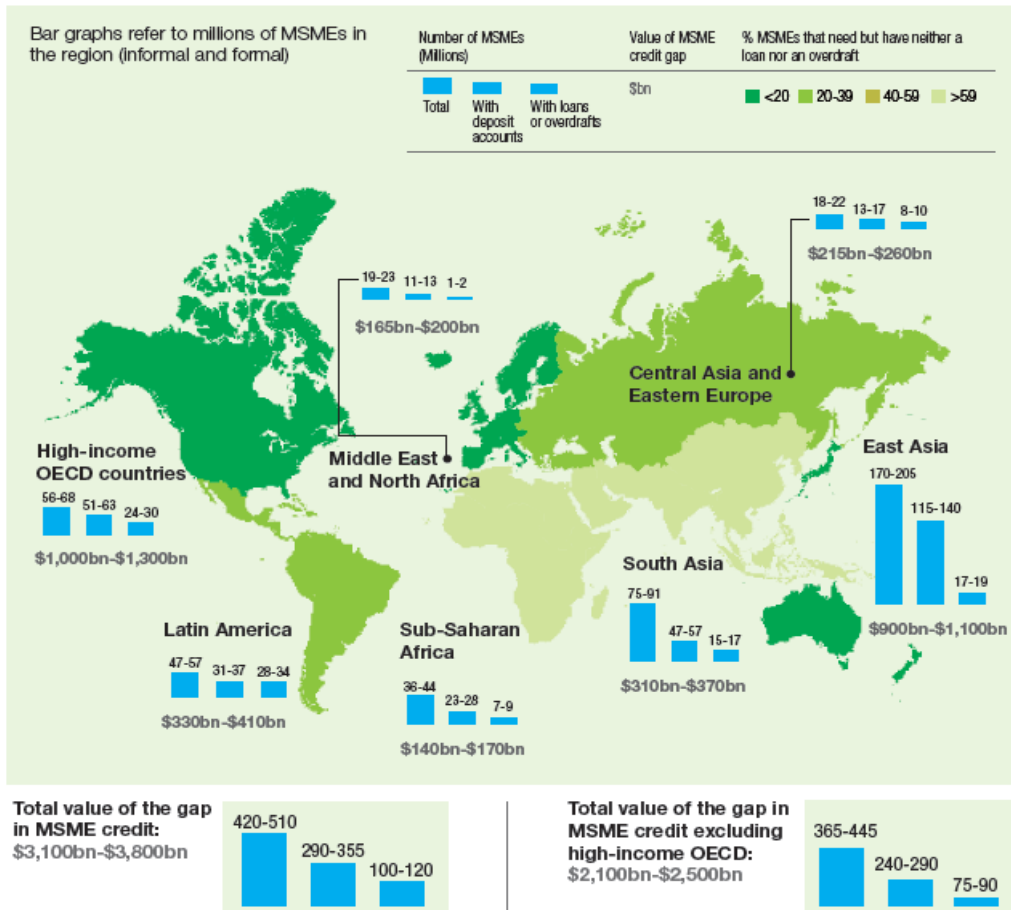
In accessing finance, the most preferred external source of finance for MSMEs is debt-financing option as explained by pecking order theory (Myers and Majluf, 1984) because of the ownership independence and other characteristics it offers. Commercial banks offer the highest chunk of debt finance in any economy (Abe et. al., 2012). Bank lending to MSMEs is not without challenges. High transaction and administrative costs stemming from problems of asymmetric information and high-risk perception, and lack of collateral remain major constraints of MSMEs access to appropriate external financing. According to CGAP (2009), the main reasons Nigeria MSMEs gave for not applying for loans from the bank were:

- i. Cumbersome application procedures;
- ii. High interest rate
- iii. Inaccessible collateral requirement; and
- iv. Loan terms (maturities) are much shorter than what MSMEs require.

The Nigerian government and all the stakeholders have a lot of work to do in this area. The starting point is developing a wholesome credit guarantee scheme that will allay the fear of the commercial banks from granting credit to the small businesses and ease the burden of access to credit for the small businesses.

The problem of access to finance for small businesses is not peculiar to Nigeria alone, it is a global phenomenon. However, it is worse in some region than the other. Unfortunately, African region is one of those regions worse-off. Dalberg (2011) shows that MSMEs in Africa and South Asia suffers the greatest credit gap in the world, has shown in the figure 6. Over 50% of MSMEs in Africa and south Asia have no access to financial credit. Credit gap for MSMEs in Sub-Saharan Africa alone is valued to be between 140 and 170 billion U.S. dollars. This clearly demonstrates that access to finance is a source of perennial problems to MSMEs growth in Africa and Nigeria in particular.

**FIGURE 6: WORLD MSMEs CREDIT GAP**

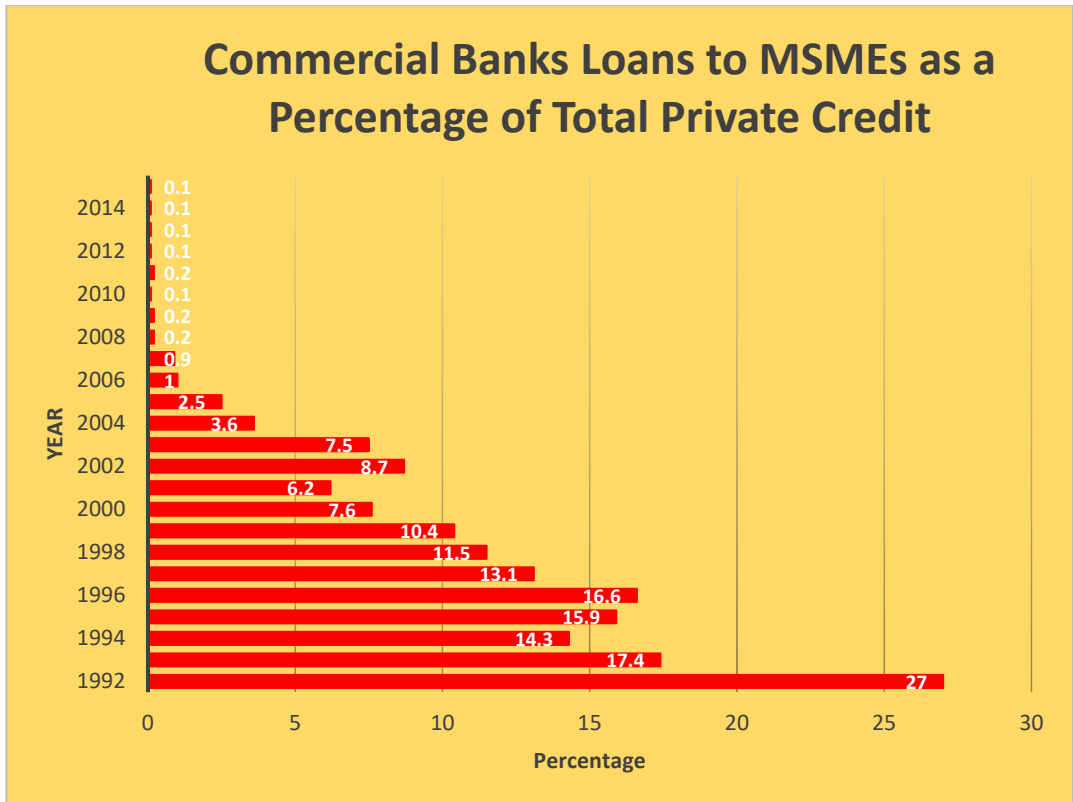


Source: Dalberg SME briefing paper (2011)

Also, the data obtained from the Central Bank of Nigeria (CBN) Statistical Bulletin in Figure 7 shows that the percentage of credit to MSMEs has continued to decline. In 1991, 28% of commercial bank credits financed MSMEs and this has dropped to 0.1% by 2015. With this decline, one might argue that there are increasing alternative sources of finance for MSMEs. However, MSMEs in Nigeria are complaining of lack of access to finance than ever before, which shows the problem is apparent. In addition, banks remain the largest source of credit in any economy.



FIGURE 7: COMMERCIAL BANKS CREDIT TO MSMEs AS A PERCENTAGE OF TOTAL PRIVATE CREDIT



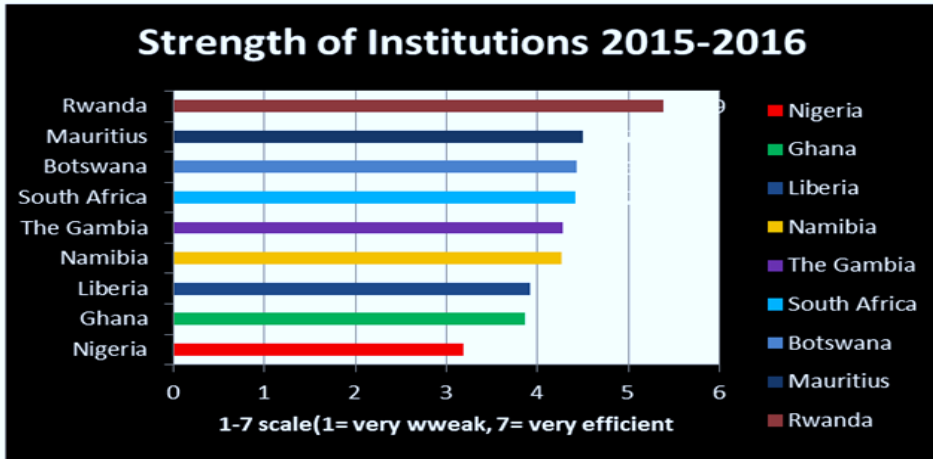
Source: CBN Statistical Bulletin (2013)

### Weak Institutions

Quoting the words of the United Nations Office on Drugs and Crime (UNODC) executive director that says 'investing in justice systems and the rule of law were prerequisites for long-term prosperity'. Weakness of the government institutions is the ineffectiveness and selfishness of responsible authorities to enforce the laws and hold people accountable for their actions and inactions, and the continue passiveness of the masses. This accounts almost wholly the abysmal state of government and economic malaise Nigeria has trapped itself.

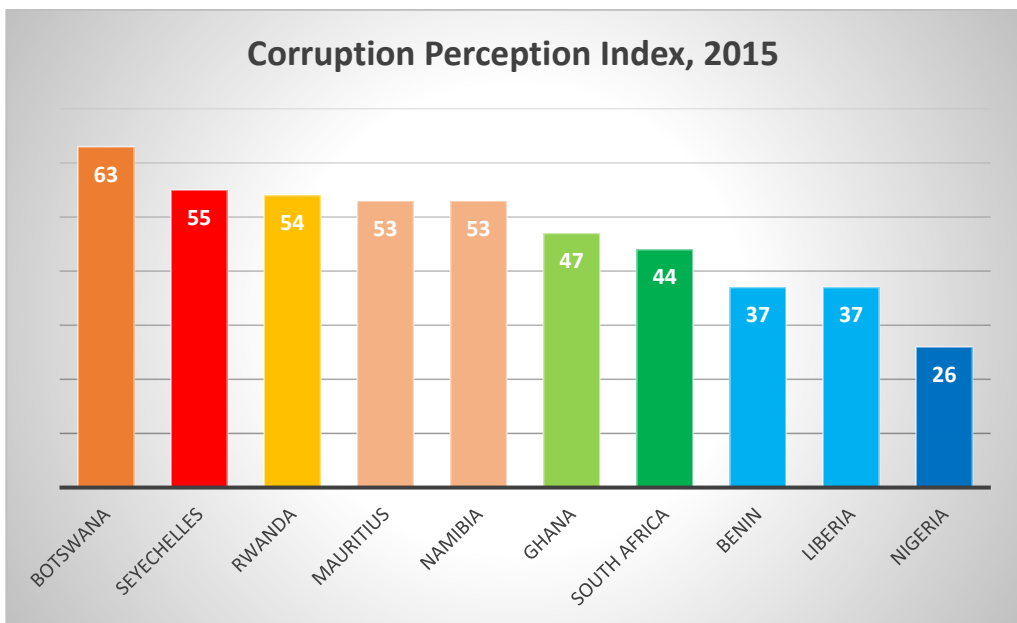
Weak institution can create an environment that reduces motivation and productivity. For example, any economy that is characterized by high presence of informal sector is always a sign of weak government institutions. For institutions to be efficient, there must be strict enforcement of the rule of law. The impact of the weak state institutions on the economy can be felt through the absence of guarantee on property and contract rights, as well as poor administrative capacity plagued with rent-seeking civil service. When property and contract rights are not well defined or properly enforced, there is bound to be disequilibrium in the market giving rise to unemployment or stagnation in the economy (Chowdhury, 1999). A study conducted by the World Bank (2006) indicated that Nigeria rank 152 out of 155 in registering property. The weakness in the government institutions is badly hurting the Nigerian economy, not allowing the economy to take its proper position in the committee of nations as depicted in the figures 8 and 9.

FIGURE 8: BENCHMARKING THE STRENGTH OF NIGERIA'S INSTITUTIONS AGAINST THE TOP PERFORMANCE IN SUB-SAHARAN AFRICA FOR 2015-2016.



Source: World Economic Forum, 2015

FIGURE 9: PERCEPTION OF CORRUPTION FOR SELECTED COUNTRIES IN SUB-SAHARAN AFRICA.



Source: Transparency International, 2015

### Globalization (Dumping)

Trade liberalization currently enforced by the World Trade Organization (WTO) from the Uruguay Round Table Agreement of 1993 (it concluded in 1993, but took seven years), has a negative effect on the weak developing country like Nigeria where the access to basic infrastructure is almost none existence. There is an unequal technological strength among nations and this is not providing a fair level ground for competition. This has resulted in the weak technological nations been completely over-ride by the well-advanced economies. In Nigeria, the ailing industries are collapsing on a daily basis, because they do not have the strength to compete with the industries operating in a more efficient system

where all the infrastructure are working efficiently. Nnabuile *et.al.* (2014) reported that the Nigerian economy is vulnerable to the pressures of imported goods that could otherwise be produced locally.

Pack (1993) in his study 'Productivity and Industrial Development in the sub-Saharan Africa', found that the prevalent high domestic resources cost, seriously reduces the competitive strength of sub-Saharan African countries.

### **Literature review**

There is a general consensus that MSMEs is important for both economic and social development in any economy, especially the developing economies. From the economic perspectives, MSMEs provide many benefits (Advani, 1997). MSMEs have been recognized as the engines through which the growth objectives of developing countries can be achieved (Abor and Biekpe, 2006). MSMEs is the main source of job and employment creation and output growth, not only in the developing countries but also in the developed countries (Tambuana, 2006). It is acknowledged in countries like Australia, Canada, France and Germany that MSMEs are the important engine of economic growth and technological progress (Thornburg, 1993).

There are three major paradigm of stand on MSMEs output and the economic growth. They are the classical theory, the Flexible Specialization thesis and lastly, the Pro-SMEs Policy Thesis.

### **Classical Theory**

The classical theory thesis is found in the seminal articles of Hoselitz (1959), Staley Parker (1979) and Anderson (1982) among others. Hoselitz (1959) study on Germany industrialization, found that the early stage of industrial development in Germany, were manufacturing outfit that were characterized by artisans and craftsmen, in small production units. This artisans and craftsmen metamorphosed into large size enterprise with more modern technology, and the smaller and traditional units of production fizzle. On this premise, Parker (1979) and Anderson (1982) developed a general growth phase topology on the size pattern of firms by region and over time in the less developed countries. It was believed that the enterprises in the developed countries had generally become large firms over-time and that the less developed countries will witness such growth pattern. However, the current structure of enterprise in the developed countries shows that small businesses are still actually the engine of growth in those countries has submitted by Thornburg (1993).

### **Flexible Specialization Theory**

The theory of Flexible Specialization is a strategic mode of customized production of goods as against massed production. It is subject to incessant changes and is based on the flexible use of the factors of production such as multi-user equipment as well as specialized skilled and innovative workers in a post-industrial revolution era where competition only rewards innovation. This theory was pioneered by Piore and Sabel in their 1984 seminal work titled "The second Industrial Divide: Possibilities for prosperity". They argued that due to market saturation, declining productivity levels and a spike in market structural stability there has been a paradigm shift from the Fordist mode of mass production to the non-Fordist. This was occasioned by the proliferation of flexible specialization with customized forms of production such as craftsmanship, fashion and the information technology, which is dominated mostly by small and medium scale enterprises. Examples of Small businesses in craft-based industrial regions can be found in Silicon Valley, New York City garment's district, as well as other similar clusters in Italy, Japan, Germany and Austria.

The main crux of the flexible specialization thesis vis-à-vis MSMEs is centred on the argument that MSMEs growth can favourably compete and even outperform Large Enterprises' in certain sectors of the economy. This is especially true for firms in the Information and Communication Technology sector that heavily rely on changing innovation and efficiency. This view that small and younger firms grow more rapidly over large firms as they strive to sufficiently accumulate resources to enable them withstand any external shocks has been collaborated by a number of studies (see Smallbone and North, 1995; Smallbone and Wyer, 2000; Heinonen et al., 2004). It also enforces the views of Joseph Schumpeter (1942) who was one of the earliest scholars to emphasize the socio-economic importance of small firms as the prime agents of innovations and economic growth. This suggests that the importance of small businesses in any economy cannot be overemphasized.

### **Pro-SMEs Policy Thesis**

The development institutions, as well as the development finance practitioner are the advocate of small businesses promotion. This is hinge on the premise that small businesses enhance competition and it is the bedrock of

entrepreneurship as well as innovation. It is a source of employment and income for a sizeable proportion of the population and it significantly contribute to output and economic growth in an economy (World Bank, 1994, 2002 and 2002).

### Empirical Literature Review

So many works have been done to determine the impact of MSMEs on the economy output both in the developed and developing countries alike. The work of Beck *et. al.* (2003), provided the first robust cross-country analysis on SMEs and economic growth and found a positive relationship between SMEs output growth and economic growth. Also, Beck and Demircuc-Kunt explores the relationship between the relative sizes of small businesses and economic growth, as well as the impact of small businesses in poverty alleviation and found a strong positive relationship between small businesses and economic growth, but that there was no evidence of a causal link between small businesses and economic growth, and found no evidence of small businesses alleviating poverty or reducing income inequality. This shows that small businesses have positive impact on the economic growth, and that economic development creates a natural place for development and growth of enterprises of all sizes and to make small business to flourish, there is the need to encourage economic development in all ramification. Tambunan (2006) in his work 'Micro, Small and Medium Enterprises and Economic Growth', following from the work of Beck *et.al* (2003), also found a positive relationship between small businesses output growth and economic growth for seventeen selected Asian-Pacific countries. Hu (2010) analyses of 37 datasets of both developed and developing countries found that small businesses contribute to economic growth. However, IFC (2013) found that microenterprise firms have the least productivity growth rate among all types of firm sizes and that this cut across all the sectors of the economy as well as across regions and country income groups. At a country specific level, Bee Yan Aw (2001), found in Taiwan, China that firm grows because they are more productive. The study also show that productivity-size relationship has a built-in virtuous circle. The problem with this study is that there is an optimum size for any enterprise, with which they become less productive. Also, there are some kind of services that cannot enable the firm to grow as the study rightly demonstrated that some sectors are characterised by high presence of small businesses such as fabricated metals and nonelectrical industries. Some firms' product requires personal services which already place such firms in a position in which they cannot grow.

Most of the empirical studies in Nigeria (Opafunso & Adepoju (2014), Muritala *et.al.* (2012), Okpara & Wynn (2007)) did not establish MSMEs productivity. It is in this light we are contributing to the empirical study on the MSMEs output growth rate in the Nigerian economy. Opafunwa & Adepoju (2014) used a survey on Ekiti state, found a relationship between MSMEs and poverty reduction in Nigeria. Muritala *et.al.* (2012) also used a survey on Ogun state to analyze all constrain affecting the growth of MSMEs in Nigeria. Okpara & Wynn (2007) also used a survey on 400 MSMEs to analyze all constrain affecting MSMEs growth in Nigeria.

### DESCRIPTION OF THE DATA

This study employed the 2007, 2010 and 2014 World Bank Enterprise Survey data on Nigeria. The data is a stratified multi-stage random sampling, comprising of geographically enumerated areas and cutting across many sectors of the economy. The survey after cleaning comprises of 952 data set for year 2007 survey of which 749 were small enterprise, 181 medium enterprises and 22 were large enterprise. The year 2010 survey comprises of 2740 data set of which 1798 were small enterprise, 836 were medium enterprise and 106 were large enterprise. The year 2014 survey contains 1306 data set after cleaning of which 128 were micro, 717 were small, 358 were medium and 103 were large enterprise. By the enterprise survey definition, which is along employment in the firms, micro enterprise employee less than 5 number of employees, small enterprise with between 5 and 19 employees, medium enterprise of between 20 and 99 employees, and large enterprises of 100 and above employee size.

This survey contains two-point output information for each enterprise surveyed. This gave us the opportunity to compare each firm size output for two periods. For the 2007 survey, we have information on each firms output for 2006 and 2003. For 2010 survey, there is information for each firms output in 2008 and 2002 and finally for 2014, we have information for each firm output in 2009 and 2012. Any firm that does not provide information for the two-point period were not used. This enabled the identification of the productivity growth rate for each of the enterprise (micro, small, medium and large enterprise) in the Nigerian economy.

Like we said earlier, output growth in MSMEs or any enterprise can be identified from three sources namely: increase in the number of establishment (taking into consideration that the number of employee and output of the existing firms remain constant), increase in the number of employees (with the number of firms and labour productivity held constant),

increase in the output or productivity, which can be term efficiency (holding constant the number of firms and employee in each firm) or the combination of the three factors. This study will basically be limited to the last source, increase in the output or productivity of the firms, due to the nature of the data used and the essence of the study.

Our non-parametric variance analysis uses the locally-weighted scatterplot smoothing (LOWESS) method proposed by Cleveland (1979) and modified by Neumark, Wall and Zhang, (2008).

**Step 1:** Let  $y_i$  be the output growth rate of observation  $i$  (an establishment over a two-year period),  $x_i$  the size of observation  $i$  measured using average size definition, and  $N$  the total number of observations. The standard implementation of locally-weighted mean smoothing would proceed as follows. Order the data such that  $x_i \leq x_{i-1}$  for all  $i = 1, \dots, N-1$ . For each  $y_i$ , choose the subset of the data that is indexed by  $i- = \max(1, i-k)$  through  $i- = \min(i+k, N)$ , where  $k = \lfloor (N \cdot h - 0.5) / 2 \rfloor$  and  $h$  is the pre-specified bandwidth that indicates the proportion of the data used in the calculation of the smoothed value  $\hat{y}_i$ . Choose a function that assigns a weight  $w_j$  to each observation  $j=i-, \dots, i-$ ; observations outside of this range are given no weight. For example, one may choose a tri-cubic weight function (the kernel), in which case the smoothed value  $\hat{y}_i$  is calculated as:

$$\hat{y}_i = \frac{\sum_{j=i-}^{i+} (w_j \cdot y_j)}{\sum_{j=i-}^{i+} (w_j)}, \text{ where } w_j = \left(1 - \left(\frac{x_j - x_i}{\Delta}\right)^3\right)^3 \text{ and } \Delta = 1.0001 \cdot \max(x_i - x_i, x_i - x_i).$$

**Step 2:** Given a repeated value for many observation, this first method is computationally infeasible. It would involve calculating repeated weighted average. Instead, we utilize the following method where we first compute an average value  $y$  for each unique value of  $x$ , and then calculate a smoothed value  $\hat{y}_i$  from the reduced dataset.

We use the following procedure. First, order the data such that  $x_i \leq x_{i+1}$  for all  $i = 1, \dots, N-1$ . For each unique value of  $x_i$ , create a  $z_i = x_i$ . Let the total number of  $z$  be  $M$  and order all of them such that  $z_i < z_{i+1}$  for all  $i = 1, \dots, M-1$ . The, let  $y_i = \frac{\sum_{y_i \in \tilde{Y}_i} y_i}{C(\tilde{Y}_i)}$  for all  $i = 1, \dots, M$ , where  $\tilde{Y}_i = \{(y_i, x_i) : (x_i = z_i)\}$  and  $C(\tilde{Y}_i)$  is the cardinality of  $\tilde{Y}_i$ . Now we apply the standard smoothing procedure to the observations  $(y_i, z_i)$ , except that the weight function is adjusted using frequency of  $y_i$ . Again using a tri-cubic weight function, this amounts to calculating the following smoothed value:

$$\hat{y}_i = \frac{\sum_{j=i-}^{i+} (w_j \cdot y_j)}{\sum_{j=i-}^{i+} (w_j)} \text{ where } w_j = C(\tilde{Y}_i) \cdot \left(1 - \left(\frac{x_j - x_i}{\Delta}\right)^3\right)^3.$$

These two methods essentially use the same information in the data although they usually assign slightly different smoothed values to different observations. Whereas the standard method gives multiple predicted values for each  $z_i$  in cases where there is multiple  $x_i$  such that  $x_i = z_i$ , our method only returns one predicted value per unique value of  $x$ .

## Data Analysis

This result start with the descriptive statistics for the three enterprise survey data point used. The 2007 data set descriptive statistics summary will be presented first, followed by 2010 and finally that of 2014. For 2007 dataset, 2006 fiscal year output and 2003 fiscal year output were surveyed for Large, Medium and Small enterprises. The dataset for 2007 and 2010 does not have provision for Microenterprise. For 2010 dataset, 2008 and 2002 fiscal year output were surveyed. Finally, for 2014, 2012 and 2009 fiscal output were surveyed.

**Table 1: Year 2007 Dataset Descriptive Statistics Summary**

Indicators	LARGE FIRMS		MEDIUM FIRMS		SMALL FIRMS	
	2006	2003	2006	2003	2006	2003
Mean	7.85E+08	4.67E+08	5.59E+09	1.32E+10	2.42E+09	3.34E+09
Median	7900000	5500000	5000000	2800000	3500000	2000000
Maximum	7.00E+09	6.23E+09	3.50E+11	1.00E+12	4.00E+11	6.73E+11
Minimum	70000	100000	20000	15000	2011	2013
Std. Dev.	1.97E+09	1.37E+09	3.54E+10	9.12E+10	2.42E+10	3.31E+10
Skewness	2.456927	3.63191	7.587181	8.807118	13.45286	14.52027
Kurtosis	7.45904	15.5064	64.0309	86.933	199.1812	253.586
Jarque-Bera	40.35993	191.7419	29827.53	55469.03	1223710	1985995
Probability	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
Sum	1.73E+10	1.03E+10	1.01E+12	2.39E+12	1.81E+12	2.50E+12
Sum Sq. Dev.	8.18E+19	3.96E+19	2.26E+23	1.50E+24	4.37E+23	8.20E+23
Observations	22	22	181	181	749	749

Source: Computed by the Author

**Table 2: Year 2010 Dataset Descriptive Statistics Summary**

Indicators	LARGE FIRMS		MEDIUM FIRMS		SMALL FIRMS	
	2008	2002	2008	2002	2008	2002
Mean	2.43E+09	1.93E+07	7.16E+07	5.11E+07	16019299	1.08E+08
Median	4.87E+08	8000000	28002000	6000000	6000000	8637700
Maximum	3.20E+10	4.26E+08	4.68E+09	9.10E+09	3.85E+09	1.90E+10
Minimum	35500000	1400000	2200000	180000	170000	30000
Std. Dev.	5.41E+09	5.12E+07	2.08E+08	4.13E+08	95751067	8.68E+08
Skewness	3.479888	6.742702	14.31771	16.26742	36.10583	15.56496
Kurtosis	15.52473	49.80788	293.6297	312.2994	1433.48	272.6897
Jarque-Bera	906.774	10480.02	2970781	3369242	1.54E+08	5521477
Probability	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
Sum	2.58E+11	2.04E+09	5.99E+10	4.27E+10	2.88E+10	1.94E+11
Sum Sq. Dev.	3.07E+21	2.75E+17	3.62E+19	1.42E+20	1.65E+19	1.35E+21
Observations	106	106	836	836	1798	1798

Source: Computed by the Author

**Table 3: Year 2014 Dataset Descriptive Statistics Summary**

Indicators	LARGE FIRMS		MEDIUM FIRMS		SMALL FIRMS		MICRO FIRMS	
	2012	2009	2012	2009	2012	2009	2012	2009
Mean	3.88E+10	1.73E+07	2.00E+09	4.47E+07	4.24E+08	3.96E+09	19338651	30590141
Median	55000000	1.90E+06	4000000	3000000	1250000	5000000	900000	1900000
Maximum	1.00E+12	6.42E+08	2.75E+11	3.00E+09	2.75E+11	4.00E+11	9.01E+08	2.60E+09
Minimum	450000	3000	70000	20000	1000	20000	40000	5000
Std. Dev.	1.40E+11	6.70E+07	1.91E+10	2.39E+08	1.03E+10	3.04E+10	1.02E+08	2.34E+08
Skewness	4.910346	8.202764	11.2657	9.348262	26.65738	10.02847	7.480065	10.54741
Kurtosis	28.97615	75.44322	140.4898	100.04	712.6994	111.8959	59.99643	115.7505
Jarque-Bera	3309.761	23677.82	289548.9	145680.9	15132157	366285.1	18519.46	70174.21
Probability	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
Sum	4.00E+12	1.79E+09	7.14E+11	1.60E+10	3.04E+11	2.84E+12	2.48E+09	3.92E+09
Sum Sq. Dev.	2.00E+24	4.58E+17	1.30E+23	2.04E+19	7.56E+22	6.62E+23	1.32E+18	6.95E+18
Observations	103	103	358	358	717	717	128	128

Source: Computed by the Author

### Result

The result for the analysis shows a consistent negative productivity growth rate for small business throughout the analyses of the annual fiscal sales. Whilst the result of the analysis of the annual fiscal sales obtained from the 2007 survey shows a sharp fall in output productivity growth rate of 27.35% and 57.76% for both small and medium-scale enterprises respectively between the period of 2006 and 2003, the reverse is the case for large firm as they recorded a positive productivity growth rate of 147.05% during the same period. For 2010 survey data analysis, it was only small firm that had a negative output growth rate of 27.36%, between 2008 and 2002, while medium and large enterprise recorded a positive output growth rate of 40.13% and 12531.81% respectively. Similarly, the 2014 data shows that micro and small firms reordered negative growth rate of 36.78% and 89.29% respectively between 2012 and 2009, while medium and large firm recorded positive growth of 4363.33% and 223750.97% respectively. This result clearly demonstrates that small business in Nigeria has a low productivity rate. This is in tandem with the findings of IFC (2013) that microenterprise firms have the least productivity growth rate amongst firms of all sizes.

TABLE 4: YEAR 2007 DATASET ANALYSIS

FIRM SIZE	INDICATORS	YEAR 2006	YEAR 2003	DIFFERENCE	PERCENTAGE DIFFERENCE
		Y = 2006	X = 2003	R = Y - X	P = (R/X)100
FIRM SIZE	SMALL	1.81482E+12	2.49846E+12	-6.8365E+11	-27.36
	MEDIUM	1.01098E+12	2.39368E+12	-1.3827E+12	-57.76
	LARGE	17264200000	10276044000	6988156000	68.00

Source: Computed by the Author

TABLE 5: YEAR 2010 DATASET ANALYSIS

FIRM SIZE	INDICATORS	YEAR 2008	YEAR 2002	DIFFERENCE	PERCENTAGE DIFFERENCE
		Y = 2008	X = 2002	R = Y - X	P = (R/X)100
FIRM SIZE	SMALL	28802699353	1.94013E+11	-1.6521E+11	-85.15
	MEDIUM	59869445541	42723808600	17145636941	40.13
	LARGE	2.57752E+11	2040500000	2.55712E+11	12531.81

Source: Computed by the Author



TABLE 6: YEAR 2014 DATASET ANALYSIS

INDICATORS		YEAR 2012 Y = 2012	YEAR 2009 X = 2009	DIFFERENCE R = Y - X	PERCENTAGE DIFFERENCE P = (R/X)100
FIRM SIZE	MICRO	2475347350	3915538000	-1440190650	-36.78
	SMALL	3.04021E+11	2.83768E+12	-2.5337E+12	-89.29
	MEDIUM	7.14223E+11	16002022800	6.98221E+11	4363.33
	LARGE	3.99639E+12	1785291900	3.99461E+12	223750.97

Source: Computed by the Author

We further did a robust analysis on the 2014 survey data set by disaggregating the data into subsector to determine sectoral productivity levels. We found that micro firms in the garments subsector are most productive as they show a positive output growth rate of 6,696.95%. The next productive subsector for micro enterprises is hotel and restaurants with output growth rate of 547.37%. This is followed by the furniture subsector that recorded output growth rate of 539.38%. This confirm the flexible specialization theory that advocate that one of the reason for the continuous existence of small businesses was because of customers' choice of customized forms of production. The least productive subsector for micro enterprises is the electronics industry which recorded a negative 95.83% output growth rate.

For small firms, the most productive industry is the wholesale trade subsector that witnessed an increase in output growth rate to the tune of 2,433.11%, this clearly demonstrates wholesale subsector to be the best space for the small firms. The garment and textile industries are next most productive subsectors for small enterprises in Nigeria. The garment recorded an output growth rate of 240.9% and the textile subsector experienced a growth rate of 229.24%. However, both the information technology (IT) and the machinery and equipment subsectors witnessed a sharp decline in output growth rate comprising 100% and 99.99% drop respectively. The decline witnessed in these sectors could be the effect of competition on small firms due to the huge capital outlay required to compete favourably in these industries.

For the medium firms, the most productive subsector is the fabricated metal products industry that witnessed an increase in output growth rate to the tune of 104,026.42%. The hotel and restaurants industry is next most productive subsectors for medium-scale enterprises in Nigeria. The hotel and restaurant industry recorded an output growth rate of 43,644.71%, while the furniture subsector experienced a growth rate of 8156.24%. However, the Chemicals, Transport and Plastic and Rubber subsectors all witnessed a sharp decline in output growth rate comprising 97.37%, 91.80% and 78.93% respectively. With the result obtained, we have been able to properly classify the heterogeneous MSMEs into diverse segmentations for any targeted interventions such as income stabilization policy, employment creation and productivity increase, etc.

**TABLE 7: YEAR 2014 SUBSECTOR ANALYSIS FOR MICRO FIRMS**

SECTORS		MICRO			
SUB-SECTOR		Y = 2013	X = 2010	R = Y - X	P = (R/X)100
MANUFACTURING	FOOD	1050000	3270000	-2220000	-67.89
	TEXTILES	3640000	2151000	1489000	69.22
	GARMENTS	9.34E+08	13748000	9.21E+08	6696.95
	CHEMICALS	-	-	-	-
	PLASTIC & RUBBERS	-	-	-	-
	NON-METAL MINERAL PRODUCTS	63600000	25970000	37630000	144.90
	BASIC METALS	1250000	700000	550000	78.57
	FABRICATED METAL PRODUCTS	31392000	70600000	-3.9E+07	-55.54
	MACHINERY & EQUIPMENT	300000	350000	-50000	-14.29
	ELECTRONICS	500000	12000000	-1.2E+07	-95.83
	FURNITURE	2.13E+08	33345000	1.8E+08	539.38
SERVICES	WHOLESALE	55280000	53050000	2230000	4.20
	RETAIL	8.81E+08	2.77E+09	-1.9E+09	-68.22
	IT	1740000	2800000	-1060000	-37.86
	HOTEL & RESTAURANTS	1.65E+08	25500000	1.4E+08	547.37
	OTHER SERVICES	10350000	2.17E+08	-2.1E+08	-95.23
OTHERS	CONSTRUCTION	100000	120000	-20000	-16.67
	TRANSPORT	6580000	15870000	-9290000	-58.54

Source: Computed by the Author

**TABLE 8: 2014 SUBSECTOR ANALYSIS FOR SMALL FIRMS**

SECTORS SUB-SECTOR	SMALL				
	Y = 2013	X = 2010	R = Y - X	P = (R/X)100	
MANUFACTURING	FOOD	7.53E+08	1.42E+12	-1.4E+12	-99.95
	TEXTILES	3.1E+09	9.42E+08	2.16E+09	229.24
	GARMENTS	1.12E+10	3.29E+09	7.93E+09	240.97
	CHEMICALS	8300000	1.1E+09	-1.1E+09	-99.25
	PLASTIC & RUBBERS	30050000	2.18E+11	-2.2E+11	-99.99
	NON-METAL MINERAL PRODUCTS	6.63E+08	1.31E+11	-1.3E+11	-99.50
	BASIC METALS	830000	3.6E+08	-3.6E+08	-99.77
	FABRICATED METAL PRODUCTS	3.62E+08	1.47E+09	-1.1E+09	-75.32
	MACHINERY & EQUIPMENT	1500000	1E+10	-1E+10	-99.99
	ELECTRONICS	2.2E+08	46700000	1.73E+08	370.02
	FURNITURE	5.18E+08	2.81E+10	-2.8E+10	-98.16
SERVICES	WHOLESALE	2.76E+11	1.09E+10	2.65E+11	2433.11
	RETAIL	3.08E+09	5.88E+09	-2.8E+09	-47.66
	IT	11790000	2.45E+11	-2.5E+11	-100.00
	HOTEL & RESTAURANTS	2.11E+09	3.2E+10	-3E+10	-93.39
	OTHER SERVICES	2.36E+09	3.77E+10	-3.5E+10	-93.74
OTHERS	CONSTRUCTION	90450000	7.1E+10	-7.1E+10	-99.87
	TRANSPORT	1.9E+08	1.13E+10	-1.1E+10	-98.32

Source: Computed by the Author

**TABLE 9: 2014 SUBSECTOR ANALYSIS FOR MEDIUM FIRMS**

SECTORS SUB-SECTOR	MEDIUM				
	Y = 2013	X = 2010	R = Y - X	P = (R/X)100	
MANUFACTURING	FOOD	1.58E+09	2.25E+09	-6.8E+08	-30.10
	TEXTILES	2.01E+09	3.12E+08	1.7E+09	545.80
	GARMENTS	1.27E+09	46550000	1.22E+09	2619.14
	CHEMICALS	11400000	4.33E+08	-4.2E+08	-97.37
	PLASTIC & RUBBERS	4340000	20600000	-1.6E+07	-78.93
	NON-METAL MINERAL PRODUCTS	5.88E+09	4.65E+08	5.41E+09	1163.73
	BASIC METALS	2.06E+08	33920000	1.72E+08	506.87
	FABRICATED METAL PRODUCTS	1.01E+11	97105000	1.01E+11	104026.42
	MACHINERY & EQUIPMENT	3500000	1450000	2050000	141.38
	ELECTRONICS	7000000	4000000	3000000	75.00
	FURNITURE	1.41E+11	1.71E+09	1.4E+11	8156.24
SERVICES	WHOLESALE	9.53E+08	2.93E+08	6.6E+08	225.24
	RETAIL	1.79E+10	1.09E+09	1.68E+10	1543.98
	IT	10300000	16100000	-5800000	-36.02
	HOTEL & RESTAURANTS	2.75E+11	6.29E+08	2.75E+11	43644.71
	OTHER SERVICES	2.37E+09	3.86E+09	-1.5E+09	-38.55
OTHERS	CONSTRUCTION	8.95E+08	1.78E+09	-8.8E+08	-49.59
	TRANSPORT	2.17E+08	2.64E+09	-2.4E+09	-91.80

Source: Computed by the Author

## CONCLUSION AND RECOMMENDATION

This research uses three World bank enterprise survey data for Nigeria to examines the extent of MSMEs output contribution to productivity growth rate in the Nigerian economy. The study also explores the factors that constrain MSMEs output shares, output composition, market orientation and location in Nigeria. Some of the factors identified include huge infrastructural gap, inadequate institutional support and low access to credit. The resultant effect is a low investment commitment amongst MSMEs thus hampering the output expansion of small businesses in the Nigerian economy.

This study empirically measures MSMEs productivity growth rate using annual sales of firms from the World bank enterprise survey data for Nigeria. This research employs the non-parametric variance estimation using the locally-weighted scatterplot smoothing (LOWESS) method on three sets of two-points data (2006 and 2003, 2008 and 2002, and finally 2012 and 2009) of annual fiscal sales for each category of firms comprising micro, small, medium and large firms. The result shows that the small businesses have a negative productivity growth rate in Nigeria. The result is in line with IFC (2013) which found small businesses to have the least productivity growth rate amongst firms of all sizes. However, this study departs from IFC findings which states that small businesses' low productivity is tenable across all the sectors of the economy. We found that small businesses actually recorded high productivity growth rate in some subsectors of the economy that specializes in product customization such as garment and furniture. Therefore, this study validates the flexible specialization theory of Piore and Sabel (1984) that emphasizes the economic importance of MSMEs in the post-industrial era where product customization is the new order of production.

The policy implication of this study is that any targeted intervention in the MSMEs sector designed to increase productivity, must be channeled into the subsector with the most employee specialization as well as product customization. Also, drawing from a synthesis of the Flexible specialization theory and Pro-SME policy thesis, MSME

production hubs similar to what is done in Silicon Valley and New York's garment district should be encouraged as this can help spur MSME output because it prompt easy knowledge transfer and skill adaptation.

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## Utilization Patterns of Anti-Asthmatic Drugs Use in Albania During 2004-2014

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### Abstract

**Aim:** To evaluate the patterns of use of the out-of-hospital Anti-Asthmatic drugs in Albania during the period 2004-2014. **Methods:** The study was retrospective and we analyzed the prescription and consumption of these drug classes in the primary health care in Albania during 2004-2014. All data were collected from Health Insurance Institute (HII)<sup>[1]</sup> and analysed reflecting the ambulatory and outpatient use for the period 2004-2014. The data about the consumption of drugs were expressed as a number of Defined Daily Dose (DDD) /1000 inhabitants/day. Utilization was measured in DDD/1000 inhabitants/day and was also compared with Bronchial Asthma morbidity/1000 inhabitants, to understand the covering of the population from the reimbursement scheme. For all the period under study 2004-2014, there were collected and analysed the data of import and domestic production of drugs, which altogether represent the real consumption of drugs in the country. These data were subsequently included in a comparative analysis with the utilization data according to the HII. **Results:** The values of consumption of Anti-Asthmatic drugs were 6.62-8.48 DDD/1000 inhabitants/day respectively in 2004-2014. 2.14-3.76 DDD/1000 inhabitants/day constitute the consumption of beta2 agonists and 2.66-3.69 DDD/1000 inhabitants/day is the consumption of corticosteroids. In addition, it turns out that the consumption of beclometasone and the association Beta-2-mimetic-corticosteroids (salmeterol+fluticasone) based on HII data is superior to the consumption of this forms based on Import data, which cannot be true. This finding probably reflects fictive prescriptions and the entry of drugs by contraband. During some years of our study we notice that the consumption of Antiasthmatic drugs is higher than the morbidity level (cases/1000 inhabitants). **Conclusions** There is only a small increase in the national consumption of Anti-Asthmatic drugs during these years, but the values still remain very low in comparison with other countries. Less than 40% of the consumption of beta2 agonists is covered from the reimbursement scheme. In addition, it results that the scheme covers about 50% of antiasthmatic drugs consumption.

**Keywords:** Drug utilization, DDD, Anti-Asthmatic drugs, bronchial asthma

### 1. Introduction

Between 100 and 150 million people around the globe suffer from asthma and this number is rising. World-wide, deaths from this condition have reached over 180,000 annually <sup>[2]</sup>. Asthma is not just a public health problem for developed countries. In developing countries, however, the incidence of the disease varies greatly. Mortality due to asthma is not comparable in size to the day-to-day effects of the disease. Although largely avoidable, asthma tends to occur in epidemics and affects young people. The human and economic burden associated with this condition is severe. The costs of asthma to society could be reduced to a large extent through concerted international and national action. WHO recognizes asthma as a disease of major public health importance and plays a unique role in the co-ordination of international efforts against the disease.<sup>[2]</sup>

According to the detailed data deriving from physicians, in year 1997, in Albania, only 3% of the population resulted as affected from asthma. This figure today has reached 13%. Such difference indicated that the disease has returned and is being spread quickly, a situation that requires immediate intervention. The pediatric age is most at risk and more and more affected by asthma – 1 in every 4 children suffers from bronchial asthma <sup>[3]</sup>.

Based on studies performed in Albania as part of international studies (ECHRS, ISAAC), the prevalence of asthma for the age of 13-14 years old has resulted 2.6% in 1995 and has reached 3.4% in 2000. The study for year 2011, whose data are currently being elaborated, is expected to present a further increase in the prevalence, provided that Albania has now adopted a western method of living <sup>[3]</sup>.

The morbidity data referred from HII indicates that the number of Asthmatic patients in Albania (expressed in cases/1000 inhabitants) is 5.26-8.09 cases/1000 inhabitants, 2004-2014.

Although Bronchial Asthma cannot heal it can be cured and controlled.

Because asthma is a chronic condition, it usually requires continuous medical care.

The treatment is a major issue, especially in developing countries as Albania, where the high cost of medicine constraints patients to not obtain the treatment. A long and serious follow-up of asthma would enable patients to reach a good level of control over their disease.

## 2.Objective, Materials and Methods

### 2.1 Objective:

To evaluate the out-of-hospital Anti-Asthmatic drugs use in Albania during the period 2004-2014.

### 2.2 Materials and Methods:

The data were obtained from the HII. These data were collected and analysed for all the period 2004-2014.

The data included the total number quantities of drugs used from the prescriptions.

The population data were obtained from the Institute of Statistics (INSTAT)<sup>[4]</sup>. The consumption of drugs was expressed as a number of Defined Daily Dose (DDDs)/1000 inhabitants/day. All drugs were classified by groups of Anatomic Therapeutic Chemical Classification (ATC).

Data on the levels of Bronchial Asthma morbidity

From the database of HII we extracted the general number of patients reported with this diagnose, for each year. In addition, we calculated the respective levels of annual morbidity (based on the respective code-diagnoses) for 1000 inhabitants.

The total number of Asthmatic patients reported from the HII data base is shown in the table below:

Years	Number of Asthmatic patients
2004	16,597
2005	19,837
2006	17,572
2007	17,010
2008	17,795
2009	18,301
2010	22,636
2011	23,565
2012	24,910
2013	25,798
2014	26,936

Table1 Total number of Asthmatic patients reported from HII in each year of the study period

Data on real consumption (import and domestic production)

For all the period under study 2004-2011 there were collected and analysed data from the import and domestic production of the drugs,<sup>[5]</sup> which represent the real consumption of drugs in the country. It was noted that the increase in consumption from one year to another was small, e.g. the consumption from 2011 to 2014 (i.e. 4 years) was increased by only 1.97%. Consequently, in order to obtain an updated study, there were chosen the data of import and domestic consumption only for the last three years, 2012, 2013, 2014, and those were included in a comparative analysis with the equivalent consumption data according to HII. In order to minimize the effect of variations between consumption and stock inventory balances from one year to another, it was calculated and put to analysis the annual average value of the three chosen years (on one hand that of the import and domestic consumption, and on the other hand that of HII).

Presentation of the results and statistical elaboration



The database of HII was modified in Microsoft Office Excel 2007, whereas the statistical elaboration of the obtained results was conducted with the statistical package StatsDirect (version 2.7.2.). A descriptive statistics was used to report all data on drugs consumption and the results obtained were displayed in tabular form as well as through the histogram method.

Average annual values of consumption in the country level and for each district were used as a basis to generate the overviews and the graphics that illustrate the trends of consumption for each class of drugs during the 10-years period 2004-2014. The linear regression model was used to evaluate the trends of consumption of drugs relative to the time. A value of  $p \leq 0.05$  was considered as significant.

In order to assess if there exists a correlation statistically significant between the level of consumption of drugs and the level of morbidity, it was applied the Spearman correlation (with a significance level of  $\leq 0.05$ ).

### 3. Results

The data were expressed as a number of defined daily doses per 1000 inhabitants/day (DDDs/1000 inhabitants/day).

Drugs included in the reimbursement list are: aminophylline, beclomethasone, budesonide, fluticasone, formoterol, ipratropium, salbutamol, salmeterol, salmeterol+fluticasone, theophylline.

The consumption of AntiAsthmatic drugs results 6,62–8.48 DDD/1000 inhabitants/day (2004-2014). In addition the consumption of Beta2 agonists is 2,14–3.76 DDD/1000 inhabitants/day (2004-2014); corticosteroids: 2,66 –3.69 DDD/1000 inhabitants/day (2004-2014); **methylxanthines**: 1,74 - 1,33 DDD/1000 inhabitants/day (2004-2014).

Asthmatic morbidity data indicate that there does not exist a correlation statistically significant between this disease and the trend of consumption of Anti-Asthmatic drugs, ( $p = 0,6615$ ), (Figure 1).

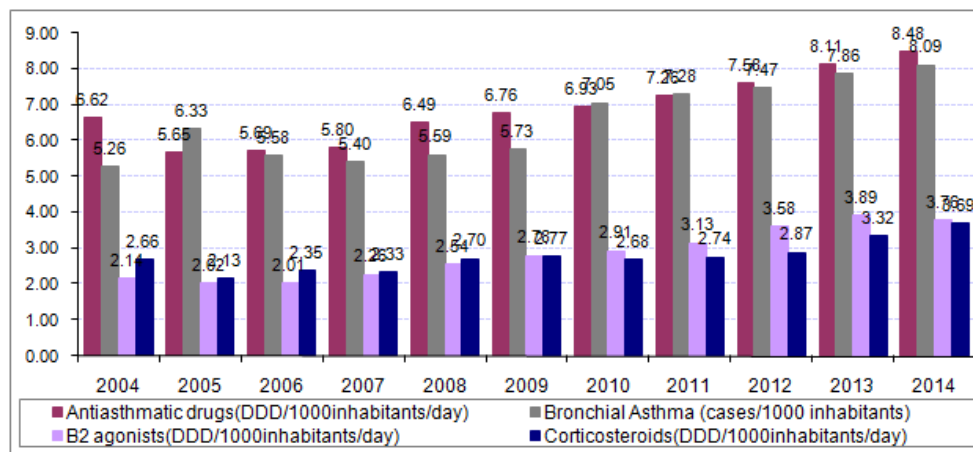


Figure 1 Consumption of Anti-Asthmatic drugs at the national level (DDD/1000 inhabitants/day) versus Bronchial Asthma morbidity (cases/1000 inhabitants); ( $p = 0,1928$ ; strength (with significance level  $\leq 0,05$ ) = 24,4%; correlation coefficient is not statistically significant).

The annual average value of drugs used for Asthma disease and the annual average value of consumption of each alternative, as a consumption from import (real actual consumption) versus the consumption reported by HII (DDD/ 1000 inhabitants/day), (2004-2014), are respectively presented in Figures 2 and 3.

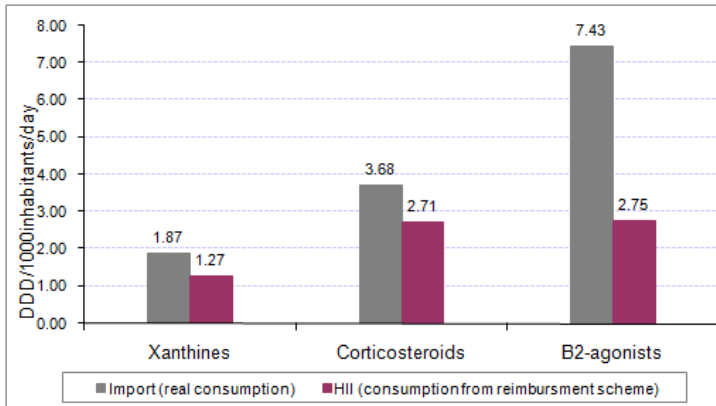


Figure 2 Annual average value of consumption of drugs used for Bronchial Asthma: consumption based on import (real consumption) [\*] versus consumption based on HII.

[\*] The "Import" item includes the consumption based on import data as well as the consumption based on domestic production: this represents the factual consumption.

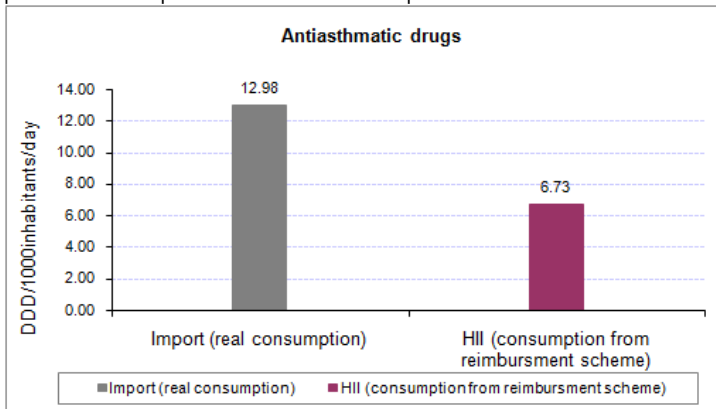


Figure 3 Annual average value of consumption of drugs used for Bronchial Asthma in total: consumption based on import (real consumption) versus consumption based on HII (DDD/1000 inhabitants/day).

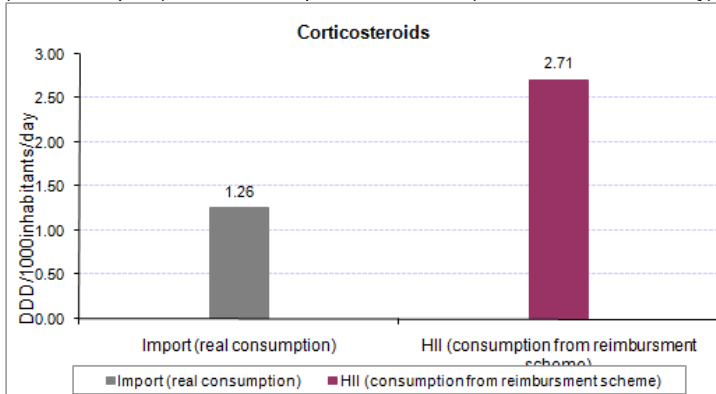


Figure 4 Annual average value of consumption of Corticosteroids: consumption based on import (real consumption) versus consumption based on HII (DDD/1000 inhabitants/day).

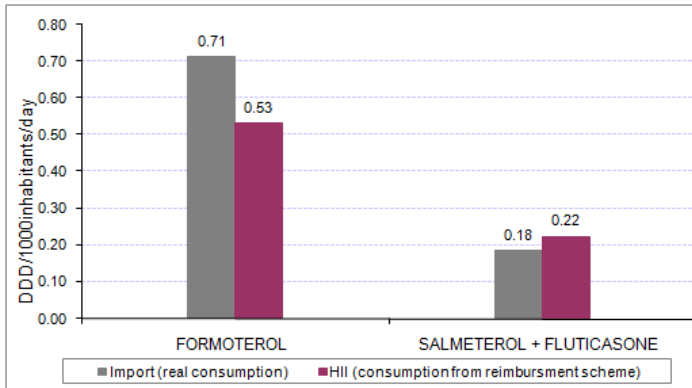


Figure 5 Annual average value of consumption of Beta2 agonists inhalators : consumption based on import (real consumption) versus consumption based on HII (DDD/1000 inhabitants/day).

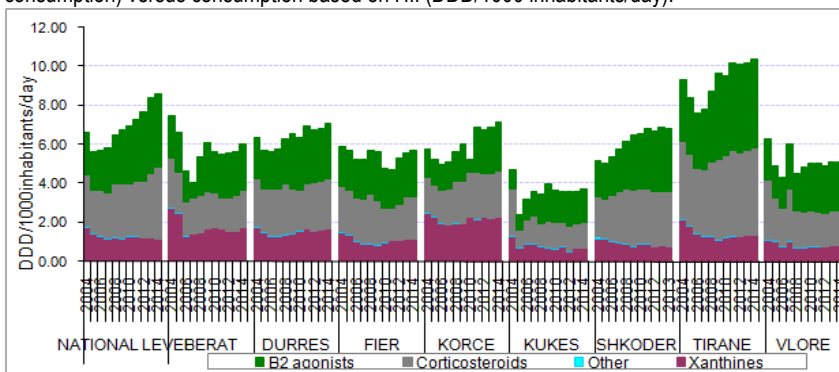


Figure 6 Consumption of drugs used for Bronchial Asthma in different regions and at the national level (DDD/1000 inhabitants/day).

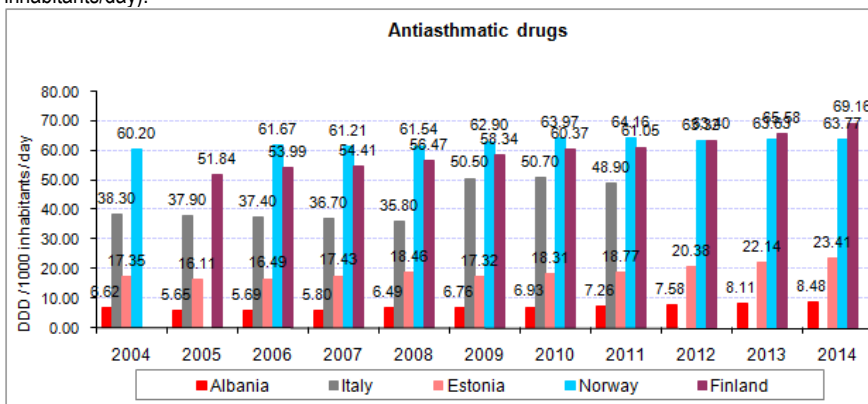


Figure 7 International comparisons of Anti-Asthmatic drugs consumption. Norway [6,7], Estonia [8, 9], Finland[10,11], Italy [12,13,14], (DDD/1000 inhabitants/day)

#### 4. Discussion

Bronchial asthma consists in the main obstructive pulmonary disorder in young and medium ages (less than 50 years old). In elder ages, bronchial asthma is often accompanied by chronic obstructive pulmonary disease (COPD), leading to difficulties in determining the correct diagnosis [15, 16].

In Figure 1 it is noticeable that the consumption of anti-asthmatic drugs in most of the years exceeds the figures of asthmatic morbidity. This trend can be explained by the fact that these drugs are reimbursable not only for bronchial asthma, but also for the treatment of COPD level III, IV, as well as for the treatment of chronic bronchitis with or without emphysema. In the meantime, there can be noted a regular and almost parallel consumption of  $\beta_2$  agonists and corticosteroids – a fact that indicated their joint usage but in separate formulations.

In order to understand better the real situation, we analysed the data of consumption connected with imports. The comparison between the average annual consumption value connected with imports and the corresponding value obtained from HII is presented in Figure 2, where it can be noted again that the imports exceed the consumption reported by HII. Less than 40% of the consumption of  $\beta_2$  agonists is covered by scheme, whereas corticosteroids are consumed within the scheme at a level of around 70%. Figure 3 shows that HII covers only around 50% of the consumption of anti-asthmatic drugs.

The question we pose is: what did really happen and which were the reasons? In the case of consumption reported by HII for this class of drugs, it appears for the first time that the consumption covers relatively well the reported morbidity, by even exceeding it in a few years. On the other hand, from the analysis of the real consumption data (connected with imports) it results that scheme covers only around 50% of the consumption of anti-asthmatics, the rest flows outside of it.

We analyse below each of the major anti-asthmatic groups.

Xanthines derive from the scheme at around 70%, the rest flows outside of it. A possible reason can be that fact that they have a low price and a part of patients prefer to get them directly in pharmacies, by skipping/avoiding the general physician step.

The consumption of corticosteroids characterised by two features that need the respective clarification. More specifically, the total import exceeds the consumption as reported by HII, whereby an important role is played by alternatives outside of the scheme that circulate in the pharmaceutical market such as: the combination beclomethasone+salbutamol, mometasone, flunisolid.

Whereas, if we compare only the corticosteroids included in the scheme (beclomethasone, budesonide, fluticasone) with the analogue values related to imports, the result appears as reversed: HII exceeds more than twice the total consumption based on import (Figure 4). This abnormal situation can be due to fictitious drug prescriptions. The reason for such abusive prescriptions is somehow related to the high costs and the deemed high profits involved with these drugs.

We have found a similar situation in more occasions throughout our studies, where there resulted higher consumption values reported from HII compared to import values but we would have expected instead that import values had included the primary health care consumption values. This anomaly is particularly noted in expensive drugs with a continuous chronic consumption, as is the case of anti-asthmatics (mainly inhaled combinations of corticosteroids and beta2 agonists) (Figure 8)

Another reason for this situation can also be the entry of drugs without customs clearance (contraband).

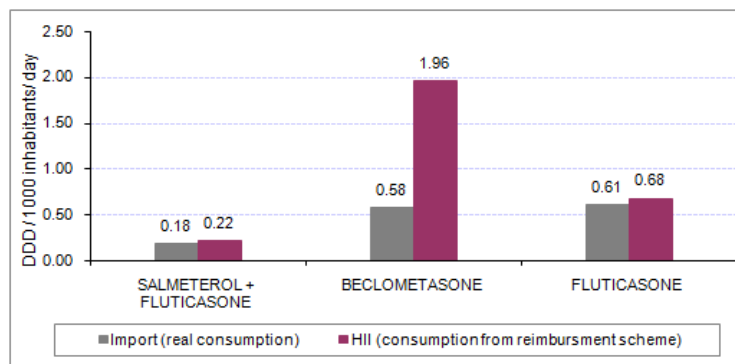


Figure 8 Annual average value of consumption of inhaled corticosteroids and their combinations with long acting Beta-2-agonist inhalators: consumption based on import (real consumption) versus consumption based on HII (DDD/1000 inhabitants/day).

The consumption of  $\beta_2$  agonists is also characterized by anomalies of both types. In total, the consumption based on imports exceeds few times the consumption within the scheme and the main consumed item is salbutamol oral tablet, for which, as for xanthines, the reimbursement scheme is overlooked in the majority of cases. Whereas, for inhaled  $\beta_2$  agonists which similarly to inhaled corticosteroids and combined fix formulations have high costs, the situation appears different. In Figure 5 there can be again noted the anomaly of excess of consumption according to HII versus import. Probably, this illustrates again the effect of fictitious and abusive prescriptions.

The consumption of this class in some regions (Figure 6) results to be decreasing, whereas in principle, there can be expected an increasing trend. The region with the lowest consumption values for anti-asthmatic drugs is Kukës, with decrease from 2004 to 2014 and with the minimum consumption values registered in 2005: twice as low as in 2004. Other regions with low consumption values are Fieri, Vlora, Berat, where there is again noted a considerable decrease of consumption from year to year (2004-2014). It is difficult to explain this phenomenon, considering the chronicity of the pathology and its natural increase. Morbidity data show its growth to be at the level of 42.83% (from 5,26 cases/1000 inhabitants in 2004 to 8.09 cases/1000 inhabitants in 2014).

The region with the highest consumption values is Tirana, characterised by consumption stability: 9,31-10,38 DDD/1000 inhabitants/day, 2004-2014. The same stable consumption is noted also in Durrës: 6,36-7,08 DDD/1000 inhabitants/day, 2004-2014.

At the national level, the consumption of this group remains relatively constant and in low values. There can be noted a decrease of consumption in 2005-2006 and then a gradual increase in subsequent years.

Following the results of TORCH study, international therapeutic guides are increasingly turning into a therapeutic standard the pre-prepared associations of long-acting  $\beta_2$  agonists and inhaled corticosteroids for all obstructive chronic bronchial pathologies, including COPD<sup>[17, 18]</sup>. It is to be emphasised that systematic revisions of the data obtained from direct comparisons of an-associated consumption (sole usage) of long-acting  $\beta_2$  agonists, do not bring to evidence clinical benefits, on the contrary, they indicate a significant increase of side effects, especially of pneumonia<sup>[19, 20]</sup>. Based on insurance data, obtained from a meta-analysis with over 60.000 patients, FDA has recently released a series of communications on the correct usage of long-acting  $\beta_2$  agonists in asthmatic patients, which has led to modification of the drug leaflet-guide. Especially in the treatment of bronchial asthma, the usage of  $\beta_2$  agonists not associated with steroids is strongly counter-indicated due to the added risk of appearance of severe episodes of acute asthma (need to hospitalize, need of intubation, and even cases of death)<sup>[19, 20]</sup>.

In our country, short-acting  $\beta_2$  agonists continue to have high consumption values compared to long-acting  $\beta_2$  agonists, a fact that indicates a poor control of bronchial asthma. According to the guidelines short-acting  $\beta_2$  agonists should be used for short-term symptom relief. All other countries show a trend of significant increase (since the beginning of years '00) of consumption of long-acting  $\beta_2$  agonists and especially of pre-prepared combinations with inhalation steroids, a trend that goes in line with international therapeutic guides.

### **International consumptions comparisons**

The consumption of anti-asthmatic drugs in Albania, in total, is multiple times lower compared to other countries (Figure 7).

In European countries, the main item in the consumption of anti-asthmatics is  $\beta_2$  agonists (R03A) and especially the associations  $\beta_2$  agonists+corticosteroids (R03AK)<sup>[6,7,8,9,10,11,12,13,14]</sup>. The figure below (Figure 9) shows clearly the difference in consumption of this subclass in our country as compared to other European countries.

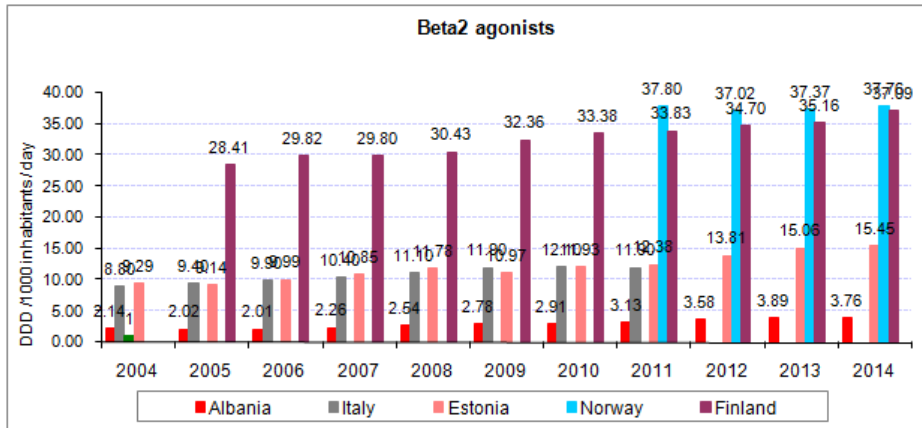


Figure 9 International comparisons of Beta2agonists consumption. Norway [6,7], Estonia [8, 9], Finland[10,11], Italy [12,13,14], (DDD/1000 inhabitants/day)

## 5. Conclusions

The consumption of anti-asthmatic drugs has increased during 2004-2014.

In total, the consumption of anti-asthmatic drugs in Albania, is multiple times lower compared to other countries

We need to undertake other studies to deeply understand the reasons and the differences of the prescription and consumption of Antiasthmatic drugs in our country.

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## The European Territorial Cooperation as the Tool for Europe's Integration: Example of Latvia - Belarus Cross - Border Cooperation

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### Abstract

The European Territorial cooperation is important part of the EU regional policy. It examines the relationships between countries and territories. Cross border cooperation is an institutional and a political oriented cooperation between two or more administrative and sovereign units. In this paper cross border cooperation was analysed as an institutional process of interstate cooperation and cross border cooperation between administrative units in Belarus – Latvia's borderland. European integration and cross border cooperation are linked by 1) integrated economic space across the member states by Henk van Houtum, 2) the intersection between the history of European integration and the more general research field of border studies by Birte Wassenberg and 3) more gradual process and impact on border locations after the Second World war by Steven Brakman, Harry Garretsen, Charles van Marrewijk and Abdella Oumer. The theoretical approach of cross border cooperation includes - 1) the relation between core and periphery, 2) the division of exogenous and endogenous factors and 3) types of borderlands (alienated borderlands, co – existent borderlands, interdependent borderlands and integrated borderlands). Further theoretical concepts are drivers of cross-border co – operation (economic, political leadership, identity/cultural and geographical drivers). The research question is - "How cross – border cooperation can influence the integration and cooperation between Latvia and Belarus? How far cooperation with an EU neighbour takes on hegemonic traits or not? Which are the cross border cooperation forms between Belarus and Latvia which "makes" the integration between Belarus and Latvia".

**Keywords:** The European Territorial Cooperation, Cross border cooperation, Latvia, Belarus, Eastern Partnership

### Introduction

"Cross Border Cooperation (CBC) is one of the tools of the EU policy towards its neighbours. Cross border cooperation between two or more countries includes aspects of borderland development, regional integration, economic development and social cohesion"<sup>1</sup>.

"The regional integration has a historical background. In this sense cross border cooperation is understand as cooperation between border regions. Markus Perkmann are arguing, that "borders is a form of boundary associated with the rise of the modern nation – state"<sup>2</sup> and the 'establishment of an interstate geopolitical order'<sup>3</sup> Tripathi Dhananjay"<sup>4</sup>.

"The main problem is to analyse, how between two regulation periods (2007 – 2013) and (2014 – 2020) of Neighbourhood and Partnership Instrument (ENPI), cross border cooperation influenced 'the cooperation between the EU member states and European Neighbourhood countries'<sup>5</sup> by Mirela Xheneti, David Smallbone and Friederike Welter. In this case, will be

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<sup>1</sup> Janis Balodis, Cross - Border Cooperation as the Tool for Europe's Integration: Example of Latvia - Belarus Cross – Border Cooperation, University of Latvia 74. Scientific Conference, Riga, Latvia, 2016, p. 78.

<sup>2</sup> Markuss Perkmann, Cross-border regions: Results of regionalization of cross-border cooperation in Europe (1958-2007), in: *Documents d'Analisi Geografica*, 2010, pp. 21 – 40.

<sup>3</sup> Tripathi Dhananjay, Energy Security: The Functional Area of Regional Cooperation for South Asia, 2011, Available at: [https://src-h.slav.hokudai.ac.jp/publictrn/eurasia\\_border\\_review/Vol32/tripathi.pdf](https://src-h.slav.hokudai.ac.jp/publictrn/eurasia_border_review/Vol32/tripathi.pdf) (Conducted on 14.02.2016).

<sup>4</sup> Janis Balodis, Cross - Border Cooperation as the Tool for Europe's Integration: Example of Latvia - Belarus Cross – Border Cooperation, University of Latvia 74. Scientific Conference, Riga, Latvia, 2016, p. 78.

<sup>5</sup> David Smallbone Friederike Welter and Mirela Xheneti, *Cross-Border Entrepreneurship and Economic Development in Europe's Border Regions*, Cheltenham, Edward Elgar Pub, 2012, p. 94.

set the analysis of the case study between Latvia and Belarus become a crucial topic for the European Neighbourhood Policy (the ENP), because it is unclear how member states between the EU and the ENP”<sup>1</sup>:

Cooperates between each other;  
Makes partnership of social and economic development projects;  
Encouraging civil society

A research problem is to compare cross – border cooperation concept to Europe’s integration, especially at borderland regions and particular research question is: “How far does cross-border cooperation between a member and a non-member state at the case of Latvia-Belarus generate integration processes comparable to European Integration?”. “Cross – border cooperation plays the role of Europe’s integration, because cross border cooperation is the tool for territorial and administrative integration of Europe. Cross border cooperation had been seen as a consensus making policy between Latvian and Belarusian governments. Cross border cooperation is also political dialogue for municipal, regional and national inter – institutional cooperation”<sup>2</sup>.

### **1. Theoretical analysis of the interaction between cross – border cooperation and integration**

#### **European Territorial Cooperation**

European Commission says, that European territorial cooperation: “is one of the two goals of cohesion policy and provides a framework for the implementation of joint actions and policy exchanges between national, regional and local actors from different Member States”<sup>3</sup>. European territorial cooperation leads regional policy, which solve the efficiency of local governance. Harald Baldersheim and Lawrence E. Rose says: “With respect to territorial choice, reasons given for boundary changes (usually amalgamations) or other measures are often that existing units are inefficient, are incapable of providing services and welfare”<sup>4</sup>.

Forms of European Territorial Cooperation:

Cross border cooperation – “directly neighbourly cooperation in all areas of life between regional and local authorities along the border and involving all actors”<sup>5</sup>;

Trans – national cooperation – “cooperation (between regional and local authorities) mostly in single sectors (not in all areas of life) and with selected actors”<sup>6</sup>;

Interregional cooperation – “cooperation between countries (sometimes allowing regions to participate) with regard to a special subject (for example regional development) related to large, connected areas”<sup>7</sup>;

**Table 1: “Modes of inter – regional cooperation”<sup>8</sup>**

“Hegemon” Hierarchic Conditionality	“Regime” Common Regulatory Bodies
“Consultancy” Information Exchange	“Support” Assistance for Implementation

<sup>1</sup> Janis Balodis & Mikelis Jakunovs. Knowledge economy impact of regional development in Latvia – Russia – Belarus borderlands. The RSA Early Career Conference, Manchester, United Kingdom, 2013, pp. 34 – 42.

<sup>2</sup> Janis Balodis, Social Entrepreneurship in the Borderland areas: Example of Valka/Vaiga border, Master thesis, 2015, p. 34.

<sup>3</sup> European Commission, *Interreg : European Territorial Co-operation*, 12 May, 2015, Available at: [http://ec.europa.eu/regional\\_policy/en/policy/cooperation/european-territorial/](http://ec.europa.eu/regional_policy/en/policy/cooperation/european-territorial/) (Consulted on 16.12.2015).

<sup>4</sup> Harald Baldersheim and Lawrence E. Rose, „Territorial Choice: Rescaling Governance in European States”, in: H. Baldersheim and L. E. Rose, *Territorial Choice – The Politics of Boundaries and Borders*, Palgrave Mcmillan, 2010, pp. 1- 20.

<sup>5</sup> European Commission, *Practical Guide to Cross-border Cooperation*, Association of European Border Regions (AEBR), Gronau, 2000, p. 24.

<sup>6</sup> Ibid;

<sup>7</sup> Ibid;

<sup>8</sup> Bernhard Zeilinger, „The EU’s external policy towards Eastern Europe on migration issues”, in: W. Stamuller and K. Backmann, *The EU’s Shifting Borders – Theoretical approaches and policy implications in the new neighbourhood* Routledge, London and New York, 2012, pp. 60 – 79.

Hegemonic inter – regional cooperation means dominant inter – regional cooperation, which is the leading mode from inter – regional cooperation (see: Tab.1). For example Schleswig – Holstein federal land region is more important, than Southern Denmark, because Schleswig – Holstein federal land can to attract more investments and support from German government. Consultancy is the channel for the coordination of inter – regional cooperation. Regime is the level of possible speed of inter – regional cooperation, which means how fast cross – border cooperation will be organized. Support of inter – regional cooperation means institutional and financial support of inter – regional cooperation, which is important for economic independence for cross – border cooperation.

### **Cooperation outside of the EU;**

Cooperation outside of the EU means interregional and cross – border cooperation in the regions, which are outside from the EU, but which are bordered with the EU. There exist two particular financial instruments for realization of cooperation outside of the EU. These financial instruments are:

The Instrument for Pre-Accession Assistance (IPA) – “is based on partnerships with the EU candidate countries - the former Yugoslav Republic of Macedonia, Croatia, and Turkey - and potential candidate countries - Albania, Bosnia and Herzegovina, Montenegro, and Serbia. It supports administrative, social and economic reforms, as well as regional and cross-border co-operation”<sup>1</sup>.

The European Neighbourhood and Partnership Instrument (ENPI) – “promotes co-operation and economic integration between the EU and partner countries - Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Moldova, Morocco, the Palestinian Authority, the Russian Federation, Syria, Tunisia, and Ukraine. It supports partnerships encouraging good governance and social and economic development”<sup>2</sup>.

The financial assistance for the Instrument for Pre-Accession Assistance (IPA) and the European Neighbourhood and Partnership Instrument (ENPI) are accordingly “11, 7 billion EUR, of which 242 million EUR is earmarked for cross-border cooperation (IPA) and 15.4 billion EUR, of which 634 million is earmarked for cross-border cooperation”<sup>3</sup>.

European grouping of territorial cooperation;

“The European Grouping of Territorial Cooperation (EGTC) is a new tool, which has been presented by the European Commission on the basis of long-term political actions and proposals coming, among others, from the Committee of the Regions”<sup>4</sup>.

### **Data and methodology**

In this research will be used – 1) qualitative and 2) quantitative methodology. As a qualitative methodology will be used literature analysis and structural interviews with policy makers, members from civil society and diplomats. The interviews will be organized in Latvia and Belarus.

Data will be collected be collected data from Latvia – Lithuania – Belarus cross border cooperation data basis. Results from the interview will be used as the data for qualitative analysis. “Spatial data are those data which combine attribute information (e.g. name of the spatial object – for example villages, population density etc.) with location information (spatial coordinates) (georeferenced data)”<sup>5</sup>. Spatial data will used to proof geographical integrity of cross border cooperation.

Types of spatial data:

- “Point data: a single point location, such as a GPS reading or a geocoded address”<sup>6</sup>. For example - Houses, firms;

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<sup>1</sup> European Commission, *Regional development co-operation programmes outside the EU*, 2016, Available at: [http://ec.europa.eu/regional\\_policy/lv/policy/cooperation/european-territorial/outside-the-eu/](http://ec.europa.eu/regional_policy/lv/policy/cooperation/european-territorial/outside-the-eu/) (Conducted on 20.02.2016).

<sup>2</sup> Ibid;

<sup>3</sup> Ibid;

<sup>4</sup> European Union, *The European Grouping of Territorial Cooperation (EGTC): state of play and prospects*, 2009, Available at: [http://cor.europa.eu/en/documentation/studies/Documents/EGTC-state-of-play/EGTC-state\\_of\\_play\\_and\\_prospects\\_EN.pdf](http://cor.europa.eu/en/documentation/studies/Documents/EGTC-state-of-play/EGTC-state_of_play_and_prospects_EN.pdf) (Conducted on 21.02.2016).

<sup>5</sup> Eric Marcon and Florence Puech, Measures of the geographic concentration of industries: improving distance-based methods, in: *Journal of Economic Geography*, Vol. 10, No. 2, 2010, pp. 745 – 762.

<sup>6</sup> Gilles Duranton and Henry G. Overmant, Testing for Localization Using Micro - Geographic Data, in: *Review of Economic Studies*, Vol. 72, No. 3, 2005, pp. 1077 – 1106.

- "Line data (arcs): a set of ordered points, connected by straight line segments. For example - Roads, rivers"<sup>1</sup>;
- Polygonal data: For example an area, marked by one or more enclosing lines, possibly containing holes.

The next quantitative tool (the method) will be the geographical information systems (the GIS). As a specific computers program will be used ArcMap 10.3 and ArcMap Pro programs.

### **3. Political integration between Latvia and Belarus provides closer cross – border cooperation between both countries**

Political integration between Latvia and Belarus provides closer cross – border cooperation between both countries. In this chapter will be provided - 1) the analysis of institutional framework of cross – border cooperation between Belarus and Latvia, 2) drivers of cross-border co – operation in Belarus and Latvia's borderland and 3) project analysis of European Neighbourhood and Partnership Instrument 2007-2013 Cross Border Cooperation Programme Latvia – Lithuania – Belarus.

Latvia and Belarus 'established diplomatic relationships in 1992, which was the start point of the cooperation between both countries'<sup>2</sup>. In the same year Belarus became as an important regional player in Eastern Europe, because Belarus started it's regional integration on Europe's political map. Famous Belarusian historian Jan Zaprudnik says, that: "Through diplomatic contacts with the European states, Minsk is trying to enter the European Community, with whose world contacts and culture Belarus feels more at home. On January 30, 1992, the Republic of Belarus was accepted as a member of the Conference on Security and Cooperation in Europe"<sup>3</sup>. A very important field, where Latvia and Belarus are cooperating, is economy. Cross – border cooperation in the framework of institutional cross border cooperation defines as a "policy promoting all types of negotiated actions between the public institutions of at least two neighbouring territorial entities"<sup>4</sup>. The economic cooperation between Latvia and Belarus is organized by sub – institutions, like:

Latvian – Byelorussian Economic cooperation committee;  
A Business club of the Embassy of Latvia in Minsk;  
A promotional society of Latvian – Byelorussian economic relationship;  
Latvian – Byelorussian business forum;

A very strong form of cross border cooperation between Latvia and Belarus is fighting against the human trafficking. Latvia as a country which eastern border (between Russia and Belarus) is a whole of the EU border and means that European Neighbourhood policy (see: Fig.2) is a crucial issue for Latvia. Between 2013 and 2014, Latvia's – Belarus border crossed 83 Vietnamese illegal immigrants. Trafficking is a challenge for the border guards and security at itself in both countries and specially in the borderlands. From Latvia's side, responsible institutions are: The Office of Citizenship and Migration Affairs (OCMA), Ministry of the Interior, Office of State Border Guard and Societal Integration Bureau. From Belarus side, responsible institutions are Belarusian state border guard committee and the Ministry of Internal Affairs of the Republic of Belarus.

Belarus is a part of the Eastern Partnership. The civil societal sector is important actor for cross border cooperation, especially for the projects, which are related "The Belarusian National Platform is organized differently than the National Platforms of other EaP countries which is also due to the different situation within the country and the limited participation of Belarus within the Eastern Partnership"<sup>5</sup>. This is related with political situation in Belarus, which is not democracy Western European point of view.

Latvia is part of the EU Baltic Sea region, where Belarus is available to participate for the EU strategy for Baltic Sea region (EUSBSR). EU Strategy for the Baltic Sea Region (EUSBSR) is related with "the EU Economic Development Strategy (Multi-Annual Financial Framework 2014-2020), such as mobility and multimodality, knowledge society, competitiveness,

<sup>1</sup> Roberto Basile, Some notes on Spatial Statistics and Spatial Econometrics, Lecture material, Roma, 2013.

<sup>2</sup> Latvijas Republikas Ārlietu Ministrija, *Latvijas Republikas un Baltkrievijas Republikas divpusējās attiecības*, 2016, Available at: <http://www.mfa.gov.lv/arpolitika/divpusejas-attiecibas/latvijas-un-baltkrievijas-attiecibas> (Consulted on 20.01.2016).

<sup>3</sup> Jan Zaprudnik, *Belarus – At a Crossroads in History*, Boulder, San Francisco, Westview Press, 1993, p. 212.

<sup>4</sup> Jean Baptiste Harguinde Guy and Katy Hayward, The Institutionalization of the European Internal Cross-Border Co-operation Policy: A First Appraisal, in: *European Planning Studies*, Vol. 22, No. 1, 2014, pp. 184 – 203.

<sup>5</sup> Eastern Partnership Civil Society Forum, *Belarus*, 2016, Available at: <http://eap-csf.eu/en/national-platforms/belarus/> (Consulted on 21.01.2016).

people and skills and institutional capacity and cooperation”<sup>1</sup>. Economic institutions in all three Baltic states are different from the market or the firm, and although they are an expression of local attitudes towards for example “associationism”.

#### **4. The area of research**

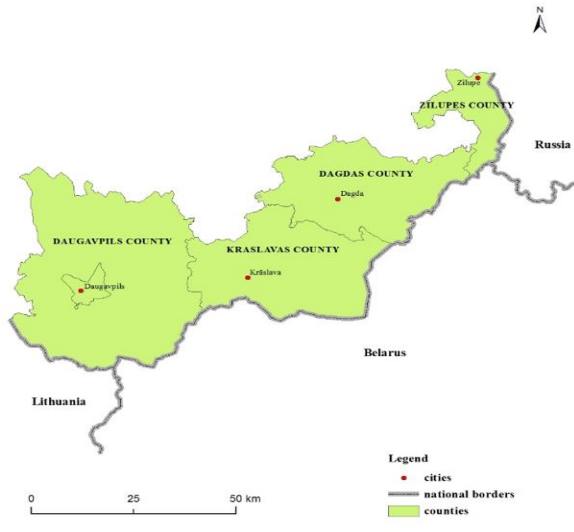


Figure 1: Counties from Latvian border side, which are bordered with Belarus – Latvia's border (Daugavpils, Krāslavas, Dagdas and Zilupes counties) (The author of map: Janis Balodis. The map is made in geographical information systems)

The research area is covered between borderland administrative units in Belarus and Latvia. In 2007, when cross border cooperation between Latvia and Belarus started, cross border cooperation existed between “old” administrative units – regions (Russian raions; Latvian: rajons) (see: Fig. 1). In Latvian side were three regions – Daugavpils, Krāslavas and Ludzas regions (rajoni). In 2009, in Latvia was a new administrative reform, which changed an administrative division.

In Daugavpils county are three parishes, which are bordered with Belarus – Latvia's border. These parishes are: Demeņes, Skrudlienas and Saliēnas parishes. These parishes are in the same size like before administrative reform in 2009. That shows, that administrative cooperation is the same as it was for the realization of cross border cooperation program for period

In Krāslavas county are four parishes, which are bordered with Belarus – Latvia's border. These parishes are Kaplavas, Indras, Kalniešu and Robeznieku parishes. All parishes, which were mentioned before, existed also in “old” administrative reform.

In Zilupes county, which before was included in Krāslavas region, is only one administrative parish which bordered with Belarus – Latvia's border. It is Pasiēnes parish.

All administrative units from Latvian side are bordered with Braslaw, Verkhnyadzvinsk and Myory districts from Belarussian side.

#### **5. The integrity between cross - border projects in Latvia and Belarus**

Projects of European Neighbourhood and Partnership Instrument 2007-2013, which is for cross border cooperation programme Latvia – Lithuania – Belarus. The analysis of cross – border projects between Latvia, Lithuania and Belarus by it's priority, shows integrity by different kind of projects and forms of cooperation.

##### **5.1. Projects of European Neighbourhood and Partnership Instrument 2007-2013 Cross Border Cooperation Programme Latvia – Lithuania – Belarus**

<sup>1</sup> European Parliament, Directorate – General for Internal Policies, Policy Department, Structural and Cohesion Policies, New Role of Macro Regions in European Territorial Cooperation, 2015, Available at: [http://www.balticsea-region-strategy.eu/attachments/article/590691/IPOL\\_STU\(2015\)540349\\_EN.pdf](http://www.balticsea-region-strategy.eu/attachments/article/590691/IPOL_STU(2015)540349_EN.pdf) (Consulted on 26.01.2016).

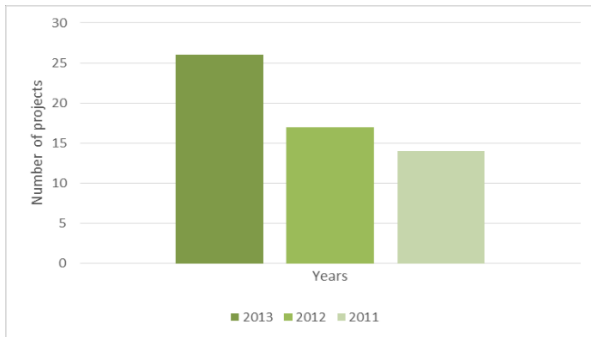


Figure 2: The number of projects between Latvia, Lithuania and Belarus for time period 2011 – 2013<sup>1</sup>

The number of projects between Belarus, Lithuania and Latvia for period 2011 – 2013 is 57 projects (see: Fig. 2). There is a positive progression of the number of projects of cross border cooperation between Belarus, Lithuania and Latvia, for example in 2011 was 14 projects, but in 2013 the number of projects was 27.

**5.2. The number of cross – border projects in Latvia’s – Belarus borderland (in border counties)**

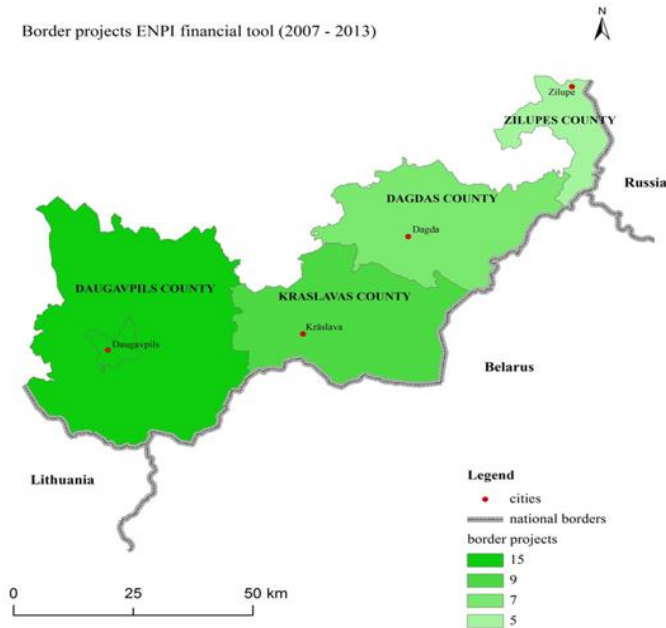


Figure 4: The number of cross – border projects in Latvia’s – Belarus borderland (in border counties). The map is made by Janis Balodis using spatial data from geographical information data, which produced by Latvian Geospatial Data Agency.

Cross – border cooperation projects is not understand only from it’s geographical meaning of cross – border regions. That also shows, that the majority of cross – border projects are not done in the borderland between Belarus and Latvia (see: Fig. 4). The institutions and responsible authorities in the borderland are more dependent from central administrative authorities – 1) regional government and 2) central government of county. The dynamics of cross – border projects in

<sup>1</sup> European Neighbourhood and Partnership Instrument 2007-2013 Cross Border Cooperation Programme Latvia – Lithuania – Belarus, Projects by Priority and Measure, 2016, Available at: <http://www.enpi-cbc.eu/go.php/eng/projects/659/2/179> (Conducted on 27.02.2016).

borderlands is hard to evaluate, because there is only data for the period 2007 – 2013. The cross - border projects for the period 2014 – 2020 is not finished yet.

## **6. Cross border cooperation and integration at municipal level between Latvia and Belarus proofs a local integration in a local scale**

Cross border cooperation and integration at municipal level between Latvia and Belarus are organized by cross border cooperation programs and interstate cooperation in trade, economics and environment. It is also related for rural level between Belarus and Latvia.

In this chapter will be explained how two cross – border cities like Daugavpils (Latvia) and Vitebsk (Belarus) cooperates between each other. The next level at rural level, two villages – Druya (Belarus) and Piedruja (Latvia).

### **6.1. The cross border cooperation in the municipal level, like the cooperation between Daugavpils and Vitebsk**

Table 2: **Social geographical indicator comparison between Daugavpils and Vitebsk<sup>1</sup>**

Indicator	Daugavpils	Vitebsk
Population (2015)	96,818	366,299
Population density	1,300/km <sup>2</sup>	2,900/km <sup>2</sup>
Area (km <sup>2</sup> )	72.48 km <sup>2</sup>	124.54 km <sup>2</sup>
Ethnical diversity (Latvians/Belarusians/%)	7,4% - Belarusians 18% - Belarusians	90% - Belarusians 1% - Latvians

The border as a part of cross – border cooperation provides two dimensions: "1) geographical location and product innovation"<sup>2</sup>.

The cross border cooperation in the municipal level shows cooperation linkage in a macro and micro level (see: Tab. 2). A macro level cooperation of cross border cooperation in the municipal level means, that a urban spaces (towns) cooperates between each other. Usually these cities are characterized in two terms: 1) border towns and 2) divided cities. For example cross border cooperation between Gorlitz (Germany) and Zgorzelec (Poland). A micro level cooperation is between of cross border cooperation in the municipal level means that urban districts cooperate between each other. For example, here as an example could be cross border cooperation between Vitorazska district between Gmund (Austria) and Česke Velenice (Czech Republic/Czechia).

But in Daugavpils and Vitebsk case, cross – border cooperation is not understand as a cross – border cooperation between Daugavpils and Vitebsk shows historical, geographical, economic (development) dimension of cross border cooperation or even partnership between Daugavpils and :

Historical dimension - Daugavpils and Vitebsk historically were located in one administrative unit – called Vitebsk governorate.

Geographical dimension - both cities are crossed by Daugava river. Also Daugavpils and Vitebsk are located on the highlands and the river valleys.

Economic (development) dimension – bilateral economic cooperation is organized between Latgale Planning region and Vitebsk region.

Identity dimension is different from historical and geographical dimensions, because identity is related with behavioural geography. Alberto Gasparini talking about culture in the border towns, says: "The culture pervading the border town is founded on a basic ambiguity: on one hand it gives the border area and town is a feeling of marginality with respect to the state system"<sup>3</sup>.

## **7. Cross border cooperation and cultural integration and identity between Latvia and Belarus**

<sup>1</sup> Gunta Šustere, Latvijas ģeogrāfija 9. klasei. Mācību grāmata, Rīga, Zvaigzne ABC, 2011, p. 62.

<sup>2</sup> Kirk S. Bowman, "The U.S. – Mexican Border as Locator of Innovation and Vice", in: P. Gangster and D.E. Lorey (ed., *Borders and Border Politics in a Globalizing World*, SR Books, Lanham and Boulder, 2005, pp. 269 – 284.

<sup>3</sup> Alberto Gasparini, "Belonging and Identity in the European Border Towns: Self-Centered Borders, Hetero-Centered Borders", in: *Journal of Borderlands Studies*, Vol. 29, No. 2, 2014, pp. 165 - 201.



Cross border cooperation and cultural integration and identity between Latvia and Belarus shows, how important is a unique identity for borderlands and cross – border relationships.

In this chapter will be explained a historical interlink between urban and rural places in Latvia's – Belarus borderland. This is versus for cultural geographical analysis for instance, how languages like Latvian and Belarusian. Ethnicities and religion are also two components, which are relevant for cross border culture.

### 7.1. Historical – cultural identity of cross – border cooperation between Latvia and Belarus

A borderland is one of the changeable “territorial items” in Belarus. Andrew Savchenko says, that: “In Belarus, borderland is not an abstract category”<sup>1</sup>. The borderlands of Belarus means a ‘multicultural border, where are Slavic, Baltic and as well Jewish interaction were represented’<sup>2</sup>.

Table 3: James V. Wertsch’s Voices of Collective Remembering<sup>3</sup>

History	Collective Memory
“Objective” <sup>4</sup>	“Subjective” <sup>5</sup>
“Distanced from any particular perspective” <sup>6</sup>	“Single committed perspective” <sup>7</sup>
“Reflects no particular social framework” <sup>8</sup>	“Reflects a particular group’s social framework” <sup>9</sup>
“Critical, reflective stance” <sup>10</sup>	“Unself – conscious” <sup>11</sup>
“Recognises ambiguity” <sup>12</sup>	“Impatient with ambiguity about motives and the interpretation of events” <sup>13</sup>
“Focus on transformation” <sup>14</sup>	“Focus on stable, unchanging group essence” <sup>15</sup>
“Focus on historicity” <sup>16</sup>	“Details of “pastness” of events” <sup>17</sup>
“Differentiates the past from the present” <sup>18</sup>	“Links the past with the present” <sup>19</sup>
“Views past events as taking place “then and not now”” <sup>20</sup>	“Ahistorical, antihistorical” <sup>21</sup>
“Historical voice” <sup>22</sup>	“Commemorative voice” <sup>23</sup>
“Museum as form” <sup>24</sup>	“Museum as temple” <sup>25</sup>
“Disagreement, change, and controversy as part of ongoing	“Unquestionable heroic narratives” <sup>27</sup>

<sup>1</sup> Andrew Savchenko, *Belarus – A Perpetual Borderland*. Leiden, Boston, Brill, 2009, p. 1.

<sup>2</sup> Andrew Wilson, *Belarus The Last European Dictatorship*, New Haven and London, Yale University Press, 2011, p. 11.

<sup>3</sup> Paul Holtom, From Königsberg to Kaliningrad: A Journey through the Politics and History and Memory, in: Eero Medijainen and Olaf Mertelsmann, *Border Changes in 20<sup>th</sup> Century Europe*, Lit Verlag Dr. W. Hopf, Berlin, 2010, pp. 271 – 296.

<sup>4</sup> Ibid, p. 273.

<sup>5</sup> Ibid, p. 273.

<sup>6</sup> Ibid, p. 273.

<sup>7</sup> Ibid, p. 273.

<sup>8</sup> Ibid, p. 273.

<sup>9</sup> Ibid, p. 273.

<sup>10</sup> Ibid, p. 274.

<sup>11</sup> Ibid, p. 274.

<sup>12</sup> Ibid, p. 274.

<sup>13</sup> Ibid, p. 274.

<sup>14</sup> Ibid, p. 274.

<sup>15</sup> Ibid, p. 274.

<sup>16</sup> Ibid, p. 274.

<sup>17</sup> Ibid, p. 274.

<sup>18</sup> Ibid, p. 274.

<sup>19</sup> Ibid, p. 274.

<sup>20</sup> Ibid, p. 274.

<sup>21</sup> Ibid, p. 274.

<sup>22</sup> Ibid, p. 274.

<sup>23</sup> Ibid, p. 274.

<sup>24</sup> Ibid, p. 274.

<sup>25</sup> Ibid, p. 274.

<sup>27</sup> Ibid, p. 274.

historical”<sup>1</sup>

Paul Holtom is arguing, that collective membering is related with the history and a collective memory. There are various factors of how collective membering is described for geographical borders and borderlands. Factors like 1) objective, 2) distanced from any particular perspective and 3) critical and reflective stance are transformed to equality (see: Tab. 3). On the other hand for history, the factors are transformed from collective memory, like 1) subjective, 2) single committed perspective and 3) reflects a particular group’s social framework. Subjective approach in history means that cross border phenomena is interpreted from a personal perspective and there is no relevance of cross border cooperation as a process of spatial mental interaction.

Historical – cultural identity of cross – border cooperation between Latvia and Belarus brings:  
Memory;

“Borders exist everywhere, between life and death, between the believer and atheist, between the dweller and the neighbour and continue between the void and the fullness”<sup>3</sup>, mentioned Anjuman Ara Begum. Borderlands between Latvia and Belarus are those territories, where during the Second World war were the most important battles between Nazi Germany and Soviet Union.

Cultural diversity;  
Multicultural region;

The relations between historical and cultural identity at the borderland is transforming to materiality. Karri Kiiskinen says, that: “The national and the EU border have mutual benefits when it comes to strategies of presenting cultural diversity. The ideas of a “multicultural region” suggest European values and these seem to be layered in the material heritage of the borderland”<sup>4</sup>. Cross – border cooperation among multicultural Latvia’s – Belarus borderland

Cross – border cooperation provides also opportunities, for instance ‘as spaces of connections, interdependencies and inter-regional cooperation’<sup>5</sup>.

## Conclusions

The research question of master thesis is: “How cross – border cooperation can influence the integration and cooperation between Latvia and Belarus”.

Cross – border cooperation as the tool of European integration is 1) dynamic, 2) complicated and 3) diverse. Cross border cooperation as the form of territorial cooperation is important for territorial integration. Institutions, common values, cooperation, synergy, unity and geographical space are elements for cross border cooperation.

Five possible hypothesis were analysed in this master thesis -1) Political integration between Latvia and Belarus provides closer cross – border cooperation between both countries. The cross – border cooperation builds a stronger intergovernmental cooperation between Latvia and Belarus, which is realized by the European Neighbourhood Policy Instrument, 2) The integrity between cross border projects in Latvia and Belarus, shows how both countries cooperates for economic, social affairs and combating against illegal immigration. A part of the bilateral cooperation between Latvia and Belarus, the cross border cooperation has been looking as the tool, how to promote the cooperation in business, culture, education, environmental protection and tourism between Latvia and Belarus, 3) Cross border cooperation and integration at municipal level between Latvia and Belarus proof’s local integration in local scale. The cross border cooperation at the municipal level, like the cooperation between Daugavpils and Vitebsk shows oriented cooperation policy, 4) Cross border cooperation stimulates cultural integration between Latvia and Belarus. borderland between Latvia and Belarus is territory with it’s own identity and culture and 5) There is existing institutional barriers between the integrity and cross – border cooperation. An institutional and organizational barriers for cross – border cooperation are significant problem cross border cooperation between Latvia and Belarus.

<sup>1</sup> Ibid, p. 274.

<sup>3</sup> Anjuman Ara Begum, “Women and the Heart of the Barbed Wire”, in: *Journal of Borderlands Studies*, Vol. 27, No. 1, 2012, pp. 73 – 82.

<sup>4</sup> Karri Kiiskinen, “Cultural Cooperation or Incorporation: Recollecting and Presenting Borderland Materiality at the External Border of the European Union”, in: *Journal of Borderlands Studies*, Vol. 27, No. 3, 2012, pp. 315 – 329.

<sup>5</sup> Filippo Celata, Raffaella Coletti. “Discourses and narratives of cross border cooperation and regionalism in the European Union”, Draft paper, 2012, pp. 1 – 12.

The cross – border cooperation builds a stronger intergovernmental cooperation between Latvia and Belarus has been proofed by following arguments. The cross border cooperation between Belarus and Latvia is organized as a cooperation for fields, like 1) economic development, 2) tourism, 3) trade, 4) environmental protection, 5) border security and 6) an intergovernmental cooperation. Mutual interests and common political – economic values bring together both countries and cross – border cooperation is looking as the solutions, how European integration works in practice. the European Neighbourhood Policy Instrument (The ENPI) is an good example how cross border cooperation programmes could integrate territories by a different level of economic development and sustainability of political regime. The number of projects between Belarus, Lithuania and Latvia for period 2011 – 2013 is 57 projects. There is a positive progression of the number of projects of cross border cooperation between Belarus, Lithuania and Latvia, for example in 2011 was 14 projects, but in 2013 the number of projects was 27. This shows, how cross – border projects are important for European integration phenomena in Belarus and Latvia's case.

Cross – border governance between Latvia and Belarus includes 1) multilevel governance, 2) trans border issues, 3) regional development and 4) governance research (which governance type for cross border cooperation is the best, for example good governance).

A part of the bilateral cooperation between Latvia and Belarus, the cross border cooperation has been looking as the tool, how to promote the cooperation in business, which is proofed in this research by three aspects 1) interstate aid policy for starting business, 2) Latvian – Belarusian business chamber and 3) business development policies from regional development institutions, for example an administration of Latgale Planning region (Latvia).

Cross border cooperation between Daugavpils and Vitebsk shows three dimensions, how urban entities like state significance cities like Daugavpils and Vitebsk cooperates between each other, using cross border cooperation approach. These dimensions are 1) historical, 2) economic and 4) geographical dimensions.

The borderland between Latvia and Belarus is territory with it's own identity and culture has been proofed by theoretical proof and practical field work in the research area.

In this research was used to elaborate cross border paradigms – 1) realistic, 2) transnational and 3) global.

A cross border identity was proofed by using cross border values. These values are 1) European added value, 2) political added value, 3) institutional added value, 4) socio - economic added value and 5) socio - cultural added value.

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## Business Digitalization in Albania: Where do SMEs Stand?

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### Abstract

The ICTs sector in Albania has marked some considerable progress with the market liberalization, the expansion of the Internet use, the improvements in e-government services and in the policy framework (EC, Progress Report 2012; NSDI, Draft, 2014-2020). The ICTs companies operate mainly at the domestic level, but there are growing efforts to gain better recognition at the regional and international level. The ICTs companies operating in Tirana are mainly registered as SMEs and work in the local market. This paper explores the level of smart business in the ICTs sector in Albania by looking in particular at the current level, future trends and underpinning reasons for the smart business development. The paper provides a framework analysis for smart business as outlined in the survey of literature and explores its contextualization in the ICT sector in Albania by looking at the readiness of the sector to develop smart business. The paper adopts a quantitative methodology and uses both primary and secondary data. The primary data are collected through online structured survey of the ICTs sector in Albania and the secondary data include reports, articles and studies on the ICTs market in Albania.

**Keywords:** ICTs, business, smart business, readiness, process management

### Introduction

When considering the adoption of novel technology in the area of information and communications technologies (ICT), SMEs are often viewed as laggards when viewed against their larger counterparts (OECD, 2004). This is often explained by ignorance, uncertainty and associated risk, coupled with a lack of resource availability, applicability and fewer incentives (Culkin and Smith, 2000; Chanvarasuth, 2010). Of the diverse ICTs forms, Business Intelligence (BI) is acknowledged as a driving force for much development and innovation around the world (UNESCO, 2002;). Larger organizations tend to have a number of suitable characteristics, which lend themselves to effectively adopting BI, such as the necessary level of organizational complexity, the required level and format of data needed for BI and the necessary budget to support BI. While the majority of emphasis identified in literature (as will be analyzed below) is on the larger companies, the literature relating the use of Business Intelligence and Knowledge Management systems in SMEs is beginning to gradually expand. Although, it can be generally observed that SMEs tend to hesitate in adopting BI due to perceived costs on time, further research is needed to explore the topic. This paper provides a framework analysis for smart business as outlined in the survey of literature and explores its contextualization in the ICT sector in Albania by looking at the readiness of the sector to develop smart business. The paper adopts a quantitative methodology and uses both primary and secondary data. The primary data are collected through online structured survey of the ICTs sector in Albania and the secondary data include reports, articles and studies on the ICTs market in Albania.

### Methodology approach

The following section presents the research context for the study, the research objectives and hypotheses, followed by the theoretical framework and research model and finally the presentation of the data collection strategy and respondent rates and profiles. This study addresses the gaps in our understanding of BI and its application to SMEs from the perspective of data. In order to understand the impact of BI on SMEs performance in ICT sector, it is important to observe firm characteristics.

Figure 9: Variables and hypothesis

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Variables	Hypothesis
Business digitalisation – Business Performance	H1: Business digitalization will impact positively the overall performance of SMEs in Albania.

Figure 10: Variables measurement

Variables	Indicators	Dependent/independent
Business Performance of SMEs	Growth turnover, employment, profits	Dependent
Business Digitalisation of SMEs	Query and reporting tools Enabled by Business Intelligence	Independent

An online survey was deemed the most suitable method for achieving the objectives of the study and was developed through the use of an online survey application. The questionnaire is composed of structured and closed questions. Sampling strategy is that of random stratified sampling out of a compiled list of 268 SMEs in Albania. In total, 268 companies were contacted between November 2015 and February 2016 via email or directly through their company contact page on their website where no email address was available or in person via business connection and network. A personalized email was devised and the link to the survey was incorporated and sent to each company individually. A structured three-phased follow up strategy was applied. The final sample was 67 SMEs. This paper presents the results only for the ICT sector. The survey respondents were CEO and Founders level, senior management, IT management and others.

#### *Theoretical framework*

Due to the complexities of making effective and timely business decisions in highly competitive markets, Data-driven decision-making using Business Intelligence (BI) applications have attracted many organizations worldwide. However, despite these applications being suited for use in most organizations regardless of size, only the larger enterprises have reached a stage of maturity in BI use while small and medium-size enterprises (SMEs) still lag behind. Whilst many academic researchers have conducted BI research focused on large organizations, literature relating to BI adoption within SMEs has remained limited (Boonsiritomachai, et. al, 2014: p. 2). To fill this research gap and support the adoption rate of BI in SMEs, this paper proposes a research framework for identifying the current state of BI adoption by SMEs and the enabling factors that impact BI adoption in SMEs. Future research directions for using this framework are also discussed. Gartner Research (2013) found that BI technology is often a first priority in technology investments. This finding agrees with O'Brien and Kok (2006) and Kimball et al. (2008) who found that BI technology had reached a stage of maturity that is widely used at all levels of the business world. Recently, the International Data Corporation (IDC, 2013) reported that the Business Intelligence market had grown by 8.7% in 2012, while the total software market and total Information Communication Technology (ICT) market had grown by only 2.9% and 3.6%, respectively. However, despite BI technology being normally considered as reserved for larger firms, the current demand for BI is not restricted to firm size (Pegasus Software, 2008). Indeed, both small and medium-sized enterprises now have as much need for BI utilisation as the larger companies (LogicXML, 2009). The accepted classifications of SMEs differ, not only from industry to industry but also from country to country (Atkins and Lowe, 1997), depending on the political and economic objectives defining those (Simpson et al., 2004).

BI is a systematic process, by which knowledge needed for an organization to compete effectively, is created, captured, shared and leveraged (Foo et al., 2007). The source of such knowledge may be internal or external, individual or collective, historical or forecasted. BI hence consists of a dynamic and continuous set of processes and practices embedded in individuals, as well as in groups and organizational structures. At any point in time, any part of a given organization may be engaged in several different aspects of BI that attempts to constitute a 360° view of its business health status (Sharma, and Djiaw, 2012: p.114). According to Alavi and Leidner (2001), it is not the quantity of knowledge capital that is a strategic advantage but the organization's ability to effectively apply the existing knowledge to create new knowledge. There are many studies that support BI initiatives and their contribution in aligning organizational goals with objectives. One of them is from report based on a survey of 423 organizations from Europe and the USA (KPMG, 2000).

Lack of resources is one of the key characteristics many researchers address when studying SMEs. These limited resources include finance, technology, knowledge and human resources. In particular, Bhaired and Lucey (2010) found that



financial resources are personally funded by the owner in most SMEs. Due to their restricted financial budgets and low number of employees in SMEs, the majority of employees perform multiple tasks which do not specialise in any particular area (Kirchmer, 2011, Hudson et al., 2001). Moreover, the unskilled workforce with lack of technical specialisation results in SME managers being conservative when adopting IT innovations (Karkoviata, 2001). This may be the reason why many SMEs are reluctant to invest in new technologies and overly careful in assessing any investment strategies involving IT (Nguyen, 2009). For instance, Fuller-Love (2006) found that owner-managers in SMEs deal with IT adoption only when they perceive the promise of success, because they do not want to take risks. This is especially the case for BI, since BI maintenance and implementation costs are very high as is the failure rate of implementation when compared to other technologies (Lawton, 2006). Also, Hill and Scott (2004) conducted in-depth discussions with eleven SMEs located in Northern Ireland to find that BI technologies are not widely implemented in SMEs because they depend on personal contact networks as a fundamental way of doing business, and are unable to rationalise BI investments for financial benefits. Moreover, due to their limitations in both human and financial resources and scale and complexity of operations, SMEs require different BI approaches from those adopted by large firms (Barnard, 2010).

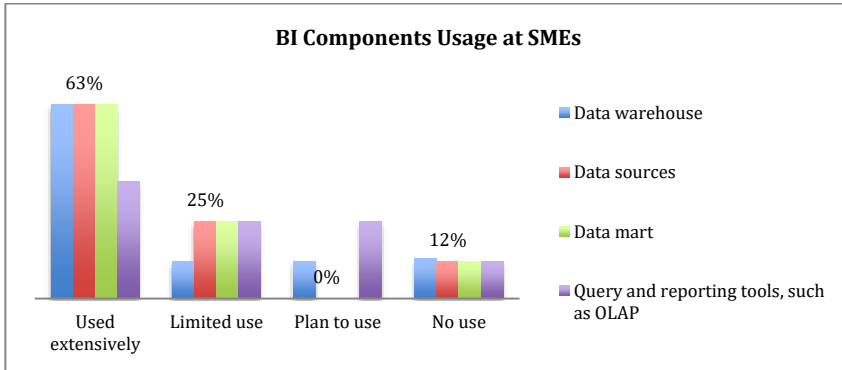
The European Commission (2008) claimed that more than 95 % of enterprises fall within the SME group as the main driver of the world's economy. As SMEs employ the majority of workers, they contribute to the economic growth of most countries, and are thus widely recognised as vital to economic development and expansion (Levy and Powell, 2005, Roy and Sander, 2004). As a result, the majority of governments support the growth of SMEs as a priority via the creation of various programs including technical support, training, regulatory provisions and policy interventions (Madrid-Guijarro et al., 2009, Esselaar et al., 2007, Chen, 2006). However, even though governments often support SMEs, most SMEs underestimate the value of IT innovations by limiting them to administrative tasks rather than complex business operations (Festing, 2007). As a result, SMEs have lagged in the BI uptake despite being an important part of enterprise decision support for over two decades (Wirtschaft et al., 2010). According to technology adoption research in SMEs, a number of researchers have found that the structural characteristics of SMEs are different from those in large enterprises, which explicitly affects their IT usage behaviours (Gutierrez et al., 2009, Strucker and Gille, 2008, Buonanno et al., 2005). Man et al. (2002) point out that a small enterprise is not a small version of a large enterprise, but has dissimilarities in terms of structure, policy making procedures, and utilisation of resources. Another study on SMEs by Deros et al. (2006) classifies these dissimilarities in terms of structures, systems and procedures, cultures and behaviours, human resources, and markets and customers.

#### Smart Business – ICT sector in Albania

The level of digitalisation of SMEs in Albania is assessed through: the ICT needs at the company, the structure of the ICT support, ICT knowledge, Management reports using ICT and frequency of those reports. Initial results show that 44% of the SMEs report that they have basic technology needs and only 16% note that they have advanced technology needs. The analysis shows that 33% of the companies have a dedicated ICT unit in the company. ICT knowledge at the company differs across SMEs and 35% no expertise for further digitalisation and advanced use of technology. All companies declare to have management reports and data analysis in place for decision-making purposes - the variety and complexity differs. The majority of the SMEs (56%) state that management reports are created manually using basic office applications + a simple accounting system in place. Only 7% of the surveyed SMEs make use of advanced analytics such as Business Intelligence or Decisions Support Systems. Management reports are produced only when there is a particular issue at stake at the company (52%). Only 12% of SMEs state that management reports are produced automatically and periodically. There is a growing tendency of SMEs to develop further the ICT sector. 28% of surveyed SMEs reporting to have expertise and leadership for the digitalisation of their company in line with the overall strategy.

The vast majority of SMEs in Albania (81%) are not enabled by Business Intelligence. As such, business digitalization level is low in SMEs in Albania and few SMEs report having BI in place. Also, low level of SMEs use BI and analytics for decision making, including ICTs companies. Instead, simple management reports like spreadsheet are used for reporting. The paper argues that reasons behind the low level of BI are the following: no clear return on investment; lack of industry standards and promotion of benefits of BI for SMEs; ease-of-use challenges with complex software; less technically savvy employees; vision of owner-manager and lack of ICT knowledge/competences.

Figure 11: Components of BI used at SMEs



The majority of SMEs, which reported being enabled by BI, state that they use analytics provided by BI both at the operational and strategic decision making at mid and upper management level. The descriptive statistics shows that the majority of these SMEs use extensively all major components of BI, namely data warehouse, data sources, data mart and query and reporting tools (63%). Thus, even within SMEs enabled by BI the extent of advancement in the systems used is relatively limited.

Figure 12: Technology used to share BI insights & analytics

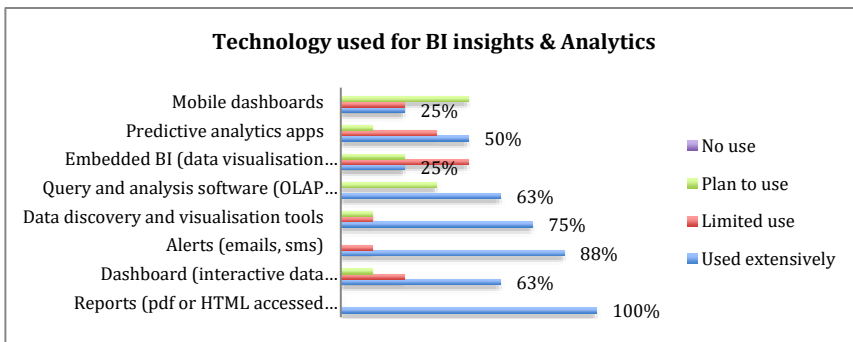


Figure 13: Interest in BI

Statement on BI	Level of Agreement
"Higher BI usage in my company offers or will offer greater information quantity, quality and availability"	Strongly agree – 75%
"Helps a company achieve its strategic objectives"	Strongly agree – 62,5%
"Contributes to the overall effectiveness of a company's decision making processes"	Strongly agree – 62,5%
"Contributes to the overall effectiveness of the whole company"	Strongly Agree – 50%

A growing number of SMEs express an interest in BI and they state that '*they are exploring opportunities for BI implementation in their company*' (53.2%). The main reasons for the interest in BI and plans to deploy BI seem to be: Need to save money by reducing costs and/or improving productivity; Need to improve customer satisfaction to remain competitive; Need to improve decision-making, its speed and accuracy.

### Conclusions

The results show that business digitalization impacts positively the overall performance of SMEs in Albania. Size, age and location of the SME dominate performance and are related to the business digitalisation more than strategy. Also the entrepreneurial characteristics of the owner – manager also impact the digitalization. Having a clear business plan was

also found to be important when it comes to using BI. SMEs in Albania are a vital part of the national economy and from the research it looks that there is growing interest in ICT, digitalisation, BI and KM, but innovation is still at low levels due to financial and human resources, which are limited. However, it is also seen that SMEs are very flexible and easy to adopt to change and combined this with a visionary owner-manager they tend to move towards business digitalisation. The findings of this research paper have practical implications for the SMEs sector in Albania not only in providing an assessment of the current use of BI, but also in exploring the benefits and potential usage of BI as a necessary activity for deriving improved performance. The results can provide effective and useful insights for investors and business owners to utilize more appropriate BI tools and functions to reach more idealistic organizational advantages. Also it enables managers to better understand the application of BI functions in the process of achieving the specified managerial support benefits. SMEs can achieve the integration of BI and KM, which is proven to be a necessity for them in the knowledge economy.

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## Policy Discourse on Marginalised Youth in Albania: The Constraints of the 'Normalisation' and 'Integration' Policy Approaches for Inclusive Education

PhD Cand. Blerjana Bino

### Abstract

The paper addresses the complex phenomenon of marginalised youth and particularly children in street situation in the Albanian contemporary society. Through a qualitative methodology of critical discourse analysis, the paper investigates the most relevant policy documents on inclusive education for marginalised youth in Albania. The paper is interested in exploring the conceptualisation of marginalised youth, specifically children in street situation, as embedded in policy documents, action plans and intervention programmes for inclusive education. The intention here is to discover the explicit and implicit themes of the policy discourse on marginalised youth in Albania and the how it impacts the approaches adopted by the government to address the phenomenon. The critical discourse analysis on policy framework shows that the discourse on marginalised youth in the public sphere (re)produces and reinforces already existing aspects of social deprivation, marginalization and discrimination. The research shows that there are limited efforts to elaborate the concepts of 'marginalised youth' and 'children in street situation' and that there is confusion in policy regarding the use of the terms. In addition, children in street situation are seen either as victims of socio-economic hardship and endangered by their presence in the spaces of the 'street' or as a possible threat to the rest of the society, i.e. the street criminalises children. The research shows two main policy approaches: (i) correctional or repressive-oriented policy approach that conceives 'street children' as a danger to public order whose features differentiate from mainstream childhood and as such invites intervention programmes that tend to 'normalise' children; (ii) protective or rehabilitative policy approaches, i.e. emphasising children needs and aiming at protecting and re-integrating them in family and mainstream society. The paper takes a critical stance on the current policy discourse and the consequent policy approaches of 'normalisation' and 'integration' and argues for a reconceptualization of children in street situation as social actors based on the notion of childhood as socially constructed. It is thus necessary to link research on the socialisation processes, identity construction and resilience of marginalised youth in the spaces of the street based on their dynamic lifestyles and perspectives with policy development. \*

**Keywords:** Policy Discourse Marginalised Youth Albania Constraints 'Normalisation' 'Integration' Policy Approaches Inclusive Education

### Introduction

This article addresses the complex phenomenon of 'street children' in Albania. 'Street children' face multifaceted deprivation, social, economic, cultural and political exclusion, negative public perceptions and as such are placed at the outer margins of the mainstream society. While 'street children' have been the centre of intensive research at the level of practice and policy, there is relatively isolated systematic research on street children in the academic sphere. Research on 'street children' in Albania has mainly focused on the success and failures of interventions, programmes and strategies designed and implemented by certain governmental and non-governmental organizations. The phenomenon has been seen mostly in terms of social inequalities, human trafficking, economic deprivation, causes of the phenomenon and consequences for child development and society at large. While all these studies are crucial to addressing the phenomenon, they fall short of taking into account 'street children' as active agents in social and identity constructions, the dynamics of the social organization of their lives within the spaces of the street, the complexities of their lifestyles and diversity of their

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\* The paper draws from the findings of a research project conducted by the author and supported by the Fellowship Programme of the Open Society Foundation for Albania. The project investigated the intervention programmes designed and developed by the governmental and non-governmental organizations in Albania for the inclusion of street children in education. The methods applied: document analysis and in-depth interviews. The full research project is in publication processes by the OSFA.

profiles and their 'street identities'. The purpose of this article is to critically analyse the conceptual framework on 'street children' as embedded in the intervention programmes of governmental organisations in Albania in various policy areas such as inclusive education.

This article conceives childhood as a process that is socially constructed and thus it depends on culture, political and historical contexts. In this sense it is the social space that determines how childhood is lived through. It is necessary to appreciate that 'street children' do not form a homogeneous, clearly defined social category; rather they constitute an entity with diverse profiles and complex lifestyles which depend upon dynamic contexts. Drawing from the findings of a regional research project on 'street children' in the Western Balkans [1], the article suggests a need for a re-conceptualisation of 'street children' as agents or capable social actors with their own rights and freedoms and as such 'street children' need to be brought from the margins into the focus of policy-making processes and research.

### **The fluidity of the concept of 'street children'**

The first international legal initiative regarding the rights of the child was the UN Declaration of the Rights of the Child in 1959 and in November 1989 the UN General Assembly approved the UN Convention on the Rights of the Child, setting out the concept of the Child, rights and entitlements as well as envisaging the role of families and the government [2]. Given that childhood is socially constructed [3] and the concept of childhood varies across cultures, local contexts and time [4], the power relations concerning the discussion on the best interests of the child is of extremely relevant. The Convention places children at the centre of policy making and as such the government is required to take into account the impact of each policy on children. This entails active consultation with and participation by children in policy-making processes. The Albanian Government has introduced legislation, policies and intervention programmes that draw from the UN Convention on the Rights of the Child. The adoption and ratification of the UN Convention on the Rights of the Child and its successful enforcement are two different things and despite the good intent, the phenomenon of 'street children' is still persistent in the Albania contemporary society.

The concept of 'street children' as defined by the United Nations refers not only to homeless children, but to children who might be working on the street, school drop outs and extremely poor children. This concept has been criticized since it constructs negative perceptions on children and lacks attention to the interrelations amongst various dimensions of the street children phenomenon [5]. The most commonly used definition is that of the United Nations Children's Fund. UNICEF categorizes street children into children 'on the street' and children 'of the street'. The former maintain family connections but receive inadequate family support, whereas the latter live without family support and spend day and night on the street [3].

This definition categorizes street children based on family connection and intensity of involvement on the street, but it is oversimplified and fails to envisage the complex relations that children have with family and other actors. The definition on street children as proposed by UNICEF and taken by other international organisations is not just a description of a social phenomenon, it is a dominant discourse, socially constructed and employed by UN and UNICEF and other international organisations, to raise awareness regarding the phenomenon of street children and to legitimise their actions and programmes [4]. This discourse has significant implications for 'street children' as it constructs a picture of children and their families as lacking the values of the dominant society and thus reinforces their exclusion and marginalisation. It is widely recognised that children and particularly 'street children' constitute a heterogeneous group and it is very difficult to provide a comprehensive definition, thus we need to accept the fluidity of the term [3] [4].

### **'Street children' as social actors and inclusive education policy in Albania**

The way 'street children' are conceptualised impacts the type of policy and intervention programme being implemented. In addition, the wider policy landscape in a given context, i.e. national strategies on marginalised groups, juvenile justice system and social welfare, including education, housing and health impact concrete action plans to address the 'street children' phenomenon. A recently conducted research project [6] demonstrates that the discourse on 'street children' in the public sphere (re)produces and reinforces already existing aspects of social deprivation, marginalization and discrimination of these children and their families. The complex phenomenon of 'street children' is principally covered within the framework of human rights and children rights legislation and public policy such as social inclusion, health policy, educational policy and protection of children programmes. National legislation is in line with international legal framework on human rights. Concrete intervention programmes for 'street children' are mainly the initiatives of non-governmental organisations in partnership with local actors.

The research demonstrates that 'street children' is understood as a socially constructed category that, in practice, does not constitute a homogeneous population, making the term difficult to use for research, policymaking and intervention design.

Terminology has continued to evolve to recognize children as social actors whose lives are not circumscribed by the street. Human Rights Council resolution 16/12 refers to children working and/or living on the street, and the Committee on the Rights of the Child has adopted the term "children in street situations". However, the research shows that there are limited efforts to elaborate the concept of 'street children' and that there is confusion in policy regarding the use of the term. In addition, 'street children' are seen either as victims of socio-economic hardship and endangered by their presence in the spaces of the 'street' or as a possible threat to the rest of the society, i.e. the street criminalises children.

The research shows two main policy approaches: (i) correctional or repressive-oriented policy approach that conceives 'street children' as a danger to public order whose features differentiate from mainstream childhood and as such invites intervention programmes that tend to 'normalise' children as in the case of the National Strategy for Improving the Living Conditions of Roma community in Albania; (ii) protective or rehabilitative policy approaches, i.e. emphasising children needs and aiming at protecting and re-integrating them in family and mainstream society as demonstrated in the National Strategy for Children in Albania. Recent intervention programmes from non-governmental organisations draw from the conceptualisation of children as social actors and attempt to include children in research and development of intervention programmes.

In this regard the socialisation processes and the ways in which children in street situation identify themselves is particularly relevant. For instance, despite the negative connotations of the terms 'street children', research [7] shows that children use it with pride and that they are proud of themselves in that they help their families and peers while working. Children in the spaces of the street demonstrate complex and diverse profiles; males predominate among 'street children', although females are also represented. They fear authorities and being arrested or getting sick. They have a positive image of themselves and are able to communicate their plans for the future, for instance they express their wish to go to school, but then the drop-out rates are very high. Rather than getting knowledge and acquiring skills through formal education, they demonstrate remarkable numeracy skills, communication competencies and negotiating skills which have been acquired through non-formal education and their struggles in the spaces of the street.

Taking their complex and diverse profiles into account, recent intervention programmes from non-governmental organisations in Albania draw from the conceptualisation of children as social actors and attempt to include children in research and development of intervention programmes. This paper suggests that there is a need to link research on the socialisation processes, identity construction and resilience of 'street children' in the spaces of the street based on their dynamic lifestyles and perspectives with policy development. This entails a deconstruction of the limits of discourse on 'street children' and an in-depth and critical analysis of the concept of 'street children' in policy development as well as a conceptualisation of children based on their rights.

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## Are We Ready to Pilot a New Test Format for English Language Matura Exam?

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### Abstract

Much of the debate about school improvement and raising of educational standards in Albania revolves around the issue of providing external standard tests which cannot allow students to be discriminated but allowed to receive equal opportunity to be assessed professionally in varying areas of English language. Being part of the National Agency of Exams, and part of standard testing service staff, it is obvious that taking the new challenges that education system is facing in consideration would be indispensable. The questions discussed are: *What is to be changed; Based on what; What new features should the State Matura Exams (the foreign languages exams) have in Albania; Are the teachers and students prepared for this?* This research paper will be focused on answering such questions and giving a clearer view on what has happened and what will happen with Matura Exams in Albania, especially with English Language Test. The aim of this paper is to see whatever has been applied and will be applied in future in State Matura Exams (external national standard assessment) based on concrete evidence.

**Keywords:** Albania Pilot New Test Format English Language Matura Exam

### Introduction

How did State Matura Exams start in Albania? (*The political aspect*)

State Matura represents not only an important element of the educational system reformation, but it has urged and laid down positively the reformation of some other links of the system, their harmonization to ensure quality and high standards as permanent objective of the education.

Which were the factors that urged and accelerated the reform of State Matura?

The results of the entrance examinations for universities lost the reliability, because in many cases they didn't correspond to the level of the acquired knowledge in high school.

The well known and unacceptable situations of letting out the secret and the test trade years ago were the top of the iceberg of the corruption size which had spread into some academic institutions, which had shaken their integrity.

Such a corruptive climate favored the informal business of tutoring private unlicensed courses and which did not pay taxes, from the professors known for the preparation of the university entrance exams.

The internal assessment, without denying the honest and devoted work of the most of the Albanian teachers, did not respond to the results of the inspecting, and sometimes, it represented some conflict of interests between the teachers and their evaluation (grades).

State Matura didn't express directly the government's responsibility and commitment, the veracity of the evaluation of the results of our educational service, creating in this way an equalizing system of evaluation which didn't take in consideration the differences of the schools' levels and the differences between different regions of the country.

All above mentioned, and the lack of the transparency shook the confidence of the public and the tax-payers not only to the educational system, but to the whole system itself.

Right for this reason, the creation and the application of State Matura represented a major and big step to stop the crisis and to get out of it; it helped to regain the public's confidence to the system based in work and merits.



State Matura Exams represented a system of examinations (2 plus 2) which means two compulsory exams and two optional ones. They were performed in written form to avoid the subjectivism in evaluation as much as possible.

For the first time in the system of examination, were applied optional examinations, in the form of a group of subjects that allow each candidate to make his own choice to continue the university based on his wishes, vocations and the gained grades.

The external assessment was the core of the novelties and the reform of State Matura which represented an objective assessment was central and impartial which expelled the conflict of interests and corruptive tendencies.

Though State Matura in its gist was a system of examinations with external assessment, it didn't expel, but included the school evaluation which is an average synthesis of all the results during all the school years of the high school and this one forms 20% of the general evaluation, and its specific weigh could grow with the consolidation of the system.

State Matura 2006-2010 was enriched with "Merit-Preference" element for a better connection of the offer with the level of each student preparation, so to avoid the endless turns of registrations in preceding Matura Exams that let the doors open to the corruption.

The optional exams included five foreign languages (English, French, German, Spanish, and Italian).

To design tests for these languages, tests specialists have been based on National Curriculum for foreign languages and on the Framework of the European Languages. The priority of our government has been decisive to make English language an official language, so its weight in schools programs has been the same with that of compulsory subjects such as Albanian language and literature and Mathematics.

It hasn't been easy to design standard tests for different types of schools and students levels. The level of teaching English differs from a region to another one. It depends on the qualifications the teachers of English language have.

Since 2006, State Matura Exams in Albania have been applied in different formats. (*The technical aspect*)

*In 2006-2007*, all tests (Albanian Language and Literature, Mathematics, English language, and other subjects such as Physics, Biology, History, etc) were multiple-choice format (50 questions - 50 points)

*In 2007-2008* was kept the same test format; 50 multiple-choice questions - 50 points.

*In 2008-2009*, the Ministry of Education in collaboration with the National Agency of Exams decided to change the format of the National Matura Exams. Open-ended questions would be included in the tests too. That was seen as a better way to really diagnose students' proficiency level in reading and writing; because the previous format resulted as not reliable because of a great number of students punished for cheating during the test-taking. So, this was a good way to reduce the possibility to cheat. The test contained 10 items of multiple-choice format (10 points) and 10 open-ended ones (30 points).

There were 40 points in total, not 50 as in the previous Matura Exams.

What changed?

A better test administration

More reliable test results

The psychometric analysis showed that some open-ended in Reading Comprehension were not practiced at schools at the level they had to. So, teachers got their message: they had to treat such questions (critical thinking questions) more seriously and thoroughly. This issue had a profound effect on the training needs of in-service teachers.

The changes resulted necessary, but at the same time costly. NAE engaged 60 -100 teachers to be a part of test correction procedures; while in previous Matura Exams they were corrected automatically.

Tests specialists needed to be trained on construction of open-ended questions and their scoring.

*From 2010-2013*, except English language and French language which were the only ones to be tested on Matura Exams (optional exams), other foreign languages were included in National Matura Exams (optional exams), German, Italian, Spanish, Greek, and Turkish languages were included too. The table below shows some important aspects of National Matura Exams in foreign languages, in Albania.

*National Exams (optional exams) during 2010-2013*

*Foreign Languages Exams*

Language	School year 2010-2011			School year 2011-2012			School year 2012-2013		
	Nr. of participants in the test	The average grade	Nr. of students who failed	Nr. of participants in the test	The average grade	Nr. of students who failed	Nr. of participants in the test	The average grade	Nr. of students who failed
English	10453	7.07	24	12080	7.1	78	13673	7.2	132
French	112	7.4	0	404	7.3	5	378	7.6	2
Italian	1344	6.9	6	1381	7.6	6	1690	7.5	21
German	62	7.3	0	71	7.9	1	138	7.9	4

*Note: The Passing grade is 5; 10 is the highest. The other languages are not included in the table because of the minimal number of students who has taken these tests.*

**Some facts on English Language Test as compulsory and optional tests in Matura Exams from 2006-2014**

*In State Matura 2006*, the English Language Test contained 20 questions (20 points) on reading comprehension, 25 questions (25 points) on Grammar and Vocabulary, and 5 questions on Writing. English Language Test was an optional test at Level B1 (CEFR).

*In State Matura 2007-2010*, the English Language Test contained 9 questions of multiple-choice and open-ended format on reading comprehension which carried 16 points; 10 questions of multiple-choice and open-ended format on grammar and vocabulary, which carried 18 points and 1 question on Writing. English Language Test was an optional test at Level B1 (CEFR).

*In State Matura 2011-2013*, English language started to be treated in two tests:

*English Language as a first language* (a test which had to be chosen by students that had English language as a first foreign language in their schools);

Its format was kept the same as the previous one;

20 items

10 items of multiple-choice format - 10 points

10 items of open-ended format – 30 points

3 sections (reading comprehension / use of language / writing)

Level B1-B2 (CEFR)

*English Language as a second language* (a test which had to be chosen by students that had English language as a second foreign language in their schools)

Its format was kept the same as the previous one;

20 items

10 items of multiple-choice format - 10 points

10 items of open-ended format – 30 points

3 sections (reading comprehension / use of language / writing)

Level A2-B1 (CEFR)

*In State Matura 2014-2015*, English language was set for the first time as a compulsory exam, the same as Albanian language and literature and Mathematics; at the same time it was an optional exam with another difficulty level.

Item bank was completely rebuilt. The agency asked collaboration by English Testing specialists, and it really had very good results. Tests were accepted by most of students and teachers very well. Tests results were better than the previous years ones.

*English language as a compulsory exam*

Its format changed

25 items

12 items of multiple-choice format - 10 points

13 items of open-ended format – 40 points

3 sections (reading comprehension / use of language / writing)

Level A2 (CEFR)

*English language as an optional exam*

Its format was kept the same as the previous one;

20 items

10 items of multiple-choice format - 10 points

10 items of open-ended format – 30 points

3 sections (reading comprehension / use of language / writing)

Level B2 (CEFR)

**Some important issues that English Language and other foreign languages are facing;**

**Language aspects that have resulted problematic in these tests during the years**

Being an assessment specialist in this agency for 8 years, and taking part in all procedures of exams preparation, production, administration, correction, etc, has helped me to have a continuous and clear mirror of problems related with all procedures above-mentioned.

As far as this paper is focused with problems of assessment in English language, here are some issues related with teaching, learning and assessment of English language in Albania.

The first thing which is quite a problem is that examination reform has to be integrated with other reforms in curricula and teacher training as well. Curricula are well-integrated with assessment, but teacher training is not uniform all over the country. Well-trained teachers are concentrated in big cities, while in the other sub-urban areas; the training reform is nearly inexistent. This creates a gap to complete a regular circle: curricula – teacher training – students' preparation - assessment. This leads to a different students' preparation for Matura Exams and to different results in final exams.

The non-inclusion of other language skills (listening and speaking) in the final exam leaves an unclear mirror of reality about the level of achievements and performances of students and schools in foreign languages. We cannot have complete "scanning" results without having these important skills included in the tests of foreign languages.

A network of competent item writers, test designers, moderators, and examiners must be created to have a better presentation with foreign language tests in State Matura Exams. This has its price, but it must be done to have good results in this aspect.

Not enough work with reading comprehension is another issue that affects Matura Exams results. What happens? Where are the problems?

The students' results and psychometric analysis of the tests show that one of the weakest points in teaching and learning English language is being not equally focused on every aspect of reading comprehension. The aspects which should be treated more seriously by the teachers and students at school are:

*Vocabulary*

New words are seen by students as a great obstacle to comprehend a text. It is necessary for students to properly comprehend the words or the vocabulary of a written passage in order to be able to decode the message given in the text.

*Ability to memorize*

The students show features of the fact that they cannot recall all the information in the text. They need to hold the information in working memory long enough for the information to be more extensively processed, and often some of them lack it.

*Students read too little*

They have to be encouraged to read as much as possible from different types of texts. If they don't do so, this will always be an obstacle for students to comprehend well a variety of written texts and have good results in the test.

#### *Dealing with scanning details items*

It has been years since we introduced for the first time open-ended items in tests of foreign languages in State Matura Exams. Since then, it is a repeated problem; students mistake in such items. Maybe the problem is that they don't concentrate too much in the question posed to them. They often give answers expressing their general opinion on what is asked, but not try to find and give details on what is asked. This is an issue that should be treated at schools by teachers carefully. Teachers and students must pay more attention to reading exercises that contain such types of questions.

They do better in grammar items than in vocabulary ones

Much more work needed for vocabulary activities, exercises, quizzes, tests, that will improve students' results in this language aspect.

Cheating still remains an issue

Even these last years (2014-2015), when Ministry of Education and Sports together with its dependent institutions have taken measures for a strict and fair test administration, there have been cases of students punished for cheating. But, to say the truth, the number of students who have cheated in State Matura Exams and punished for it has been reduced significantly compared with previous years.

#### **New items formats asked to be applied, so a new test format for foreign languages tests**

What is the existing test format like?

##### **B1 Level Examination**

This examination aims to test candidates on their English language competence at B1 level of the Common European Framework of Reference for Languages (CEFR).

The examination comprises a Reading Section, a Use of Language Section and a Writing Section. Listening and speaking skills are not tested.

The overall descriptors of the B1 level of the CEFR have been used to guide the content and level of the examination. The descriptors are as follows:

Can understand the main points of clear standard input on familiar matters regularly encountered in work, school, leisure, etc.

Can deal with most situations likely to arise whilst travelling in an area where the language is spoken.

Can produce simple connected text on topics, which are familiar, or of personal interest.

Can describe experiences and events, dreams, hopes & ambitions and briefly give reasons and explanations for opinions and plans.

##### **B1 Level Examination (MATURA EXAMS 2014-2015)**

This examination aims to test candidates on their English language competence at B1 level of the Common European Framework of Reference for Languages (CEFR).

The examination comprises a Reading Section, a Use of Language Section and a Writing Section. Listening and speaking skills are not tested.

The overall descriptors of the B1 level of the CEFR have been used to guide the content and level of the examination. The descriptors are as follows:

Can understand the main points of clear standard input on familiar matters regularly encountered in work, school, leisure, etc.

Can deal with most situations likely to arise whilst travelling in an area where the language is spoken.

Can produce simple connected text on topics, which are familiar, or of personal interest.

Can describe experiences and events, dreams, hopes & ambitions and briefly give reasons and explanations for opinions and plans.

**Summary of the format of the B1 Level Examination (Table 1)**

Section	Total points	No. of questions	No. of Tasks	Tasks	Format	Description	Points
Reading	20	12	2	Task 1	1 short text 6 questions	Informal email, simple narrative, descriptive or discursive text	1
					Question 1 – multiple choice, 4 answer choices	Tests understanding of the <b>general idea</b> of the text	
					Questions 2-5 – open ended questions	Test understanding a text <b>in detail</b> Candidates should give very short answers	
					Question 6 – multiple choice, 4 answer choices	Tests <b>guessing the meaning</b> of a word or phrase from context	
				Task 2	3 short texts 6 questions	4 short advertisements, notices, descriptions, etc	1
					Question 7 – multiple choice, 4 answer choices	Tests understanding of the <b>general idea</b> of the texts	
					Questions 8-11 – open ended questions	Test ability to find <b>specific information</b> in texts Candidates should give very short answers	
					Question 12 – multiple choice, 4 answer choices	Tests <b>guessing the meaning</b> of a word or phrase from context	
Use of Language	20	12	5	Task 1	Questions 13-17 – multiple choice, 4 answer choices	Each question tests ability to choose the correct <b>grammatical form</b> to complete a gap in a sentence	5
				Task 2	Questions 18-21 – multiple choice, 4 answer choices	Each question tests ability to choose the correct <b>vocabulary item</b> to complete a gap in a sentence	4
				Task 3	Question 22 – cloze	Tests ability to use <b>conversational English</b> , e.g. “Could you tell me...” Question 22 has one short dialogue. Candidates complete a gap in a sentence. No answers are provided.	3
				Task 4	Question 23 – choosing the correct option from a list	Tests ability to choose the appropriate <b>vocabulary</b> to complete gaps in a dialogue, choosing from a list of 8 options. The dialogue has four gaps.	4

				<b>Task 5</b>	Question 24 – cloze	word to complete gaps in a text in terms of <b>grammar, vocabulary, and linking words</b> . The text has four gaps. No answers are provided.	4
<b>Writing</b>	10	1	1	<b>Task</b>	Question 25 – writing a short text	Tests ability to <b>write a short text</b> . Candidates choose 1 writing option from a choice of two. Ideas are given to help with writing. The options may be a short email, story or a description. Candidates write 100-125 words.	10

*Some figures on English Language Tests for both years:*

Nr of students (test-takers) in English Language Test, B2 level(CEFR) – 11852;

Average grade – 6,99;

Average points – 23,05 (test carries 40 points in total);

Girls have had a better performance than boys;

Urban regions have performed better than rural ones;

Public schools have performed better than private ones.

*Some issues related to Matura Exams (English Language Test, B2 level (CEFR))*

Difficulties with scanning details items in Reading Comprehension section. Students have problems to read the questions very carefully and attentively; they always give answers giving general information without being concentrated on details. This aspect still remains an issue to be improved.

Prepositional phrases result to be difficult for a considerable number of students, they know when to use the phrase but misuse the preposition; for example:

I was really impressed by his dedication to the project.

### **Made**

His dedication to the project really \_\_\_\_\_ me.

**Key:** His dedication to the project really **made an impression on** me.

Most of the students give answers as follow:

His dedication to the project really **made an impression to** me.

His dedication to the project really **made an impression at** me.

There were just few students who give the correct answer.

The number of the students with spelling mistakes is increasing. This can be explained with teachers' efforts to encourage the speaking aspect of the language more than the other ones.

### **Piloting a new format**

National Agency of Exams has planned a new format for all exams (compulsory and optional ones).

Foreign languages (English, French, Italian, and German) are to be presented with a try-out test format which includes only reading and writing skills again. The test will carry 70 points in total; 20 multiple choice items which carry 20 points, and 15 open-ended items which carry 35 points. This is a project that will help students and teacher with new item formats which have never been applied before.

The new format will include some of the previous years' item formats, but at the same time will have new ones.

In the following test format, items in *cursive* will be the new ones to be experimented in this try-out test.

**Summary of the format of the B1 Level TRY-OUT Examination (Table 2)**

Section	Total points	Nr. of questions	Nr. of tasks	Question's Format	Description (Content and Purpose)	Points	Testing Time
Reading	25 pts	15	3	1. A short text with 10 multiple choice questions Items (1-10)	Narrative or descriptive text which will test reading for: -Details -General idea -Main idea -Opinion -Guessing the meaning of a word or a phrase -Specific info	10 pts	70 MIN
				2. 3 short advertisements, reviews 2 multiple choice questions and 2 open-ended ones Items (11-14)		8 pts	
				3. A single text (a letter) with 7 gaps which represent 7 missing sentences. (Matching) Item (15)		7 pts	
Use of Language	30 pts	14	5	1. Multiple choice cloze, a text with 8 questions Items (16-23)	They test vocabulary collocations, shades of meaning, phrasal verbs and different phrases	8pts	60 MIN
				2. Gap-fill text with 8 missing words which are given in a list of words Items (24-31)	They test grammar and vocabulary	8pts	
				3. Gap-fill conversation/dialogue with 4 missing words or phrases. Items 32(a/b/c/d)	They test conversational English	4 pts	
				4. Key word transformations Items 33 (a/b/c/d)	They test grammar structures	4pts	
				5. Word formation/gap-fill Items 34 (a/b/c/d/e/f)	They test using the correct gram. form of the words and writing them correctly	6 pts	
Writing	15 pts	1	2	1. Description of experiences, impressions, plans, ambitions; A short story, the content of a favourite book or a film; Writing one's personal opinion on a familiar topic; 35/1 (100-125 words)	Tests ability to write a short text or a description.	10pts	50 MIN
				2. Personal letters, emails, notes that request information on everyday events; An email or a letter to a friend or relative on a certain problem or situation; Filling application forms; A letter to a friend(informal	Tests ability to write a short informal letter, email and an application form.	5pts	



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				letters) 35/2(80-100 words)			
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*Why this new format?*

This school year (2015-2016), ETS produced tests for our State Matura Exams (English Language Test, B2 level). So, this test will pave the way for the new format we are planning to apply.

The agency with its specialists and collaborators have been trying to include all possible item formats to make students and teachers be prepared for what will come next year.

*Are teachers and students prepared for this new test format?*

Nearly all the item formats described at the second table, are items practiced at school. They have worked with these types of questions all the time; maybe they haven't practiced them in tests before, but they have worked several exercises related to grammar, vocabulary, and reading, in which are use such items formats.

So, it is expected that students will do well in this new test format.

*What else will change except items' formats?*

One of the biggest complaints students have with the current version of State Matura Exams is that there is not enough time to take two exams in a single day. That will change with the new version of the test; they have to take it as a single one in three hours. They won't have two tests in three hours any more. So, there will be more time per section on the new version, and students will even have double the amount of time to write their essay.

The test of English Language, Level B1, will be designed in a way to no longer use tricks and uncomfortable items to students (eliminating texts related to family problems, crime, drug, racial issues, etc).

The try-out test will evaluate how much improvement can be expected from the change.

The agency will see the Try-out Test results to decide whether the proposed changes will work in the actual environment of interest.

This test will help the test specialists to decide which combinations of changes will have the desired effects on the important measures of quality.

**Conclusions**

Testing is typically seen as an evaluation of what students have learned, and indeed this is true. After taking the new test format, teachers will pay attention to how students will perform on tests and will use that knowledge to inform their teaching in the future. If many students will fail a particular topic on the test, it may be a sign to spend more time covering that material next time or use a different approach to teaching the materials. Teachers will also learn how individual students perform and what the students' respective strengths and weaknesses are. In turn, teachers can use that information to guide further instruction.

Today's students need to know not only the basic reading and writing skills, but also skills that will allow them to face a world that is continually changing. This is the way the new test format is conceptualized. They must be able to think critically, to analyze, and to make inferences. Changes in the skills base and knowledge our students need require new learning goals; these new learning goals change the relationship between assessment and instruction and surely need to be reflected at the new test format.

Being an integral part of instruction, assessment determines whether or not the goals of education are being met. That's why this try-out test will be useful; its results will give us answers to such questions:

Are we really testing what we think they have been taught?

Have students learned what they are supposed to have learned?

Is there a way to teach the subject better, thereby promoting better learning?"

**References:**

All the material is based on my personal practice work at my work place (The National Agency of Examinations). Data and figures are taken from the following public reports published by our agency:

*Rapote /Matura Shteterore 2008 / A.V.A*

*Rapote / Matura Shteterore 2009 / A.V.A*

*Rapote / Matura Shteterore 2010 / A.K.P*

*Rapote / Matura Shteterore 2011 / A.K.P*

*Rapote / Matura Shteterore 2012 / A.K.P*

*Raport Publik / Matura Shteterore 2014 / A.K.P*

**Notes:**

*A.V.A (Agjencia e Vleresimit te Arritjeve) – The Agency of Assessment of Students Achievement*

*A.K.P (Agjencia Kombetare e Provimeve)- The National Agency of Examinations*

*A.V.A is the same as A.K.P (just renamed)*

*rapote – reports*

*raport public – public report*

*Matura Shteterore – State Matura*

On our agency's website: [akp.gov.al](http://akp.gov.al) you can find only the last report published. The others are just in hardcopy form.

## **Cultural Studies as a Didactic Means of Improving Intercultural Language Education**

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**Abstract**

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Though the issues of integrating cultural studies in language education are often raised in FLT scholarly works (M. Byram & V. Esarte-Sarries, G. Zarate and others), but the question arises what kind of interdisciplinary cultural studies and for what didactic purposes is really needed at different levels of university education. The paper starts with looking at and showing the differences between the following concepts: "cultural studies as a branch of culturology (science of culture)", "cultural studies as an inseparable part of modern language pedagogy" and "Cultural Studies as a university subject" with the view to their didactic potential, aims & outcomes as a means of cultural education. The author goes on with giving an insight into the essential characteristics of the three types of cultural studies /CS/ under consideration and then focuses on the CS as a branch of language pedagogy & CS as a university subject, discussing their didactic values for modelling appropriate multi-level intercultural education though all the languages studied and co-learned at university. The system of interrelated didactic principles of designing culture-oriented educational programmes, syllabuses and courses that is outlined in the paper includes such principles as the principles of the dialogue of cultures & civilizations, creating didactically appropriate educational space problem-oriented learning environment.

**Keywords:** cultural studies, language pedagogy, multi-level pluricultural education, intercultural communicative competence, dialogue of cultures and civilisations, didactic appropriateness of educational environment, problem-oriented learning environment.

## 1. Introduction

In today's globalised world, multicultural and multilingual, the individual's ability to act in an international context seems to be one of the essential characteristics of successful people (Clawson, 2014; Earley & Mosakowski, 2016) in different social strata and not only belonging to the Establishment. But what does it mean to be able to act in an international context? Such a person is thought to be commutatively and culturally competent enough to participate and co-operate with other people in intercultural communication. In other words, s/he should become an intercultural speaker (Kramsch, 1998) who has gained a sociocultural competence that in a globalised world makes him or her capable of:

- observing and identifying sociocultural differences in the way of thinking and styles of life of other people representing different ethnic/national and/or political and/or religious groups, different social groups in a stratified society;
- interacting and cooperating with other people from a variety of ethnic/national, political/geopolitical, religious, social backgrounds, being aware and respectful of different cultural values, communication schemata and patterns of communicative behaviour;
- adapting to cultural environments of modern civilizations and geopolitical communities, being flexible in his or her ways of thinking about a variety of cognitive styles and communication patterns of behaviour;
- presenting his or her own culture in intercultural circumstances (taking into consideration the sociocultural context of communication interaction, sociocultural characteristics of communication partners) and delivering his or her message in terms linguistically and culturally understandable to his or her communication partners;
- foreseeing possible cultural misunderstandings leading to communicative barriers that can distort or even destroy intercultural communication;
- being an effective cultural mediator (CEFR, 2001) who can help to develop understanding and co-operation between people with different ethnic/national, political/geopolitical, religious, social backgrounds or to restore the communication between them in case it has been destroyed;
- finding appropriate and reliable sociocultural information for cultural self-education in the area of intercultural communication and using appropriate ways of learning about other language-and-culture communities (Safonova, 1996).

Nobody denies that universities can provide interdisciplinary cooperation and interdisciplinary basis for cultivating intercultural speakers (Kramsch, 1998) or cross-cultural encounters (Morgan, 1998) or cultural mediators (CEFR, 2001) through a didactical integration of Cultural Studies and language courses. The Routledge Encyclopedia of Language Teaching and Learning in the entry related to the Cultural Studies introduces Cultural Studies in the following way, "Cultural

Studies is an umbrella term for multi- or interdisciplinary analysis of cultural phenomena (products, processes, problematic) which was first used and developed in Britain and has spread to many parts of the world over the last thirty years" (Routledge Encyclopedia of Language Teaching and Learning, 2004:162). And can we really fully agree nowadays that cultural studies is always nothing else, but multi- or interdisciplinary analysis of cultural phenomena with its focus mostly on its research method. But what about Cultural Studies as an academic discipline in the system of teaching Humanities? Once Hartley put the following questions: How does Cultural Studies address the reader? How does it create a large, transnational multidisciplinary readership (Hartley, 2003:13)? One more question could be added here: What cultural studies do modern educators mean and need for being able to design a model of cultivating effective intercultural speakers and peacemakers?

In this paper, I would like to have a look at *Cultural Studies* as an academic research field in culturology, didactically-oriented *Cultural Studies* as an academic research field in language pedagogy and *Cultural Studies* as a school/university subject or discipline in pluricultural education, and what do they have in common and in what way do they differ from each other

## 2. Cultural Studies as a Branch of Culturology.

- Traditionally, Cultural Studies is viewed as a branch of culturology in Russia (Rozhdestvensky, 1969; Culturology. XX century, 1998; Rozhdestvensky, 1996). It is considered to be a multidisciplinary field of research that is nowadays multifunctional in its scope. *Cultural Studies* as a branch of culturology in Russia, first, studies in what way a variety of life styles in society is reflected in social values, norms, traditions and customs, historical memory (ethnic or super ethnic / national, or regional, or even continental); how cultural heritage, cultural identity and mentality of human beings are preserved, protected and shared by members of particular language-and-culture communities & subcultural groups; how variable they may be in the life of modern countries, their peoples and languages (operating in different cultures).

Secondly, it examines traditional socio-cultural values of the spiritual, physical and material cultures of human communities (Rozhdestvensky, 1996) and identifies the appearance of possible changes in them which are articulated in human behavioral codes, communicative schemata and cognitive perception of world sociocultural changes that have already been observed in linguacultures.

And thirdly, it gains a scientific understanding of:

- sociocultural portraits of countries, their languages and cultural communities, social strata in terms of social values, historical memory and its historical background, cultural heritage and contributions to the World culture, cultural perception of their country and other countries, attitudes to globalization and cultural identification;
- socio-cultural norms of human behavior in monocultural or multicultural communities, internal (within cultural and linguistic environment of a particular community in society) and external (in case of interaction between members of different cultural and linguistic communities);
- linguocultural aspects of intercultural communication;
- types of cultural, sociolinguistic and linguocultural barriers destroying communication that may lead not only to cultural misunderstandings, but to killing communicative interaction as such between its interlocutors.

## 3. Cultural Studies as a Field of Research in Language Pedagogy.

Cultural Studies as a field of research in language pedagogy has been intensely developed since the 1990s mostly in foreign language teaching and learning, because language teaching, as M. Byram puts it, has always and inevitably meant "language and culture teaching" (Byram & Esarte-Saaries, 1990: 5). It is interesting to note meanwhile that that it was Robert Lado who first put forward an idea of interrelating language and culture in teaching a foreign/second language in 1957 (Lado, 1957), but in the 1960s culture-oriented approaches to foreign language teaching were not and could not be developed due to a number of societal and methodological reasons. At that time the Western world was only on the way of politico-economic and ideological integration, so social needs for various intercultural interactions were not so much strongly felt in comparison with the 1990s of the previous century.

But, as soon as world globalization has become an essential characteristic of human societies nearly in all corners of the

planet and more and more people have started being involved in endless intercultural interactions it was a culture-oriented language methodology that started entering the stage of language education. Since the 1990s a great number of culture-oriented approaches to language teaching have been developed in language pedagogy and implemented in language education of some European countries. Among them are such as: an intercultural approach (Corbett, 2003), an ethnographic approach (Byran & Flemig,1998; Barro, Jordan, Roberts,1998;. Barro & Grimm,1998), a culture-sensitive approach (Holliday, 1994), a sociocultural approach (Safonova,1991,1996), a transcultural approach (Meyer,1991; Brady & Shinohara,2000), a pluricultural and plurilingual approach (Bernaus, 2007). And Cultural Studies has become a key element in ethnographic, sociocultural and intercultural approaches (Byram, Esarte-Sarries,1991,1997; Safonova,1991,1996; Wadham-Smith,1995).

It is worth mentioning here that the approaches mentioned above differ greatly from one another in terms of their understanding what kind of intercultural communication should and may be didactically facilitated in language teaching. For example, within an ethnographical approach (Byran & Flemig,1998) the educational focus is mostly cross-ethnic, whereas in a sociocultural approach it is pluricultural. So cross-ethnic or pluricultural?

It is a well-known fact that in modern globalised world we communicate in a foreign language not only with native speakers, but with non-native-speakers as well, especially if this or that foreign language functions as a language of international communication (e.g. English, French, Russian). And in different types of communication not only do intercultural interlocutors consciously or subconsciously demonstrate their ethnic or national cultural affiliation, but their interaction is also framed by their religious, ideological (including geopolitical) backgrounds, regional and continental beliefs and values. All that strongly affect their cultural code and patterns of their verbal and non-verbal behaviour and, consequently, it influences their wish to communicate with each other, the flow of communication and even the appearance of cultural barriers.

And that explains why in the context of a sociocultural approach to teaching international languages (Safonova,1991,1996) intercultural communication is viewed as an interaction between interlocutors or writers who identify themselves or are identified by other people as representatives belonging not only to different ethnic or super ethnic (national) communities (considerably religiously biased or vice versa with dominating atheistic beliefs in their societies), but to this or that degree they may also demonstrate their belonging to particular regional and/or continental and/or geopolitical communities, or even to a particular civilization layer, as well as their belonging to social subcultures (cultures of different social strata, professional groups, gender cultures, culture of the young & the old etc.). And this variety of cultures and subcultures manifest itself in the communicative codes, manners of intercultural speakers and writers, their communicative and cognitive schemata of behaviour. In other words, in situations of intercultural interaction speakers or writers act as bearers of a particular set of cultures and subcultures and, thus, in this way they would differ from each other in terms of values, beliefs, world view orientations, lifestyles, behavioral models of verbal and non-verbal communication (Safonova,2001:19).

It is important to note that any effective intercultural communication in the globalised world needs not only its interlocutors' awareness of cultural and subcultural differences, but of their possible cultural links and what their cultures may have in common, because sometimes the cross-cultural element is too much overemphasized, for example, in teaching languages. And modern language pedagogy is trying to find a certain balance between the universal and the specific in cultures and even subcultures. Cultural Studies as a research field in language pedagogy has got its own distinguishing characteristics (in comparison with Cultural Studies as a branch of culturology). They may be identified as follows:

1. Pedagogy-oriented cultural studies is expected to establish an appropriate theoretical basis for pluricultural development of the language learner as an intercultural speaker or writer.
2. One of its main concerns is a didactic description of multilevel pluricultural and plurilingual competences (Coste, Moore & Zarate, 2009:21) of the individual involved in intercultural communication and being able to act in its situations, overcoming its communicative and cultural barriers.
3. It develops a system of principles of developing pluricultural competence in the university classroom like a principle of teaching languages in the context of dialogue of cultures and civilisations (Safonova,1991).
4. It explores and suggests didactic options for cultures-oriented language education and self-education through all co-learned languages with the view to the essential characteristics of modern intercultural communication (including cultural / cross-cultural barriers to it and how to overcome them in a globalised world), learners' needs as intercultural speakers / writers, sociocultural context of teaching and learning languages in a particular country, learners' sociocultural portrait in terms of

their cultural views, values and beliefs, their communicative and intellectual powers.

5. It studies the powers of language education as an instrument of the individual's socialisation.

6. It develops Linguocultural Studies as an inseparable part of Cultural Studies related to the field of language acquisition.

7. It develops methods of sociocultural analysis of teaching materials, the cultural characteristics and influences of the latter (positive or negative ones) on the learner's ability to act as an intercultural speaker / writer. It is also important to mention that cultural studies as a research field in language pedagogy also includes researches in Linguocultural Studies on cross-cultural or multi-cultural basis.

### **5. Cultural Studies as a university subject**

- Cultural Studies as a university subject is a multidisciplinary course, integrating historical, sociological, aesthetic, literary, anthropological, ethnographic, psychological and communicative knowledge of intercultural communication that is didactically transformed and designed in order to help university learners:
- deepen their knowledge on cultural universal and specific features of intercultural communication in a globalized world, historical memory and cultural heritage of potential interlocutors, their life styles and communicative styles;
- understand the necessity to accept the principle of dialogue of cultures and civilizations as the major principle of the individual's lifestyle in the world burdened with permanent geopolitical, economic, financial, civilization and cultural conflicts;
- act as a cultural mediator in cross-cultural or intercultural communication;
- acquire effective strategies of cultural education and self-education allowing them to develop themselves as intercultural speakers / writers, effective cultural mediators;
- use effective interactive communicative strategies for academic, professional and other scholar purposes, including those strategies that may be used to overcome cultural barriers destroying professional / business cross-cultural / intercultural communication;
- understand how to stand up to all forms of modern cultural vandalism (Rozhdestvensky,1996) and manipulative powers of modern mass media.

### **6. Didactic principles of designing pluricultural educational programmes, syllabuses and courses**

The question of principles related to intercultural education is widely discussed in scholarly works in many countries (Byram, Esarte-Sarries,1997; Wadham-Smith;1995 and others), their terminological names, number and methodological interpretation varies from country to country. In Russia and in a number of Eastern European countries within the framework of the sociocultural approach to co-learning languages and cultures (Safonova,1991,1996) such system of principles includes two closely interrelated groups:

- general methodological principles of university learners' pluricultural developments through all the language and cultural Studies courses that are on the university curriculum
- and
- technological principles of modelling university teaching environment.

Among the first group of principles are such as:

- teaching humanities in the context of dialogue of cultures and civilisations;
- being oriented around the sociocultural context of pluricultural education in a particular learning environment;
- creating didactically appropriate educational space;
- developing professionally-oriented and student-centred bilingual / *trilingual* / *plurilingual education*;
- providing competency-based pluricultural education;

Among the second group of principles are the following:

- creating problem-oriented learning environment;
- interdisciplinary collaboration in pluricultural and plurilingual university education;
- designing adequate assessment of learners' intercultural communicative competence.

Within the limits of this paper, it is rather questionable to dwell in detail on each of the principles mentioned above, so I would like to discuss only three of them (principles of teaching humanities in the context of dialogue of cultures and civilisations, creating didactically appropriate educational space and problem-oriented learning environment

The philosophical background for teaching humanities in the context of dialogue of cultures and civilizations is based on Bakhtin's dialogism (Bakhtin, 1979:293) and Kagan's philosophical ideas about the philosophical binary concepts *dialogue of cultures - non-dialogue of cultures* in human society and communication (Kagan, 1988). Kagan in his philosophical work "The World of Communication" discusses three types of relationships between cultures in human society:

- absolutely utilitarian attitude of one culture to the other culture (assimilating a particular culture or adapting it for purely pragmatic utilitarian purposes);
- rejection attitude of one culture towards the other culture / other cultures;
- such relationship between cultures when their representatives demonstrate a mutual intention to develop a cultural understanding, positive intercultural interaction and orientations towards mutual cultural enrichment (Kagan, 1988: 213-215).

The third type of relationship was termed by the author as a *dialogue of cultures*, whereas the first and the second ones as a *non-dialogue of cultures* (Kagan, 1988: 213-215). It may be of interest to note that the concept of *dialogue of cultures* is very close in its meaning to the European concept of *intercultural dialogue* that was introduced in Europe in 2008: *...intercultural dialogue is understood as a process that comprises an open and respectful exchange of views between individuals and groups with different ethnic, cultural, religious and linguistic backgrounds and heritage, on the basis of mutual understanding and respect. It requires the freedom and ability to express oneself, as well as the willingness and capacity to listen to the views of others. Intercultural dialogue contributes to political, social, cultural and economic integration and the cohesion of culturally diverse societies. It fosters equality, human dignity and a sense of common purpose. It aims to develop a deeper understanding of diverse worldviews and practices, to increase co-operation and participation (or the freedom to make choices), to allow personal growth and transformation, and to promote tolerance and respect for the other.* (White Paper on Intercultural Dialogue "Living Together As Equals in Dignity", 2008: 17)

The dialogue of cultures as a chosen lifestyle of the individual in his or her cognitive perception of modern communities and in intercultural communication is more than preferable in modern culturally turbulent world, and this lifestyle may be cultivated step-by-step through pluricultural education) in which Cultural Studies as a university discipline plays one of the major roles in language pedagogy, especially in tertiary language didactics. It is expected to provide:

- an insight into universal characteristics of human culture in general and specific features of different cultures and subcultures, didactically expanding the circle of cultures studied from ethnic to super ethnic (national), from super ethnic to continental cultures and geopolitical formations, without ignoring socially significant subcultures;
- acquisition of skills in sociocultural observations, collecting, systematizing, interpreting and evaluating cultural information necessary for value-oriented cross-cultural or even multicultural analysis that helps to find out what kind of cultural bridges or lack of them is between one's own and other cultures and subcultures;
- a dynamic development of the university learner as an intercultural speaker and mediator with a special focus on cultivating such qualities as sociocultural observation, cultural sensitivity (Holliday, 1994; Stafford et al, 1997), cultural openness, cultural readiness to interact with representatives of other cultures, rejection of any cultural snobbery and vandalism, and cultural intelligence (Brett, et al, 2016);

It is quite obvious if we would like to develop an effective intercultural speaker or writer at tertiary educational level, we are to build a graded system of the learner's pluricultural preparation for acting as:

- a cross-cultural observer at A 2 level of the CEFR levels of communicative competences (CEFR, 2001) in



everyday communication,

- a cultural communicative ethnographer (Barro et al,1998) and pragmatic anthropologist at CEFR B1 level in everyday and business communication,
- an intercultural mediator at CEFR B2 level in academic communication,
- a translator in bilingual professional communication at CEFR C1 level,
- an interpreter in bilingual professional communication at CEFR C2 level,
- an intercultural facilitator in professional intercultural communication ( the language level is above C2 CEFR level) .

The principle above goes hand in hand with the principle of creating didactically appropriate educational communicative space, because the first one could hardly be implemented, if the educational space (including communicative space as its inseparable part) is strongly culturally biased, manipulative and authoritarian;

Nowadays educational space include not only innovative classroom and lecture theatre designs, but also the teaching & learning practices which are characterized by a particular type of relationship between the teacher and the learner (authoritarian or democratic or liberal), the quality and the suitability of teaching and learning materials for achieving certain educational objectives. In accordance with the principle of creating didactically appropriate educational space, the latter should be *thoroughly* examined in terms of:

- didactic appropriateness of teaching styles and materials to the learners' private and professional needs as intercultural speakers/writers, their intellectual powers, their communicative powers and abilities, their age characteristics etc.,
- didactic appropriateness of teaching materials for: a) introducing such concepts in the classroom as cultural values, cultural heritage, historical memory and collective cultural memory, cultural identity, cultural intelligence, cultural barriers and cultural alienation/cringe b) watching, comparing and discussing lifestyles observable in different communities and societies, c) understanding the pitfalls of stereotyped thinking about other cultures that may destroy communication between its interlocutors;
- didactic appropriateness of teaching and learning strategies for developing intercultural skills in: a) identifying cross-cultural barriers and finding out if it is possible and how to overcome them in the situations of intercultural communication); b) identifying the cases of cultural vandalism, communicative aggressiveness and their cultural roots and origins in human civilisations; c) introducing ne's own culture in foreign cultural environments and representing other cultures in local/native environments; d) exploring native and non-native cultures for developing effective cross-cultural / multicultural strategies and finding cultural bridges between different cultures as manifestations of historically bound intercultural links between ethnic and / or national cultures and /or regional and / or continental cultures.

The principle of creating problem-oriented learning environment gives special emphasis to one of the technological aspects of guiding students in their attempts to cultural exploration of globalised world and its entities.

In accordance with this principle pluricultural education should be based mostly on problem -solving tasks and activities involving cognitive, communicative, reflective and evaluative learners' practices and developing their creative powers as intercultural interlocutors. . Minimally, the learners are to do the following tasks

- collect and systematize cultural verbal and non-verbal information;
- compare, interpret the information collected & systematized,
- evaluate information reliability, cultural value and communicative value for an intercultural speaker;
- interpret and evaluate visual and schematized cultural information (tables, graphs, charts, visual illustrative forms etc.);
- transform verbal cultural information into appropriate visual or schematized forms of information presentation
- reflect on cultural concepts and cultural practices in different language and culture communities;

- explore the linguaculture of verbal texts on one and the same topic within a particular period of time and in such areas as media, academic communication and everyday communication;
- solve culture-bound mathematical problems;
- collect and gather statistics necessary for argumentation in cultural discussions.

These are simplest activities into which students may be involved even in Bachelor Degree programmes. Among the more complex activities are: academic papers and presentations, academic interdisciplinary projects and course works, academic discussions and debates especially on the controversial cultural topics. The latter three activities seem to work well mostly with Master Degree students, though they may be introduced in some simplified forms at the first cycle of higher education in Europe as well. It is worth mentioning that all the cultural activities mentioned should form a hierarchical system of cultural activities with a step-by-step increase in their cognitive complexity and oriented towards the zone of students proximal development (L.S.Vygotsky).

Secondly, in accordance with the principle under consideration there should be a change in the educational roles of the educator, because the teacher is more seen here as a facilitator, moderator, coordinator, expert (but not a bearer of the ultimate truth) and even as an opponent. And though the need for such teaching styles is also strongly felt by Russian university educators, still the authoritarian style of teaching dominates in many Russian university classrooms, and that is not because Russian university teachers would not like to give up an authoritarian style of teaching, but because many of them have not been given many opportunities to practice moderator and facilitator skills, so they need special professional training.

The students educational roles (no matter what profile of their university preparation is) include such as cultural explores (sometimes practical anthropologists), experimenters in the area of cultural sociology and intercultural psychology, intercultural mediators, interpreters, translator and even analysts in some cases).

Thirdly, this principle presupposes also some changes in the form of classroom teacher-student interaction, introducing problem-oriented lectures (including sometimes lectures- provocations at least in Master Degree programmes) and problem-based seminars (in the form of forums, panel discussions, round-tables, debates etc.)

And all these activities presuppose an integrated interdisciplinary and transdisciplinary approach aiming at developing learners' culture of partnership (including culture of team work and co-operation in the globalised web-based world), academic culture in the intercultural context, culture of professional intercultural communication.

## 7. Conclusion

Cultural Studies as a research field in language pedagogy opens new horizons in examining and developing the university framework for modelling culture-oriented didactic space stimulating university students become competent intercultural speakers. Cultural Studies as a university subject is one of the important means of helping university students step-by step acquire necessary skills for fulfilling modern sociocultural roles from a cultural observer, communicative ethnographer, cultural mediator to an interpreter, translator and cultural facilitator, and in the long run it prepares them for professional intercultural communication. But a didactic success of any Cultural Studies as a university subject for the purposes of participating in intercultural communication much depends on the principles underlying university courses. Among these principles of vital importance are the principles of teaching and learning languages & other Humanities in the context of dialogue of cultures and civilisations, creating didactically appropriate educational space and problem-oriented learning environment. But still much has been done in the theory and practice of pluricultural education and in the area of educational experiments in order to compare and make conclusions about the real outcomes of different culture-oriented approaches to university teaching, learning and assessing in different countries and educational establishments. And the weakest link here is assessing intercultural or sociocultural competence.

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## Expectations, Satisfaction and Professional Achievement. An Analysis of their Relation in light of a New Systemic Paradigm: The Three- Dimensional Spiral of Sense

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### Abstract

This research has been done in the field of Education, Sociology and Social and Organizational Psychology. Issues are taken up from two research studies carried out with researchers and PhDs from different disciplinary fields and national contexts. The relationship between Expectations, levels of Satisfaction and Professional Achievement are analyzed in light of different theories: Expectancy-Valence, Attributional theories, Education theories such as Consumption or Investment / Human Capital and the theory of Anomy. The methodology utilized was quantitative-qualitative: two questionnaires, one semi-structured survey including open phrases which allowed actors to speak freely, one interview and, in the case of the French-Argentine research with PhDs, a special qualitative technique was applied: hierarchical evocation. This allowed us to determine which aspects related to professional pathways (objective and subjective) formed part of the “core” of social or shared representations and which were secondary aspects at the periphery of said core. Our findings show non-linear relationships between study variables – Expectations, Satisfaction and Achievement – and self-sustained interplay along three levels: micro individual, meso organizational and macro social. These are interpreted in light of a new systemic paradigm in human and social sciences, a paradigm which the author defines as “The Three-Dimensional Spiral of Sense”.

**Keywords:** Expectations, Satisfaction, Professional Achievement, PhDs, Scientists, New Paradigm

### Introduction

#### 1. Framework

The theoretical framework refers to theories associated with achievement and the difficulties that could arise and the academic and workplace levels. Theories of achievement/failure are included but will not be detailed here. It is important to note that we have carried out research over the course of twenty years at two national universities in Argentina and at a diverse array of workplace institutions, in which levels of achievement have been the dependent variables of the different models. We have studied numerous populations: university graduates, dropouts, those who have been delayed in the academic system, university and secondary school professors, and private and public workplaces, among others (a synthesis of these theoretical references can be found in Aparicio 2005, 2007 a and b; 2014; 2015 a and b).

We will make brief reference to two theories, always referring back to the founding fathers. On the one hand, to the Expectancy-Valence Theory (Feather & Davenport, 1982), linked to Burnout syndrome or workplace fatigue (Freudenberger, 1975; Maslach, 1976; Maslach & Jackson, 1986; Pines & Aronson, 1988; Brill, 1984); fatigue observed here by way of Expectations/Anomy. On the other hand, to the models of Consumption/Investment, related to the Theory of Human Capital (Becker, 1964, Coleman, 1966).

Burnout syndrome is associated with the devaluation of degrees in the labor market, which is in turn associated with more extended levels of failure (at least relative failure, from the objective and subjective points of view). Said devaluation and the new labor market have an important impact on personal and institutional identity (Aparicio, 2015 d, Silva & Aparicio, 2015).

However, although Educational Sociology (Boudon, 1973; Frisch, 1972; Anderson, 1961) and Economics of Education (Jarousse, 1984; Levy-Garboua; 1976, 1977) had anticipated the situation during the 1970s, very few studies associated burnout syndrome in the field of Health with Education and, more specifically, with the level of education achieved and the Professional Expectations related to such level (the higher the level of education, the higher the expectations). The lack of

research regarding this paradoxical issue – as Anderson (1961) points out, the level of education progresses gradually whereas the market shows abrupt changes and worrying indicators (structural underemployment, unemployment, labor instability, difficulties for promotion or mobility, etc., with consequences for achievement and even, at times, for health) – led us to carry out this work. The author has been working on this issue since the 1980s within the framework of complementary research. Thus, she intends to surpass the diagnosis with “figures” or statistics on Education and Health which account for a given situation but are not themselves able to explain the “causes” or much less “comprehend” the “reasons” underlying some associated syndromes and variables. She is not only interested in determining the inputs and outputs of the school system (graduation, dropout and delay rates) and of the employment system (including Health), but also, and fundamentally, in investigating the processes and/or consequences intervening in professional “Achievement” (in the broad sense and in terms of different variables: Professional Mobility, Satisfaction and Professional Achievement, among others).

Finally, the findings are interpreted in light of the author’s new systemic theory: The Three- Dimensional Spiral of Sense.

A brief description of the two main theories employed here:

#### Expectancy-Valence Theory

A person’s motivational drive to act is determined by his/her expectations of success or failure and the subjective valences attributed to success or failure. This theory is generally applied to achievement behaviors, broadly speaking. In this study we take into account professional “achievements”. Atkinson (1964) states that “Achievement Motivation is the result of the tendency to approach success and the tendency to avoid failure. Both are determined by the probability of success or failure, the cause for success or failure and the perceived value of success or failure.” (García Rodríguez, 1993: 177, t.n.). As regards the Expectancy-Valence Model, “...expectations and values combine to determine the intensity with which a certain act is performed”.

The underlying hypothesis is as follows: “...the negative feeling of depression and pessimism subsequent to the failure to get a job (for example) will be deeper among those who consider a job attractive, who have great expectations for getting a job, and who are highly motivated to look for a job, as compared to those who have lower valence, expectations and motivation values... This prediction applies to every stage in the job search.” (García Rodríguez, 1993: 180, t. n.)

Weiner (1986) completes Atkinson’s theory stating that success or failure expectations for achievement behavior are determined by attributional processes, i.e., they depend on the individuals’ achieved status and beliefs as regards the result of a specific achievement. Such causes for success or failure are defined along two dimensions: unstable-stable and internal-external .

Briefly, levels of Achievement (observed in the research studies addressed here) and Workplace Satisfaction reached are dependent on the Expectations, Aspirations and Values given priority in one’s life (McClelland, 1953, 1961), as well as on the level of control that they have over one’s behavior (attributional theories). As Seligman (1975, 1981) states, ‘low levels of expectation mean low levels of desperation.’ This could explain how, in our findings (from multiple research projects over the course of thirty years): a) no linear relationship emerges among variables; b) significant differences are observed according to disciplinary field: soft sciences *versus* hard sciences, generally, and, more specifically, in fields such as Education – where values such as service and dedication are given priority – and in other fields (Sciences of Management and Administration / Engineering) – where power, prestige and economic achievement are prioritized.

#### 2.2. “Consumption-Investment” Models

Said vocational/professional options are related, from the vantage point of theories associated with the Economy and Sociology of Education, to profiles of different variables, with self-evaluation/self-esteem/self-image (Bandura, 1977, 1982) here carrying important weight; evaluation that leads to institutional “self-selection”. That is to say, those who consider themselves more capable and have more financial possibilities, generally steer themselves toward demanding careers that provide a promising workplace future (investment model); that is, careers that respond to their expectations. Those having the opposite profile (consumption), eliminate themselves from careers which they would have liked to enter after analyzing, from their perspective, their personal, sociocultural and financial possibilities. They opt for other careers to which they are also attracted, more related to the humanities, and feel satisfied carrying out their *métier*. Nevertheless, this does not imply that they demand Professionalization (Bourdoncle, 1993, 2000; Bourdoncle & Demailly, 1998) and are unaware of identity strategies which they must use to remain in the system (Goffman, 1963).

Lastly, in the comparative French-Argentine study carried out with PhDs (Aparicio & Cros, 20015c), differences between the two nationalities emerge which demonstrate the interaction between micro levels (individuals), the academic-scientific-workplace organizations in which they are inserted (meso level) and the macro national level which conditions their possibilities for achievement according to the expectations held.

## 2. Methodology

Methodology is detailed for both research studies addressed.

### 2.1. Research with PhDs (Aparicio 2005-2009/2016)

2.1.1. *Methods*: The quantitative-qualitative method was applied. This study refers only to the qualitative method.

2.2.2. *Participants*: PhDs in Education at the Universidad Nacional de Cuyo (National University of Cuyo, 2005-2009), and doctoral students of Adult Education at Cnam (National Conservatory of Arts and Crafts, France). Two research laboratories took part in this work: the Laboratorio de Investigaciones en Educación (Education Research Laboratory, Conicet/UNCuyo, Argentina) and the CRF (Centre de Formation sur la Recherche, Cnam, France). Currently, this research – which obtained an award from the City of Paris – has been extended to other universities in France. We expect to find different profiles according to the work/professional contexts in which individuals are situated, together with the differences of the respective contexts in our country, with contributions from the micro level: the problems, values and priorities appearing in the social representations shared by each of these groups. This will allow us to observe different institutional, personal and professional identities, as well as different aspects along professional careers. Group samples included were significant and allow for quantitative treatment of the data.

2.2.3. *Materials*: Quantitative and qualitative techniques were applied. We also used “hierarchical evocation” and lexicometric analysis techniques (See Aparicio & Cros, 2015 c). The latter allowed us to show which representations are part of the “core” of doctoral training in each of the national groups, what their most evident differences are and in what way they experience their professional practice according to their expectations.

### 2.2. Study of scientific researchers (Aparicio, 2014)

2.1.1. *Participants*: A stratified sample was taken from universities and different disciplines, based on a population of researchers from the Cuyo region (N=355 UID - Research & Development Units) (5% error margin). At this first stage, the researchers were from the Universidad Nacional de Cuyo (N= 53 Research Units): one Director and various members of each Research Unit.

2.1.2. *Techniques*: Quantitative techniques were used. Two questionnaires were employed: 1) The questionnaire concerning Research and Development (R&D units) was answered only by Directors, who provided information about that unit (human and financial resources, scientific exchanges, age of the research units, national and foreign income sources and the product, among others). 2) The Core Members questionnaire provided data and opinions and referred to the social role of individuals working in the R&D units, together with information about working atmosphere, perceptions about jobs and opinions regarding budget, resources and services, power and influence, research work organization, etc.

Grids were established: seven Central Satisfaction Grids, one Product Grid and one Professional Mobility Grid were developed.

As regards the Satisfaction Grids, items were based on the Liker 1-5 scale, with 5 being the most positive and 1, the most negative. The subject was to give his/her opinion about each pair of opposite statements (X-Y), grading them as follows: 5) X is applicable, 4) tendency to X, 3) neutral, 2) tendency to Y, 1) Y is applicable.

Indexes were made by adding up the total score for each of the items, divided by the figure resulting from 5 times the number of items.

## 4. Results

### 4.1. Research carried out with PhDs from France and Argentina from different disciplinary fields

Findings are presented in two sections: quantitative (descriptive plan, correlational and explanatory) and qualitative (For a detailed analysis, see Aparicio & Cros, 2015c).



As we could observe, there are no obvious differences between the French and Argentine groups. Doctoral training is valued by both groups; that is, although the general idea is that PhD degrees are being devalued, subjectively, PhDs are quite satisfied. They expect improvements in their future work life, thus a positive view prevails. On the contrary, graduates in education without a PhD degree do not have the same view. Briefly, doctoral education (in Argentina) is still considered an "add-on". The strongest claim against the labor market lies with a lack of recognition, especially among French PhDs. Comparatively, the Argentine group has higher expectations as regards the degree. The "plafond" effect or PhD saturation (particularly in some disciplinary fields), evident in various developed countries, also appears in our research.

We also observe that those who chose academic programs such as Education, within the "Consumption" model, show high degrees of satisfaction despite having less prestige, power and even recognition in the professional field. In effect, their expectations did not include these aspects as goals. On the contrary, they chose other values such as service, dedication, interaction and the development of others. This means that, despite being thrust into sometimes unfavorable social contexts, they feel satisfied, though this does mean that they do not voice concerns to the national system. However, these concerns are of a different magnitude and sense than those voiced by PhDs in the field of Management/Administration who demand education in collective and social competencies and greater levels of recognition. Our findings show institutional identities (meso level) and professional identities (micro level).

At the theoretical level, this research allowed us to: a) show the differences and similarities shared by both groups of doctors recently inserted in the professional field; b) supervise the heuristic implications of some explanatory and comprehensive methods; c) go deeper into the relationship between higher education and occupational market from an interdisciplinary perspective, as well as into the transformations in the professional world, new demands and their impact at the identity level. In fact, the study showed more accomplished "identities", other identities blocked due to lack of recognition, and others in search of some type of transformation; d) on the one hand, identify *differences* in Expectations and Achievement Valuation (Satisfaction) according to disciplinary field and, on the other hand, identify different demands made of educational institutions which call for revising some "institutional identities" so as to incorporate new fields and/or factors needed in the current Market without leaving behind the traditional "disciplinary" aspects; e) and finally, levels of Satisfaction reached are, in large part, associated with expectations, as they did not always have linear relationships with Position or Professional Mobility (here, factors of achievement).

Our findings show the interplay between individuals and institutional and macro-national contexts and the non-existence of general theories; on the contrary, we might speak of "situated" theories, as the author suggests.

#### 4.2. Research carried out with scientific researchers

Levels of satisfaction, it was observed, are not independent from professional mobility or from the associated fields of specializations: a) A significant association exists between professional mobility and workplace satisfaction, with no distinction between "hard" and "soft" sciences (disciplinary fields); b) Making a distinction between the two types of sciences, we detect that there exists a different association between factors playing a role in the variables Workplace Satisfaction and Professional mobility in both "hard" and "soft" sciences. In other words, the most movable subjects in "hard" sciences find satisfaction in some aspects –typically present in their discipline– which are different from those in "soft" sciences (Crane, 1972; Gaston, 1972). There is only one aspect in common: researchers from both fields feel they are not satisfied with leadership in their teams.

In the field of "hard sciences", the level of satisfaction is lesser and there are more demands of the system. This more marked non-conformity and fatigue is also observed among those who ascended more in the workplace (Heintz, 1970; Cole S. & Cole, J. (1967). This result could be interpreted in light of the "Expectancy-Valence Theory (Weiner, 1980; Feather & Davenport, 1981) and of the Consumption-Investment theories and Human Capital theories. From the "investment"-model point of view (Becker, 1964), those who have reached a higher position and have made greater effort towards higher achievements may expect more benefits, many of which are associated with management.

As was mentioned previously: the hard sciences (Engineering in particular but also Administration sciences) attract more favored student bodies from the sociocultural and economic point of view, students who know from the start that they will not have to work while studying. Added to this is a positive view of themselves (high self-esteem, self-image, self-efficacy: Bandura, 1977, 1982) and their capacity to reach their goals, goals which tend to be clearer than those set by students of the humanities (among them, Education; an academic program which in our context is not a first option). Lastly, they are inserted in more demanding academic programs and expect a better workplace future and possibilities for professional and economic growth. Nevertheless, as they progress through the hierarchy, they face more demands to manage with

insufficient financial resources and, sometimes, do not have sufficient training in management and its related competencies. Thus, non-conformity and fatigue emerge.

Additionally, the relationship between Professional Mobility or Status reached by scientific groups from different disciplinary fields and Satisfaction is not linear (House & Wigdor (1967). On the contrary, in said fields, greater professional development goes hand in hand with greater degrees of non-conformity.

This reveals a spiraled movement in which individuals' frustrated Expectations appear at the base of the issue of scientific micro-organizations and, deep down, the macro-national scientific system. Self-sustained relationships between individuals and contexts are clearly observed, showing important aspects needed for institutional innovation which have at their core greater levels of professional satisfaction.

#### 4. Conclusion

Observing unexpected relationships between academic, workplace and scientific variables over the course of thirty years of research within the national scientific system of Argentina has led the author to establish a systemic theory with a different foundation than the classic biological systemism and administrative systemism of the 20th century (2015 a and b). This theory, "The Three-Dimensional Spiral of Sense", refers to the fact that in order to find the "reasons" underlying statistics at the comprehensive-qualitative level, it is necessary to study individuals, individuals who were lost with the prevalence of structures in hyperfunctionalist and hyperculturalist positions (Bourdieu, 1976).

In the cases analyzed (researchers/scientists and PhDs), individuals' unsatisfied expectations emerge at the base of non-conformity in organizations, with effects on the macro national system (frequent demonstrations by researchers, union demands, non-conformity, pessimism, anonymity). This macro-national system – as its characteristics are made known to young people having to choose between starting a "Research Career" or doctoral programs and society as a whole – returns, at the same time, to the individual. In effect, we observe a drop in expectations and/or feedback of non-conformity/fatalism, creating fragile micro and institutional identities. Recovering an understanding of the "meaning" of the human behavior at the core of statistics and even of national policy become essential. Recent political experience in the US and in Europe, marked by a certain xenophobia, places "frustrated expectations" as they relate to "promises" at the base of abrupt changes in political leanings at the national level, with impacts felt even at the international level, compromising the global system.

We hope our findings encourage academic institutions and workplace organizations (considered in the broad sense) to revise their leadership standards and the profiles they desire, recovering the *individual* and, with him, the *meaning* behind his behavior. This "meaning", under the effects of aggregation, impacts both the meso and macro levels. Strictly speaking, our findings encourage the incorporation of the individual in his context, without neglecting either.

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# Implementing a Simulation Model for the Evaluation of Bgp Updates Impact on Real-Time Applications

Phd. Cand. Ledina Hoxha

## Abstract

Border Gateway Protocol (BGP) is the actual routing inter-domain protocol in the Internet. The size, heterogeneity and changeability that characterize today's Internet put always increasing requirements on BGP performance. The research community has already reported the unwanted characteristics of BGP like low integrity and slow convergence through theoretical analyzes and empirical measurements. Simulations allow for more realistic and flexible experiments than the theoretical approach and also lower costs than the measurements in real life environments. The first part of this work describes theoretically characteristics and problems related to BGP and also expectations of the today Internet users to real time applications (like VoIP). The second part concentrates on identifying and implementing of the elements for creating an integrated simulation environment for evaluating the effects of slow convergence of BGP in these applications. At last it is evaluated the created environment through some small scale simulations that try to model the now days Internet Structure.

**Keywords:** AS, BGP, QoS, Simulation, NS2.

## Introduction

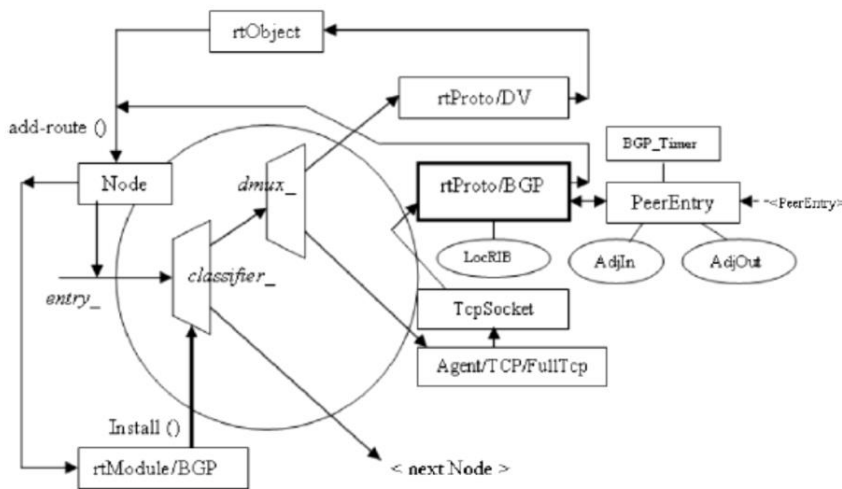
### 1 The Routing Modeling

Using the topology generator offers us the possibility of obtaining topologies closer to reality and is a practical tool. The problem lies in the fact that GT-ITM generators provide network topology but does not allow modeling of how packets are transmitted in the network. Therefore it is necessary for this part to be implemented by the user himself.

In this case, the interest falls on the routers which enable communication between the Autonomous Systems that implement BGP routing protocol. What should we model is exactly how these routers communicate with each other through e-BGP sessions, routing tables that build the way how they share the information.

Unfortunately, BGP doesn't offer a prepared module for the implementation of the BGP. Consequently, referring to Figure 1, you need to make some modifications to the code ns2 in order to install the appropriate module. BGP for ns2 module, known as ns-BGP, is adopted to ns2 in 2004 [14] initiated by the BGP and TcpSocket modules from SSFNet [26] and implementing this protocol version 4 (BGP-4). SSFNet is a network-based simulator that enables Java language simulations through a configuration known as DML (Domain Modeling Language). With that SSFNet is based on Object Oriented language, its BGP module was a good starting point for ns2 module.

In ns2, unicast routing is achieved using tracking plans and control. The first plan makes the classification and the forward of the packets to the destination using the classification and routing modules. Classifier module manages routing node and provides an interface for the routing plan. Classifier are two types: address classifier and ports classifier. Packet classifier controls the address and sends it to dmux if it is the node itself the destination node of the package or transmits it to the following node. Dmux passes the packet to an agent in accordance with a specified destination port. While the second plan allows for the creation of the road, processing, routing algorithms and management of routing tables. Figure 1 illustrates the structure of ns-BGP unicast based on the initial structure of unicast for ns2.



**Figure 1:** unicast structure of ns-BGP

As shown in the figure, the classification modules as classifier of the gate and the address send incoming packets to the respective agent or an outgoing link. These modules themselves are managed by the routing module.

Control plan consists of the following components: the logic path, the routing object, the side of the path and routing protocol. The central routing table is sustained by routing logic and routing facilities used in simulations with dynamic routing. Routing Objects encapsulate routing protocol by capturing and holding the attributes of each route announced. Finally, from the components of the routing protocol have been implemented and some specific routing algorithms.

Moreover, since the node BGP derives from a node unicast ns, Figure 1 shows and the inclusion of specific modules of the BGP and TcpSocket BGP. rtModule / BGP module manages the IPv4Classifier object while the new protocol rtProto / BGP is located in TcpSocket modules for transmitting the packets.

For each communication part BGP, is allocated an object used to establish the connection, exchange BGP messages and close the session. Four key classes used in the implementation of the BGP are:

#### TcpSockets

A socket is an Application Programming Interface (API) used in communications network. Applications treat socket connection to the network as the UNIX file descriptor. Similarly with the files, communications ends can be written by providing reading or erasure opportunities.

TcpSocket class is added as an implementation of the API socket, similar to the UNIX implementations. Its main functions are obey, hear, connect, close, read, and write.

#### IPv4Classifier

IPv4Classifier derives from Classifier class. It is implemented as a doubled class in ns2 (in C ++ and OTcL). This class uses the map from the standard libraries of C ++ models to store and look in the routing tables. To classify an incoming packet IPv4Classifier controls destination address of the packets and uses the information in the routing table to identify the paths.

#### rtModule / BGP

rtModule / BGP is a new routing module implemented in Tcl that provides a registration interface. When a node is created the information must be registered and the existing objects classifier in the joints must be replaced.

## rtProtoBGP

rtProtoBGP Class (Agent / rtProto / BGP) is implemented as double class in ns2. An instance of this class implements BGP-4 in a node. This new routing protocol realizes most of the actions of BGP, setting communication session BGP between the parties, learning different paths through BGP speakers, selecting the best route and its preservation in the table (IPv4Classifier), and management of BGP situations.

Finally we can say that ns-BGP is in accordance with RFC 1771.

This module offers the option of setting BGP timers and the ability to implement the path deliberators.

## 2.Data model building

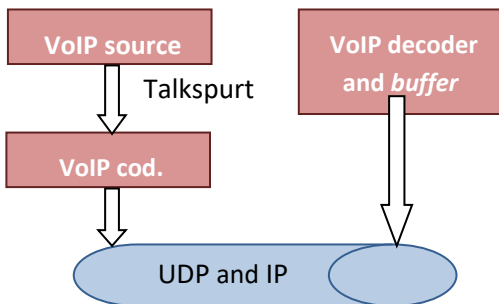
The traffic model type that is used to understand the traffic flow in the network and the approximation level with the reality, are vital parameters for the network.

Traffic analyse offers informations of average loads type, requests about the bandwidth in different applications etc. Traffic models helps network designers to make suppositions about the newtwork based in an passed experience and also performance forecasts in accordance with the future requests.

In this paper our goal is to disinguish the effects that BGP update moments have in real time applications and specifically in VOIP.

Unfortunately ns-2 doesn't have a prepared already integrated module for VOIP.

In this concret occasion is chosen the simplest way to model a traffic in real time, based also in the below sceme for the VOIP traffic.It's structure is shown in the picture.



**Figure 2:** VoIP module structure

If we could simplify this sceme in ns2 level we can tell that the easiest way for generating VoIP traffic is by creating an UDP agent whom is putted a traffic agent in application level, CBR.

To define CBR parametres is used the settings table of different codifiers of VOIP.

**Table 1:** Parametres for different codifies of VoIP

Parametres	G.711	G.723.1	G.729
Bit rate (Kbps)	64	6.3	8
Interval between frames (ms)	20	30	10
Data size (Bytes)	160	24	10
Packet/s, Np	50	33	100

At the end we can say that for this paper purpose VOIP traffic is modeled as a data flow with a certain packet dimensions and transmission order.

## 3. The network state and the performance evaluation

According the chart in the picture after is defined the network and the data model, we can obtain the network state.



Ns2 is a simulator which depends from time and events. For this reason the network state is obtained by defining a start and end moment of the simulation and the events that will happend in this time.

In this paper the simulations are chosen that the average running time of a simulation is 80s. Simulations start at moment 0 and then are developed in order different events.

The first events group is exactly the information exchange of the routing between nodes. After nodes exchange information with each other, begins the CBR traffic transmission. This traffic will continue to be sent until the simulation time ends.

The second events group is the repeal and the continous announce of a path of a router. This normally will be accompanied with a refresh of the routing tables and will create delays in the network as consequence of the time of routers convergence. This is the moment where will be checked two of the quality main parametres packet loss and delays, so is realised the performance validation.

#### 4 .Model changes

In order to appreciate as exactly as possible the performance, according with the posed problem, several times is required that some of the models parametres to be changed.

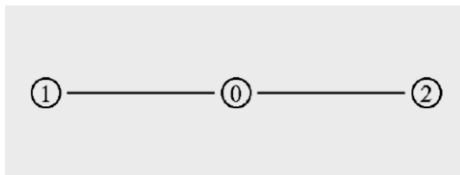
This includes changing the nodes number, simulation scennario, etc.

#### 5. Simulations and results

The simulation results for the created architecture are evaluated through different generated files. The used Software is Nestwork Simulator version 2.34 (ns 3.34) on the Ubuntu 8.10 operating system.

##### 5.1 Routing Model chosen authentication

To verify the implemented routing protocol behaviour is done a simple test with the following specifications. Th epicture below shows the network topology used for simulation. The network consist of 3 AS where each of them is represented from a node AS 0, AS 1, and AS 2 (nodes 0,1 dhe 2 respectively). IP adress of each node is shown in the table. The addressing scheme is 10.(AS nr).(nodenumber).1.



**Figura 3:** Network topology

**Table 2 :** IP Adress

node 0 10.0.0.1	10.0.0.1
node 1 10.1.1.1	1 10.1.1.1
node 2 10.2.2.1	2 10.2.2.1

BGP agents are configured in each of the three nodes (0,1 and 2). For the nodes 0 and 2 the interval values of *hold timer* and *keep-alive timer* are those by default specificated in RFC 1771 [15] (*hold time*: 90 s, *keep-alive* : 30 s). To see the situation in reconnection situation, the intervali of *keep-alive timer* for the agent BGP in node is kept in the 200 s value. This way the BGP agent in node 0 won't receive the message "keep the connection alive" during the time and will requesthe reconnection.

In the 0.25 s BGP agent in node 0 advertises a new path for the adress 10.0.0.0/24. In 0.35 s, the BGP agent in node advertises a new path for the adress IP 10.1.1.0/24. In 0.45 s, BGP agent in node 2 advertises a path for the dresën IP 10.2.2.0/24. In 28 s, 90.38 s, and 119.0 s, ns2 shows routing tables for the BGP agents. The simulation ends in 120.0 s. *.tcl* file for this simulation is attached in **Shtojca 1**.

*time: 28*

*dump routing tables in all BGP agents:*

*BGP routing table of node0*

*BGP table version is 10, local router ID is 10.0.0.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 self ---

\*> 10.1.1.0/24 10.1.1.1 --- 1

\*> 10.2.2.0/24 10.2.2.1 --- 2

*BGP routing table of node1*

*BGP table version is 16, local router ID is 10.1.1.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.1.1.0/24 self ---

\*> 10.2.2.0/24 10.0.0.1 --- 0 2

*BGP routing table of node2*

*BGP table version is 10, local router ID is 10.2.2.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 --- 0

\*> 10.1.1.0/24 10.0.0.1 --- 0 1

\*> 10.2.2.0/24 self ---

*time: 90.38*

*dump routing tables in all BGP agents:*

*BGP routing table of node0*

*BGP table version is 23, local router ID is 10.0.0.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 self ---

\*> 10.2.2.0/24 10.2.2.1 --- 2

*BGP routing table of node1*

*BGP table version is 42, local router ID is 10.1.1.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.1.1.0/24 self ---

*BGP routing table of node2*

*BGP table version is 23, local router ID is 10.2.2.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 - - - 0

\*> 10.2.2.0/24 self - - -

*Time: 119*

*dump routing tables in all BGP agents:*

*BGP routing table of node0*

*BGP table version is 30, local router ID is 10.0.0.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 self - - -

\*> 10.1.1.0/24 10.1.1.1 - - - 1

\*> 10.2.2.0/24 10.2.2.1 - - - 2

*BGP routing table of node1*

*BGP table version is 56, local router ID is 10.1.1.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 - - - 0

\*> 10.1.1.0/24 self - - -

\*> 10.2.2.0/24 10.0.0.1 - - - 0 2

*BGP routing table of node2*

*BGP table version is 30, local router ID is 10.2.2.1*

*Status codes: \* valid, > best, i - internal.*

*Network Next Hop Metric LocPrf Weight Path*

\*> 10.0.0.0/24 10.0.0.1 - - - 0

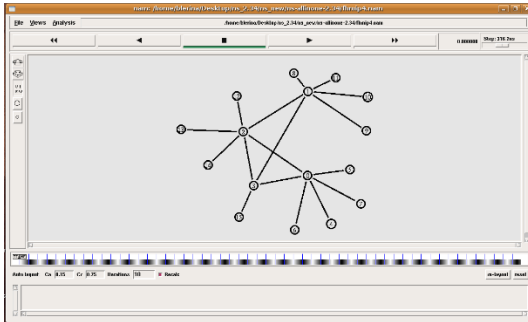
\*> 10.1.1.0/24 10.0.0.1 - - - 0 1

\*> 10.2.2.0/24 self - - -

As it can be seen from the routing tables, every BGP agent learns about other agents during the 28 second. In the 39.0 second the session falls out between nodes 0 and 1 and nodes 0 and 2 remove the path toward the net 10.1.1.0/24 from their tables. Also node 1 deletes the paths that had for 0 and 2. After is reestablished the session nodes 0 and 1 exchange all the information that had in the routing tables and converge for the second time. This test verifies the correctness of the routing protocol model.

## 5.2 Stub-Domain with CBR traffic topology simulation

The topology used in the simulation is given in the picture below:



**Figure 4:** Network topology according the stub-domain model

As we mentioned above the topology is generated through GT-ITM according the model Transit-Stub of the Internet. The routing Module does not offer many adopting chances in case of a large number of nodes and as a result we have chosen the option of modeling a subgraph of the Internet.

This subgraph consists of a transit *domain* which has 4 nodes (BGP routers) and 12 terminal domains which are modeled with a router each one.

**Tabela 3 :** graph settings

Lloji i AS	AS number	Node number	Nodes
AS transit	1	4	0,1,2,3
AS terminal	12	12	4,5,6,..15

This topology is generated from the input file in the GT-ITM .

In the total we have 16 nodes. As shown in the table the transit domain is modeled with 4 nodes that exchange BGP communication with each other. All four these are (edge) routers. Transit AS is organised with a *cluster* and two path reflectors which are nodes 2 and 3. For terminal AS is chosen the logic of showing them through a node. This is in accordance with the AS definition. The addressing scheme is chosen in the form 10.0. $i$ .1 for the routers inside the transit AS where  $i$  is the node number (0,1,2 or 3) and 10. $j$ . $j$ .1 for the routers in AS stub, where  $j$  is for the AS number and  $j$  for the node number (4,5..15).

The network configuration is realised as below:

BGP Agents are configured in each of the nodes. Interval values of *hold timer* and *keep-alive timer* are default (*hold time*: 90 s, *keep-alive* : 30 s).

UDP Agents are configured in nodes 0 (burimi) dhe 1. The traffic in these two nodes passes through node 2, according the routing tables.

CBR traffic is modeled with these settings: *packetSize\_* 160, *interval\_* 0.02 and *rate\_* 64kb.

After the node configuration, the following step is defining the scheduled events. In this simulation we want to see the convergence time of the three routers included in the communication which are n15, n3 and n2. The events are scheduled as it follows:

In 5.0 fillon transmetohet trafiku CBR

In 6.0 agent 15 shows the routing table

In 30.0 agent 3 shows the routing table

In 30.0 agenti 2 shows the routing table

In 35.0 agent 15 announces the net fall 10.12.15.0/24"

In 36.0 agent 15 shows the routing table

In 36.0 agent 3 shows the routing table

In 36.0 agent 2 shows the routing table

In 36.0 agent 15 network 10.12.15.0/24"

In 55.0 agent 15 no-network 10.12.15.0/24"

In 62.0 agent 3 shows the routing table

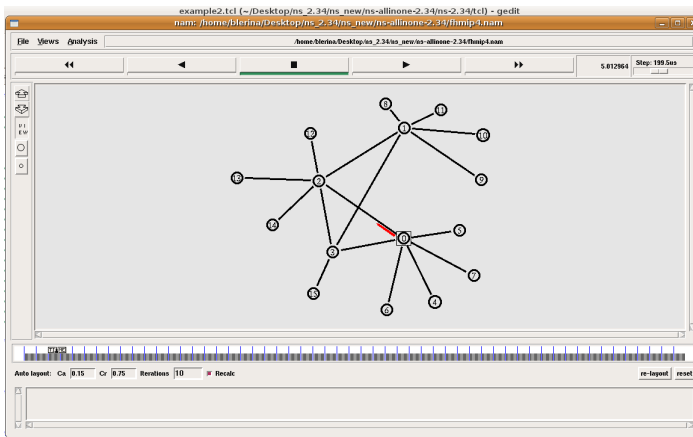
In 62.0 agent 2 shows the routing table

The last event is realised with the goal to see the system behaviour in a situation where a path is shown and is disconnected again and again during a short period of time (route flapping).

In this way it will be seen if there are lost or delays in packets during BGP routing tables updates.

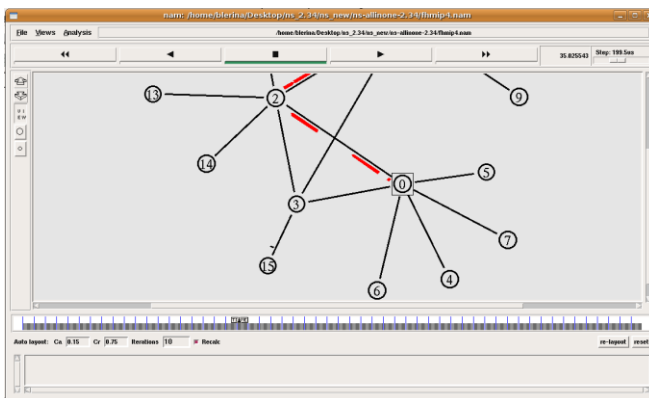
### 5.3 Simulation results

Through Nam, we see that the first packet CBR is generated in the 5.0 second:



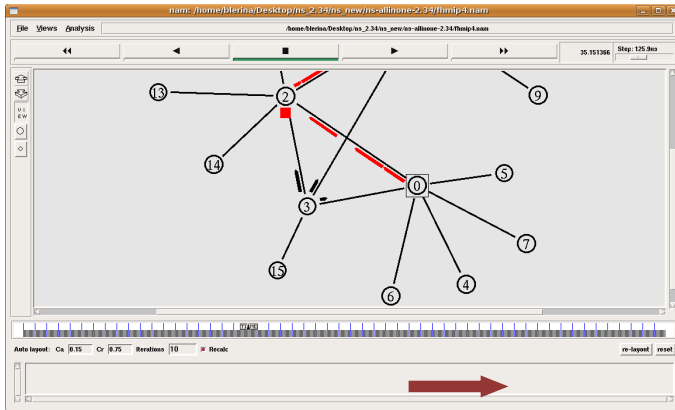
**Figure 5.-a:** Is sent the first packet CBR

In the 35.0 second we see that is sent the information for a falling path from node 15.



**Figura 5.-b:** Is sent the routing information

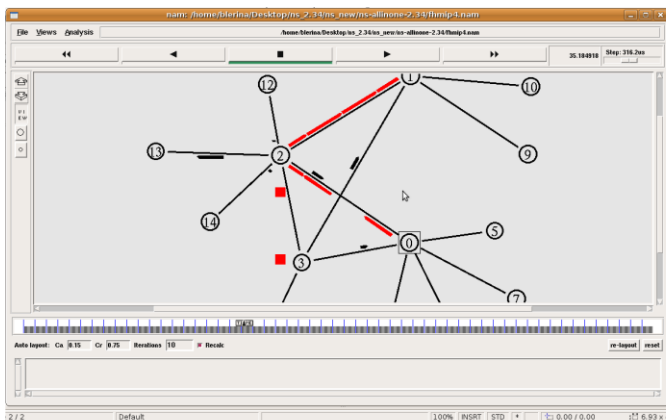
Node 3 learns about the node 15 fall and passes this information to its neighbours:



**Figura 5.13-c:** Shpërndahet informacioni rregëzimit

During running time in the screen we have this data about the routing tables.

Node 2 advertises node 13 about the changes in the routing as shown in the picture :



**Figura 5.-d:** The routing information is distributed from node 2

Meanwhile the routing tables in different moments are shown below :

Time: 30

BGP routing table of n3

BGP table version is 14, local router ID is 10.0.3.1

Status codes: \* valid, > best, i - internal.

Network Next Hop Metric LocPrf Weight Path

10.0.0/24 self ---

10.1.4.0/24 10.0.0.1/32 --- 1 i

10.2.5.0/24 10.0.0.1/32 --- 2 i

10.3.6.0/24 10.0.0.1/32 --- 3 i

```
10.4.7.0/24 10.0.0.1/32 --- 4 i
.....
.....
10.10.13.0/24 10.0.2.1/32 --- 10 i
10.11.14.0/24 10.0.2.1/32 --- 11 i
10.12.15.0/24 10.12.15.1/32 --- 12
BGP routing table of n2
BGP table version is 12, local router ID is 10.0.2.1
Status codes: * valid, > best, i - internal.
Network Next Hop Metric LocPrf Weight Path
10.0.0.0/24 self ---
10.1.4.0/24 10.0.0.1/32 --- 1 i
10.2.5.0/24 10.0.0.1/32 --- 2 i
.....
.....
10.10.13.0/24 10.10.13.1/32 --- 10
10.11.14.0/24 10.11.14.1/32 --- 11
10.12.15.0/24 10.0.3.1/32 --- 12 i
```

Based on this data we see that in the 30 second agents 3 and 15 have converged and have a clear information about the network.

In the 35 second is announced the network fall 10.12.15.0/24. Nodes 2 and 3 remove the path to this network from the routing tables.

In the 36 second the path is established again and nodes 2 and 3 must convergence in second 60, but in second 55 the path falls again. Node 15 advertises the network again that the path is set up. All these falls and raises of the paths cause often packets sending which consume the bandwidth and the nodes elaborating abilities. Because the programmed module does not have mechanisms for "route flap damping" the network passes from a divergence state which can not be solved between 80 seconds chosen for the simulation.

After finishing the simulations the first element which is taken in consideration is the number of lost packets before to schedulate the unstainability event and after schedulation of this event.

From the registration file we see that in the case where the simulation is done without the events presence that cause path fluctuation lost packets are in the level 776. After the mentioned events this number goes in 797. This means that the losing level in packets is increased with 21 in 100 seconds of simulation.

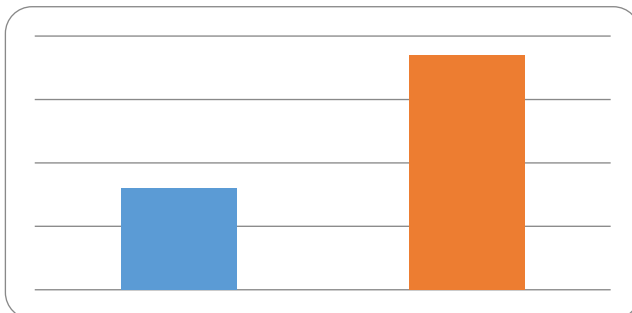


Figure 6: Packet loss



## 6. Conclusions

In this paper is offered an integrated environment for the simulations realisation which aim to study the convergence problem of BGP in the traffic of real time communications *cross-domain*. For this environment is followed a methodology which starts with the network model definition, ns2 modules termination and continuous analysis "What-If".

Network topology modeling is a very important step. Internet modeling often is turned into a challenge as a result of its diversity nature, dimensions and heterogeneity. To create a model near the reality are preferred to be chosen the random generators, but which models partly the internet hierarchy.

The realised simulations shows that the convergence time of BGP are in accordance with the base requirements for BGP. Also it shows that the convergence time problem affects directly in the traffic which permeates the networks. In a large simulation this affect will be multiplied in accordance with the network sizes taking in consideration the fact that the consumed bandwidth from the packets BGP is in related with network dimensions.

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## LGBTQ Movements in Turkey: The People Living in “Other Side”

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### Abstract

As well as all around the World, in Turkey, non-heterosexual (lesbian, bisexual, gay, transsexual, transgender, queer) oriented movements and identities are much more visible in public sphere. For LGBTQ people, to be more visible in the public sphere, to manipulate policies and public opinion, to give voice for their freedom and rights, NGOs and initiatives based on sexual orientation out of hegemonic sexual identity have been improving rapidly in the World. Parallel to the global rise, in Turkey LGBTQ movements and NGOs are more and more active today as a new social movement. In the parameters behind the development of LGBTQ movements, totally eight LGBTQ NGOs are active in Turkey's cities Istanbul, Ankara, İzmir, Eskişehir and Diyarbakır. To transform the heterosexist, patriarchal and militarist public sphere in Turkey, the LGBTQ NGOs prepare some activities, demonstrations and the most famous one “Istanbul Pride”. In this study, their propaganda techniques, media tools, projects to effect public opinion, and their relations to other NGOs and initiatives are seen as typically the items of new social movements. Behind the rise of sexual oriented social movements, the decline of national identities, the dissolution of citizenship, class identities and the decline of identities based on production relations play crucial roles.

**Keywords:** LGBTQ Movements in Turkey: The People Living in “Other Side”

### Introduction

The transformation of capitalism and rise of consumption based societies and life-style based identities differs LGBTQ movements from the classical mass movements. LGBTQ movements in Turkey have individualistic and atomic character demanding life style based rights rather than class based mass movements like labor unions. However, the LGBTQ movement in Turkey differs in itself from Istanbul to Diyarbakır; and articulates to other movements like Kurdish Uprising in East Turkey, and Gezi Movement in Istanbul. The rising of LGBTQ movement in Turkey is organically a part of the rising Feminist movement in after 1980s. The eliminating of LGBTQ people in public sphere and being pushed of them to the ghettos of cities and public life provoked the LGBTQ movement in Turkey. The organic and collaborative relations between European and Turkish LGBTQ movements gave power to the development of the movement. The violence that LGBTQ people experience everyday is much visible in media and political arena. The identity of LGBTQ people in Turkey is much visible in public arguments as the result of the movement.

The year 1968 uprisings and student movements are generally taken as the starting point for the new social movements many of social scientists and according to some parameters “new” social movements differ from the “old” one. The differentiation between the “new” and the “old” social movements was clarified by two scholars; Alain Touraine and Alberto Melucci (Touraine, 2004 and Melucci, 1980). In the 19<sup>th</sup> and 20<sup>th</sup> century, collective and class based movements led by working class were dominant in regards to production relations and redistribution of wealth and surplus value. The working class movements were reaction to the exploitation or workers by bourgeoisie in Europe came to the issue just after industrialization. Industrial capitalism brought social injustice, poverty, lower life standards and exploitation for workers. Around production relations and class based movements, the politics of 19<sup>th</sup> and 20<sup>th</sup> century reshaped around production relations. The state became negotiator between capitalists and workers. The rise of welfare state and following rise of neo-liberal state are the result of that negotiator role of state between bourgeoisie and proletariat.

Since the second half of the 20<sup>th</sup> century till today, new social movements reshaped social and political structures and parameters of any society. New social movements started using new ways of communication such as Internet and social media, new types of organization structures like non-hierarchical-atomic organizations, and new values and opinions based on life styles and individual freedoms. The biggest aims of the new social movements, instead of doing revolution, changing the system, collapse the political power; building public opinion, increase the awareness, to show identities in the public

sphere, and gaining the cultural rights. New social movements are being organized more flexible, horizontal level and articulated some other movements like environmentalists, feminists, anti-war/anti-militarist movements, animal rights.

The 1980s is the midpoint in the rise of new social movements. Global capitalism and neoliberal policies became hegemonic and the representative democracy had big crisis. Nation states are not main actors anymore in the global capitalism, and public sphere and citizenship redefined. The enlargement of service sector, the spread of post fordist flexible working conditions, the transformation of production structures, the spread of urban areas, the rise of micro identities are the new parameters of global age. Identities based on consumption and lifestyles rather than production relations started rising including different sexual oriented identities. The marginalization of non-hegemonic identities and their struggle to re-enter the system and public sphere will be write the world history in the near future.

### **LGBTQ Movement in Turkey**

In 2003, it was the first time for a pride in Istanbul and there were only 30 people joined the pride in the last Sunday of June. Istanbul Pride got bigger annually and in 2010, 5000 people and in 2011 10000 people joined the Pride. However, Istanbul Pride 2013 was held by more than one hundred thousand people since the Pride was held at the same time of Gezi movement, and the demonstrations within the Pride were articulated to the Gezi Movement protests. (BBC Turkish, 30 June 2014).



(A scene from Istanbul Pride 2011)

LGBTQ movement in Turkey started to organize around some associations after 1980s. In 1980s the concepts of gay, homosexual lesbian, do not exist anymore and men who act feminine called as "zenne" (male belly dancer in oriental cultures). Gay people could find jobs mostly at night clubs as singers or sex labourers. Gay or trans singers were acceptable by the society, and Zeki Müren and Bülent Ersoy were the most popular singers in Turkey. The marginalization of gays and trans enabled them from being visible in public sphere. They were in marginal areas, such as night clubs and ghetto neighborhoods in Istanbul like Tarlabaşı. The obstacles for them in from of educational and occupational opportunities pushed them to entertainment sector. The juridical structure did not define non heterosexual identities, therefore, gays, trans and lesbians tended to take medical operations to change their biological sexes. The society forcedly redefine the LGBTQ people either male or female (Gürsu and Elitemiz, 2012).



Bülent Ersoy



Zeki Müren

(two popular singers as LGBTIQ individual in Turkish entertainment sector and popular culture)

In social life and professional life, gays and lesbians were oppressed to hide their identities. However in 1990s, identity and difference policies gained importance following the political and ideological changes in the world. New type of capitalist economy reflected itself in all aspects of life and neo liberal policies affected social movements deeply (Adam, 2002: 18). New social movements reconsidered culture ground identities and minorities within the context of modernity. Movements based on class, race and national identities explored minor identities and daily life issues in the classical understanding of modernity. The new context of modernity and movements reflected themselves in Turkey in 1980s and 1990s as the result of the closed ties between American and European societies with Turkey. In Turkey, gays and lesbians created their own habitans in the ghettos of metropolis cities in Turkey and articulated themselves to other organizations for their public voice. The feminist movements and organizations were shelter for LGBTIQ people until the establishment of unique LGBTIQ organizations (Toktaş and Altunok, 2003: 40). Although homosexuality was defined as sickness in the West in 20<sup>th</sup> century, in Turkey, positive or negative there is not any definition or accept about LGBTIQ people. Today there is no definition or rights about LGBTIQ individuals in law including discrimination in Turkey. The discrimination against LGBTIQ people is indirectly by Civil law codes and professional life. In other words they are invisible in both public and juridical level. For transgender individuals medical operation is the only way to get new identity after medical operation.

The movement aimed to increase awareness about the public discrimination on sexual orientation and gain the legal rights to their life. General idea about homosexuality in Turkey is psychological disease or perversion. Transgenders and transsexuals are the most visible individuals out of heteronormative identities. Therefore trans individuals come face to face with wilder discrimination in public sphere and police stations. There is no job for them and most of them work as sex workers and the physical violence is part of their daily life (Öner, 2015).

### **LGBTIQ Organizations in Turkey**

1990s is the turning point for the LGBTIQ movements in Turkey, since KAOS GL, was established in September 1994. Until the establishment of that organization, gay activists were working at Human Rights Association in a subdivision which was working on gay rights. On 20th September 1994 the first magazine for gays was published named KAOS GL. In 2000 KAOS Culture Center was opened to prepare activities, panels, film shows and festivals. Later the first LGBTIQ library was established in this foundation especially for recording the violence against gays (www.kaosgldernegi.org, official web site of the foundation, 16 Febr. 2015).

KAOS GL was leagly recognized as an NGO on 15th September 2005, however, later Ankara Governorship applied to Ankara Attorney Generalship to close to foundation, since the foundation is illegal according to Turkish Civil Code as being against communal morality. After application of the Ankara Governorship , the Attorney Generalship of Ankara took decision against the Governorship and KAOS GL became the first legal LGBTIQ foundation of Turkey (Radikal, 30 May 2013). The foundation has strong collaboration to feminist and antiwar movements both in Turkey and Europe. The political support from the EU to the foundation maintains the existence of foundation and its budget.

Lambda Istanbul, the first organization was established in Istanbul in 1993, one year before KAOS GL. Lambda Istanbul focused on psychological advisory for gays and their families, health advisory, cultural activities to upraise awareness, and opened the first gay radio program took place at Open Radio on Sundays between 24:00-01:00 on 5th May 1996. Lambda Istanbul is the main actor to prepare Istanbul Gay Pride, and they have closed relations to women organizations, antiwar and antimilitarist initiatives, and HIV-AIDS organizations ([www.lambdaistanbul.org](http://www.lambdaistanbul.org). official web site of the foundation, 16 Febr. 2015). Some members Lambda Istanbul established another foundation in 2011 called as Spod. Spod is focusing on social policies about gender discrimination. The main aim of Spod is enlarging the struggle against discrimination in a wider area including social policies, more than identity politics ([www.spod.org.tr](http://www.spod.org.tr) official web site of the foundation, 16 Febr. 2015)

After the establishment of the LGBTTTQ foundations in Istanbul and Ankara; the movement spread around Turkey to other big cities. Siyah Pembe Üçgen Foundation was founded in İzmir, the third biggest city of Turkey, in 2001. Followingly, Morel Foundation was founded in Eskişehir in 2007. Both Siyah Pembe Üçgen and Morel are active in cultural festivals, seminars, gay literature review collection, and demonstrations. Like the foundations in Ankara and Istanbul, generally members are LGBTTTQ individuals at younger ages including both employees and university students ([www.siyahpembe.org](http://www.siyahpembe.org) and [,moreleskisehir.blogspot.com.tr](http://moreleskisehir.blogspot.com.tr); official websites of the foundations, 16 Febr. 2015). In april 2010, like KAOS GL, Siyah Pembe Üçgen Foundation was also seen as a movement against communal morality to be closed.

The LGBTTTQ movement spread to the East part of Turkey, where Kurdish people are living. The LGBTTTQ movement in Kurdish geography followed a different direction. Heburn, the LGBTTTQ foundation of Kurdish gays, was founded in 2011 in Diyarbakır. As the result of Kurdish movement for ethno-cultural rights, the people are aware about being activist. However, Kurdish geography of Turkey is the geography of one honor killing of women is sometimes tolerated within the heteronormative tribal relations. The Kurdish geography, where traditions are still heavy on people, is now hosting a LGBTTTQ movement. The members of Heburn (the meaning of heburn is "being") define themselves as being other of other. Not only Kurdish identity but also LGBTTTQ identity bring them a double discrimination. Most of the members are, at the same time, active in Kurdish nationalist movement and parties; although they claim Kurdish nationalist movement is still heterosexist ([www.t24.com.tr](http://www.t24.com.tr), 16.02.2015). While the LGBTTTQ movements and foundations in the West part of Turkey articulate themselves to the feminist movements and struggle for cultural rights, the Heburn movement of Kurdish gays articulate themselves to the Kurdish national movement and focuses on antiwar and antimilitarist movements. For Kurdish gays, heterosexist system of the society and the militarist policies of the state coincide each other. Any militarist policy of the government is discriminating both their Kurdish and LGBTTTQ identities.

### **Analyzing LGBTTTQ Movements in Turkey: New Social Movements Perspective**

Some characteristics of new social movements underlined by social scientists are hold by the LGBTTTQ foundations in Turkey. All LGBTTTQ foundations in Turkey firstly use social media effectively. To give their voice, to effect public opinion, to share their ideas, and to organize any activities, social media is the first and most effective way of communicate among the members and with the public. The classical ways of communication and media, such as TV, newspapers, and radio channels are dominated by big companies and the government. The social media is far from state control and market domination compared to classical institutions of media.

Secondly, different from the classical social movements, there is not a rigid hierarchy among the members. In the demonstrations and preparing process of activities, all members are involving the decision making process. Taking decision is generally done after group meetings in the foundations.

Thirdly, unlike labor unions and revolutionist movements, LGBTTTQ movements in Turkey are aiming to manipulate government policies and juridical structure for cultural and identical rights, instead of changing political system and ideological transformations of political structure.

Fourth; the LGBTTTQ movements in turkey articulate themselves to some other movements. From environmentalists, to feminists, from antiwar movements to human rights associations, LGBTTTQ movements have several collaborations and relations to other movements. Unlike classical movements, the LGBTTTQ movements have not enough members effect state policies alone; therefore they have to collaborate to some other movements.

Lastly, the individuals in the LGBTTTQ movements in Turkey are not homogenous like in labor movements. They have also different other identities besides being LGBTTTQ individual. According educational level, ethnic origin, profession, age, socio-economic strata, cultural background, for many demographic and socioeconomic and cultural indicators, the individuals vary widely; and segmented.



## On the Cross of Class and Sexuality

The articulation of LGBTTTQ Movement to the other movements is a longer and difficult process. A Trans man, named Aligül Arıkan, ("Ali" is a male name while "gül" is a female name in Turkish society), is a social activist in a famous feminist movement in Turkey called as Amargi. From his personal experiences mentioned in his study (2013) a crossing of two movement can be seen more openly. As he said, like any other feminist movement, Amargi was also built up their arguments on the base of two sexual binary oppositional identities as man and woman. The articulation of the LGBTTTQ movement to the other movements of identity related freedom and rights brought the discussions about the positions and political stand points of the other movements. Within the articulation process, the other movements started criticizing their understandings and views in their agenda.(Arıkan, 2013: 273). Therefore, as being a trans man, it was not easy to be accepted as a member in a feminist movement. While LGBTTTQ movement gets support some other movements like feminism, environmentalism or anti-militarism, those other movements gain different sexual identity and gender views and perspectives. Arıkan had to introduce himself as lesbian in the first times of being in Amargi, since they had no understanding of how a trans man is look like. As much as time is going on in Turkey, non heterosexual identities divers from gay-lesbian to trans and queer identities. This diversity in LGBTTTQ identities brought another segmentation and differentiation within LGBTTTQ persons. As Arıkan claims that among the LGBTTTQ persons, the hegemony of gays and lesbians over the trans persons in social life.

In Öner's study, there are deep interviews with white collar gay persons. From the interviews, it can be understood that also only gays are difficult to homogenize. To live with a different and a "freak" sexual identity and to handle the difficulties and discrimination of being LGBTTTQ differs from one person to another. If any gay or lesbian has a prestigious job in the society, s/he can easily handle or s/he faces indirect discrimination mostly than direct one or physical violence, compared to sex laborers or entertainment sector (Öner, 2015: 208-210). Any nonheterosexual person with lower living conditions, with lower education level, salary, being from rural area, cannot handle the discrimination and difficulties. White-collar gays can "hide" themselves in the society and if they can be felt or understood, they come face to face with indirect discrimination rather than direct one or a physical violence. On the other hand, any gay or lesbian committed suicide had lower class background. Some gays who can "hide" themselves successfully may consciously or unconsciously discriminate "passive sexual role" gays or more visible gays in public sphere (Öner, 2015: 178-183).

To defining process of non heterosexual identities is a fluidic process that producing new definitions. Gay and Lesbian movement is spreading to new identities of bisexual, trans, and queer persons. In the LGBT Oral History Project of an LGBTTTQ NGO in Izmir, SiyahPembeÜçgen, in the 1980s of Turkey, being gay or trans meant only "dönme" (a meaning of turning back to female identity from male identity) or "zenne" (male belly dancer), and non heterosexual persons were visible only entertainment or prostitution sector. Now in Turkey, non heterosexual identities have diversified and in many other professional sector, there are gays and lesbians working. However, for transgender persons, professional sectors other than entertainment and prostitution are closed strongly. From the oral histories of trans persons, it is seen that even being a trans is also an economic process. To be a trans person, they need money to cover their medicines or operations. Most of them get money from prostitution to achieve their identities with those they will be happy (SiyahPembeÜçgen, 2012). When class and sexual identity crosses, different experiences and diversified discrimination come to issue among the LGBTTTQ persons.

In the new social movements, class identities are weakening and life style or consumption based identities come first in the movement. However, it does not mean that class is not a significant parameter anymore. How they live and experience their "otherness" is basically tied to class based conditions. Class identities and sexual identities covers each other and LGBTTTQ identities in Turkey are still mobile and dynamic as well as in the World; so the LGBTTTQ movements are actively in motion of attaching to other movements, effecting other political views, having diversity in themselves. Although it is hard to define rigidly and analyze clearly, LGBTTTQ persons and movements are more visible and determined to shape new Turkey.

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## The Big Bang May Had Never Existed

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### Abstract

The main pillar of the Big Bang paradigm is the expansion of the Universe predicted by the cosmological redshift. Singularity is inevitable in the Big Bang model. The Universe is hyperbolic as we did prove mathematically; where the cosmological redshift is no longer a distance indicator. After all, in the hyperbolic spacetime a group of objects would grow apart even when not moving as their worldlines would be divergent. We show the manifold of the hyperbolic Universe is complete with no singular points. While the distance horizon in the Big Bang flat spacetime is finite, the distance horizon is infinite in the hyperbolic universe. The pillars of the big Bang and its consequences had been refuted and disproved or reinterpreted.

**Keywords:** Big Bang, expanding universe, static universe, time dilation, distance horizon, nonsingularity.

### 1. Introduction

The Universe is not flat. We did prove that the universe globally is hyperbolic. We exhibit the hyperbolic structure of the universe where the curvature manifests itself as a cosmological redshift. Newton first law states that the body keeps moving with a uniform velocity in straight line. Similarly, the free fall of an object in a flat spacetime is uniform. An accelerated motion is described by a curve. For large structure, the curvature of the spacetime can't be ignored. The distant objects- e.g. supernovae - were influenced under the curvature of the spacetime. They possess an accelerating free fall due to the curvature of the hyperbolic spacetime that manifests itself by the equation of the state  $P = -r$ , which is the property of the hyperbolic structure of the Universe. The increases in the redshift for distant objects reflect the increases in the curvature. It doesn't indicate an accelerating expansion of the universe. *After all, in the hyperbolic spacetime a group of objects would grow apart even when not moving as their worldlines would be divergent; this we mean by the expansion of the hyperbolic spacetime.* The distance horizon is infinite in a hyperbolic universe, which answers the question: Where does the universe expand into? The observable Universe is expanding into a pre-existing infinite distance horizon. This question is forbidden and prohibited question in the Standard Big Bang Cosmology. The Big Bang theorists insist that the above question has no meaning, instead of saying that they have no answer or that it violates their entire paradigm. We remove the singularity from the mathematical model, represented by the General Relativity Theory and the hyperbolic spacetime. .

### 2. The Hyperbolic Spacetime

To obtain the dynamical equation of cosmology, we should combine Einstein field equations

$$R_{mn} - \frac{1}{2} g_{mn} R = 8pGT_{mn}$$

with the isotropic homogeneous Robertson- Walker's line-element:

$$ds^2 = dt^2 - R^2(t) \frac{dr^2}{1 - kr^2} + r^2 dq^2 + r^2 \sin^2 q df^2$$

to get Friedmann's equations:

$$\dot{R}^2 + k = (8p / 3)r R^2 \quad (1)$$

$$2R\ddot{R} + \dot{R}^2 + k = - 8ppR^2 \quad (2)$$

Where  $p$  is the pressure and  $\rho$  is the energy density of the cosmological fluid and  $k$  is the curvature.

Method of solution:[1]

(i) Now we shall solve the differential equation (1) by separating the variables. We assume the Big Bang Model as an initial condition (i.e.  $R=0$  when  $t=0$ ).

$$\dot{R}^2 + k = (8p / 3)r R^2$$

$$\dot{R}^2 = (8p / 3)r R^2 - k$$

$$\dot{R} = \sqrt{(8pr/3)R^2 - k}$$

$$dR / \sqrt{(8pr/3)R^2 - k} = dt$$

$$dR / \sqrt{R^2 - 3k/8pr} = \sqrt{8pr/3} dt$$

Differential equation (1) allows one to deal with  $p_i$  as a parameter since it's not an explicit function of  $t$ , so Eq. (1) can be solved for any chosen fixed value,  $p_i$  from the stream of the various values of the parameter  $p$  :

$$r_1, r_2, \dots, r_{planck}, \dots, r_j, \dots, r_{now}$$

By means of the mean value theorem, we assume approximately that  $p_i$  evolves to the fixed physical value  $p_j$  exactly simultaneously associated to the state  $(t_i, R_j)$  since  $p_i$  is not defined and not continuous at the point of singularity  $t = 0$ , put

$$r(c) = r_j : 0 < c \leq t$$

$$\int_0^R dr / \sqrt{r^2 - 3k/8pr_j} = \sqrt{8pr_j/3} \int_0^t dt$$

$\cosh^{-1}(R / \sqrt{3k/8pr_j}) - \cosh^{-1} 0 = t \sqrt{8pr_j/3}$  (3) Now we use complex analysis as follows .

$$\cosh^{-1} x = \ln(x \pm \sqrt{x^2 - 1})$$

$$\cosh^{-1} 0 = \ln \pm \sqrt{-1} = \ln \sqrt{-1}, \text{ or, } \cosh^{-1} 0 = \ln - \sqrt{-1}$$

$$\cosh^{-1} 0 = (1/2)\ln(-1), \text{ or, } \cosh^{-1} 0 = \ln(-1) + (1/2)\ln(-1)$$

$$\therefore e^{ip} = -1$$

$$\ln(-1) = ip$$

$$\ln \cosh^{-1} 0 = ip/2, \text{ or}$$

$$\cosh^{-1} 0 = 3ip/2$$

Substitute the first value  $\cosh^{-1} 0 = ip/2$  in equation (3), we get:

$$R(t) = \sqrt{3k/8pr_j} \cdot \cosh(t\sqrt{8pr_j/3} + pi/2)$$

$$R(t) = \sqrt{3k/8pr_j} \cdot (\cosh t\sqrt{8pr_j/3} \cdot \cosh(pi/2) + \sinh(pi/2) \cdot \sinh t\sqrt{8pr_j/3})$$

$$R(t) = \sqrt{3k/8pr_j} \cdot (\cosh t\sqrt{8pr_j/3} \cdot \cos(p/2) + i \sin(p/2) \cdot \sinh t\sqrt{8pr_j/3})$$

$$R(t) = i\sqrt{3k/8pr_j} \cdot \sinh t\sqrt{8pr_j/3}$$

Since the function  $r(t)$  is always positive, so is any chosen fixed value  $r_j$ . A simple analysis shows that the  $R(t)$  scale solution represented in the last equation is complex if  $k$  is positive, negative if  $k$  is negative and vanishes if  $k$  is zero. So the first value  $\cosh^{-1} 0 = ip/2$  is rejected. Substitute the other value  $\cosh^{-1} 0 = 3ip/2$  in equation (3), we get

$$R(t) = \sqrt{3k/8pr_j} \cdot \cosh(t\sqrt{8pr_j/3} + 3pi/2)$$

$$R(t) = \sqrt{3k/8pr_j} \cdot (\cosh t\sqrt{8pr_j/3} \cdot \cosh(3pi/2) + \sinh(3pi/2) \sinh t\sqrt{8pr_j/3})$$

$$R(t) = \sqrt{3k/8pr_j} \cdot (\cosh t\sqrt{8pr_j/3} \cdot \cos(3p/2) + i \sin(3p/2) \sinh t\sqrt{8pr_j/3})$$

$$R(t) = -i\sqrt{3k/8pr_j} \cdot \sinh t\sqrt{8pr_j/3}$$

The  $R(t)$  scale solution in the last equation is real, positive and non-vanishing if and only if  $k$  is negative. Since  $k$  is normalized, substitute  $k=-1$ , in the last equation, we get:

$$R(t) = -i\sqrt{3k/8pr_j} \sinh t\sqrt{8pr_j/3}$$

$$R(t) = -i\sqrt{-3/8pr_j} \sinh t\sqrt{8pr_j/3}$$

$$R(t) = -i.i\sqrt{3/8pr_j} \sinh t\sqrt{8pr_j/3}$$

$$R(t) = \sqrt{3/8pr_j} \sinh t\sqrt{8pr_j/3} \quad (4)$$

Which mean that  $R(t)$  either vanishes if  $k = 0$  or complex if  $k = 1$ . Thus, the curvature  $k$  must be negative and consequently the universe must be hyperbolic and open. Note that the solution represented by Eq. (4) is evaluated only for the values simultaneously associated with  $r_j$ , namely  $(R_j, t_j)$

$$R_j = \sqrt{3/8pr_j} \sinh t_j \sqrt{8pr_j/3} \quad (5)$$

### 3. Verification Of the Time Evolution Equation of the Universe

(i) Planck scale:[4]

The time evolution equation of the universe successfully predicts the Planck length at micro-cosmos scale as well as it predicts the current observed large structure at macro-cosmos scale.

$$1 \text{ sec} = 2.997 \times 10^{10} \text{ cm}$$

$$\text{Planck length} = L_p = \sqrt{Gh/c^3} = 1.6 \cdot 10^{-33} \text{ cm}$$

$$\text{Planck time} = t_p = L_p / c = \sqrt{Gh / c^5} = 5.4 \cdot 10^{-44} \text{ s}$$

$$\text{Planck density} = 3.8789 \times 10^{62} \text{ cm}^{-3}$$

Substitute the above data in the time evolution equation of the universe at Planck scale

$$R_p = \sqrt{3/8pr_p} \sinh t_p \sqrt{8pr_p/3}$$

$$R_p = \sqrt{3/8p' \cdot 3.8789' \cdot 10^{62}} \sinh \sqrt{8p' \cdot 3.8789' \cdot 10^{62}/3} \cdot 5.4' \cdot 10^{-44} \cdot 2.997' \cdot 10^{10}$$

$$= 0.175423 \times 10^{-31} \times \sinh 0.92255888$$

$$= 0.175423 \times 10^{-31} \times 0.092386811$$

$$= 1.62 \times 10^{-33} \text{ cm} = L_p = \text{Planck length. Hence}$$

$$R_p = \sqrt{3/8pr_p} \sinh \sqrt{8pr_p/3} t_p = L_p = \sqrt{Gh/c^3}$$

(ii) Current scale:

$$\text{The energy density now } r_{now} = 10^{-31} \text{ g/cm}^3 = 7.425 \times 10^{-60} \text{ cm}^{-2}$$

$$\text{The age of the Universe (approximately) } t_{now} = 13.7 \times 10^9 \text{ yr} = 1.2974585' \cdot 10^{28} \text{ cm}$$

Substitute the above data in the hyperbolic time evolution equation of the Universe, yields, .

$$R_j = \sqrt{3/8pr_j} \sinh \frac{t_j}{c} \sqrt{8pr_j/3} \frac{c}{t_j}$$

$$R_{now} = \sqrt{3/8pr_{now}} \sinh \frac{t_{now}}{c} \sqrt{8pr_{now}/3} \frac{c}{t_{now}}$$

$$R_{now} = \sqrt{3/(8p' \cdot 7.425' \cdot 10^{-60})}$$

$$\sinh \frac{1.2974585' \cdot 10^{28}}{c} \cdot \sqrt{8p' \cdot 7.425' \cdot 10^{-60}/3} \frac{c}{t}$$

$$R_{now} = 1.6' \cdot 10^{29} \cdot \sinh 0.08287$$

$$R_{now} = 1.3' \cdot 10^{28} \text{ cm}$$

#### 4. The increase in the cosmological redshift accounts for the increases in the curvature, not for the accelerated expansion.

We shall see that the solution of equation (1) satisfies the second order differential equation (2) in order to be consistent. We have from the solution of Eq. (1) for any chosen value  $p_j$

$$R = \sqrt{\frac{3}{8pr_j}} \sinh t \sqrt{\frac{8pr_j}{3}}$$

$$\dot{R} = \cosh t \sqrt{\frac{8pr_j}{3}}$$

$$\ddot{R} = \sqrt{\frac{8pr_j}{3}} \sinh t \sqrt{\frac{8pr_j}{3}} = \frac{8pr_j}{3} R$$

Substitute these values in Eq. (2), and  $k = -1$ , yields,

$$2R\ddot{R} + \dot{R}^2 - 1 = -8ppR^2$$

$$2R\left(\frac{8pr_j}{3}R\frac{\ddot{R}}{\dot{R}} + \cosh^2\sqrt{\frac{8pr_j}{3}} - 1\right) = -8ppR^2$$

$$2R^2\left(\frac{8pr_j}{3}R\frac{\ddot{R}}{\dot{R}} + \sinh^2\sqrt{\frac{8pr_j}{3}}\right) = -8ppR^2$$

$$2R^2\left(\frac{8pr_j}{3}R\frac{\ddot{R}}{\dot{R}} + \frac{8pr_j}{3}R^2\right) = -8ppR^2$$

$$8pr_jR^2 = -8ppR^2$$

$$p = -r_j$$

The last equation is known as the equation of state of cosmology. The argument of the solution predicts the equation of state of cosmology  $p = -r_j$ . Since the energy density is always positive, the negative pressure implies an accelerated expansion of the universe. Hence equations (1) and (2) are consistent for any chosen fixed value  $r_j$  of

the parameter  $r_j$ . The argument of the solution predicts the equation of state  $p = -r_j$ . We exhibit the hyperbolic structure of the universe that explains the accelerating expansion of the universe without needs for additional components, dark energy. One explanation for dark energy is that it is a property of space. The simplest explanation for dark energy is that it is simply the "cost of having space": that is, a volume of space has some intrinsic, fundamental energy. Just the ordinary energy density state  $r_j$  remains in the Hyperbolic Universe to derive the accelerating expansion equivalent to its negative pressure. Hyperbolic Universe involves zero cosmological constant (the vacuum energy) [2]. The negative pressure  $p = -r_j$  is the property of the hyperbolic structure of the Universe. Flat universe dominated by matter is modeled as a zero pressure-dust universe model. The expansion of the universe would be slowing due to the gravity attraction, which is incorrect as we shall see below: instein postulates [3] that the matter dominated universe could be modeled as dust with zero pressure in order to simplify and solves Friedmann's equations :

$$\dot{R}^2 + k = (8p/3)rR^2$$

$$2R\ddot{R} + \dot{R}^2 + k = 0$$

$$2\ddot{R}/R + (8p/3)r = 0$$

$$\ddot{R} = - (8p/3)rR/2 < 0$$

$$\backslash \ddot{R} < 0$$

The pressure less form of Eq. (2) describes a decelerating expansion state of the universe which is described by the energy tensor of matter for dust where  $p = 0$ . We solved the second dynamical equation of cosmology, the space-space component; in it is pressure less form:

$$2R\ddot{R} + \dot{R}^2 + k = 0$$

$$\because k = -1$$

$$2R\ddot{R} + \dot{R}^2 - 1 = 0$$

to be  $t = R$ , which satisfies the last differential equation. Substitute  $t = R, k = -1$  in the first dynamical equation (2).

$$\begin{aligned} \dot{R}^2 + k &= (8p/3)rR^2 \\ (1)^2 - 1 &= (8p/3)rR^2 \\ 0 &= (8p/3)rR^2 \\ \backslash r &= 0 \end{aligned}$$

Hence the zero pressure does not lead to a dusty universe. In fact zero pressure Universe is an empty space, since  $r = 0$ . In the presence of pressure, from Eqs (2) and (1) we can obtain

$$\begin{aligned} \ddot{R} &= -\frac{4p}{3}(r + 3p)R \\ \therefore p &= -r \\ \backslash \ddot{R} &= \frac{8p}{3}R > 0 \end{aligned}$$

which guarantees an accelerating expansion of the universe.

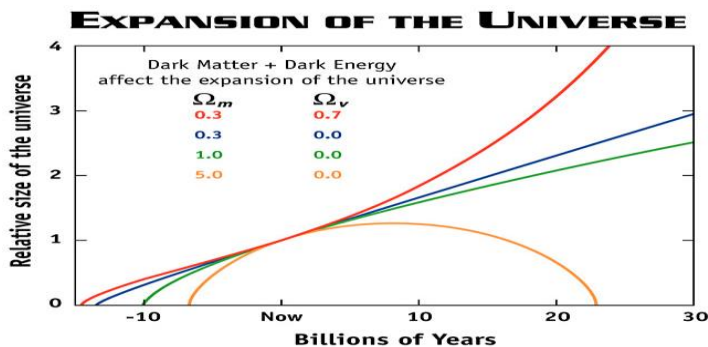


Figure 1. Scientists used to think that the universe was described by the yellow, green, or blue curves. But surprise, it's actually the red curve instead.

Newton first law states that the body keeps moving with a uniform velocity in straight line. Similarly, the free fall of an object in a flat spacetime is uniform. An accelerated motion is described by a curve. For large structure, the curvature of the spacetime can't be ignored. It is clear from Fig (1) the expansion of the universe is described by a hyperbolic curve. The distant objects- e.g. supernovae - were influenced under the curvature of the spacetime. They possess an accelerating free fall due to the curvature of the hyperbolic spacetime that manifests itself by an equation of a state  $p = -r$ , which is the property of the hyperbolic structure of the Universe. The Universe is not flat. We did prove that, the universe globally is hyperbolic. We exhibit the hyperbolic structure of the universe where the curvature manifests itself as a cosmological redshift. The increases in the redshift for distant objects reflect the increases in the curvature. It doesn't indicate an accelerating expansion of the universe.

### 5. Nonsingular Big Bang.

An initial-value problem: Given the state of a system at some moment in time, what will be the state at some later time? Future events can be understood as consequences of initial conditions plus the laws of physics. Could the dynamical nature of the spacetime background break down an initial-value formulation in general relativity? In general relativity, a singularity is a place that objects or light rays can reach in a finite time where the curvature becomes infinite, or spacetime stops being a manifold. Singularities can be found in all cosmological solutions which don't have scalar field energy or a cosmological constant. Curvature is associated with gravity and hence curvature singularities correspond to "infinitely strong gravity." There are several possibilities of how such infinitely strong gravity can manifest itself. For instance, it could be that

the energy density becomes infinitely large - this is called a "Ricci singularity", As an example of a Ricci singularity, the evolution of energy density in a universe described by a big bang model. As you go towards the left - corresponding to earlier and earlier instances of cosmic time zero - the density grows beyond all bounds and at cosmic time zero - at the big bang - it was infinitely high. A path in spacetime is a continuous chain of events through space and time [5]. While there are competing definitions of spacetime singularities, the most central, and widely accepted, criterion rests on the possibility that some spacetimes contain incomplete paths. Indeed, the rival definitions (in terms of missing points or curvature pathology) still make use of the notion of path incompleteness. While path incompleteness seems to capture an important aspect of the intuitive picture of singular structure, it completely ignores another seemingly integral aspect of it: curvature pathology. If there are incomplete paths in a spacetime, it seems that there should be a *reason* that the path cannot go farther. The most obvious candidate explanation of this sort is something going wrong with the dynamical structure of the spacetime, which is to say, with the curvature of the spacetime. This suggestion is bolstered by the fact that local measures of curvature do in fact blow up as one approaches the singularity of a standard black hole or the big bang singularity. However, there is one problem with this line of thought: no species of curvature pathology we know how to define is either necessary or sufficient for the existence of incomplete paths. "At the heart of all of our conceptions of a spacetime singularity is the notion of some sort of failing: a path that disappears, points that are torn out, spacetime curvature that becomes pathological. However, perhaps the failing lies not in the spacetime of the actual world, but rather in the *theoretical description* of the spacetime" [5]. That is, perhaps we shouldn't think that general relativity is accurately describing the world when it posits singular structure! Indeed, in most scientific arenas, singular behavior is viewed as an indication that the theory being used is deficient. It is therefore common to claim that general relativity, in predicting that spacetime is singular, is predicting its own demise, and that classical descriptions of space and time break down at black hole singularities and at the Big Bang. Such a view seems to deny that singularities are real features of the actual world, and to assert that they are instead merely artifices of our current (flawed) physical theories. Many physicists and philosophers resist that singularities are *real*. Some argue that singularities are too repugnant to be real. Others argue that the singular behavior at the center of black holes and at the beginning of time points to the limit of the domain of applicability of general relativity. Note that the hyperbolic universe inflates exponentially produces an accelerated expansion of the universe without cosmological constant or scalar field. We have shown [S. A. Mabkhout, Phys. Essays 26,422 (2013)] that general relativity doesn't break down at large cosmological scale since it predicts both the accelerated expansion of the universe (without invoking dark energy) and predicts the galaxy flat rotation curve (without invoking dark matter) [6]. General relativity didn't break down at Planck scale as we had shown [S. A. Mabkhout, Phys. Essays 25, 112 (2012)] [1]. In this research we shall prove that the time evolution equation of the universe characteristics the hyperbolic universe and traces its manifold dynamical geometry shouldn't break down even at the initial Big Bang moment. Our task is to remove the singularity from the mathematical model, represented by the General Relativity Theory and the hyperbolic spacetime, underlying the Big Bang Theory. Our main point is to examine whether the state point:

$$(R_{B.B}, r_{B.B}, t_{B.B}) = (0, \infty, 0)$$

constitutes a singular point in the manifold? Is it really a missing point of the manifold? Does the local measure of curvature blow up as one approach this point? Does the density grow beyond all bounds, infinitely high as one approach this point? Our hyperbolic universe is a manifold weaved by the time evolution equation of the universe since the Big Bang

$$R_j = \sqrt{3/8pr_j} \sinh \frac{\dot{t}_j}{\dot{t}_j} \sqrt{8pr_j/3} \frac{\dot{t}_j}{\dot{t}_j}$$

Which reflects the structure of the manifold whether it possesses a singular point or not? If we assume the density  $r_j$  and the time  $t_j$  runs independently from each other, we may evaluate the limit at the Big Bang

$$(r_j, t_j) = (r_{BB}, t_{BB}) \otimes (\infty, 0)$$



$$R_{B.B} = \sqrt{3/8pr_{B.B}} \sinh \xi_{B.B} \sqrt{8pr_{B.B}/3} \dot{u}$$

$$R_{B.B} = \lim_{(r_{B.B}, t_{B.B}) \rightarrow (0,0)} \sqrt{3/8pr_{B.B}} \sinh \xi_{B.B} \sqrt{8pr_{B.B}/3} \dot{u}$$

$$R_{B.B} = \lim_{(r_{B.B}, t_{B.B}) \rightarrow (0,0)} (t_{B.B}) \frac{\sinh \xi_{B.B} \sqrt{8pr_{B.B}/3} \dot{u}}{t_{B.B} \sqrt{8pr_{B.B}/3}}$$

$$R_{B.B} = \lim_{(r_{B.B}) \rightarrow (0)} \lim_{(t_{B.B}) \rightarrow (0)} (t_{B.B}) \frac{\sinh \xi_{B.B} \sqrt{8pr_{B.B}/3} \dot{u}}{t_{B.B} \sqrt{8pr_{B.B}/3}}$$

$$R_{B.B} = \lim_{(r_{B.B}) \rightarrow (0)} [0 \cdot 1] = 0$$

$$R_{B.B} = \lim_{(t_{B.B}) \rightarrow (0)} \lim_{(r_{B.B}) \rightarrow (0)} (t_{B.B}) \frac{\sinh \xi_{B.B} \sqrt{8pr_{B.B}/3} \dot{u}}{t_{B.B} \sqrt{8pr_{B.B}/3}}$$

$$R_{B.B} = \lim_{(t_{B.B}) \rightarrow (0)} [0 \cdot 1] = 0$$

The limit does not exist since it is not unique. Let us treat the limit from a different point of view, namely the dependent evolution for both the density  $r_j$  and the time  $t_j$ . Now we are interesting to explore how both the density  $r_j$  and the time  $t_j$  are dependently evolved? Consider the factor  $t_j \sqrt{r_j}$  appears in the time evolution equation of the Universe. Calculate the value of  $t_j \sqrt{r_j}$  at the given two well known sets of data, namely the Planck scale and the current scale:

$$t_p \sqrt{r_p} = 5.4 \cdot 10^{-44} \cdot 2.997 \cdot 10^{10} \sqrt{3.8789 \cdot 10^{62}} = 0.032$$

$$t_{now} \sqrt{r_{now}} = 1.2974585 \cdot 10^{28} \cdot \sqrt{7.425 \cdot 10^{-60}} = 0.034$$

The two values are approximately equal no matter how large the difference between the two states, which is of order  $10^{61}$ . Hence it is very reasonable that  $t_j \sqrt{r_j}$  remains approximately constant through the whole evolution of the cosmos, even at the Big Bang. The infinitely large density is struggled by the infinitesimally small time and vice versa, in our mathematical model. This process prevents the scale factor from blows up by the infinitely large density. Since the data at Planck scale is accurate, we assume  $t_j \sqrt{r_j} = 0.032$ . Hence

$$R_{B.B} = \lim_{(t_{B.B} \sqrt{r_{B.B}}, t_{B.B}) \rightarrow (0.032, 0)} (t_{B.B}) \frac{\sinh \xi_{B.B} \sqrt{r_{B.B}} \sqrt{8p/3} \dot{u}}{t_{B.B} \sqrt{r_{B.B}} \sqrt{8p/3}}$$

$$R_{B.B} = \lim_{t_{B.B} \rightarrow 0} (t_{B.B}) \frac{\sinh \xi_{B.B} (0.032) \sqrt{8p/3} \dot{u}}{0.032 \sqrt{8p/3}}$$

$$R_{B.B} = \lim_{t_{B.B} \rightarrow 0} (t_{B.B}) \cdot 1.00187 \dot{u} = 0$$

The limit exists. The manifold consists of its limiting point and hence it is complete. Thus there exists a *continuous* path governs the time evolution of the Universe since the Big Bang. Hence the Big Bang is nonsingular.

## 6. Cosmological Redshift

In the early part of the twentieth century, Slipher, Hubble and others made the first measurements of the redshifts and blueshifts of galaxies beyond the Milky Way. They initially *interpreted* these redshifts and blueshifts as due solely to the Doppler Effect, but later Hubble discovered a rough correlation between the increasing redshifts and the increasing distance of galaxies. Theorists almost immediately realized that these observations could be explained by a different mechanism for producing redshifts. Hubble's law of the correlation between redshifts and distances is required by models of cosmology derived from general relativity that have a metric expansion of space. As a result, photons propagating through the expanding space are stretched, creating the Cosmological redshift. *The Cosmological redshift differs from the Doppler Effect redshifts described above, because the velocity boost (i.e. the Lorentz transformation) between the source and observer is not due to classical momentum and energy transfer, but instead the photons increase in wavelength and redshift as the space through which they are travelling expands.* This effect is prescribed by the current cosmological model as an observable manifestation of the time-dependent cosmic scale factor ( $a$ ) in the following way: [7]

$$1 + z = \frac{a_{\text{now}}}{a_{\text{then}}}$$

This type of redshift is called the Cosmological redshift or Hubble redshift. These galaxies are not receding simply by means of a physical velocity in the direction away from the observer; instead, the intervening space is stretching, which accounts for the large-scale isotropy of the effect demanded by the cosmological principle. For cosmological redshifts of  $z < 0.1$  the effects of spacetime expansion are minimal and observed redshifts dominated by the peculiar motions of the galaxies relative to one another that cause additional Doppler redshifts and blueshifts. In particular, Doppler redshift is bound by special relativity; thus  $v > c$  is impossible while, in contrast,  $v > c$  is possible for cosmological redshift because the space which separates the objects (e.g., a quasar from the Earth) can expand faster than the speed of light. The cosmological redshift, occurs between two clocks that are at different radii and both at rest with respect to the black hole or other center of gravitational attraction. Visible light with the longest period is red. The remote observer see light emitted by the close-in clock to be redder –that is of longer period– than it was at the point of emission. A photon moves through the spacetime, its wavelength is influenced by the expansion of the universe, as if the photon being attached to the expanding fabric spacetime. The cosmological (gravitational) redshift is a consequence of the changing size of the universe; it is not related to velocity at all. The gravitational redshift in curved expanding spacetime is a generalization of the Doppler shift in flat spacetime to curved expanding spacetime, is the reddening of light from distant galaxies as the universe expands. In the widely accepted cosmological model based on General relativity, redshift is mainly a result of the expansion of space: this means that the farther away a galaxy is from us, the more the space has expanded in the time since the light left that galaxy, so the more the light has been stretched, the more redshifted the light is, and so the faster it appears to be moving away from us. Hubble's law follows in part from the Copernican principle. Light waves become stretched in route between the time they were emitted long ago, and the time they are detected by us today. It is tempting to refer to cosmological redshifts as Doppler shifts. By referring to cosmological redshifts as Doppler shifts, we are insisting that our Newtonian intuition about motion still applies without significant change to the cosmological arena. A result of this thinking is that quasars now being detected at redshifts of  $z = 4.0$  would have to be interpreted as traveling a speeds of more than  $V = z \times c$  or 4 times the speed of light. This is, of course, quite absurd, because we all know that no physical object may travel faster than the speed of light. To avoid such apparently nonsensical speeds, many popularizers use the special relativistic Doppler formula to show that quasars are really not moving faster than light. The argument being that for large velocities, special relativity replaces Newtonian physics as the correct framework for interpreting the world. By using a special relativistic velocity addition formula the quasar we just discussed has a velocity of 92 percent the speed of light. Although we now have a feeling that Reason has returned to our description of the universe, in fact, we have only replaced one incomplete explanation for another. The calculation of the quasar's speed now presupposes that special relativity (a theory of flat spacetime) is applicable even at cosmological scales where general relativity predicts that spacetime curvature becomes important. The special relativistic Doppler formula is introduced to show how quasars are moving slower than the speed of light! It is also common for popularizers of cosmology to describe how 'space itself stretches' yet continue to describe the expansion of the universe as motion governed by the restrictions of special relativity. By adopting general

relativity as the proper guide, such contradictions are eliminated. General relativity leads us to several powerful conclusions about our cosmos:[8]

- 1) Special relativity is inapplicable for describing the larger universe;
- 2) The concepts of distance and motion are not absolutely defined and
- 3) Preexisting spacetime is undefined.

General relativity must replace special relativity in cosmology because it denies a special role to observers moving at constant velocity, extending special relativity into the arena of accelerated observers. It also denies a special significance to special relativity's flat spacetime by relegating it to only a microscopic domain within a larger geometric possibility. Just as Newtonian physics gave way to special relativity for describing high speed motion, so too does special relativity give way to general relativity. This means that the special relativistic Doppler formula should not, in fact cannot, be used to quantify the velocity of distant quasars. We have no choice in this matter if we want to maintain the logical integrity of both theories. The instantaneous physical distance is not itself observable. Cosmological 'motion' cannot be directly observed. It can only be inferred from observations of the cosmological redshift, which general relativity then tells us that the universe is expanding. One of the most remarkable discoveries in twentieth century astronomy was Hubble's (1929) observation that the redshifts of spectral lines in galaxies increase linearly with their distance. Hubble took this to show that the universe is *expanding uniformly*, and this effect can be given a straightforward qualitative explanation in the FLRW models. The FLRW models predict a change in frequency of light from distant objects that depends directly on scale factor  $R(t)$ . There is an approximately linear relationship between *redshift* and distance at small scales for all the FLRW models, and *departures* from linearity at larger scales can be used to *measure spatial curvature*. Locally the spacetime is flat. For distant objects, the imprint of the curvature is significant, where the spacetime does no longer remain flat. The redshifts of such distant objects increase according to the curvature of the hyperbolic spacetime. The cosmological (gravitational) redshift can be interpreted as a degree of the hyperbolicity of the curved spacetime. Hubble's law ( $V_{\text{rec}} = HD$ : recession velocity = Hubble's constant  $\times$  distance) describes the situation: farthest objects receding fastest. It didn't explain why? Hubble himself was not entirely happy with his distance-velocity formula, which decisively contributed to the inflationary model of the universe. In the paper, jointly with Tolman, he wrote "*The possibility that the redshift may be due to some other cause connected with the long time or distance involved in the passage of light from nebulae to observer, should not be prematurely neglected.*"[22] "The Hubble velocity distance rule is an interesting example how two independently correct facts, i.e. the common Doppler shift and Hubble's experimental distance vs redshift law when "married" together resulted in an unfortunate conclusion. This happened because the only cause of redshift that Hubble was aware, was the common Doppler shift, and thus he obtained a distance-velocity plot" [9]. " In a general setting and from a logical point of view, the existence of relative velocity is a necessary but not sufficient condition to record a wavelength shift. In Euclidean geometry e.g. wavelength shift uniquely implies existence of a relative velocity while in hyperbolic geometry it does not have a unique implication. Thus while the existence of relative velocity always results in a wavelength shift, the presence of a shift may or may not imply the existence of a relative velocity. Euclidean geometry cannot induce changes in wavelength of electromagnetic radiation. The case of  $K = 0$ . In Euclidean space geodesics do not deviate. This is the case of hyperbolic space. Geodesics deviate at an exponential rate" [9].

## 7. Quasars Redshifts Don't Exhibit Time Dilation

The phenomenon of time dilation is a strange yet experimentally confirmed effect of relativity theory. One of its implications is that events occurring in distant parts of the universe should appear to occur more slowly than events located closer to us. For example, when observing supernovae, scientists have found that distant explosions seem to fade more slowly than the quickly-fading nearby supernovae. However, a new study has found that this doesn't seem to be the case - quasars, it seems, give off light pulses at the same rate no matter their distance from the Earth, without a hint of time dilation. Astronomer Mike Hawkins from the Royal Observatory in Edinburgh came to this conclusion after looking at nearly 900 quasars over periods of up to 28 years. When comparing the light patterns of quasars located about 6 billion light years from us and those located 10 billion light years away, he was surprised to find that the light signatures of the two samples were exactly the same. If these quasars were like the previously observed supernovae, an observer would expect to see longer, "stretched" timescales for the distant, "stretched" high-redshift quasars. But even though the distant quasars were more strongly redshifted than the closer quasars, there was no difference in the time it took the light to reach Earth. [10]

Quasars have redshifts variation not correlated with time dilation. The light signature of quasars located 6 billion light years from us and those 10 billion light years away were exactly the same, without a hint of time dilation. This quasar conundrum

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doesn't seem to have an obvious explanation. Thus the high redshifts of quasars may not necessarily represent their distances. Further, in some observations, the redshifts have been found to exhibit some periodicity in their distributions as represented by the Karlsson formula [11]. The periodicity further makes it difficult for the redshift to represent distance. M Hawkins is very clear, his finding is that: the redshift of the Quasars do not exhibit time dilation. Moreover, he gave many suggestions: [12]

1. It means the quasars may be nearby, not as distant as their redshifts and the Hubble law would indicate.
2. The origin of all matter was not at the big bang but over time in a grand ongoing creation scenario.
3. The Universe is not expanding.
4. Several explanations are discussed, including the possibility that time dilation effects are exactly offset by an increase in timescale of variation associated with black hole growth, or that the variations are caused by microlensing in which case time dilation would not be expected. [12]

In April 2010, Marcus Chown wrote in an article entitled [13] "Time waits for no quasar—even though it should" for New Scientist online. The edifice of the big bang hangs on the interpretation that the quasar redshifts are cosmological. If they are not: it brings into question the origin of quasars, and, it means the quasars may be nearby, not as distant as their redshifts and the Hubble law would indicate. This latter idea is linked to the work of Halton Arp [14] and others that showed strong correlation between parent galaxies that have ejected quasars from their active cores. The origin of all matter was not at the big bang but over time in a grand ongoing creation scenario. Arp [14] believed quasars were ejected from the active hearts of parent galaxies and their redshifts were largely intrinsic, not distance related. Because most of the high redshift objects in the Universe are quasars, if their redshifts are due to cosmological expansion then they are good evidence for an expanding universe. If the quasar redshifts are not reliable as a distance indicator, as Arp's hypothesis of ejection of quasars from the active cores of relatively nearby galaxies suggests, then the conclusion that the universe is expanding can be avoided. Arp, in fact, believed in a static universe [14]. The Hubble law, determined from the redshifts of galaxies, for the past 80 years, has been used as strong evidence for an expanding universe. This claim is reviewed in light of the claimed lack of necessary evidence for time dilation in quasar and gamma-ray burst luminosity variations and other lines of evidence. It is concluded that the observations could be used to describe either a static universe (where the Hubble law results from some as-yet-unknown mechanism) or an expanding universe described by the standard cold dark matter model. In the latter case, size evolution of galaxies is necessary for agreement with observations. Yet the simple non-expanding Euclidean universe fits most data with the least number of assumptions [15].

### 8. Why all Quasars are Redshifted?

Quasars are believed to be objects ejected from the centers of the Galaxies (or Black holes). Do all of them blow outwards in opposite direction to us in order all of them to agree with such high redshifts? Note that the motion of galaxies is random! While, even no one Quasar exhibits a blueshift! Moreover, according to their high redshift all of the Quasars are very distant away. But the universe is isotropic, so our position is not preferred. Hence why we didn't observe any Quasar nearby? According to the isotropy, a distant observer should observed the Quasars very distant with respect to him, that is they should be nearby to us, a contradiction. According to Hubble's law, if the object is bright then its nearby and the distant objects are faint. The Quasars are very bright, so why they shouldn't be nearby? Why we just accept one part from Hubble's law, that is: the high redshift of the Quasar indicates that its distant and ignored the other part, that is: the brightness of the Quasar indicates they are nearby? Finally, why our Galaxy and many other nearby Galaxies didn't eject Quasars from their centers? Why this job is exclusive for distant Galaxies? Because our Galaxy and many others nearby Galaxies are inactive, said astronomers. Why they are the inactive among the active distant Galaxies? It is clear such a paradigm is not satisfactory and insufficient, it depends on many unjustified reasons, many contradictions and inconsistent. The paradigm must be reconsidered and readjusted. The bright the Quasar, the high it's redshift and the distant it is. The bright the Galaxy the low redshift, the nearby it is. Brightest Galaxies associated with brightest Quasars, but faint Galaxies not. So, if the Quasars agree in their brightness they disagree with their redshifts. Yes, the scenario concerning the Quasars no more than speculations and guesses to fabricate suitable explanations to fit current observations. The problem relies on the similarity of the cosmological redshift to the Doppler redshift that both of them cause recession speed. The first by the expansion of the spacetime and the other by receding within the spacetime. If the high redshift of the Quasar is due to the cosmological redshift of the expanding spacetime, why it shouldn't agree and coincide with the redshift of the hosting Galaxy. The cosmological redshift must be interpreted in a different way, as I do, as manifests the curvature of the hyperbolic spacetime. Astronomers have found many galaxy pairs and galaxy groups in which the members are evidently

close to each other—even interacting—yet have redshifts that are radically at odds! Their redshifts don't make sense: If two galaxies are roughly in the same place then their measured redshifts should agree with each other, since redshift is supposed to be a measure of their distance (although the redshift may include a relatively minor Doppler component due to local motion). The observational fact that they don't is considered anomalous. The mystery is in the cause, and also why some of the anomalies are so extreme. *"Locally the spacetime is flat, where special relativity together with its Doppler redshift dominates to measure peculiar velocities, there is no cosmological redshift in this case. For distant objects the spacetime is hyperbolic where the cosmological redshift manifests the curvature"* [16]. For example, observations tell us that space within galaxies, which are rather diffuse objects, do not expand. Thus, where is the "border line" in space which divides expanding space from non expanding space?

Arp (1987); Ratcli (2010) [17] have argued that there is strong observational evidence for anomalous redshifts between quasars and galaxies. Typically there is a quasar very close to a galaxy with a material bridge or other evidence that suggests that they are associated. Two galaxies within our Local Group, including Andromeda, and a few galaxies in the Virgo Cluster display blueshifts and so are moving toward us, but these results from their local motion (peculiar velocity). Why are nearby galaxies exhibit blue-shift? Because their peculiar velocities are greater than their recession velocities! *How could we compare between two incompatible concepts, the cosmological redshift and the Doppler redshift? What is the resultant crossbred-shift?* The answer would be more convenient if we said: *Locally the spacetime is flat through which the curvature is negligible (no cosmological redshift), the random peculiar velocity dominates. For distant objects the spacetime is hyperbolic, where the cosmological redshift manifests the curvature. If cosmological redshift has nothing to do with the Doppler effect, how do we know that galaxies that are very far away are also receding from us? How to compare between two unrelated concepts, the Doppler redshift and the cosmological redshift? Andromeda galaxy is blueshifted because it's sufficiently nearby where the spacetime is approximately flat and special relativity dominates. Its blueshifted according to the Doppler Effect in flat spacetime. Andromeda one of about 100 blueshifted galaxies that we observe. Andromeda has a "blueshift". It has a negative recessional velocity of roughly -300 km/s Andromeda's tangential or sideways velocity with respect to the Milky Way is relatively much smaller than the approaching velocity. Locally the spacetime is flat no cosmological redshift, their blueshifts is just due to the Doppler Effect. What causes the peculiar velocity of the galaxy? Is it a free fall or something else? As you probably know, we interpret the redshifts of galaxies to mean that the universe is expanding. So if you could staple the galaxies to the 'fabric' of space, all of them would appear to be moving away from us -the farther away they are, the faster! Why? This is cheating! According to the isotropy principle our position is not preferred. Conversely the farther observer would see our nearby objects recede faster with respect to him than his nearby objects! A contradiction.*

### 9. The Distance Horizon in a Flat Universe

Consider a photon moving along a radial trajectory in a flat universe. A radial null path obeys [18]

$$0 = ds^2 = - dt^2 + a^2(t)dr^2$$

$$r = \int_{t_e}^{t_0} \frac{dt}{a(t)}$$

For matter dominated component of energy :

$$R \propto t^{2/3}$$

Hubble constant now (at  $t_0$ ) is

$$H_0 = H(t_0) = \frac{\dot{a}(t_0)}{a(t_0)}$$

So the age of the universe now is

$$t_0 = \frac{2}{3H_0}$$

$$\therefore H_0 = 72(\text{km/s}) / \text{Mpc}$$

$$\setminus t_0 = \frac{2}{3H_0} = 9\text{Gyr}$$

which is inconsistent compared to the age of the oldest stars whose age is about 12 Gyr in our galaxy. Equations due to the flat universe doesn't fit the data. The physical distance to the horizon-in flat FRW model- at the time of observations is

$$d_H(t) = a(t)r_H = a(t) \int_0^t \frac{dt\phi}{a(t\phi)}$$

$$\therefore a(t) \propto t^{2/3}$$

$$\setminus d_H(t) = a(t)r_H = t^{2/3} \int_0^t \frac{dt\phi}{t\phi^{2/3}} = 3t$$

The present horizon size of a matter dominated flat universe

$$d_{horizon}(t_0) = 3t_0 = 3 \frac{a_0^2}{c^2} t_H \frac{\ddot{\phi}}{\phi}$$

$$d_{horizon}(t_0) = 2t_H \gg 8\text{Gpc}$$

The discrepancy between this number and the 14 Gpc (observed radius in principle) is due to the presence of the significant vacuum energy (dark energy). Note that Hubble radius  $H_0^{-1} = 4.2 \cdot 10^3 \text{Mpc}$ .

### 10. The Distance Horizon is Infinite in a Hyperbolic Universe.

"Because the Universe is expanding the distance to a galaxy is not very well defined. Because of this ambiguity, astronomers prefer to work in terms of a look-back time, which is simply how long ago an object emitted the radiation we see today. Astronomers talk frequently about redshifts and sometimes about look-back times, but they hardly ever talk of distances to high-redshift objects. The redshift is the only unambiguously measured quantity. Statements about derived quantities, such as distances and look-back times, all require that we make specific assumptions about how the universe has evolved with time. For nearby sources, the look-back time is numerically equal to the distance in light-years. However, for more distant objects, the look-back time and the present distance in light-years differ because of the expansion of the universe, and the divergence increase dramatically with increasing redshift" [19]. *Comoving distance* "is the distance between two points measured along a path defined at the present cosmological time. For objects moving with the Hubble flow, it is deemed to remain constant in time. The comoving distance from an observer to a distant object (e.g. galaxy) can be computed by the following formula:

$$c = \int_{t_e}^{t_0} \frac{dt\phi}{a(t\phi)}$$

where  $a(t)$  is the scale factor,  $t_e$  is the time of emission of the photons detected by the observer,  $t$  is the present time, and  $c$  is the speed of light in vacuum. Despite being an integral over time, this does give the distance that *would* be measured by a hypothetical tape measure at *fixed* time  $t$ , i.e. the "proper distance" as defined below, divided by the scale factor  $a(t)$  at that time. The isotropic homogeneous Robertson- Walker's line-element:

$$dt^2 = - dt^2 + a^2(t) \frac{dr^2}{1 - kr^2} + r^2 dq^2 + r^2 \sin^2 q df^2$$

For the hyperbolic spacetime

$$k = - 1$$

$$dt^2 = - dt^2 + a^2(t) \frac{dr^2}{1 + r^2} + r^2 dq^2 + r^2 \sin^2 q df^2$$

For radial null trajectory

$$0 = - dt^2 + a^2(t) \frac{dr^2}{1 + r^2}$$

$$\frac{dr}{\sqrt{1 + r^2}} = \frac{dt}{a(t)}$$

The physical radius to the horizon-in hyperbolic universe FRW model- at the time of observations is

$$\int_0^r \frac{dr}{\sqrt{1 + r^2}} = \int_0^t \frac{dt}{a(t)} \quad (6)$$

We have the scale factor in the hyperbolic universe

$$a(t) = \sqrt{3/8pr_j} \sinh t \sqrt{8pr_j/3}$$

Substitute this scale factor in Eq.(6), we get

$$\int_0^r \frac{dr}{\sqrt{1 + r^2}} = \int_0^t \frac{dt}{\sqrt{3/8pr_j} \sinh t \sqrt{8pr_j/3}}$$

$$\int_0^r \frac{dr}{\sqrt{1 + r^2}} = \sqrt{8pr_j/3} \int_0^t \frac{dt}{\sinh t \sqrt{8pr_j/3}}$$

$$\int_0^r \frac{dr}{\sqrt{1 + r^2}} = \sqrt{8pr_j/3} \int_0^t \operatorname{cosech} t \sqrt{8pr_j/3} dt$$

$$\sinh^{-1} r = \coth^{-1} \cosh t \sqrt{8pr_j/3} \Big|_0^t$$

$$\sinh^{-1} r - \sinh^{-1} 0$$

$$= \coth^{-1} \cosh t \sqrt{8pr_j/3} - \coth^{-1} \cosh 0$$



$$\begin{aligned} & \setminus \ln \left| r \pm \sqrt{1+r^2} \right| - \ln |\pm 1| \\ &= \frac{1}{2} \ln \left| \frac{\cosh t \sqrt{8pr_j/3} + 1}{\cosh t \sqrt{8pr_j/3} - 1} \right| - \frac{1}{2} \ln \left| \frac{\cosh 0 + 1}{\cosh 0 - 1} \right| \\ & \setminus \ln \left| \frac{r \pm \sqrt{1+r^2}}{\pm 1} \right| \\ &= \ln \left| \frac{\sqrt{(\cosh t \sqrt{8pr_j/3} + 1)/(\cosh t \sqrt{8pr_j/3} - 1)}}{\sqrt{(\cosh 0 + 1)/(\cosh 0 - 1)}} \right| \\ & \setminus r \pm \sqrt{1+r^2} = \frac{\sqrt{(\cosh t \sqrt{8pr_j/3} + 1)/(\cosh t \sqrt{8pr_j/3} - 1)}}{\sqrt{(2)/(0)}} \\ & \setminus r \pm \sqrt{1+r^2} = \frac{\sqrt{(\cosh t \sqrt{8pr_j/3} + 1)/(\cosh t \sqrt{8pr_j/3} - 1)}}{\cancel{\text{¥}}} \\ & \setminus r \pm \sqrt{1+r^2} = 0 \\ & \setminus r = \mp \sqrt{1+r^2} \\ & \setminus r^2 = 1+r^2 \\ & \setminus r_{\text{horizon}} = \pm \cancel{\text{¥}} \end{aligned}$$

The distance horizon in the hyperbolic universe is infinite, simply solves the horizon problem. [20]

## 11. Conclusion

1- The Hubble law, determined from the redshifts of galaxies, for the past 80 years, has been used as strong evidence for an expanding universe. This claim is reviewed in light of the claimed lack of necessary evidence for time dilation in quasar and gamma-ray burst luminosity variations and other lines of evidence. It is concluded that the observations could be used to describe either a static universe.

2-The cosmological redshift manifest the curvature : Hubble's law describes a uniformly expanding flat universe. Hubble's law doesn't explain why distant objects were receding fastest. There is an approximately linear relationship between redshift and distance at small scales for all the FLRW models, and departures from linearity at larger scales can be used to measure *spatial curvature*. Locally the spacetime is flat. For distant objects, the imprint of the curvature is significant, where the spacetime does no longer remain flat. The redshifts from such distant objects increase according to the increase in the curvature of the hyperbolic spacetime. The cosmological redshift can be interpreted as a degree of the hyperbolicity of the curved spacetime, not a distance indicator. Newton first law states that the body keeps moving with a uniform velocity in straight line. Similarly, the free fall of an object in a flat spacetime is uniform. An accelerated motion is described by a curve. For large structure, the curvature of the spacetime can't be ignored. *The expansion of the universe is described by a hyperbolic curve*. The distant objects- e.g. supernovae - were influenced under the curvature of the spacetime. They possess an accelerating free fall due to the curvature of the hyperbolic spacetime that manifests itself by the equation of the state  $P = -r$ , which is the property of the hyperbolic structure of the Universe. The apparent accelerated expansion is a consequence of a curved (hyperbolic) spacetime.

3- The distance horizon is infinite in a hyperbolic universe: answers the question: What does the universe expand into? The observable Universe is expanding into a pre-existing infinite distance horizon. This question is a forbidden and prohibited question in the Standard Big Bang Cosmology? The Big Bang theorists insist that the above question has no meaning, instead of saying that they have no answer or that it violates their entire paradigm.

4-The Big Bang's Pillars are refuted and disproved:

The expansion-of-space cosmic redshift.

We show that the cosmological redshift is no longer a distance indicator. The Cosmological Redshift just manifests the curvature.

### **Singularity**

We show the manifold of the Universe is complete with nonsingular point.

The cosmic microwave background radiation (CMBR).

The problem with the 2nd Pillar is that the CMBR is simply the background temperature of our infinite Universe. It is merely ultra-distant starlight that has undergone extreme cosmic redshifting (light wave stretching). [21]

### **Olber's Paradox**

Olber's Paradox is not a problem. Curvature redshift is sufficient to move distant starlight out of the visible band. Visible light from distant galaxies is shifted into the infrared where it is no longer seen [20]. The Big Bang has lost its Pillars. It is no longer a viable hypothesis. A theory or hypothesis that has no supporting pillars is merely pseudo-science, at best. The Big Bang has been exposed for what it has always been, an elaborate misconceptual myth wrapped in pseudo-science a grand creation myth!

5- After all, in the hyperbolic spacetime a group of objects would grow apart even when not moving as their worldlines would be divergent; this we mean by the expansion of the hyperbolic spacetime.

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## Public Procurement in Albania, Germany, Macedonia and Kosovo

Ervin Saliانji

### Abstract

The public procurements is a developed field in the countries which had blooming economic development trends. It is a very important field for the governments as every government is a buyer of goods, services and performance of works. During the last years in all the countries public procurement occupied an important space as through it the expenses of public money is performed. This trend of development during this period is more emphasized especially in the countries which had a transition from the planned economics to market economy<sup>1</sup>. For the eastern and central Europe public procurement these last 20 years was a new term as the economy of these countries was planned and centralized.

**Keywords:** Public Procurement Albania, Germany, Macedonia Kosovo

### Introduction

#### Albania

#### 1. National Legislation Approach on Public Procurement

Being that public procurement is a great political and public debate, the legislation of public procurement has continuously been changed amending the legislation in effect. In 2006 the old legislation which entered into effect in 1995 was repealed and it was amended for so many times so that it appeared as a new law in accordance to the acts of European Union. Even though 10 years passed from the approved law, this law has been changed for so many times impacting its fundamental provisions.

##### 1.1 Law no. 9643, on 20.11.2006, "On Public Procurement"

The law no. 9643, on 20.11.2006, "Public Procurement", as amended, is the basic law on the performance of the procurement procedures in Albania. This law was compiled in the frame of membership of Albania in the European Union, where our country has, among others, the obligation to approach the legislation on public procurement with the European Union one. The obligation to fully approach the Albanian legislation on procurement with the respective directive lies in time. Therefore being that this model came from a template UNICITRAL, it was decided that the transformation of the directive would not be immediate as the contracting authorities and economic operators would have difficulties in adjustment. From the other hand, the directive left spaces to the decision- making institutions, contracting authorities, which could create abuses in conditions of Albania. Therefore it was decided for an escalated approach of the directive in the Albanian legislation. The purpose of this law as provided in its article 1 is a) to increase efficiency in the procedures of public procurement, performed by the contracting authorities; b) to provide the good use of public funds and to decrease the procedural expenses; c) to promote the participation of economic operators in the procedures of public procurement d) to promote concurrence between economic operators e) to provide for an equal and non- discriminative treatment for all the participants in the procedures of public procurement f) to provide for integrity, public trust and transparency in the procedures of public procurement, through electronic manner of procedures.

Starting from 2009, the procedures of public procurement in Albania is performed electronically through the electronic system of procurements. This laws defines the principles of public procurement, which will be explained, pursuant which the selection of winners of public contracts is performed by non- discriminating and treating in an equal manner all the bidders or candidates. Transparency in the procedures of procurement and equal treatment of requests and obligations are the core of public procurement procedures. The law defines the organization of public procurement dividing the role of

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<sup>1</sup> Thai V. Khi, *Advancing Public Procurement: Practices, Innovation and Knowledge Sharing* PrAcademics Press Boca Raton, Florida, USA

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institutions: policies maker concretely the Agency of Public Procurement; quasi judgment based on the requests from economic operator- Public Procurement Commission and the notions on the two main entities in procurement, the contracting authority and economic operators. The law presents a clear view on how the procedures of public procurements are developed, how many types of procedures are there and the cases when they can be valid. Also the law sanctions the winner's selection procedure until the signature of the contract.

### **1.2 Decision of Council of Ministers No. 914, on 29.12.2014 "On the approval of the public procurement rules"**

This decision repealed the existing Decision of the Minister Council. At the second chapter "General Rules of Procurement" there are defined the monetary boundaries where: a) the high monetary boundary - 1.200.000.000 (one billion two million) ALL for contracts on public works. At the third chapter there are defined all the Tender Standard Documents (hereinafter TSD) from the invitation on bids, winners' signature forms, complaints etc. The fourth chapter explains in details the frame agreement which is a necessity to perform tenders with continuity as characteristic (such as airplanes tickets for the authorities). The following chapters treat all the procurement procedure phases from the issuance of the order from the Representative of the Contracting Authority to the signature of the winning bid. The disciplinary measures for every violation and the relevant penalties constitute a special chapter.

### **1.3 DCM No.918, on 29.12.2014 "On the performance of the public procurement procedures electronically".**

Since 2009 the public procurement procedures were performed electronically. Through the DCM no. 45 on 21<sup>st</sup> January 2009, of the Council of Ministers "On the performance of the public procurement procedures electronically" all the procedures of public procurement would be performed online except the procurements with a small value. In 2013 through an amendment of this DCM it was decided that also the procurements with a small value would be performed through the electronic procurement, except the cases of emergent purchases under 10.000 ALL

The current decision defines that all the procurement procedures are developed through electronic means except:

- a) procurement procedure "negotiation without preliminary announcement of the contract";
- b) second phase of procurement procedures "consultancy service" and "Design competition";
- c) procedures of procurement for a small value under 100 000 (one hundred thousand) ALL which are also developed in emergent cases;
- c) procurement procedures with the object "Purchase of electric power"

Part of public procurement procedures are also the guidance extracted from the Agency of Public procurement as well as Tender Standard Documents<sup>1</sup>.

### **Agency of Public Procurement. It policy making and monitoring role.**

The Agency of Public Procurement is a central body, public legal person depending from the prime minister and financed by the State Budget. Its main duties as policy making body is to present to the Council of Ministers propositions on the rules of procurement. It has the duty to promote and organize the qualification of employees of central and local governance involved in the public procurement. One of the duties that public procurement legislation attributes to this institution is the compilation and publication of Public Announcements Bulletin. The Agency of Public Procurement announced in the Public Announcements Bulletin the list of excluded economic operators. It compiles pursuant the Rules of public procurement the tender standard documents to be used in the procurement procedures. According to the request from the contracted authorities which undertake a procurement procedure it gives advices and technical assistance. This agency is entitled to monitor the law implementation and in cases it ascertains violations it decided on penalties or proposes to the directors of the contractor authority or higher instance bodies disciplinary measures for the persons which have committed violations. Also the Agency of Public Procurement when found in front of the cases provided by PPL, excludes an economic operator from participating in the procurement procedures, despite the penal case for a period from 1 to 3 years<sup>2</sup>.

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<sup>1</sup> DCM No.918, on 29.12.2014 "On the performance of the public procurement procedures electronically".

<sup>2</sup> Law no. 9643, on 20.11.2006, "On Public Procurement"

## 5. Public Procurement Commission

The Law on Public Procurement, defines the construction and functioning of the Public Procurement Commission. Article 18/1 defines that Public Procurement Commission is the highest body in the procurement field which reviews the complaints on procurement procedures, pursuant the requests defined in the PPL. The Public Procurement Commission, at the termination of complaints review makes decisions which are administratively final.

## 6. The Central Purchasing Body

When more than one contracting authority need the same goods, works or services they make decision such as a) they may appoint to one of them the duty of procurement of these goods, services of works on behalf of the thirds b) guide the central purchasing body created in accordance to the procurement rules, to perform the relevant selection procedures of selection of the contract winner. The Central Purchasing Body is now created designated as "General Directorate of Concentrated Purchase", as a directorate at the Ministry of Interior.

### Differences between the European Directives and domestic legislation in foreseeing procedures.

The procedures of public procurement foreseen from PPL, were taken from the relevant directives on procurement. But it must be emphasized that there are some amendments related to some of these procedures. So for example, the limited procedure is provided from the LPP also from the directive, but the cases of using this procedure are different.

✓ Pursuant PPL this procedure may be used only if certain conditions are met, while pursuant the Directive this procedure may be used in all the cases judged from CA, same as the open procedure.

✓ The other difference has to do with the procedure of Consultancy Service, which pursuant the Albanian legislation is foreseen as a special procedure, while pursuant the directive, there is no such procedure, but this contract object is treated same as all the other services. From the other hand LPP does not provide the procedure of Competitive Dialogue, which is provided from the Directive as a special procedure.

### Germany

Public procurement includes the sector which the governmental agencies act as contracting entities for their works and services. With a volume of 17% of gross product of Germany, the sector of public procurement has a great importance for the economy. Referring to the above information it must be emphasized that in the tender procedures the principles of transparency, concurrence and peer treatment are applied<sup>1</sup>. The Law of procurement in every of its phase aims to assure the application in an economic manner of public resources, to avoid the wrongful application and corruption and to prevent private companies from concentrating public procurements. The value of contracts in the German public sector is about 300 billion dollars per year, giving to the public procurement the potential to be in high position.

The procurements field summarizes laws, international agreements sublegal acts several acts adopted by the European Union institutions. The law of public procurement has its roots in the national system and the European one. During the last years, the laws of European Union are made more important. above all the Directives of Procurement have a significant impact in the procurement sector in Germany. The legal structure of German public procurement is compounded by the Directive 2004/18/EC, Directive 2004/17/EC, Directive 2009/81/EC, the provisions of which were implemented in the Law against limitations of competences<sup>2</sup>. This law paid a great importance to the development of small companies and medium ones, as it is very important that these companies have access at the public notifications in order to enter into contracts in the field of public procurement<sup>3</sup>. It is foreseen the possibility to form the bidders association. Specific conditions were provided for the companies which perform different inventions.

The German lawmaker in accordance to the European directives as well has set monetary limits to certain sectors that which is the amount to perform public procurements in accordance with the European directives. We can mention as examples: works related to water supply, energy starting from 414,000 euro, contracts of services starting from 193,000

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<sup>1</sup> Martin Burgi, Public procurement Law in the Federal Republik of Germany, Ius Publicum, nr.2/2012, fq.1. [http://www.ius-publicum.com/repository/uploads/09\\_02\\_2012\\_9\\_43\\_Burgi.pdf](http://www.ius-publicum.com/repository/uploads/09_02_2012_9_43_Burgi.pdf)

<sup>2</sup> Fabry B., Meininger F., Kayser K, Vergaberecht in der Unternehmenspraxis, Eiesbaden, 2007, page 13.

<sup>3</sup> Fostering Innovation through public procurement, <http://www.bmw.de/EN/Topics/Technology/Strong-policy-frameoerk/fostering-innovation-through-public-procurement.html>

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euro, contracts in construction starting from 4.850,000 euro. If in the mentioned areas the value of the contract is lower than the amounts reflected above the obligation to perform the notification of the tender will be considered as according to the law only if made in Germany. These directives set the criteria of the value on public procurement and in a direct manner they set for the applicable law the winner of public contract. If the value of the contract is equal or more than that the amount appointed at the directive on the limit set for the public procurement therefore the contract must be advertised in all Europe. The fundamental rules and basic principles of public procurement are: concurrence, transparency, peer treatment, economic efficiency, competence and ability of the bidder, right of bidder to be according the rules of public procurement, consideration of medium competences<sup>1</sup>.

The different legal acts of procurements are divided from the doctrine in three categories: The first subcategory there are acts related to the budget and concurrence, the second category there are decisions related to the procurements and at the last category there different guidance which contain the most important procedural provisions for the contracting body of public work and services. The regulations are not approved by the legislative authorities and therefore there must not be considered as laws pursuant the German legal system. The regulations were created by committees of public procurement, The specific character of public procurements is the fact that the price is known as the acceptance of an offer. Actually no rules of public procurement are applied to the price, but only rules of ordinary civil law. The most important conditions are related to the selection of winning conditions. The contracts given to the operators which are suitable for the object of the contract. The bidder is considered as reliable if he has technical and efficient knowledge. The tender will be won by the person who submits the most useful offer, the price is not a determinant factor, but it is the most important factor to select the most economically favorable offer<sup>2</sup>. Pursuant the law of German public procurement, the efficiency is the most important criteria to perform all the purchases. The maximal efficiency will be the determinant criteria to win a contract and not only the lowest price. The procedure of procurement may be completely performed electronically through the modern means of information and communication. The public buyer must allow that the offer is submitted not only via mail but also via email. In this case the public buyer must specify in the notification or in the tender development documents that the offer is possible to be realized in electronic way as well. When the electronic offers are accepted it must be warranted that its content is not made public until the time of offers submission terminates.

Kosovo.

For the first time in Kosovo the notion of public procurement appeared after the war of 1999. In Kosovo the first document which regulated the field of public procurement was extracted by the Administration of United Nations in Kosovo on 15<sup>th</sup> December 1999 known as the Instruction of Financial Administration no. 2/1999 on Public procurement. It was based on the procurements rules of World Bank and Law on International Trade of United National "UNCITRAL". While the law on public procurement in Kosovo entered into effect on 9<sup>th</sup> June 2004, which was based in the Directives of EU on this matter. The highest body of public procurement is the Regulatory Body of Public Procurement, which prepared and publishes all the documents of procurements procedures, makes the interpretation of legal provisions of this field as well as reviews the complaints of economic operators. Also another body which acts in this field is the central unit of procurements which approves the deviations from normal procedures of procurement.

Their functioning will be explained at the following

## 2.1 Legal framework of procurement

The fundamental legislation of public procurements in Kosovo was prepared by the Mission of United Nations in Kosovo "UNMIK" on 15<sup>th</sup> December 1999 known as the Administrative Financial Guidance (UAF) No. 2/1999 on public procurements using the Consolidated Budget of Kosovo. With the Financial Administrative Guidance No.1 these two instruments set the base of public procurement in Kosovo. UAF is based in the Template Law of Procurement UNCITRAL 22 and then on the Guidance of World Bank on Procurements and Consultants. Initially This guidance was thought to be a temporary legislative frame but it remained in effect for more than four years until 9 June 2004, a time when the Law No. 2003/17 entered into force. This law was prepared based on the Directives of Procurements of EU and it was amended in

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<sup>1</sup> Khi V. Thai, Handbook of Public Procurement, CRC Press, Nju Jork, 2009, page 313.

<sup>2</sup> Martin Burgi, Public procurement Laë in the Federal Republik of Germany, Ius Publicum, nr.2/2012, page.3. [http://ëëë.ius-publicum.com/repository/uploads/09\\_02\\_2012\\_9\\_43\\_Burgi.pdf](http://ëëë.ius-publicum.com/repository/uploads/09_02_2012_9_43_Burgi.pdf)



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a considerable manner compared to the changes and modifications of the Law No. 02/L99, until the convention approved a completely new law on 30<sup>th</sup> September 2010, which entered into force on 1<sup>st</sup> December 2010<sup>1</sup>.

Pursuant the Progress Report of EU on Kosovo the law contained a number of provisions which deviated in a considerable manner from the directives of public procurement and which exposed the officials of public procurement to the political interference and pressure destroying the transparency and creating possibilities for corruption. Therefore, The government of Kosovo, was engaged to compile the amendment of the law in order to treat gabs which made this law to be different from the directives of procurement of EU. The amendments were approved by the Parliament through the law No. 04/L-042 on 29<sup>th</sup> August 2011. THE new law was published at the Official Gazette on 19<sup>th</sup> September 2011 and entered into force after 15 days. The law of Kosovo on Public Procurement since the first approval in 2003 was amended eight times until February 2016. These continuous amendments in the legislation made its application difficult for the officials of procurement and monitors of civil society, media and citizens. The procurements system in Kosovo is highly decentralized what makes the cost bigger due to the big number of contracts between parties<sup>2</sup>. The bodies involved at the procurements process are : Regulative Commission of Public Procurement, Review Body of Procurement, Central Agency of Procurement and over 170 contracting authorities. TO make the economization of the procurement process, the law maker in Kosovo upon the latest legislative changes in 2016 at the article 21/A performed a type of concentration of public procurement which some small institutions do not deal with public procurement. The article 21/A provides that "For purposes of economization of the activities of procurement, The Government of the Republic of Kosovo and relevant Ministries perform the procedures of procurements of Agencies which respond to the,, which have less than 50 employees 2) For the independent agencies which respond to the Convention of the Republic of Kosovo, which have less than 50 employees, the procedures of procurements are performed by the Central Agency of Procuracion"<sup>3</sup>.

#### Macedonia

In 2-14 it was created a body called "The council of Public Procurement" which is an unique body in the application of public procurement procedures in Balkan. It is under the competence of government and not under the competence of the Bureau of Public Procurement and Ministry of Finances. No country in Balkan and Europe has such a body<sup>4</sup>. Every institution which desires to buy products must pay to the Council of Public Procurement and then it approves the public procurement. The first legal regulation on Public Procurement in Macedonia was made in 1998, when the first law on public procurement was approved. It was in effect until 2004 when the law on public procurement regulating the main types of procedures was approved.

Also this law had incorporated widely suggestions and recommendation of World Bank. In practice it was noticed that due to the administrative bureaucracy it resulted as impossible to perform special procurements. The law of public procurements was approved in 2007 and it implementation started to be applied in 2008 and has adjusted the terminology used in the legislation such as "economic operator". "contracting authorities" etc. The law No. 136/2007 on public procurements provides these types of procedures:

- a. open procedure
- b. limited procedure
- c. competitive dialog
- d. procedure with negotiation without preliminary announcement of notification
- e. procedure with negotiation with preliminary announcement of notification
- f. procedure for accumulation of offers with announcement of notification
- g. procedure for accumulation of offers without announcement of notification

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<sup>1</sup> Duli, Ilaz. Public Procurement Reform in Kosovo; Prishtina: 2011; page 23

<sup>2</sup> Duli, Ilaz. Public Procurement Reform in Kosovo; Prishtina: 2011; page 38

<sup>3</sup> Drita Kacandolli –Gjonbalaj, Myrvete Badivuku-Pantina, Procurement phases in the process of procurement in Kosovo, Lex ET Scientia International Journal, nr. 1/2010, page.327.

<sup>4</sup> Aneta Daneva Mostrova, Prokurime publike, JOFI SKEN, Shkup, 2011, page 12.

Despite that Macedonia is still a candidate state and does not have any obligation to transpose in its internal legislation the criteria of the value provided the EU Directives, it has foreseen its criteria of value which in some cases is even more strict. The law on public procurement is applied on every procurement which is over the extent of 500 euro. For the procurement which catch the value 500 to 5.000 Euro, it is applied with the use of the request for accumulation of offers without announcement of notification (8 days) From 5.000 to 20.000 euro (goods and services) and 5.000 to 50.000 Euro with request for accumulation with announcement (14 days). On these edges there are applied open, limited, procedure with negotiation (an announcement), competitive dialog<sup>1</sup>.

The open procedure is a procedure which gives bigger possibility of participation to the bidders. This procedure has some formal aspects applied (short communication in formal manner for the submission of the bid, opening of the bid in public manner etc.) Starting from 2007 there are required at minimum two offers.

The limited procedure is applied in two phases, it is a regular procedure, and usually it is applied for the procurement of goods, works and services where the object of the contract is completed and specific and where the procedure would be prolonged. In order to increase transparency from 2005 it was created the unique register for the publication of the data of entered contracts. This register contains data related to the supplier, bidder, the value of procurements, objects of procurements etc. These data as well as other data are applied in the Official Gazette of the Republic of Macedonia. The procurement procedure has the following stages:

- 1) Publication or invitation for participation
- 2) Documentation of tender or preparation of offers
- 3) opening of offers and assessment of offers
- 4) realization of contract and surveillance of realization of Contract

Starting from 2004 the Law on Public procurement provides that in case of disagreements between the parties, there is a possibility that they address to the court. In that time the administrative court was not established yet. In 2007 the Law on public procurements provides that for the cases which are not provided explicitly in the law on administrative court the ordinary courts will be competent.

In 2005 The Republic of Macedonia started to use the electronic public procurement with the aid of a project directed by USAID, while the first electronic public procurement was performed in 2006. While the electronic auctions were applied in 2007. In Macedonia it is possible to use the electronic auction only in the criteria of the lowest price. The system through which the electronic procurements are applied is constructed in such a manner that the auction is performed only for the part related to the price. The European Commission in 2000 upon the placement in use of the electronic public procurements is optimistic as this procedure creates a new simplified possibility (without any papers and additional expenses- attestation, signatures etc.). Until 2003, the statistics showed that 25 percent from the transactions in the field of public procurement in EU, were applied through electronic means.

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<sup>1</sup> Tiziana Bianchi, Valentina Guidi, The comparative survey on the national public procurement systems across the PPN, Istituto Poligrafico e Zecca dello Stato S.p.A, Rome, 2010, page 131.

## Verbal Groups of Telic Action in Albanian Language

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### Abstract

In this article I introduce and analyze the syntactic behaviour (compatibility and restrictions) of achievement and accomplishment verbs in standard Albanian, according to Aktionsart<sup>1</sup>. The Aktionsart is a system of classification of verbs into verbal classes morphologically distinct from each other, in which at the basic meaning of the verb are added different values of space, quality, etc. The accomplishments and achievements in Albanian have comparable action meaning and syntactic behavior, such as to justify their inclusion in the class of telic verbs. A telic verb is that one which presents an action or event as being completed in some manner. On the other hand, these two subclasses of telics are also characterized on the basis of a series of distinctive elements that lead us to lay a certain distinction between them. An accomplishment verb is a form that expresses that something or someone has undergone a change in state as the result of the completion of an event. On the other side an achievement verbs express an instant action that changes the state of the subject. By using the categories and procedures of textual linguistics I focus on the semantic and syntactic features of some groups of verbs.

**Keywords:** Verbal groups of telic action in Albanian language

### Introduction

#### Verbal groups of punctual action

The verbs of this class indicate sudden action, very fast, in the moment of its conclusion. They are completely telic. In this class, in the Albanian language, are included those verbs called punctuals such as: *bie* 'fall', *çel* 'open', *dal* 'leave', *flak* 'throw away', *godas* 'hit', *këpus* 'knock off', *kyç* 'seal', *ngordh* 'die', *pushkatoj* 'shot', *qëlloj* 'hit', *vetëtin* 'flash', *vdes* 'die', *shkreh* 'shoot', *zgjohem* 'wake up', *gjej* 'find', *refuzoj* 'refuse', *çuditëm* 'wonder', etc:

[1] E *gjeti* shtëpinë/ *Vdiq* nga sëmundja/ *Çeli* sytë/ E *flaku* në tokë/ etj.

(He/She) found the house / (He/She) died from the disease / (He/She) opened the eyes / (He/She) thrown down/ etc.

There are included here even the terminative<sup>2</sup> verbs like: *mbaroj* 'finish', *pushoj* 'stop', *përfundoj* 'conclude', *perëndoj* 'gone down', *sos* 'finish', and so on.

[2] *Mbaroi* së folurit/ *Pushuan* së mbledhuri të gjithë materialet/ E *sosi* bisedën.

(He/She) finished speaking / (He/She) stopped collecting all the things / (He/She) finished the chat.

In Albanian language we also have specific means for the formation of words which express the idea of a timely action, such as prefixes *për-*, *d(ë)-*, *k(a)-*, *rrë-*, *sh-*, respectively illustrated in the examples: *përlej* 'grab', *përmend* 'revive', *përpij* 'suck', *përpijek* 'beat', *përplas* 'slam', *përvëloj* 'glow' etc.; *dëboj* 'expel', *dështoj* 'abort', etc.; *kapërcej* 'cross', *kapërdij* 'swallow', *kapërthej* 'possessed', *kaploj* 'surprise', etc.; *rrëmbej* 'grab', *rrëzoj* 'destroy', etc.; *shfrej* 'rave', *shkreh* 'triggers/burst', *shlyej* 'expiate', *shkrep* 'flash', etc.:

<sup>1</sup> For the characteristics of the telic verbal action in Albanian, see Alimhilli Prendushi (2001: 371-395, 2009: 37-58 & 2013: 163-166).

<sup>2</sup> In this case, and in some others later, it is kept the term "terminative" used by previous authors. In our work, these verbs are included in the aspectual group.

[3] E *përtau* pjatën/ Më *përvëloi* gojën.

(He/She) devoured the plate / (It) glowed the mouth.

[4] E *dështoi* foshnjën/ *Dëboji* qentë.

(She) aborted the baby / Expel the dogs.

[5] Dallga e *kapërdui* barkën / E *kapërtheu* tmerri/ Më *kaploi* gjumi.

The tide swallowed the boat / Possessed from the dread /The sleep surprised me.

[6] Ia *rrëzoi* tërmeti shtëpinë/ Skifteri *rrëmbeu* një pulë.

The earthquake destroyed his house / The hawk grabbed a chicken.

[7] Qau e *shfreul* *Shkreh* pushkën<sup>1</sup>.

(He/She) cried and raved / Trigger the gun.

The idea of punctuality is also expressed by other special syntactic constructions, such *një të kthyer*, *me të kthyer* which in English can be translated roughly as 'back / just back'<sup>2</sup>:

[8] *Me të zbritur* nga autobuzi, ato u ndanë.

Went down from the bus, they were separated.

[9] *Një t'u kthyer* dhe shkoi tek ajo.

Just turned back and went to her.

In these examples we see that it accentuates the fast switch, momentary, of the action to another action. This construction gives punctual value even in those cases where we have to do with verbs whose semantics it is not as this:

[10] *Me të dëgjuar* thirrjen, u ngrit.

On hearing the call, get up.

Even the cases of the use of different onomatopoeia are correlated with the expression of punctual value of the action:

[11] Ia tha *bam*.

(He/She) said it *bam*.

To emphasize the idea of punctual action, are used a number of adverbial expressions, as *befas* 'abruptly', *menjëherë* 'immediately', *papritur* 'suddenly', *në çast* 'instantly', *aty për aty* 'on the spot', *pa pandehur* 'unexpectedly', *shpejt* 'quickly', *shpejt e shpejt* 'quickly and quickly', *sa çel e mbyll sytë* 'in a jiffy', etc.

[12] Hyri *befas/ Aty për aty* harron/ Erdhi *papritur/ Shpejt e shpejt e* mbaroi punën.

(He/She) come in abruptly / On the spot forgets / (He/She) come suddenly / Quickly and quickly finished the job.

## 2. Verbal groups of resultative action

<sup>1</sup> In Albanian language the present and the imperfect are realized through:

1. imperfective indeterminate forms (temporal-aspectual imperfective forms), such as: *punoj – punoja*.

2. perfective determinate forms (temporal-aspectual perfective forms) made with constructions:

a. particle *po* + the present of indeterminate imperfective (*po punoj*)

particle *po* + the imperfect of indeterminate imperfective (*po punoja*)

b. *jam* + gerund. (*jam duke punuar*)

*jam* in imperfect of indeterminate imperfective *isha* + gerund. (*isha duke punuar*)

<sup>2</sup> For the constructions of this type and for the others as in the example [11], see Floqi (1958: 113-116).

The appropriate expression of resultative verbal action is realized through syntactic tools. Taken separately, these verbs do not belong to the class of durative verbs, but to another class, as will be shown later.

The groups of words of the type *mbarova së foluri* 'I finished speaking', *zemra i pushoi së rrahuri* 'His heart stopped beating', *vajza përfundoi së shkruari* 'the girl finished to write' etc. have a clear phraseology character. In these groups of words as the first element we find a terminative verb (mainly *mbaroj* 'finish', *pushoj* 'stop', *përfundoj* 'conclude/finish'); However, it is the second element that plays the main role in the general meaning of the word group, while the first is used more as a verb with aspectual value capable of expressing the conclusion of the action expressed by the second term<sup>1</sup>:

- *mbaroj* 'finish' (*pushoj* 'stop', *sos* 'finish', *përfundoj* 'conclude/finish') (usually in the simple past, and less in the other tenses of indicative and even less in the present tense of conjunctive) + a neutre noun in ablative, expressing the ending of the action.

Indicative form

[1] Sapo *mbarova së lexuari* librin (simple past) / Kur *mbaron së ngrëni...* (present tense) / ... *pushonte së menduari* për të (imperfect) / Vetëm ajo ka *mbaruar së shkruari* (perfect) / Ai *kishte mbaruar së piri* kafenë ( plusperfect)..

I just finished reading the book / When you finish eating ... / ... stop thinking about him/her/it / Only she has finished writing / He had finished drinking the coffee

Conjunctive form

[2] Duhet të *pushojë së shkruari* (present tens) / ... të *kishte mbaruar së marruri* me ta (plusperfect).

Should cease writing / ... he have finished dealing with them.

The following buildings, preceded from negative particle *s'* or *nuk* 'not', assume continuous-durative value:

Indicative form

[3] Plaku *s'pushon së shari* (present tense) / Ai *nuk pushonte së harxhuari* (imperfect); Gruaja bërtiste dhe *nuk pushonte duke sharë* (the corresponding verb rarely is presented in gerund) / Duhet ta dini se *s'kam pushuar së menduari* për ju (perfect) .

The elder *don't cease swearing* / He couldn't stop spending / The woman cried and *couldn't stop swearing* / You should know that I *haven't stopped thinking* about you.

In addition to the aforementioned groups of words with objective relationships and with terminative value, we also find those with causal relationships of the type *u lodha së foluri* 'I got tired of talking', expressing the value of action intensity - the first verb is used to express the intensity of the action expressed by the second member - such as *u lodha së foluri* 'I got tired of talking', *plasa së qari* 'I burst of tears', *u ngjira së thirruri* 'I hoarsen's calling' in the sense of: *folë aq shumë* (sa u lodha) 'I talked so much (as I got tired)', *qava aq shumë* (sa plasa) 'I cried so much (as I burst)', *thirra aq shumë* (sa u ngjira) 'I called so much (as I hoarsened)'. It must be emphasized here that, in addition to the intensity value of action, it is undeniable the resultative value of these buildings:

- *lodhem* 'tire' (*plas* 'burst', *këputem* 'fatigue', *tire*, *mekem* 'weakening', *ngjirem* 'hoarsened') + a neutre noun in ablative, which expresses the ending of the action.

Indicative form

[4] *Lodhem së foluri* me të (present tense) / Kur *u lodh së qari* ... (simple past) / *Është lodhur së vajturi* çdo verë (perfect) / *Vajza shkulet së qeshuri* (present tense) / Italianët *shkuleshin së qeshuri* (imperfect) / Prandaj *u shkullën së qeshuri* (simple past) / Ajo *plasi së qari* tërë ditën (simple past).

Tired talking with him/her; When got tired of crying ... / Tired of going each summer / The girl erupt laughing / The italians erupted laughing / Therefore erupted laughing / She broke out crying all day

<sup>1</sup> For these verbal groups it is spoken in the work of Demiraj (1986: 404-405); nella *Gramatika e gjuhës shqipe* II (1997: 187), but more widely they are discussed in the work of Dhrimo (1996: 260-265; 2008: 332-333 & 406-410).

Among the elements of these groups of words can be inserted any other member of the sentence. The close functional and significant correlation between the two members of the groups of words, of the type in question, means that in the sentence they act as a single predicative member - the first member mainly plays the role of a semi-auxiliary verb. As a result, the complementary members, placed after the participial noun in undetermined ablative, essentially do not belong only to the second member but to the whole group of words, and therefore the terminative value is expressed by the entire group of words and not by his individual elements.

In addition to the group of words analyzed above, we also have other types where occur the repetition of the same verb in the simple past:

- verb + conjunction *sa* 'how much' + verb

[5] *Punuan sa punuan*, pastaj zunë të bisedojnë / *Ai jetoi sa jetoi* në shtëpinë tonë ... / *Qeshi sa qeshi* dhe iku .

*Worked as worked*, then began to talk / *He lived as he lived* in our house ... / *Laughed as laughed* and ran away.

- verb + conjunction *e* 'and' or indefinite pronoun *ç* 'that' + verb

[6] *Dha e dha* dhe vendosi të heqë dorë.

*Gave and gave* and decided to give up.

[7] *Pashë ç'pashë* dhe ika / *Ai bëri ç'bëri* dhe iku.

*I saw what I saw* and left / *He does what he does* and resign.

The constructions of the type *dha e dha* 'gave and gave', *pa ç'pa* 'saw and saw' *Beri ç'bëri* 'does what he does' are equivalent to *u përpoq e u përpoq* (*u përpoq sa u përpoq*) dhe ... 'tried and tried (he attempted what he attempted) and ...'

The examples in [5] indicate that after a certain continuation the action ends, while the cases in [6] and [7] indicate that at the end it is stopped with the intensive attempts and has started a new action.

To express the conclusion of the action are also used phraseological groups with the coordination of synonyms verbs in the simple past, which are joined by the coordinative *e*:

- verb + conjunction *e* (*dhe*) 'and' + verb

[8] *Rinia e saj shkoi e vajti*.

*The youth went and went*.

The same value also presents the expression *mori fund* 'ended':

[9] *Mori fund* përgjithmonë.

*Ended forever*.

Until now we have presented and analyzed verbal groups that indicate the resultative verbal action. Verbs that take part in these constructions, as we have seen, generally occur in the simple past. In Albanian, it is true that the two forms, imperfect-aorist, provide the aspectual presentation of the action (in continuation, in summary or completed, respectively), but the form of simple past not always specifies and precise whether the conclusion of action has also reached the goal, the ultimate goal. The considered telic verbs are characterized by the ending point and the actions from them indicated necessarily lead to a result, in contrast to non-telic verbs. The distinction between these two groups of verbs does not belong to the formal structure of Albanian and is not expressed by any particular form, so the Albanian use other means which belong to verbal actions. The resultative verbal action in Albanian is accomplished through verbal groups (just discussed) and verbal syntagme (durative verbs in the simple past + lexical-grammatical means – where it is possible the realization of their meaning -).

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In relation to this last point, the verbs *ha* 'eat', *punoj* 'work', *laj* 'wash', *lexoj* 'read', etc. in simple past alone give no indication with respect to whether we are dealing with the resultative verbal action – telic, or continuative - non-telic. These semantic aspectual colors do not occur only through this lexical enter of the verb, but through the whole predicate requirements<sup>1</sup>.

For example, according to the lexical-grammatical features of the object in the sentence (or of the verbal syntagme) follows the passage of the verb from telic to non-telic:

- given object determined an undetermined quantity

[10] a) Ajo i lau *rrobot* // telic, resultative //

She washed the clothes.

b) Ajo lau *rroba* // non-telic, continuative //

She washed clothes.

- The object in its

entirety versus a part of

[11] a) Ajo e hëngri *tortën* // telic, resultative //

She ate the cake.

b) Ajo hëngri *nga torta* (një fetë) // non-telic, continuative //

She ate cake (a slice).

- also the presence of a complement in the predicate can transform a non-telic verb (and non-ergative) in telic (non-accusative):

[12] a) Ajo vrapoi (në stadium) // non-telic, continuative, non-ergative //

She ran (in the stadium)

b) Ajo vrapoi *drejt shkollës* // telic, resultative, non-accusative //

She ran to school .

According to statements made to date, even through the Albanian language is given evidence in favor of the conclusions of many contemporary linguists, that the opposition telic/non-telic is primarily semantic-aspectual, highlighted not through the information received by one lexical enter but mainly through the requirements of all the predicate, where the meaning of the verb is only a part.

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<sup>1</sup> Arad's work (1995: 215-220) helps us to observe these phenomena in Albanian about the projection of arguments, that is, how the arguments of a predicate in a syntactic structure are integrated. The author defends the point of view that only the enter of such verbs as *to run*, *to eat* etc. it is not fully qualified as unaccusative or as unergative, what determines whether they are *unaccusatives* or *unergatives* it is the syntactic structure within which you have these verbs. It is pointed out by her observations, as well as by other researchers (Van Valin (1990), Dowty (1991)), that the definition unaccusative / unergative is related to the semantic and aspectual quality: unaccusativity is accompanied by non-agentive, telic feature, while unergativity is accompanied with agentive, not telic.



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## Languages in Contact - Some Results of Research at Albanian University Students in Italy

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### Abstract

This work is the result of personal observations of university Albanian students' studying Albanian language, with different times of residence in Italy, and contact between the Albanian and Italian language, too. My contacts with the students are grouped in two situations: those at work as lectures, seminars, receptions and examinations, and casual. It can be seen big differences in the use of two languages in these different situations. In the first group, at work, the use of the Albanian language is certainly much more correct and various forms of "mixing" almost non-existent. In the second group, especially among people very close or in the presence of Italian friends, it can be seen immediately code changes between Albanian and Italian. The communication code changing is under the influence of various factors. It is clear that reference students use Italian for formal use, for example, in their communications with teachers, while the Albanian in informal situations as at home and more. Thus, the choice of language is influenced by situational factors, like the stylistic choices that people make in a single language. Moreover, they with the language choice can move and change the tone of a situation, from formal to informal, too. These situations encountered made the basis for beginning the study. The examples cited in this paper are collected and classified, in accordance with the standard methodology, into various groups according to the probable cause for the change of the code of communication: Code changes used mainly in Italy but also in Albania; Code changes related to technology; Code changes related to the pronunciation; Code changes related to the characteristics of the country where they stay; Translations. Certainly, this first phase of research has shown the clear presence of code changes in the Albanian language. These phenomena are of various types and of varying importance: in a group of individuals it is a strong influence of the territory, Italy, for this reason we can presume that, back in Albania, the students will lose it; in another group of individuals it seems that it could turn, maybe, into loans. The last category includes some words that reflect deficiencies in the lexicon of the Albanian language, but also others that may gain ground thanks to their peculiarities. The results presented in this work should not be generalized, they only aspire to expand our understanding to the linguistic and social phenomena of contact between two languages such as Albanian and Italian, and in general, on the subject of bilingualism and the effects of the stay for a long time in Italy of Albanian people.

**Keywords:** Languages in Contact - Some Results of Research at Albanian University Students in Italy

### INTRODUCTION

One of the main objectives of the people residing in a country other than their own (for immigration, study, and temporary work or other) is the balance between the use of their own language and that of the country that hosts them.

This situation is known by the sociolinguistic phenomenon of "bilingualism", or, when there are more than two languages, as "multilingualism".

This article will use the term "bilingualism", referring to the general situation, such as using more than one language.

Often, the bilingual community unknowingly uses different languages in different contexts: one language at home, a different one at the road, in the workplace or in the study or even a language with older family members and another with young people. It is estimated that the half of the world's population is bilingual, which means that their daily life is characterized by a continuous movement between two or more languages. The numbers are increasing rapidly; this is due to an increase in international immigration.

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The object of the research it is the influence of the Italian language on a part of the Albanian community in Italy and their language. This community was created starting from about a quarter of century ago<sup>1</sup>.

The study on bilingualism can comprise different linguistic phenomena. One of these concerns the linguistic communities<sup>2</sup>, on which you could make a number of questions: what is the relative position of the different languages in a bilingual society, and how this is changing? Another aspect may relate to the individual speaker who is bilingual "What effect does bilingualism on language users, in particular on the method in which they use the languages? ". Finally, the language itself can become an object of study "What happens to languages which are 'in contact', that is, spoken in the same community? How do they influence each other? "

This article will focus the attention on the third perspective, which is the language itself as the object of the study. In an extensive personal study project, the survey was directed towards the linguistic effects and individual bilingualism due to several reasons (residence, immigration or other), are been observed the Albanian students of university<sup>3</sup> of linguistic address. The results presented should not be generalized, they only aspire to expand our understanding of this particular group, and the linguistic and social phenomena of contact between the two languages, Albanian and Italian, and in general to the issue of bilingualism and the effects of staying for a long time in Italy. There will be presented some examples about the spoken Albanian, whose linguistic phenomena are analyzed according to a standard classification.

#### INDIVIDUAL BILINGUALISM AND THE CODE CHANGINGS

The bilingual individual, in everyday use, continuously separate the two codes of communication. In general, bilinguals make a clear separation of functions, by using the two languages in different situations. Various factors in a conversation, such as the subject, the interlocutor and the location, may influence the choice of modes and the use of language<sup>4</sup>.

Do bilinguals succeed in keeping separate the two languages? For some bilingual the answer is yes, for others it is not. When in the language A enters elements of language B, the phenomenon is called changing of code<sup>5</sup>.

The contact between the languages is the basis of the testing of various linguistic phenomena in a community. Some of these linguistic phenomena are the interference and other socio-linguistic concepts as bilingualism, code switching and code mixing. Such concepts are relatively associated with the language interference. It is necessary to clarify the phenomenon of interference that may come up in bilinguals. Interference is the transfer of elements from one language to one other in various linguistic levels; that is, what leads to the high incidence of switching and mixing of code in bilinguals. When the code changes, switching of code and mixing of code, occur to compensate for difficulties in language we can see them as interference, but not when they are used as a sociolinguistic instrument.

Briefly, code-switching is defined as the alternation of language that occurs between sentences, instead of within the phrases. More specifically, the code switching can be defined as the intersentence alternation of languages within a single expression or speech. In this case also there are included the exclamations at both ends of the phrase.

The code mixing is defined as the alternation of two or more languages within a sentence. The code mixing is understood as a process of insertion of a different lexical category, stranger, in a given structure.

The distinction between code-switching and code mixing can be correlated to the formalities of the situation. The code mixing occurs in less formal situation, while the code-switching occurs in a more formal situation.

It is clear that students, taken as reference, use Italian for formal use, for example, in their communications with the professors, while the Albanian in informal situations as at home and more. So, the choice of language is influenced by situational factors, just like with the stylistic choices that people make in a single language.

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<sup>1</sup> Italian municipalities (<http://www.comuni-italiani.it/statistiche/stranieri/al.html>), shows that in 2012 in Italy there are 464,962 Albanian immigrants.

<sup>2</sup>Baker, A., Hengeveld, K. (2012: 404-407).

<sup>3</sup> OSCE, The report AlmaLaurea (2014 (<http://www.iffattoquotidiano.it/2014/11/05/universita-calano-gli-italiani-iscritti-aumentano-gli-stranieri-albania-cina-in-testa/1192557/>), it appears that in the Italian universities were registered 7300 foreigners, 16% of which Albanians then the Chinese with 9%. In the same report states that: "The graduates with foreign citizenship are registered to the linguistic faculties, in medicine, economics and architecture."

<sup>4</sup> In <http://www.lingref.com/isb/4/110ISB4.PDF>

<sup>5</sup> Filippi, R., Leech, R., Thomas, M. S., Green, D. W., & Dick, F. (2012: 858-872).

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More important, with their choice towards a particular language they can move and change the tone in a situation, from formal to informal.

In the course of a single conversation you can observe the alternation of languages. That is, you will have a change of communication code. We have encountered this situation in mixed groups, Italian and Albanian students, but sometimes in groups with just Albanian students. At following are presented some examples, collected and classified into various groups. This was done according to the probable cause<sup>1</sup> of the code change in the communication.

#### GREETINGS USED MAINLY IN ITALY BUT AS WELL IN ALBANIA

Some of these cases of change and code switching involves unique words such as *ciao/ salve* and other regards, generally linked to the Italian context in which the conversation takes place. But, as we shall see, for these words would be equally possible to choose an equivalent in Albanian. We very often come across the use of (1) *ciao* in place of *mirupafshim*, *mirëdita* or *mirëmbërëma*, etc. And also (2) *salve*, whose correspondent in Albanian is *përshëndetje*. This greeting is also used in situations where had to be used *mirëdita* or *mirëmbërëma*, etc. The word *ciao* is entered in use on many occasions also in Albania, perhaps mainly in large cities as an element of modernity or simply for its short form, a social factor called "economy of language"<sup>2</sup>, particularly worthy of mention in the technology, in mobile telephony. Another expression that we found usually used from the students was (3) *grazie*. It was used often during informal conversations.

In the examples (1), (2) and (3), we observe the insertion of a single word from one language, in this case the Italian, in a sentence in a different language, the Albanian. These types of change of code, code-switching, can be accidental. But if this happens more often at random, with the time it can also turn into loan, becoming stable in the language lexicon. In bilingual contexts, the line between the lexical loan and the forms of the code change is, at times, difficult to delineate. Indeed, the lexical borrowing process is finalized when a loanword is listed in a dictionary. Actually we are, surely, far away, from this transformation. However, in the future research we will try to distinguish between occurrences just for a time (for example, cases of change of code, in its forms) and the elements that are entered at the level of a group and can therefore be called "loanwords".

Another example is the exclamation (4) *brava: E bëre edhe këtë punë. Brava!* It turns out to be a dialogue between two Albanian students who express themselves properly, using a single good Italian word (in Albanian *të lumtë*) in the middle of the speech. It is a clear case of code-switching.

#### CODE CHANGING RELATED TO THE TECHNOLOGY<sup>3</sup>

When a new product arrives or a new concept is adopted, the word<sup>4</sup> may come, too. A large number of speakers of a second language, users of the product or of the concept, can be the source of this contact between two languages, and therefore the source of change of the main language, the Albanian in our case, also in its territory. When one or more speakers are starting to adopt foreign elements in a speech and this process acquires a systemic character, the original language will be changed. In this way there is been a shift from interference to borrowing of an element from the language A to the language B. At the lexical level, this loan of words from another language usually has cultural aspect and/or even a technological one, as we will see later in the example of the computer printer.

Now we discuss about the loan and the code mixing in the Albanian language. With the commencement of the computers in Albania it happened, as had already happened in other countries, the temporal separation between the time of writing and that of the material printing of a document. With the typewriter the writing and the printing coincide and the term used was typing, Albanian *shtyp*. With the computer first is written and then, without any time limit, the printing. And it is this term in particular, related to the printer of the computer, which was missing in Albanian. The word exists in Albania in reference to press or to printing in typography. The entrance of the new technology introduced a new English term, that as trend or simply tied to a practical factor (at the printer's packaging was written *Printer*), at the current Albanian vocabulary: (5) *Not*

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<sup>1</sup> Bista, K. (2010: 1-19).

<sup>2</sup> See. Vicentini (2003): 37-57), Words 3: The economy principle in language.

<sup>3</sup> Poplack, Sh. D. (1988: 47-104).

<sup>4</sup> See. Hock (1996: 271). First of all, every time that speakers of a language are in contact with "new cultural objects, new religious and technical concepts, or references abroad, with the fauna and flora, there is obviously a need for a vocabulary to express these concepts or references". Second, very often the highest prestige of the donor language, generally or in parts, is the motivation for the loans.

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*e printova raportin*. While, the students in question are expressed in this way: (6) *Sapo e stampova lauren. Më doli shumë e bukur*.

In the first sentence we see the use of two words certainly coming from the Italian language. The word which arouses the interest is *stampova*, clearly linked to the *printer* and the *printing*. Here there is been a new change of code, code mixing, and it is replaced by a new word with the Albanian ending, an Anglo-Saxon loan in Albanian, belonging to the language of the majority in which speakers stay. This could be an example of an initial morphological assimilation of an Italian word, a verb, in Albanian dictionaries. In Albanian, as in other languages, the main part of morphologically assimilated words also turns out to be the nouns and the verbs.

#### CODE CHANGING RELATED TO SPELLING

Another interesting factor is the reading by the Italian pronunciation rule of the words that exist in the Albanian language (always linked with the world of technology). An obvious case is the term *sms*, the electronic messaging via mobile phones. Both in Albania and in Italy the code exists in the same form and in both cases is an Anglo-Saxon loan (SMS - Short Message Service). The difference is in how they are pronounced the letters that makes up: Albanian 's`m`s', according to the Albanian spelling rule, while in Italian 'esse`eme`esse' according to the rule of Italian spelling. Also in this case we encountered another change of code. Listening carefully to students, the pronunciation of the acronym is by the Italian spelling, that is the language of the majority in the territory.

Technology is always the one that, perhaps, influences more in the change<sup>1</sup> of the language. We will present another example related to new technologies, the reading of an e-mail address in Albanian and in Italian: (8) [arben@gmail.com](mailto:arben@gmail.com), in Albanian reads *arben `et` g meil. kom*, in Italian reads *arben `chiocciola` gi meil. com*. The difference in reading is due to the pronunciation of the identifying symbol of e-mail (@). Almost all students, even when pronounce the e-mail in Albanian, do not use more the English pronunciation "at" but *chiocciola* (the snail) Italian pronunciation (speaking in Albanian should be *kioçola* and so in writing). Also in this case there has been a code-switching. Moreover it seems that in spelling it verbally, by telephone or otherwise, the use of Italian spelling results clearer than "at", thus decreasing the chances of mistakes in the e-mail address transmission. It would appear that we are heading towards a convenience loan. This is because of the massive Albanian immigrants in Italy and the continuous exchanges.

#### CODE CHANGING RELATED TO THE CHARACTERISTICS OF THE COUNTRY IN WHICH RESIDES

A further change of code found is the use of the term *laurea*, who joined the Albanian language with a new meaning and is used according to the Albanian grammar rules. In this case the term is lent to the Albanian language.

We analyze the previous example: (7) *Sapo e stampova lauren. Më doli shumë e bukur*. This is a clear case of interference; the term *laurea* was missing in the Albanian language. But in the sentence there are two words assimilated morphologically: *stampova*, previously analyzed, and *lauren* ("graduation" in Italian). The latter term is a loan of necessary and prestige. The word in question does not exist in Albanian<sup>2</sup> and is certainly linked to the Italian reality. Its correspondent in Albania is the university degree. The students in question are attaining a university degree in Italy, where such degree is called *laurea*, so it is natural to use the Italian word and then deliver it in the Albanian language system. This is also established through an encounter with former graduate students in Italy, who speaking about their university degree declared *jam lauruar* "I'm graduated". Certainly, to the need of expression with the new term, it is also annexed the prestige that it inherently carries.

In addition, remaining in the *laurea* area there is another sentence where you could clearly see the code mixing, (8) *Sot u laurova con 110 e lode*. The term reflects the difference of the Italian university evaluation system: 110 is the maximum rating of the Italian degree, while an Albanian university degree its counterpart is 10. This change of code could be linked to the territory, for this reason its future in Albania is by no means certain.

#### 3. CONSIDERATIONS

In this paragraph will be present some considerations, but not conclusions.

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<sup>1</sup> See Daulton (2011): *Prestito lessicale e la global web delle parole*. In [http://repo.lib.ryukoku.ac.jp/jspui/bitstream/10519/1290/1/r-ky\\_033\\_01\\_004.pdf](http://repo.lib.ryukoku.ac.jp/jspui/bitstream/10519/1290/1/r-ky_033_01_004.pdf)

<sup>2</sup> See *Fjalori i gjuhës së sotme* (1984:595) for the meaning of this term.

The research, having been conducted on a small group of persons, was intended as for the basis of a larger study. In addition, the analysis is conducted through some personal notes resulting from open conversations, undocumented, but only transcribed by the author.

In the future, surely, they will be used ways and means to document what of interest. In any case, the first phase of the research has demonstrated a clear presence of changes of the Albanian language code and interferences. These phenomena are of various types and each of them has its own significance: in a group of these changing there is a strong influence of the territory, for this reason, it can be assumed that once back in Albania, students will lose it; in another group it looks like they could be turned into loans, this will lead to the graft of some words that reflect deficiencies in the lexicon of the Albanian language, but also of others which would gain territory thanks to their peculiarities.

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## Rethinking National Identities in Divided Societies of Post-Ottoman Lands: Lessons from Lebanon and Cyprus

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### Abstract

The communal identities rooted in the *millet* system are still salient in post-Ottoman lands. Cyprus and Lebanon offer two cases where ethnic and sectarian identities are more prominent than national identities. In this respect both countries represent highly divided societies in post-Ottoman territories. This article discusses the failure of power-sharing systems in Cyprus and Lebanon, arguing that the lack of cultivation of a common national identity at the founding of these republics remains even today a central obstacle to implementing stable multinational/sectarian democratic systems. As a part of Greater Syria, today's Lebanon is a homeland to many ethnic and sectarian communities. Lebanese politics historically has been governed by a system of consociationalism, which prevents any one group from dominating the political system. This system of power sharing dates back to the 1943 National Pact, and as a result of the sectarian nature of this arrangement, religious communal identities have a stronger pull than a Lebanese national identity. These communal identities crystallized over the course of a 14-year civil war, and were exacerbated by the assassination of former Prime Minister Rafiq al-Hariri in 2005. In the case of Cyprus, the possibility of cultivating a shared national identity between Turkish Cypriots and Greek Cypriots has historically been suppressed by kin-state relations and colonial policies which have, in turn, resulted in inter-communal conflict. An understanding of this conflict and the nature of the nationalisms of each community helps explain how the 1960 Constitution of a bi-communal and consociational Republic of Cyprus hindered inter-communal relations – a precondition for the cultivation of a common national identity – and ultimately failed. From *enosis* to *taksimto* the April 2004 referendum on the UN's Annan Plan, the contentious interaction between external constraints and collective self-identification processes subsequently reinforced ethno-religious identifications. Through an examination of such processes, this article aims to identify and illuminate the shifting forces that shape deeply divided societies in general, and that have shaped Cyprus and Lebanon in particular. Understanding such forces may help break down barriers to the development of common national narratives.

**Keywords:** Lebanon, Cyprus, ethnic/sectarian identities, civil wars, nationalism, *millet* system, power-sharing system

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## Introduction

The communal identities rooted in the *millet* system are still salient in post-Ottoman lands. Cyprus and Lebanon offer two cases where ethnic and sectarian identities are more prominent than national identities. In this respect both countries represent highly divided societies in post-Ottoman territories.

As a part of Greater Syria (*Bilad al-Sham*), today's Lebanon is a homeland to many ethnic and sectarian communities, Maronite, Sunni Muslim and Shia Muslim, Druze, Greek Catholic and Greek Orthodox, and Armenian communities being among them. Lebanese politics historically has been governed by a system of consociationalism, which prevents any one group from dominating the political system. This system of power sharing dates back to the 1943 National Pact, and as a result of the sectarian nature of this arrangement, religious communal identities continue to have a stronger pull than a Lebanese national identity. These communal identities crystallized over the course of a 14-year civil war, and were exacerbated by the assassination of former Prime Minister Rafiq al-Hariri in 2005, which led to a surge in sectarian cleavages.

In the case of Cyprus, ethnic nationalism among Turkish Cypriots and Greek Cypriots hinders the cultivation of a common national identity. This paper will trace the identity concept in Cyprus from its religious and class basis during the Ottoman period, through the transformations shaped by the British colonial administration, to its present ethnicized form. After outlining the context of the Ottoman *millet* system and the rise of inter-ethnic unrest and the further politicization of ethnic cleavages under the British, the analysis turns to the 1960 Constitution, which under girded a weakly structured republic from which emerged the insoluble question of Cyprus. This paper argues that the combination of kin-state relations and colonial policy have fomented ethnic rivalries that led to inter-communal conflict in the 1960s and 70s. An understanding of this conflict and the nature of the nationalisms of each community helps explain how the 1960 Constitution of a bi-communal and consociational Republic of Cyprus hindered inter-communal relations – a precondition for the cultivation of a common national identity – and ultimately failed.

This article discusses the failure of power-sharing systems in Cyprus and Lebanon, arguing that the lack of cultivation of a common national identity at the founding of these republics remains even today a central obstacle to implementing stable multinational/sectarian democratic systems. Through examining key historical and political processes, the article aims to identify and illuminate the shifting forces that shape deeply divided societies in general, and that have shaped in Cyprus and Lebanon in particular. Identifying the forces at work may be useful for understanding more generally how societies/communities/groups coexisting in hostile environments may work to overcome the obstacles they face in realizing potential commonalities.

## The Case of Lebanon

*“Every individual is a meeting ground for many different allegiances, and sometimes these loyalties conflict with one another and confront the person who harbors them with difficult choices”.* Amin Maalouf<sup>1</sup>

## From Mount Lebanon to Greater Lebanon

Lebanon is one of the most plural societies of the Middle East region, encompassing Maronite, Sunni Muslim and Shia Muslim, Druze, Greek Catholic and Greek Orthodox, and Armenian communities (Yapp 1995: 104). The state and nation formation of Lebanon has its roots in its status as an autonomous province during Ottoman times. According to Eli Fawaz, the social composition of Lebanon makes its distinctive in the region with “a spectrum of different religious minorities ... and a reputation of safe haven for them” (Fawaz 2009: 25). For William Harris, “Lebanon’s pluralist politics evolved to accommodate the pre-existing social reality of popular identification with various Muslim and Christian sectarian communities, each with its own leaders and preoccupations” (Harris 2009: 3).

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<sup>1</sup>Amin Maalouf (2000), *In the Name of Identity: Violence and the Need to Belong*, New York: Arcade Publishing.

### **The Legacy of the *Millet* System**

Representing the Middle East region in microcosm, Lebanon began to enjoy “a political form and had considerable special privileges” (Salabi 1965) during the 17<sup>th</sup> century. Mount Lebanon under Ottoman rule was mostly exempted from the direct influence of the central authority as long as it fulfilled its tax obligations.

It is imperative to emphasize that the backbone of the social order in Ottoman lands was the *millet* system, wherein the population was delineated according to “their religious affiliations or confessional communities” (Fawaz 2009: 29), rather than along ethnic or linguistic lines. Thus, the *millet* system allowed non-Muslims to autonomously regulate their own social and religious practices, and also granted them certain privileges. It was within this context that the cultural identities of Lebanon’s minority groups were able to flourish.

Sectarian cleavages deepened with the decline of the Ottoman Empire. It was in this context that – with the 1864 establishment of the *Mutasarrifiyya* (autonomous region) administrative council – Mount Lebanon lost its privileged status. The administrative council was an elected, multi-sectarian advisory board, epitomizing a proto-parliament (Yapp 1995). State formation in Lebanon can thus be traced back to these 19<sup>th</sup>-century regional developments.

### **French Colonial Rule and Nation Formation in Lebanon**

As a part of Greater Syria, today’s Lebanon was founded in 1920 through French mandatory rule under the supervision of the League of Nations. In Nazih Ayubi’s words, “Mount Lebanon, a small geographic zone that was gradually extended to include all Maronite and Druze areas, was converted by France into a greater Lebanon in 1920, through the annexation of the (mainly Sunni and Shia) coastal towns, Jabal ‘Amil and the Biqa’ Valley according to a system of deliberate privilege for the Maronite Christians” (Ayubi 1995: 114). The first French High Commissioner in Lebanon, General Henri Gouraud, was the architect of the Maronite territorial demands during this period (Yapp 1995: 105). Gouraud established Maronite nationalism on several symbolic myths that emphasized the historical interaction of Mount Lebanon with the Mediterranean and linked Maronites to the Syrian Orthodox monk Maron and the Phoenicians (Kaufman 2004; Yapp 1995). The Maronite project of statehood thus had two aims: to stand on its own and to be for Christians (Yapp 1995: 105). Kaufman argues that the formation of *Grand Liban* (i.e. Greater Lebanon) was rooted in “the cooperation between French colonial circles and Christian Lebanese nationalists whose interests converged in the post-First World War years” (2004: 2). Similarly, in Nazih Ayubi’s words, “Mount Lebanon, a small geographic zone that was gradually extended to include all Maronite and Druze areas, was converted by France into a greater Lebanon in 1920, through the annexation of the (mainly Sunni and Shia) coastal towns, Jabal ‘Amil and the Biqa’ Valley according to a system of deliberate privilege for the Maronite Christians” (Ayubi 1995: 114).

In fact, it was not until 1920 that Lebanon became detached from Greater Syria by the French Mandate and established as a separate entity for the first time in its history. Given the absence of a majority religious, sectarian or ethnic group, French rule was founded on a formula of confessional power sharing, which was then incorporated into the very underpinnings of the Lebanese state in 1926. The power-sharing formula of the Lebanese political system was based on the demographics of the national census conducted in 1932, according to which Maronites (Arab Catholics) comprised 29% of the population, Sunnis 23% and Shiites 20% (Yapp 1995). The rest of the population was divided among the Druze, Greek Catholic, Greek Orthodox and Armenian communities. The formula to rule mandate was allocated in accordance with the proportion of each sectarian group. In this *sui generis* power-sharing model, the president of the republic is elected from among the Maronites, the prime minister from the Sunnis, and the speaker of the parliament from the Shias. Thus, confessionalism granted reassurances that no one group could dominate the political system. This system of proportional representation in government was integrated into the 1943 National Pact (Lebanon Political Profile 2006: 4). As Michael Hudson states,

“... the 1943 National Pact brought Muslims into the system as Lebanon embarked on independence. Although Muslim-Christian tensions were never erased, they were managed fairly successfully over the period from 1943 to 1975. Under

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President Bishara al-Khoury a “grand coalition” of sectarian and feudal-business “notables” ran the country in a manner that roughly fits the consociational model” (Hudson 1997: 107–108).

Anthony Smith defines a ‘nation’ as “a named human population sharing an historic territory, common myths and historical memories, a mass, public culture, a common economy and common legal rights and duties for all members” (1991: 14).<sup>1</sup>Benedict Anderson argues in his masterpiece *Imagined Communities* that tangible communities or nations are in fact *imagined* and rely upon the manipulation of history and encouragement of nationalist sentiments to ensure a community or nation’s survival. As he puts it, “It is the magic of nationalism to turn chance into destiny” (Anderson 1983: 11–12).

Lebanon, being inextricably linked to these confessional categories since the early years of the mandate rule, has lacked an ‘overarching’ national identity or inclusive ‘Lebanonism’, which would be an instrumental tool of cohesion in times of conflict, instability or war. Stewart suggests that Lebanon has a common identity and shared goals, but that they are not encouraged, and that while the country’s diverse character invites tolerance and coexistence on the one hand, it has also made it vulnerable to external influence on the other (Stewart 2012). Within this socio-political context, a Lebanese individual acquires his or her social identity through familial bonds and religious affiliation rather than the Lebanese nation:

“The trust required to build secure identities has rarely been provided by the state. Instead, it has consistently derived from the family, the tribe, the sect. These ties do not necessarily come at the expense of ‘nation’; instead the complex nature of identity allows for allegiances along multiple lines” (Stewart 2012: 178).

In the case of Lebanon, it is apparent that the micro-societies system helped people survive, particularly during and after the civil war. On the other hand, with respect to nation-building Stewart suggests that; “**problems arise when various groups lay claim to a country’s past, present and future**” (Stewart 2012). Political parties and coalitions are also formed on the basis of confessional, personal and kinship ties.<sup>2</sup>In the Lebanese sectarian system, then, “closed communal identities are not only the basis for identity and belonging, but also for access to education and services” (Lebanon: The Persistence of Sectarian Conflict 2013: 4).

### **The Civil War: A test for Lebanese Identity**

Lebanon’s mix of minorities has caused it to be viewed as a microcosm of the complex religious and political divisions of the Middle East region as a whole. With roots in the Phoenician past and strong ties with the West, Lebanese nationalism has seen “the incorporation of larger Muslim populations into Lebanon as irreconcilable with its ideology ... setting the Lebanese people apart from any concept of an ‘Arab nation’” (Stewart 2012: 162). The increase in the Muslim population with the creation of Greater Lebanon, and later on with the influx of Palestinians in the aftermath of Black September, have threatened the dominance of Maronite Christians and Lebanon as a homeland for them. Meanwhile, the political structure of *Grand Liban* was viewed by its Muslim populations as safeguarding their representation in the political system. Lebanon continued to accommodate its complex religious confessional makeup through its power-sharing formula in the post-

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<sup>1</sup> Later on Smith formulates an ‘ideal-type’ definition of the nation as “a named community possessing an historic territory, shared myths and memories, a common public culture and common laws and customs” (Montserrat Guibernau 2004: 127).

<sup>2</sup> The Movement of the Future (*Tayyar al-Mustaqbal*), which is under the leadership of Saad Hariri, the son of former Prime Minister Rafiq Hariri (who was assassinated in 2005) has been supported by Sunni Muslims in the country and forms the main faction in the March 14 Alliance. Similarly, the Lebanese Forces supported by Maronites – Arab Catholics – were led by Samir Geagea, “who was arrested in 1994 on charges of attempting to undermine government authority by ‘maintaining a militia in the guise of a political party,’ of instigating acts of violence, and of committing assassinations during the Lebanese Civil War. As a part of the March 14 Alliance, this group then became part of the March 14 Coalition. The *Kataeb Party* – which is also known as Phalangists – has its main support base from the Maronite community. This group advocates an anti-Iranian and anti-Syrian regime stand, which became apparent after the assassination of former Prime Minister Rafiq al-Hariri in 2005. For instance, Pierre Gemayel, the Maronite leader of the Phalange militia stated that, “Lebanon is a mission”, and the Maronite community often conducted itself in such a manner. Similarly, under the leadership of Nabih Berri, the *Amal* Movement represents one of the two main Shi’i parties in the country. The Movement has pro-Syrian stand and advocates Syrian military presence in Lebanon. The Amal Movement is one of the allies of the March 8 Coalition in the 2009 parliamentary elections. Finally, *Hezbollah* represents a Muslim Shi’i political party in Lebanon. Allied with the Syrian Bath Party and Iran, today it forms the biggest faction in the March 8 Coalition (See <http://carnegie-mec.org/2015/04/17/lebanon-situation-report-pub-59832>, Carnegie Middle East Center).

independence years, but various internal and regional dynamics strained this delicate system of governance and triggered sectarian fragmentation.

Foremost among these dynamics during the 1970s was the call from the Shiite community – which was concentrated in economically deprived southern Lebanon – for a political reconfiguration that would grant it ‘real’ political and economic power. These demands were based on the argument that the 1932 census was no longer representative of the demographic proportions of the country.<sup>1</sup> The aftermath of the Black September episode in 1971 also brought an influx of Palestinian resistance members into southern Lebanon. These developments created a regional dynamic vis-à-vis the Palestinian national movement, which within Lebanon constituted a matter of concern for the central government over the legal status of Palestinians relative to its delicate formula of confessional governance. In the Arab Middle East, the Hashemite Kingdom of Jordan represents the only case wherein Palestinians have acquired full rights to citizenship. As Imad Salamey and Rhys Payne stated,

“the ‘quoted’ political power-sharing arrangement has historically favoured Christians over Muslims, as reflected in the proportional allocation of public offices in favour of Christians. Muslim resentment has been a major reason for domestic turmoil and civil wars since the 1940s. Beside the demographic factor, Lebanon’s geostrategic position, in the midst of major regional and international battling powers, allowed the confessions to establish alliances with foreign countries and draw substantial support from them” (Salamey and Payne 2008: 452).

Having felt external pressure with the outbreak of and throughout the civil war, Lebanon, as a small country, was caught between the demands and rivalries of insiders and outsiders. Syrian and Israeli interventions into the Lebanese Civil War in 1976, 1978 and 1982 also proved that the conflict extended beyond its own borders. Syrian intervention in Lebanese internal affairs began in 1976 when Syrian President Hafiz al-Assad sent 30,000 troops to Lebanon under the label of the Arab Deterrence Force. The Taif Accords that finally put an end to the 14-year civil war has granted Syria a special role in Lebanese politics ever since. The war highlighted the fragility of the Lebanese common identity; the power-sharing mechanism ultimately failed, devastating the nation- and state-building project as parochial and sectarian identities and loyalties crystallized.

### **The Interplay between Sectarianism, the War in Syria and Lebanese identity**

The onset of the Arab Spring and the Syrian Crisis had a prompt impact on Lebanese political life, exacerbating the internal sectarian cleavages precipitated by the assassination of Sunni-origin former Prime Minister Rafiq al-Hariri in a bomb attack in central Beirut on 14 February 2005. The assassination of Hariri had triggered increasing polarization between Lebanon’s Sunni and Shia populations, ushering in its most unstable period since the end of the civil war. On the one hand the March 8 Alliance, under the leadership of Hezbollah, responded to these regional developments with a pro-Syrian regime stance, while on the other the March 14 Alliance, under the leadership of Sunni politician Saad al-Hariri (son of Rafiq al-Hariri), took a pro-Syrian opposition and anti-Iranian stance.

These policy stances towards Syria were informed by domestic developments. In 2006, within the framework of national dialogue sessions, the Baadba Declaration had been issued, marking a rejuvenation of the historic compromise between the two camps in Lebanon (Al-Monitor 2013). The declaration was committed to Lebanon’s disassociation from Syria and featured the stipulation that Lebanon would not be “a passageway for the smuggling of weapons and personnel into Syria” (Middle East Report). Since then, two important events have reignited the internal cleavages between the two political coalitions. The first was the 2006 assassination of Wissam Hassan, the head of the Information Branch of Lebanon’s Internal Security Forces, and the second was the arrest of former Lebanese Information Minister Michel Samha, a supporter

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<sup>1</sup> Due to the delicate power-sharing system on the basis of population size in the country, no census has been taken since 1932. According to Central Intelligence Agency (CIA) – as of 2005 – “Lebanese population is approximately 3.8 million, of which Muslim groups comprise 39% with another 1.3% of assorted religious affiliations” (Lebanon Political Profile 2006: 5).

of the Syrian regime, in August 2012. Thus, the spirit of the Baadba Declaration was lost, and Lebanon entered the post-Arab uprisings epoch with the legacy of a proxy war.

The divergent interests of the March 14 and March 8 camps vis-à-vis the crisis with Syria have hindered efforts by Lebanon's leaders to reach the necessary compromises to accommodate its political system since Rafiq Hariri's 2005 assassination. Saad Hariri's Future Current Party has brought Hezbollah's military arsenal onto the agenda, with one party official claiming that "Hezbollah has an arsenal that even the Lebanese Armed Forces don't" (ICG 2012: 21). In response, Hezbollah has tried to justify its military arsenal by arguing that it needs to deter external forces such as Israel from making Lebanon "a staging ground to destabilize Syria" (ICG 2012: 16). As summarized by the International Crisis Group (ICG),

"Lebanon's factions clearly are aware of the stakes. Each wagers on success by one Syrian side or the other, waiting to translate the ensuing regional balance of power into a domestic one. Hizbollah hardly can contemplate a future with a fundamentally different Syrian regime, has tied its fate ever more tightly to its ally's, and will not remain idle should Assad be in real jeopardy. Conversely, the Sunni-dominated Future Current and its partners see no alternative to the regime's demise, however long it will take and no matter the costs. They view the uprising as doubly strategic: a golden opportunity to seek revenge against an antagonistic regime as well as a chance to challenge Hizbollah's domestic hegemony. It is hard to see Lebanon's fragile equilibrium surviving such a winner-take-all mentality" (International Crisis Group 2012: 16)

Today, Hezbollah maintains its pro-Assad stance, and declared a second victory in Syria after the outbreak of the uprisings in the city of Daraa. Hezbollah leader Nasrallah also warned that, if Syria falls, Jerusalem will fall as well (Taşdemir 2013). Hezbollah's support of Bath rule in Syria cannot be reduced to sectarianism or their Shiite connection; it is also closely tied to the fact that, if Bashar Assad is deposed, his regime will be replaced by a Sunni-dominated regime, which would restrict Hezbollah's capacity to resist Israel around the region, as well as its position within Lebanon. This support also corresponds with Iran's participation in this 'proxy war' over Syria. All of these conflicting regional alliances and policies point unfavourably toward the possibility that an overarching Lebanese identity can be cultivated which would encourage coexistence.

### **The Case of Cyprus**

This section deals with the development of ethnic nationalisms among Turkish and Greek Cypriots in Cyprus, which hinders the cultivation of a common national identity. The analysis will trace the transformation of the identity concept in Cyprus from its religious and class basis during the Ottoman period, through the transformations shaped by the British colonial administration, to its present ethnicized form. Firstly, the Ottoman *millet* system will be explained for the case of Cyprus. Secondly, the reasons for the intensification of inter-ethnic conflict and the further politicization of ethnic cleavages under the British colonial administration will be examined. Thirdly, the 1960 Constitution will be analysed in order to reveal the weak structure of the republic, which resulted in the insoluble question of Cyprus. This paper argues that kin-state relations, in combination with British colonial policy, fomented ethnic rivalries that resulted in inter-communal conflict in the 1960s and 70s. An understanding of this conflict and the nature of the nationalisms of each community helps explain how the 1960 Constitution of a bi-communal and consociational Republic of Cyprus hindered inter-communal relations – a precondition for the formation of a unified national identity – and ultimately failed.

### **Identity Formation under Ottoman Rule**

Ethnic divisions in Cyprus originated as the product of an institutional design that dates back to the Ottoman *millet* system, which organized communities along religious lines. Political regimes on the island to this day preserve this principle when delineating majority and minority populations. As a result, Cypriot political systems have been resistant to societal demands for recognition of greater diversity within and among various societal groups, for example the effort to increase interaction between Muslims and non-Muslims (Alptekin 2010). The Ottoman legacy had been the peaceful coexistence of semi-autonomous communities, including limited interaction across communities within the same villages, rather than a common life based on shared social, judicial and moral grounds or hostility with potential violent conflicts. Therefore, the ability of

Turkish and Greek Cypriots to cultivate a shared cultural heritage from which a unified national narrative could emerge had been suppressed historically.

Under Ottoman rule the two main communities tended to identify themselves as either Orthodox or Muslim, and the political system encouraged the tendency towards separation. The *millet* system institutionalized each religious group as a distinct *cemaat*/community that elected its own judicial and administrative officials. "This exclusive political socialization over a long period of time contributed to the crystallization of separate ethnic identities and aspirations" (Yilmaz 2008: 429). The propensity of both communities to identify themselves with the larger Greek and Turkish nations in the post-Ottoman period reinforced such separation. The historically antagonistic relations between Greece and Turkey had a great impact on the two Cypriot communities' relations with each other and hindered the cultivation of a common Cypriot identity.

### **Identity Formation under British Rule**

Under British rule, no significant steps were taken to generate harmony, as Britain never identified a single Cypriot tradition, but rather interpreted the Ottoman categories of 'Orthodox' and 'Muslim' as 'Greeks' and 'Turks'. The *millet* system was thus retained in a different form under British rule. "Village administrative councils were segregated and handled community affairs separately, with specially formed Joint Councils for the adjudication of matters common to both groups" (Calotychos 1998: 5–6). The new administrative policies necessitated the politicization of group cleavages, and eventually identification of the communities in terms of ethnicity. This ethnicizing – as opposed to territorializing – approach to political organization institutionalized difference rather than commonality, and segregation rather than interaction. In addition, as part of the British administration's advocacy of public education, it imported school books and teachers from Turkey and Greece and established separate schools; it also imported press from the two young 'mainland' republics, circulating aggressively nationalist publications which formulated separatist national consciousnesses among Cyprus' 'Greeks' and 'Turks' (Papadakis 2005: 143). In other words, Greek Cypriot nationalism and Turkish Cypriot nationalism were imported rather than being generated locally (An 2015: 25).

The British administration's ignorance of Greek Cypriots' demands for *enosis* (the ideal of unification with mainland Greece) reinforced their Hellenic nationalism. Intensifying anti-colonial sentiment among Greek Cypriots, as manifested in the violent acts of EOKA (National Organization of Freedom Fighters), pushed the Turkish Cypriot population closer to the British administration, as these were demands not for independence, but for the transfer of sovereignty from Great Britain to Greece. The *millet* system had already divided the two societies of the island, but with *enosis* this escalated to antagonism under British rule. Nationalism among Turkish Cypriots developed as a defence contra-nationalism against *enosis*, as the population sensed the possibility that demands for *enosis* would lead to Greek Cypriot domination. In response, they demanded *taksim* (partition of the island between Turkey and Greece); violent Turkish Cypriot organizations like the TMT (Turkish Defense Organization) also emerged. The psychological distance between the two communities thus further widened in the 1950s. Once intercommunal fighting started, the old hatreds and mistrust that had characterized Greco-Turkish relations since the fall of Constantinople were renewed with increasing intensity (Yilmaz 2008).

### **The Republic of Cyprus and Identity Policy**

During the British administration, Turkish Cypriot and Greek Cypriot communities developed different national ambitions, and interference by Greece and Turkey in Cyprus reinforced these ambitions. This interference and the constitution of the 1960 republic, which was also characterized by communal dualism, further widened the gap between communities.

The Republic of Cyprus was established in 1960 under three guarantor states: Turkey, Greece and the UK. Greek and Turkish Cypriots alike were disappointed not to have achieved union with their purported national motherlands. "Drafted by the Greek and Turkish governments, it [the 1960 constitution] contained in it provisions for segregation at all levels between the Greek and Turkish communities, thus making the constitution virtually unworkable" (Zarocostas 1980: 108). Although the constitution set up a power-sharing system, it did not emphasize a common Cypriot nation or identity; instead it intensified Greekness and Turkishness. According to the constitution, the Greek community comprised "all citizens of the



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Republic who are of Greek origin and whose mother tongue is Greek or who share the Greek cultural traditions or who are members of the Greek-Orthodox Church”, whereas the Turkish community comprised “all citizens of the Republic who are of Turkish origin and whose mother tongue is Turkish or who share the Turkish cultural traditions or who are Moslems”.

In other words, the constitution established two sets of parallel political institutions to separately govern each community. Separate representation was preserved, and the representatives of each community were given such powers as to make collective decisions. (Hitchens 1997: 50–55). The two Communal Chambers granted both executive and legislative powers to each community separately within the House of Representatives and Ministries. The separation of political power by ethnicity forced members of the public to identify with either a Greek or Turkish identity, thus hindering national unity. Although the 1960 Republic had its own flag of neutral design and colour, according to its constitution “the Communal authorities and institutions shall have the right to fly on holidays together with the flag of the Republic either the Greek or the Turkish flag at the same time”. “The Greek and the Turkish Communities shall have the right to celebrate respectively the Greek and the Turkish national holidays”.<sup>1</sup> Moreover, each community was given the right to receive government subsidies from Greece or Turkey for the institutions of education, culture, athletics and charity. Also, “where either the Greek or the Turkish [Cypriot] Community considers that it has not the necessary number of schoolmasters, professors or clergymen for the functioning of its institutions, such Community shall have the right to obtain and employ such personnel to the extent strictly necessary to meet its needs as the Greek or the Turkish Government respectively may provide”.<sup>2</sup> As observed, both sides relied and still rely on the dualistic identity structure that has its roots in the *millet* system. Moreover, as Hadjipavlou also states, “even after independence, each ethnic group showed more loyalty to their own ‘motherland’ than to the state of Cyprus and its state symbols”(2007: 357).

The concept of separation by ethnicity in the 1960 Constitution contained provisions for joint activities between the two communities. This resulted in the crystallization of two national identities – Greek and Turkish – and ultimately the failure of the power-sharing model of the Republic of Cyprus in 1963. President Makarios proposed changes to 13 chapters of the constitution, including the removal of consensual elements which guaranteed Turkish Cypriots a share of the power. According to Turkish Cypriots, this would have transformed the republic into a pan-Hellenic nationalist Cypriot state.

However, in reaction to political developments in Greece (a military junta came to power in 1967), Makarios abandoned the *enosis* program and requested an independent Unitarian Cyprus. The two communities negotiated until 1974 but made no headway. The *de facto* division of the island since 1974 and the Turkish Cypriot leadership’s unilateral declaration of independence (as the Turkish Republic of Northern Cyprus) in 1983 have further complicated hopes for a resolution to the ethno-national conflict in Cyprus.

As Joseph S. Joseph states,

“Despite four centuries of coexistence, the two communities remained separate, distinct, and self-contained ethnic groups divided along linguistic, religious, and cultural lines. Political division and attachment of the two groups to their motherlands then reinforced the ethnicity. The lack of cross-cutting ethnic, social or political ties prevented the development of a common Cypriot political culture and overarching loyalties among the two groups”(1985: 33).

The 1960 establishment of the Republic of Cyprus had institutionalized this division (Joseph 1985). One implication of its constitution was that the government and the legislature was composed of ethnic Greek and Turkish members who represented the interests of, and were primarily responsible to, their own communities. As Zenon Stavrinides states, “Although they were all, in a sense, Cypriot leaders the very constitutional arrangements under which they reached public office were such that their Greekness or Turkishness was of fundamental importance”(1999: 6). As Burgess also points out, “In retrospect, [the 1960 Constitution] had the unfortunate consequence of emphasising, to the point of exaggeration,

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<sup>1</sup> “The Constitution of the Republic of Cyprus”, Article

<sup>2</sup> [http://www.presidency.gov.cy/presidency/presidency.nsf/all/1003AEEDD83EED9C7C225756F0023C6AD/\\$file/CY\\_Constitution.pdf](http://www.presidency.gov.cy/presidency/presidency.nsf/all/1003AEEDD83EED9C7C225756F0023C6AD/$file/CY_Constitution.pdf)

<sup>2</sup> Constitution of the Republic of Cyprus, Available at: <http://www.kypros.org/Constitution/English/>



the 'separateness' of the two communities"(2007: 130). This bi-communal system had relied on an extremely delicate balance between centrifugal and centripetal forces influencing the polity, but with the emphasis on institutional separation, parallelism and reciprocal veto, the constitution had instead created a polity with too few powers, functions and overlapping relationships that was not equipped to provide its people with an overarching sense of national state unity (Burgess 2007).

### **Developments after the Failure of the Bi-communal Republic of Cyprus**

Several developments during the period before 1974 need to be analysed in order to understand the impact of the interventions by Greece and Turkey into the internal affairs of Cyprus; mass public support of *enosis* and *taksim*; political conflict over the power-sharing system of the 1960 constitution and the emergence among Turkish Cypriot elites of a concept of the nation based on biological principles.<sup>1</sup> These developments had reframed the concepts of sovereignty, collective identity, power-sharing and territoriality as a source of conflict, ultimately leading to the disintegration of the 1960 Republic (Vural and Peristianis 2008: 41–43).

As a result of inter-communal violence in 1963, Cyprus was divided into two ethnically distinct areas. And since the 1974 war and partition of the island the two communities have grown increasingly apart, affecting identity perception. In the case of Turkish Cypriot identity, the division of the island into two ethnically homogenous zones resulted in the formation of a strong link between identity and territoriality. Indeed, despite official Turkish policy emphasizing the unity and uniformity of the Turkish nation as a whole, Turkish Cypriots' emphasis on the difference between themselves and mainland Turks in recent years has become progressively stronger. This shift in identity perception has occurred in reaction to the open intervention of Turkey into TRNC affairs, fear of the arrival of Turkish immigrants from Turkey, the rapid emigration of Turkish Cypriots abroad, military influence, and as a result of its economic and political isolation. Turkish Cypriots have begun to link their national identity to Cyprus as a whole, as reflected in a referendum in 2004 when 64.9% of Turkish Cypriots voted in favour of unification (Riegl 2008).

It can be argued that identity policy after 1974 has led to dynamic developments in the formation of a common national identity (Cypriotness). While Turkish Cypriots have begun to identify themselves more strongly with Cyprus, Greek Cypriots have also refused the *enosis* program for the most part. Hardliners in both communities have been replaced by constructive soft-line elites. However, despite bi-communal activities and the efforts of a bi-communal civil society, the two ethnic communities retain strong political and cultural ties with Greece and Turkey that have slowed rapprochement. From the struggle for *enosis* and *taksim* to the April 2004 referendum politics, the interaction between external constraints and collective self-identification processes has propagated a variety of identity concepts, including 'Motherland nationalism', 'Cypriotism', 'Greek Cypriotism' and 'Turkish Cypriotism'. These identity shifts will heavily influence the resolution of the Cyprus problem.

Recent UN proposals and ongoing negotiations towards the reunification of the island continue to lack the elements necessary to cultivate a common national sentiment or Cypriot identity. Article 3 of the latest UN Plan, called the Annan Plan, explicitly specifies that the exercise of political rights is tied to ethnic identity: "Other than in elections of senators, which shall be elected by Greek Cypriots and Turkish Cypriots separately, political rights at the federal level shall be exercised based on internal constituent state citizenship status. Political rights at the constituent state and local level shall

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<sup>1</sup> To legitimize the Cyprus division, an official identity policy was accepted in Northern Cyprus rejecting the existence of the Turkish Cypriots and emphasizing the existence only of the Turks who live in Cyprus. The Turkish Cypriot leader Rauf Denktaş describes this as, "I am a child of Anatolia. I am a Turk from all my heart with my roots in Central Asia. I am a Turk by culture, language and I share our joint history. The terms like a joint state, Cypriot culture, Cypriot Greeks and Cypriot Turks are nothing but empty words" (Kizilyurek and Kizilyurek, 2004: 48).

be exercised at the place of permanent residency.” In other words, no citizen can undertake a political activity as a Cypriot, but must identify himself or herself as Turkish or Greek. No constitutional proposal put forward has seriously envisaged an electoral system for the federal executive that favours moderates and encourages cooperation (i.e. a cross-voting system which could include modest centripetalists). An appropriate electoral system (i.e. countrywide rather than ethnicity based) that has the structural capacity to bind the federation together while simultaneously representing and accommodating the social diversities expressed by sub-national parties in the federal polity, needs to be explored for successful reunification of the island.

### **A Common National Identity: Cypriotness/Cypriotism**

National identity is the primary form of identity that generates a sense of belonging and unity, offering people authenticity, historical continuity and rootedness in a common territory (Dieckhoff and Gutierrez 2001). It relies on the oppositional images of ‘us’ and the ‘other’ to achieve unity among members of a particular ‘us-group’ and affirm its distinction from a ‘they-group’ (Billig 1995). The concept of the nation can accommodate multiple subordinated identities and binds people together despite differences (Calhoun 1997). Since nations are discursively constructed, the definition of who is included within and excluded from the category of ‘the nation’ can evolve alongside the ever-changing political context of its production (Reicher & Hopkins, 2001). Its *constructedness* must then be naturalized and embedded within the routines of everyday life (Billig 1995; Edensor 2002; Özkırıklı 2000).

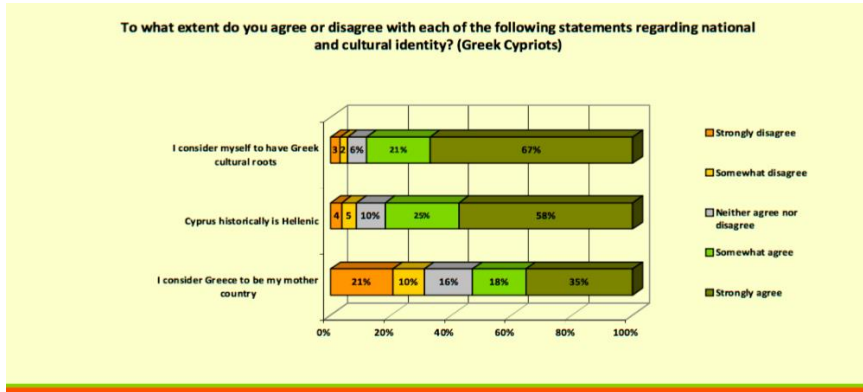
Cypriotness has emerged as a political ideology in response to the shortcomings of ethno-religious nationalisms. For example, in the context of the establishment and later dissolution of the 1960 Republic, for Greek Cypriot nationalists, a concept like Cypriotness would have threatened the unity of Hellenism and the Greek character of Cyprus, while Turkish Cypriot nationalists feared the idea of Cypriotness would not meaningfully include them. As Vural and Rüstemli argue, ‘Cypriotness’ has been the territorial-civic component of collective identity, which was used by members of the Greek-Cypriot and Turkish-Cypriot communities to separate their identities from mainland Greece and Turkey respectively (2006: 332). However, civic nationalism has not been strong enough to challenge the hegemony of nationalist ideologies that have emphasised Greek or Turkish ethnicity and the desire of many Turkish and Greek Cypriots to see themselves as parts of greater nations.

The idea of Cypriotism has its roots in the political left (Mavratsas 1996: 92). Cypriotism within Greek Cypriot society began with abi-communal character and a strong antagonism toward Greek nationalism (Hamit 2009: 52). Similarly, from the early 1980s through the early 2000s, Cypriotism among Turkish Cypriots had a bi-communal character and a strong antagonism toward Turkish nationalism and the immigrant population from Turkey, who came to be regarded as a threat to Turkish Cypriot identity. Recent evidence on intergroup relations between Turkish Cypriots and Turks from mainland Turkey indicates a clearer separation between the two communities (Cakal 2012). However, for the Turkish Cypriot Community, the bi-communal character of Cypriotism has become less important as a result of the rejection of the Annan Plan by the Greek Cypriot community in the 2004 referendum.

Both communities have felt a groundswell of ‘Cypriot identity’ or ‘Cypriotness’ based on ‘historical, cultural and social dimensions’ of their experiences (Faustmann 2003). The dominant concept of Greek Cypriot nationalism has often been challenged by ideas of national consciousness (Mavratsas 1997: 15). Consequently, despite its bi-communal nature, Cypriotism as an ideology (rather than as a national identity) has had different meanings and has evolved differently in each community. What is common to Cypriotism among both Greek and Turkish Cypriots is that it was a response to “disjunction to the Greek and Turkish nationalisms” (Hamit 2009: 51). Cypriotism can be regarded as a discursive representation of a nation or imagined community constructed as an inclusive and unifying collective identity for Cyprus (Vural & Rüstemli 2006: 332). However, in reality the contradictory and exclusionary character of nationalist ideologies remains an obstacle to resolving the Cyprus problem.

According to the Cyprus 2015 poll, large majorities from both communities consider themselves to have either Greek or Turkish cultural roots. However, whereas large majorities of Turkish Cypriots consider Turkey to be their 'motherland', a significant number of Greek Cypriots do not consider Greece to be their 'motherland'.

Table 1: National and Cultural Identity (Greek Cypriots)

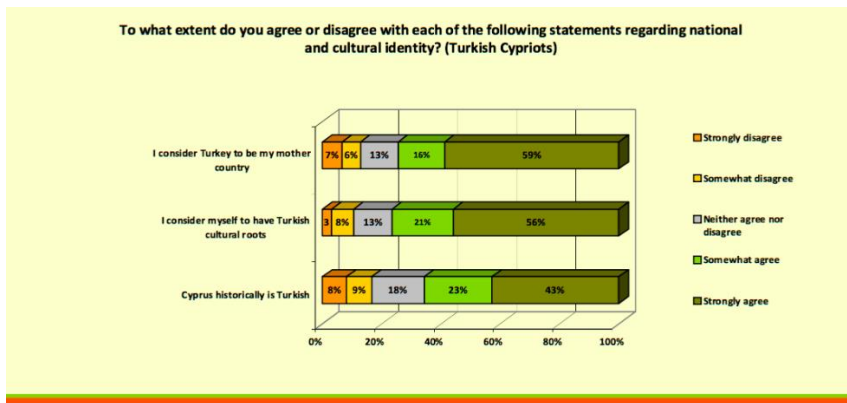


**National and Cultural Identity (Greek Cypriots)**

Greek Cypriots still tend to identify strongly with their Greek cultural roots, but many of them have now abandoned the notion of "Greece as mother country".



Table 2: National and Cultural Identity (Turkish Cypriots)

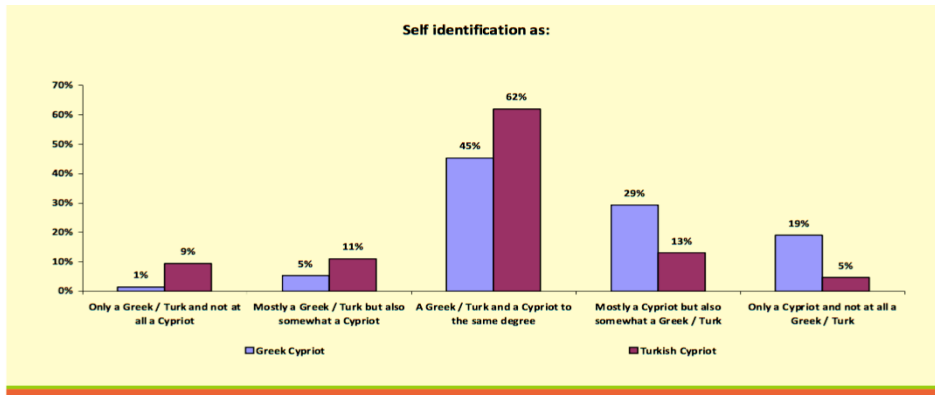


**National and Cultural Identity (Turkish Cypriots)**

Turkish Cypriots still remain loyal to the notion of "Turkey as motherland", at least to the extent that a majority of them acknowledges having Turkish cultural roots.



Table 3: Self-identification



### *Managing contested identities*

Greek Cypriots are equally divided between those who consider themselves more Cypriot than Greek and those who consider themselves Greek and Cypriot to the same degree while few consider themselves to be more Greek than Cypriot. Turkish Cypriots present a more uniform picture, with a clear majority considering themselves to be Cypriot and Turkish to the same degree, and about equal minorities considering themselves, on the one hand, to be more Cypriot than Turkish, and on the other hand, more Turkish than Cypriot.



According to Table 3, the subgroup identity of both communities is high, as opposed to more exclusive ethnic or national identities. Significantly, few Greek Cypriots consider themselves Greek only. A significant number of Greek Cypriots claim to be Cypriot only. By contrast, Turkish Cypriots mainly identified themselves as Turkish Cypriots, and relatively few considered themselves to be Cypriot. Among both communities, only small percentage identifies themselves exclusively with the 'motherland' identity. Equal minorities of Turkish Cypriots consider themselves, on the one hand, to be more Cypriot than Turkish, and on the other hand, more Turkish than Cypriot.

However, in order to achieve a viable reunited federal Cyprus, an inclusive form of Cypriot identity/Cypriotness must be cultivated. Reduced commitment to Cypriot identity and stronger attachment to 'motherlands' – mainly due to exclusionary identities and a sense of threat from the other community – have resulted in a deterioration in relations between the two communities. It remains hard to change these views, as they have been reinforced by collective memory, master narratives, rituals and 'national' celebrations (see Psaltis & Cakal, 2016), and the process of reunifying Cyprus has reached a stalemate.

### **Conclusion**

The legacy of differentiation in Cyprus among communities under Ottoman rule and inter-ethnic tension in the late-Ottoman period was retained through strong ethnic identifications and polarization under the British colonial administration. This legacy was felt in the 1960 Constitution, and to some extent in the UN-led proposals so far. Additionally, geographical division and low levels of contact between the two communities indicate that Cypriot identity is still not embraced by both communities. The micro-society affiliations or sub-state identities have always been stronger than that of national identity in the case of Cyprus. Inter-communal conflicts led to the collapse of the common republic in 1963 and triggered the rise of ethno-nationalism on both sides.

In the case of Lebanon, although its ethno-religious pluralism made it exceptional as a place of tolerance and coexistence during the Ottoman period, the same diversity and pluralism led the country to open itself to external influence. The competing influence of these various regional actors on the Lebanese political landscape has brought conflicting outlooks regarding the future of the country. During the civil war, the confrontation was between Muslims and Christians, however in the post-Hariri assassination era, the social polarization has shifted. The new March 8 Alliance comprising mainly Shias represents one faction, and the March 14 Alliance under the leadership of Maronites and Sunnis is on the other.

In this respect, Lebanon and Cyprus have illustrated that building common national identities in the divided societies of the post-Ottoman lands requires in-depth analysis. The case of Cyprus has suggested that the ethnic nationalisms (Turkish and Greek Cypriot nationalism) and affiliations with the imagined motherlands of each community is still salient, and the lack or weakness of a territorial identity is one of the main obstacles to building a unified future for the island. In the case of Lebanon religious affiliations and identities like Maronite, Sunni, Shia or Druze also remain more influential than Lebanese identity. The Maronites on one hand historically have felt a sense of ownership over Lebanon based on reference to its Phoenician heritage; on the other hand, the Shias perceive their future with Syria based on historical and sectarian ties. In brief, both cases have shown that the legacy of *millet* system – which socially organized populations in the Ottoman territories by religious community (*cemaat*, communal identity) – is still endemic in the region.

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## Australian Modernist Theatre and Patrick White's the Ham Funeral (1961 [1947])

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### Abstract

For a considerable period of time, literary Modernism has been mainly associated with the study of the novel and poetry rather than drama perhaps due to New Criticism's emphasis on the text and disregard of performance. This profound anti-theatrical thrust of Modernism has to be, most certainly, re-examined and reassessed, particularly within the context of Australian literature and, more specifically, Australian theatre. That Australian modernist theatre has been inconspicuous on the world stage seems to be an obvious and undisputable statement of facts. Yet, with Patrick White, English-born but Australian-bred 1976 Nobel Prize winner for literature, Australian low-brow uneasy mix of British vaudevilles, farces and Shakespeare, mingled with the local stories of bushranging and convictism, got to a new start. Patrick White's literary output is immense and impressive, particularly in regards to his widely acclaimed and renowned novels; yet, as it seems, his contribution to Australian – least the world – drama is virtually unknown, especially in Europe. The aim of this paper is, therefore, to disclose those modernist elements in Patrick White's play, *The Ham Funeral*, that would argue for the playwright to be counted as one of the world avant-garde modernist dramatists alongside Beckett and Ionesco.

**Keywords:** Modernism, Australian drama, Patrick White, *The Ham Funeral*, anti-consumerism

### INTRODUCTION

#### European and Australian Modernism(s)

What is generally understood by the term Modernism is the movement in the arts, its set of cultural tendencies and associated cultural activities, originally arising from wide-scale and far-reaching changes to Western societies in the late 19th and early 20th centuries. In particular, the development of modern industrialisms and the rapid growth of cities, followed then by the horror of the Great War and also, later, of the II World War, were among the factors that shaped Modernism. Modernism also rejects the lingering certainty of Enlightenment thinking, and many modernists, like Romantics before them, rejected religious belief and God's privileged position in the world.

Typically, the term Modernism encompasses the activities and output of those who felt the traditional forms of arts, architecture, literature and society were becoming out-dated in the new economic, social and political conditions of an emerging fully industrialised world. Ezra Pound's 1934 injunction to "Make it new!" was paradigmatic of the movement's approach towards what it saw as the now obsolete culture of the past. Politically wise, Modernism rejected the idea of nationalisms and ideologies, particularly bourgeois materialism and believed in free exchange of views and attitudes.

A salient characteristic of Modernism is self-consciousness. This self-consciousness often led to experiments with form and an approach that draws attention to the processes and materials used in creating a painting, poem, building, novel, etc. In art, Modernism explicitly rejects the ideology of realism and makes use of the works of the past through the application of reprise, incorporation, rewriting, recapitulation, revision and parody in new forms.

Australian Modernism, however, was different, at least in its initial stage. As the Australian government official website ([australia.gov.au](http://australia.gov.au)) explains,

Modernism first came to Australia in the mid-1910s through migrants, expatriates, exhibitions and publications. The movement spanned five turbulent decades, including global wars, economic depression, technological advance and massive social change. Inspired by early European avant-gardes, the modernist movement affected many forms of arts and commerce. While modernism was expressed differently in each of these forms, the common thread was a rejection of traditional representations of the world. The focus was on form over content and style over subject matter (Web).

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Maintaining a reserved distance to government's official statements, it may, however, be argued that one of the most dominant difference between Australian Modernism and its European counterpart was the time span. While in Europe the Great War and its aftermath may be considered to be Modernism's peak, in Australia the war's atrocities, the lost Gallipoli campaign in particular, seem to have stimulated and propelled the Modernist movement in literature, with the most visible effects shortly after the II World War. Taking their cue from international modernist movements, including the Bauhaus, abstract expressionism and French symbolism, Australian modernists experimented and collaborated across artistic disciplines. Better-known modernist groupings include the contemporary art societies in Melbourne, Sydney and Adelaide; the Arts and Crafts Society; Angry Penguin poets; the Angry Penguin painters, including Arthur Boyd, Sidney Nolan, Max Harris, John Perceval, Albert Tucker and Joy Hester; and the Hill End painters. All of these artists, especially Boyd and Nolan, greatly inspired Patrick White in his artistic path.

It is, therefore, reassuring that, at least in the 21<sup>st</sup> century, an official government body admits that Modernism, particularly Modernist art including drama, was received with open hostility in Australia indulgent in parochial realism of Ned Kelly stories:

However, the unfamiliar language of modern art often met with strong and passionate resistance from Australia's general public and art establishment. Australia's reception to modernism is a complex story of spasmodic cultural transformation led by avant-garde experiments and the creative exchange between modern artists, designers and architects. From reshaping the environment (in particular city living) to affecting body image, social life and ideals about design, its impact has been profound. (Web)

Had it not been for the decision of The Art Council in Melbourne to ban Patrick White's play of 1947, *The Ham Funeral*, it would have made its way to British and European stages in the 1950s to herald the advance of Australian Modernism into the world theatres. It is, predominantly, the relationship between an individual and one's destiny, i.e. death, and, globally, the deaths on massive scale, that pushed Western thinking to extremes to make the intellectuals re-assess the position of the human in the inhuman world, alongside the false ideological thinking of the supposed superiority of one race over the other and middle class over the working class, also true within the Australian context:

To some extent, the spectral figure of white death is a by-product of the worst excesses of a twentieth-century modernity haunted by barbarisms practised in the name of a 'superior' civilization, and by genocides predestined to secure the lasting supremacy of a 'master race'. To say that much post-war literature in the West—and not just the West—emerged out of Hitler's shadow might be too obvious to mention, but it certainly reminds us that many of these writers were actively engaged in an international struggle against modernity's contradictions, a struggle that narrowly nationalistic approaches to literature, Australia's included, have been reluctant to address. Whatever the case, *the two World Wars had more effect on the development of a modern Australian literature than any of the national events of the twentieth century* although, as in other Western countries, it remains moot whether modernism itself was a response to or a reaction against the experienced immensities of global transformation and social/cultural change [emphasis added, RW]. (Huggan 2007: 84)

Australian cultural discourse after II World War, articulated and given prominence by the so-called leftist (or anti-royalist) writers like Patrick White and Susannah Katherine Pritchard, took a clearly anti-realist and anti-nationalist bend and steered towards modernist art. Being aware, however, of Australian idiosyncrasy, White strongly believed that nationalism, as practised in Australia at his time, was a backward force that should be repudiated with all might. Though English by birth but anti-royalist by choice, White looked at British cultural imperialism with suspicion.

### **THE HAM FUNERAL (1947)**

Patrick White's major play, *The Ham Funeral*, was originally written in 1947 but had to wait in the dark for thirteen years before being brought to the public attention by Adelaide Theatre Guild on 15 November 1961. This expressionist drama, highly European in consciousness, was the first of its kind to reach the Australian mainstage: it and the three other plays, *The Season at Sarsaparilla*, *A Cheery Soul* and *Night on Bald Mountain*, which quickly followed paved the way towards a new kind of theatrical imagination which soon began to draw with a new freedom of all forms of poetry, music and the visual arts into the creation of a new kind of indigenous drama.

A generation later a theatre rich in skills and resources has grown to maturity in which the plays of Patrick White have taken their place in the repertoire of the major companies. Patrick White's main interest in his art has always been to uncover a variety of mental states – the deeper states of the mind.

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The play starts with a Prologue spoken by the YOUNG MAN who “*is dressed informally, in a fashion which could be about 1919. He is rather pale. His attitude throughout the play is a mixture of the intent and the absent, aggressiveness and diffidence*”:

YOUNG MAN (*yawning, addressing the audience*) I have just woken, it seems. It is about . . . well, the time doesn't matter. The same applies to my origins. It could be that I was born in Birmingham . . . or Brooklyn . . . or Murvillumbah. What is important is that, thanks to a succession of meat pies (the gristle-and-gravy, cardboard kind) and many cups of pink tea, I am *alive!* . . .

The YOUNG MAN then speaks of the play in which he is to take part but his “dilemma in the play is how to take part in the conflict of eels, and survive at the same time.” He also introduces its setting – the house, saying:

Let me remind you of a great, damp, crumbling house in which people are living. Remember? Perhaps you have only dreamt it. Some of the doors of the house have never been seen open. The people whose protection they are intended to ensure can be heard bumping about behind them. Sometimes these characters fry little meals for their temporary comfort. Sometimes it sounds as though they are breaking glass. . . . There are the voices, too. Not only the voices of the walls. There are the voices of the gas-fires, full of advice that we haven't the courage to take. And the mirrors in the deal dressing-tables . . . well, you can never believe *them*. They are living lies, down to the last vein in their eyeballs. So, we turn our backs. But look again. The landlady, you're going to see, spends an awful lot of her time looking again. And I . . . but I know already. I know too much. That is the poet's tragedy. To know too much and never enough. (*Defensive*) You are right in suspecting I can't give you a message. The message always gets torn up. It lies at the bottom of the basket, under the hair, and everything else. Don't suggest we piece it together. I've found the answer is always different. So . . . the most I can do is give you the play, and plays, of course, are only plays. Even the great play of life. Some of you will argue that *that* is real enough . . . (*very quiet and diffident*) . . . but can we be . . . sure? (Returning to the surface, dry) Thank you. We'd better begin now.

EXIT *behind the CURTAIN*

The way in which the play starts recalls more familiar British Theatre of Absurd or Angry Young Men movement and shows in Scene One a middle-age couple in what may be termed their domestic chores:

LANDLADY (*laying down the knife, pushing things away from her*) I'm just about sick of peelin' bloody pertaters! Don't yer understand, Will? (*Disgusted*) You wouldn't.

(LANDLORD *looks at her expressionlessly for a moment, then continues to stare and smoke.*)

I'm sick of it! I'm sick. . . .

LANDLORD Why?

LANDLADY Why? Lord, I dunno *why!* (*Yawns and stretches*) Aoooh, nao! (*The relaxes on her chair, momentarily helpless*) I dunno much. Else I wouldn't be sitting 'ere. Thursday I went to the theayter. It was lovely. A bunch of toffs in satin . . . gassin' about love and nothink. An' when I come out, the rain 'ad stopped, an' the blossom sticky on the chesnut trees. You could smell it, that strong and funny. It nearly bust my 'ead open. . . . (*Angrily, pushing the potato peelings farther away from her*) Then I come 'ome!

(LANDLORD *noisily clears his throat.*)

Yes, that's wot I felt! Twenty years listenin' to the damp, an' the furniture, an' your 'usband's breathin'!

The language the female character is using in the opening scene, as well as others, makes the audience understand the couple's social class and their position in it, and the Aussie accent – basically the imitation of the Cockney of London – is intended to convince the viewers and the readers of the authenticity of the presented scene from the common life of an average working class urban Australian family, tied of life, fed up with themselves, dissatisfied with the things they do every single day, with their repetitiveness and predictability.

Then, in an infrequent outburst of emotions which most likely stems from the recollection of the theatre spectacle she has viewed, LANDLADY recalls the day the couple met for the first time and, putting her hand on his shoulder, eventually confessed to her husband:

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I loved you, Will. Afterwards, I even got up to like yer, and wanted you about. We were two bodies in the bed. I could return to you out of my dreams . . . push against your hot side. You didn't wake ever. But you was solid.

(LANDLORD *grunts and stares*)

(*Withdrawing her hand, angrily*) You were that, all right!

When asked by YOUNG MAN, her lodger, whether she expects much of life, Mrs Lusty (nomen omen) simply answers: "Expect? I don't expect. I take wot turns up" (Act One, Sc. Two). The poet, however, does, but blames himself for his lack of cleverness, which makes him desperate:

It seems that everybody else understands which button to press, which lever to pull, which tablet to take, to achieve the maximum happiness or the required dream. At least, that's what their faces claim. Sometimes I stand in the street and watch them. Then my ignorance begins to choke me. The answer is either tremendously simple, or tremendously involved. But either way, it's something I still fail to grasp. (Act One, Sc. Three)

The YOUNG MAN shows the traits characteristic of majority of the European vanguard theatre heroes of the 1950s and 1960s: he prefers the solitude of his bedroom, lying on the bed and staring at the ceiling, to active social life. He writes poems, majority of which find their way in the basket, and rebels against the world: "I've had my answer! I hold my still, cold poem, stiller and colder than the landlady's dead child." When she repeats "all right" several times, he angrily comments, "Everything's 'all right'. The pity is it's never 'better'," to finish off, saying, "All my life the present moment has just failed to materialize. Completeness is something I sense, but never yet experienced. There is always the separating wall (Act One, Sc. Three).

Landlord, Will Lusty, rarely speaks save the moments of extreme agitation, when, for instance, he spat out a mouthful of bread with dripping and threw the slice back on the plate, hollering, "This stinks! It stinks!" to which his wife's reaction was that of contempt: "It's you, Will. Your bloody mouth's foul with silence" (Act One, Sc. Four). Silence is what she hates most: "All you get is words . . . good, bad, or doubtful. Or else it's silence. (*Shivers*) That's worse (Act One, Sc. Four).

As might be expected of him, Will died without a word, in silence: "E just died, without a word. Even without a fit. (Holding her face) Oh, God! Oh, dear! (Act One, Sc. Six) [...] I didn't say good bye to him," which prompted YOUNG MAN to utter White's famous formula, "The truth stops where words begin" (Act One, Sc. Six), and then, "Words are bridges that won't bridge. They break" (Act Two, Sc. Six).

The symbolism of the play, however, does not consist merely in the fact that we have the symbolic characters such as, for instance, YOUNG MAN who is a symbolic child of the couple and who later becomes the lover of the young girl living next to him who, in turn, is the anima, the Jungian feminine side of the male, that is, YOUNG MAN, but also in symbolic objects such as ham, huge and fat (YOUNG MAN describes the couple as fat and ugly). Symbolically, ham stands for LANDLORD: after the wedding night, LANDLADY wakes up in their bedroom to discover "the bleedin' 'am" next to her side instead of her newly married husband. Therefore, Will's funeral turns to be the ham funeral (or *The Ham Funeral*) at which the mourners eat thick slices of fatty ham, which may, doubtless, recall a cannibalistic ritual, not a Christian wake.

Also, the house is treated symbolically in the play and stands for life: ascending and descending stairs, rooms in which you sleep, eat, make love, die. YOUNG MAN declares: "This house is life. I watch my house fill with light, and darken. These are my days and nights. The house spreads solid over my head" (Act Two, Sc. Six).

As Katherine Brisbane argues in her Introduction to *Patrick White Collected Plays Volume I*:

White's contribution to the stage at this point [i.e. in the 1960s] was twofold. First, as a literary figure of international reputation, he came from a world very different from the popular working-class culture represented by [Australian] authors [...] and his perspective upon that culture was accordingly very different. Second, his European multi-lingual education had exposed him to a greater variety of style than the simplicities of domestic drama and musical comedy afforded in Australia; and the expressionist forms he drew upon in his novels, particularly of that period, extended naturally into his plays. It is as if the very innocence of the limitations of the Australian theatre at that time had freed him to draw effortlessly upon his poetic imagination. (ii)

White's interest and aim, both in the novel and the theatre, was to reflect the Australian landscape of imagination and not social reality:

White has been commonly called a symbolic or expressionist playwright, in that his writing is a reaction against naturalism and seeks to represent spiritual before social reality. But while the tone of the European expressionists and their precursors was, on the whole, pessimistic, and often obsessional, White's plays, like his novels, explore the dead heart of Australia and find it not only teeming with life but endowed with a leathery will to survive. The theme of all the plays [...] is the journey towards a recognition of the basic forces of life. In *The Ham Funeral* the young poet makes his way slowly from the shelter of his dreams, through the ugly assaults of birth, death and lust, to the emotional freedom he longs for. In *Season at Sarsaparilla* puberty, maturation and reconciliation are the recurring cycle. In *A Cherry Soul* the comforts of ignorance give way to the rude recognition that life cannot be easily contained; and in the last play *Bald Mountain* is the scene of a heroic tussle between the forces of sterility, represented by the intellect, and those of the flesh. (iii-iv)

To recapitulate, it may be argued that *The Ham Funeral* is a complex, radically modernist play, drawing on many theatrical traditions and styles, with few naturalistic elements and an inward looking main character. As Akerholt says, it anticipates Beckett and Ionescu (Akerholt 1988: 9). *Waiting for Godot* was first performed in 1953, six years after White's play was written in 1947. Had White's play been performed closer to the date of its composition the history of modernist theatre might inscribe White rather than Ionescu and Beckett as its "father figure." As Barry Oakley stated, the play "was ahead of its time in Europe as well as in Australia. Its boldness lies in its attempt to project dramatically the deeper states of the psyche" (Oakley 1989). John McCallum states that White was "the first successful modernist dramatist – in the special Australian sense of the word, meaning non-naturalistic" (McCallum 2010: 140). Walker herself notes the "expressionistic, surrealist, poetic and vaudevillian" elements of the play (Walker in Pender 2001: 7). These elements are found in "all of White's plays and create enormous challenges for actors, directors and audiences" (84). On top of that, it may be stated conclusively that Patrick White shares with Samuel Beckett and other modernist Europeans their fundamental faith in humanism and universalism.

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## Collateral and Bank Credit – a Puzzle<sup>1</sup>

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### Abstract

The impact of firms characteristics on bank debt financing has always been a field of conflicts among economists (e.g. trade-off theory vs. pecking order theory). The pecking order theory predicts that firms holding more tangible assets are less prone to asymmetric information problems and reduce the agency cost. Generally the supply of bank loans is expected to be higher for firms with higher collateral. In the empirical literature, this relationship is not always confirmed. We analyse this phenomenon from three points of view: meta-analysis of literature, country level data and case of Poland. This study provides a systematic analysis of the empirical literature on the usage of bank debt by conducting a meta-analysis. In particular the problem of publication selection bias is discussed. We explore the sources of heterogeneity among studies including moderator variables in random- and fixed effects regressions. Our results indicate that there is an evidence of publication selection. Based on country level data we conclude that the impact of collateral on bank credit is negative. For Polish case we find that the impact of collateral on debt is positive, except for the subsample of large enterprises.

**Keywords:** bank credit, collateral, meta-regression analysis, Polish firms, publication selection bias

### Introduction

The aim of this study is to analyze a collateral and bank credit relation. On one hand, we conduct a meta-analysis, we make comparison of results differentiating between publications and verify publication selection bias, on the other, we explore the impact of collateral on bank loan financing based on the country level data and Polish firms level data.

Access to finance is key to business development. Investment, innovation and survival are not possible without adequate financing. In recent years, the uncertainty and instability caused by the economic crisis has affected businesses. The decreased international demand and increased competitiveness caused that both small and medium sized companies, and large firms faced greater difficulties in sustaining their profit levels and surviving in a unfavourable environment.

Modigliani and Miller (1958) formed the basis of modern thinking on capital structure. They claimed that under the assumption of perfect markets where for example taxes and transaction costs do not exist the value of a company would be independent of the capital structure. Nevertheless, subsequent studies have examined the determinants of capital structure and provided new theories with different views on the determinants of capital structure: the pecking order theory, the trade-off theory, the agency theory, the market timing theory.

For collateral the pecking order theory predicts that firms holding more tangible assets are less prone to asymmetric information problems and reduce the agency cost. Generally the supply of bank loans is expected to be higher for firms with higher collateral. Firms operating in industries characterized by a higher level of asset tangibility are expected to face lower credit constraints. Results of empirical researches are not always in line with this expectations.

We start with meta-analysis, the analysis of empirical analyses that attempts to integrate and explain the literature about some specific parameter. The purpose of meta-analysis is to provide objective and comprehensive summaries of researches conducted by different authors. Meta-analysis is aimed at finding explanation of variation in the regression results published by independent researchers and presenting a statistical conclusion (Sauerbrei and Blettner, 2003). In

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<sup>1</sup> Meta-Regression Methods for Detecting and Estimating Empirical Effects in the Presence of Publication Selection



order to econometrically analyse the sources of heterogeneity in published effects of collateral on firms' bank loans financing, we reviewed existing empirical studies. 30 studies on the determinants of bank loan financing, for which the dependent variables were constructed in a similar way were selected from the review of literature on sources of business financing (over 130 articles). Then we analyse collateral – bank credit phenomenon based on country level data. In the last phase we estimate a dynamic econometric model, describing how the long-term and short-term credit contracted by non-financial companies in Poland is affected by collateral. In the estimation we control for three categories of factors: macroeconomic (WIBOR3M and the effective currency rate), microeconomic – associated with the internal financial situation and structural.

### Literature review

The pecking order theory predicts that firms holding more tangible assets are less prone to asymmetric information problems and reduce the agency cost. Generally the supply of bank loans is expected to be higher for firms with higher collateral. Firms operating in industries characterized by a higher level of asset tangibility are expected to face lower credit constraints. When firms use tangible assets as collateral, they reduce the cost of bank loans by limiting exposure and asset-substitution problems (Myers and Majluf, 1984; Detragiache, 1994; Boot et al., 1991; Leeth and Scott, 1989; among others). As a result higher levels of tangibility would imply more bank debt. Petersen and Rajan (1994) report that large firms with a high level of tangible assets use more bank credit. Cole (2008) shows that firms in certain industries, such as construction, manufacturing and transportation, are thought to be more creditworthy because they typically have more tangible assets that can be used as collateral than do firms in other industries, such as business services. Bougheas et al. (2004) confirm that the short-term debt share in total liabilities is higher for companies with a lower level of collateral. A higher collateral level provides greater access to long-term funding, thereby reducing the long-term debt share in total debt. Dewaelheyns and Van Hulle (2007) indicate that large companies with a high share of fixed assets in total assets use bank credit to a greater extent, while firms belonging to capital groups prefer internal financing, due to its lower cost. Cole (2010) finds that firms having less tangible assets do not use bank credit. According to findings presented by Liberti and Sturgess (2012), collateral – and non-specific collateral in particular – is a channel through which borrowers can mitigate bank-specific lending channel effects without turning to alternate lenders in the credit market. Firms with a low collateral level and a high probability of bankruptcy experience worst consequences of the shock. Companies pledging specific collateral (such as inventories, machinery and equipment, accounts receivable, guarantees and promissory notes) experience a smaller decline in lending when exposed to credit supply shock. Borrowers with a low creditworthiness, less collateral and generating lowest returns experience greatest declines in lending in response to the credit supply shock. Borrowers pledging non-specific collateral (real estate, cash and liquid securities) experience lower cuts in lending under a bank-wide credit supply shock. Jiménez et al. (2013) prove that firms with more tangible assets or cash tend to contract less new loans, relying on internal financing rather. The decisions on granting loans to businesses with certain specifications differ depending on the interest rate. Collateral is less important during the credit market constriction. The balance channel of monetary policy impulses transmission is based on the fact that the changes of interest rates lead to the changes in the values of collateral offered as security by potential debtors. The loss of value may force the businesses to limit the investment expenditure because their credit standing becomes weaker (Bernanke and Gertler, 1995). The increase of interest rates results in the drop of share prices and reduction of the cash flow value. It also decreases the value of the asset to be used as collateral and thus may lead to lower credit supply. The amount of the loan taken by businesses may be limited by the value of owned assets used as payment security.

### Publication selection bias

Stanley and Jarrell (1989) considered why do researchers come to such different findings when they are investigating the same phenomenon. Is it because of statistical methods, model misspecifications, different data sets? The authors offered a quantitative methodology for reviewing the empirical economic literature. Proposed meta-regression analysis is the regression analysis of regression analyses. Meta-regression analysis not only recognizes the specification problem but also attempts to estimate its effects by modelling variations in selected econometric specifications.

There is a probability that the results obtained by the researchers may be affected by the problem of statistical significance selection (so-called: publication selection bias). The selection of publications occurs when the researchers and reviewers prefer the statistically significant results.

The funnel graph is a classic method used for the identification of the publication selection bias. It is a distribution diagram for the precision (measured usually as the inverse of the standard error) from the estimated coefficient. In the case of the



absence of the publication selection bias, the diagram should resemble an upside down funnel – wide at the base, tapering as the values on the vertical axis increase. The funnel diagram should also be symmetrical, regardless of the value of the true effect, at which the estimations should converge.

30 studies on the determinants of financing with bank loans, for which the dependent variables were constructed in a similar fashion were selected from the review of literature on business financing sources (over 130 articles). Finally, 119 regressions from 22 publications were selected for further analysis.

The publications to date obtained positive, negative and insignificant estimations for collateral coefficient (Table 2). The lack of publication selection is evident when the estimated parameters change randomly and symmetrically around the “true” population effect. The asymmetry of the graph can be used as an evidence of the presence of publication bias in the literature. Based on the graphical analysis, Figure 1 indicates publication selection. It is worth noting that man econometric decisions, such as omission of variables, selection of the estimation method or functional form can also change the shape of the chart. However, the discussed sources of variance may be described as bias related to wrong model specification. Furthermore, the heterogeneity of the “true effect” between the studies, caused by the application of different sets of data for different times and countries may be the reason for the asymmetry in the funnel chart, even in the case of the lack of publication selection bias.

In Figure 1, the top point approaches the value near 0 and the mean of all collateral estimations is 0,089 – far more than the top chart value. The expected upside down funnel shape is determined by heteroscedasticity. The studies on small samples characterised by larger standard errors and the resulting lower precision are located on the bottom of the diagram which results in the more dispersed base of the chart. Figure 2 illustrates how the parameter estimations changed in time. There is no clear correlation visible for collateral.

In order to identify if there is publication bias in our meta-samples we follow Stanley et al. (2008) and we estimate equation (1).

$$t_i = \beta_{SE} + \beta_e \left( \frac{1}{SE_i} \right) + v_i \quad (1)$$

where:  $t_i$  –  $t$  – distribution,  $SE_i$  – standard deviation,  $\beta_{SE}$ ,  $\beta_e$  – unknown parameters,  $v_i$  – random error.

Testing whether the constant is equal to zero ( $H_0: \beta_{SE} = 0$ ) is equivalent to the testing of distribution asymmetry and can be used as the measurement of the occurrence of the effect of the publication selection bias on the results referred to precision-effect test (PET) (Egger et al., 1997; Stanley, 2008; Stanley, Doucouliagos, 2012). Whereas, testing whether the  $\beta_e$  parameter is equal to zero ( $H_0: \beta_e = 0$ ) shows the direction of the bias with the studied effect (Egger et al., 1997; Stanley, 2008).

However, like any regression model, the estimates can be biased when important explanatory variables are omitted. Therefore, we need to include moderator variables to control for the possible heterogeneity across studies. Finally we perform a meta-regression analysis, incorporating into the model 21 possible moderators that take into account the study heterogeneity.

Like in any regression model, the estimates of MRA's coefficients can become biased when important explanatory variables are omitted. MRA model (1) can be expanded to include variables,  $Z_k$ , that explain variation in estimates and other factors, and  $K_j$ , that are correlated with the publication selection process itself.

$$t_i = \beta_{SE} + \sum \gamma_j K_{ij} + \beta_e (1/SE_i) + \sum \alpha_k Z_{ik}/SE_i + v_i \quad (2)$$

where:  $K$  variables may affect the likelihood of being selected for publication.  $Z$  variables may affect the magnitude of the estimator. In the meta-analysis the equation for the FAT and PET tests is estimated by both random and fixed effects models.<sup>1</sup>

<sup>1</sup> The difference between the fixed effects and random effects estimates (for a weighted average estimates) can be the probable indicator of the effect of the selection of publications. This difference occurs because the less precise estimates are more biased in random effects models compared to fixed effects models. Random effects models reflect unobserved heterogeneity, which may be real

In order to confirm the results on the chart, which are often a subjective assessment of the researcher, the regression described by formula (1) was estimated. The results from the FAT test indicate that type I publication bias is present only in the case of assets structure, company size investigation (Table 3 – publication selection bias). The FAT tests in other categories fail to prove its presence. The PET tests' reject statistical difference of these estimates from zero. Adding moderator variables to Eq. (1) yields a weighted least-squares meta-regression model (FE – fixed effects) and method-of-moments (RE – random effects) of heterogeneity and publication bias. We present the results of Tau2 test for within variance of residuals (Table 3). For models estimated by Method of Moments we got Q statistics. The null hypothesis states that fixed effects model is correct. Q statistics for our models are large and their p-values are equal to zero. The real value of the actual effect probably varies between research, what means that the data are not consistent with the assumptions of fixed effects models.

Testing whether the constant is equal to zero is used as the measurement of the occurrence of the effect of the publication selection bias. We find that the intercepts in regressions for profitability, assets structure and company size are significant (Table 3 – publication selection bias). The inclusion of potential sources of heterogeneity removes publication bias just for the case of company size.

Potential explanatory variables included in meta-regression analysis are presented in Table 4. We include moderator variables to control for heterogeneity across studies. Table 3 presents the results of the reduced models, as during estimation, we observed that some moderator variables are not important in contributing to the potential source of heterogeneity, as they are not statistically significant.

We find now that precision coefficients in regressions for collateral (0,85) is significant (Table 3 – publication selection bias + heterogeneity). Estimates for the  $\beta_e$  parameter show the direction of the bias. In case of collateral we observe a negative bias. More often cited studies report collateral estimates that are larger (on average 5e-06 lower). Furthermore, analysis with higher number of firms included are likely to report lower collateral estimates (on average 0,007 higher).

In summary, the results of the meta-analysis show the occurrence of the publication selection bias in the case of collateral. One reason for that can be wrong model specification, another reason may be connected with pressure for obtaining a statistically significant estimator.

### **Analysis of country level data**

The objective of this part of the paper is to explore relation between collateral and bank credit in European countries. The sample was obtained from the database of the European Committee of Central Balance Sheet Data Offices (BACH / ESD, 2013) and encompasses European countries for the period 2000-2014. BACH (Bank for the Accounts of Companies Harmonized) is a database of aggregated and harmonized accounting data of non-financial companies in European countries, based on their national accounting standards. The database currently includes data for 11 countries (Austria, Czech Republic, France, Germany, Italy, Poland, Portugal, Slovakia, Spain and Belgium, Netherlands). The data sources for this database include financial statements (balance sheets and income statements) of individual non-financial corporations.

Based on Figures 8-12 we may see that macroeconomic effects are crucial as company financing methods differ significantly between countries. Equity is most prevalent among enterprises in Poland, Netherlands and Czech Republic while total debt is most widespread among enterprises in Austria, Portugal, Germany and Italy, where bank loans play a greater role. What we see in Table 5 is that at the country level tangibility, profitability, size of a companies and Interests on financial debts/Total Assets are significant for bank loans in case of whole sample. Based on estimation of parameters, we note that collateral significantly determines the bank loan financing in the investigated countries, when considering the small and medium-sized companies. For both groups the impact is negative. The profitability of companies doesn't differentiate the use of bank credit to finance activities in the analyzed countries, regardless the size of firms. Interests on financial debts in small and large companies significantly differentiate the use of bank credit in countries. A similar conclusion was obtained for logarithm of total assets.

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or appears as the result of the methodology. Biase of the standard errors of estimates may also occur. It means that the more precise estimates may indicate on biase or inefficiency. Using random effects models can eliminate inefficiency or incorrect outliers. As a consequence of the foregoing we are using random effects and fixed effects models in this study

## A case of Poland

Database used in the article was created on the basis of the financial statements of companies listed on the Warsaw Stock Exchange, Newconnect or the Central Table of Offers (CeTO), operating in the years 1998-2015. We focused on non-financial enterprises, which, according to the Central Statistical Office results in exclusion from the study firms operating (according to the Polish Classification of Activities, 2007) in section A (Agriculture, forestry, hunting and fishing), K (Financial and insurance activities) and O (public administration and defense, compulsory social security). In addition section T (Activities of households, households producing goods and providing services for their own needs) and Section U (extraterritorial organizations and bodies) were removed. Furthermore, some variables include outliers in only the upper values, so we truncate the sample at the 99 percentile to exclude these outliers. When variables include outliers in both the upper and lower values, we truncate at both the 0.5 and 99.5 percentiles of the sample.

Table 6 provides some summary statistics. As shown, the average share of total liabilities in the balance sheet total amounts is about 40%, which means that the Polish listed companies to a large extent finance with the foreign capital (Table 6). In the sample leverage ranges from 0 to 98%. Analyzing the chart of variation of leverage over time we see that the highest average amount of leverage was achieved in 2002, which was the result of significant increases in the stock market. A significant decrease in leverage in 2007 was a reaction to the restrictive monetary policy - a rise in interest EURIBOR3M and LIBOR3M, as well as the growing trend of market interest rates on bank loans, interest WIBOR3M. The increase in market interest rates on bank loans and interest WIBOR3M resulted in a decrease in debt lasting until the beginning of 2008. In 2011, an increase in leverage was observed in response to the decline in market interest rates on bank loans and interest rates in 2010. Restrictive monetary policy in 2000, 2004 and 2007 resulted in a decrease in leverage. On the other hand, the policy of low interest rates in 2003 and 2006 and in the years 2009-2010 (WIBOR3M and market interest rates on loans) caused an increase in leverage. This points to the fact that monetary policy determines the structure of financial companies.

A dynamic econometric model has been estimated, describing how the long-term and short-term credit contracted by non-financial companies in Poland is affected by three categories of factors: macroeconomic (WIBOR3M and the real effective currency rate), microeconomic – associated with the internal financial situation and structural. Parameters were estimated using the robust system GMM (Generalised Methods of Moments) estimator 13 (see: Arellano & Bover, 1995; Blundell & Bond, 1998).

According to the static and dynamic theory of trade-off the companies maintain the optimal level of leverage, and quickly adapt to the aimed value in the case of any deviations. The theory of the hierarchy of sources of funding and market timing exclude the existence of an optimal debt ratio. Researchers verify the validity of these theories by estimation of coefficient of the speed of adjustment. A high value of coefficient confirms the validity of the theory of trade-off. Based on the literature, it was observed that the coefficient reaching a value above 20% is considered to be high. However, the authors suggest that the slow rate of adjustment does not indicate a rejection of the hypothesis according to which the companies have an optimal capital structure. This slow rate may result from the existence of high adjustment costs that exceed the costs of staying outside the optimum. In our study the estimate of coefficient for lagged dependent variable is 58.45%. It means that companies adjust its current level of leverage to the optimal value at a rate of 41.55% per year (which means that companies need 1.3 years to reduce half of the distance to the optimum leverage). In comparison with results obtained by other researchers it is relatively high rate. The high values, 34% and 46% were received, among others, by Flannery and Rangan (2006) and Cook and Tang (2010) respectively. Fama and French (2002) and Huang and Ritter (2005) interpret the obtained slow rate of adjustment to support the theory of the hierarchy of sources of funding.

The size of the company shows a positive correlation with the level of leverage. This confirms the assumption of the theory of trade-off, the more profitable companies have a larger share of foreign capital in total assets. Large enterprises finance investments through external sources, in particular the long-term bank loan and sale of securities. Firms that generate higher revenues, having more bargaining power and better access to credit have lower credit margins and increased foreign capital in the capital structure. Smaller companies finance mainly with profits generated or contributions owners.

We find that debt decreases with increasing profitability and effective tax rate. The results confirm the validity of the theory of the hierarchy of sources of financing, according to which companies capable to generate high profits have a greater tendency to use equity than foreign capitals. High taxes result from the large revenues that reduce the need for debt.

Growing companies have a greater need of capital, and therefore rely on external financing. The increase in sales is not able to meet the financial needs due to the problem of gridlock. According to the theory of the hierarchy of sources of

finance companies prefer debt issue than shares. Our results indicate a positive correlation between the level of leverage and growth opportunities, which confirms the validity of the theory.

Tangible fixed assets may be treated as a collateral. The higher share of fixed assets in total assets reduces the lender's risk and increases the access to external capital, which is consistent with the theory of trade-off. Agency costs and information asymmetry can cause that lenders require guarantees in the form of collateral on fixed assets, and therefore expected positive impact of this variable on the size of the debt ratio. The variable asset structure works with lags, as the basis for verification of the credit are the financial statements for the previous year.

Liquidity is defined as the company's ability to timely repayment of current liabilities. Companies with high liquidity have a greater ability to pay the debt and therefore should use the foreign capital as a main source of funding. We got a positive relation between the level of debt and liquidity, which testifies to the support of the theory of substitution.

Non-interest tax shield is an important factor affecting the capital structure. It arises as a result of the existence of other than interest on borrowed capital, items that reduce the tax base, such as depreciation. In our study, non-interest tax shield reduces debt, which indicates that companies use rather depreciation than the interest paid on the debt. The results are consistent with the theory of substitution. In turn, the interest tax shield has a positive impact on the level of leverage.

It is assumed that companies with high expenditure on research and development prefer equity financing. However, our results indicate a positive relationship between intangible assets and the debt ratio. According to the theory of signaling, a well-developing companies increase the involvement of foreign capitals to signal the good prospects for the future.

In the case of other explanatory variables used in the model, theories regarding the choice of the capital structure does not give a clear indication as to the direction of the expected impact on the level of debt. The negative impact of the inverted index bankruptcy on leverage points to the fact that companies having a higher probability of bankruptcy are less likely to benefit from the financing of foreign capital. This may involve the fact that the threatened with bankruptcy companies will not be able to repay its liabilities. The median leverage in the sector is an important determinant of the debt ratio. Companies operating in the same industry are affected by a similar environment: market fluctuations, the impact of state institutions or changes in the market of suppliers and customers, which indicates the existence of a positive relationship between the variables.

The survey was repeated for industrial and service companies separately. High rate of adjustment of the current level of debt to the optimal level for both industrial (35.83%) and service companies (41%) proves the existence of an optimal capital structure and rapid effort to achieve it, regardless of the industry. The results are just slightly different in terms of the factors that influence the choice of debt in these two sectors of the economy. In both subgroups the same variables occurred to be significant determinants of debt. However, for industrial companies growth opportunities and the share of intangible assets in total assets have a negative impact on the dependent variable. The negative relationship between the debt and growth opportunities, according to the theory of substitution, reflects that costs of the financial risk (including bankruptcy) increase with the expected growth of the company, forcing managers to reduce debt in the capital structure. For service companies the relation is consistent with the theory of the hierarchy of sources of funding. Summing up, the influence of most variables used in the model indicates to the theory of substitution in case of Polish listed companies, irrespective of the sector of the business.

Due to the fact that the size of the company may affect its access to capital markets, the risk of bankruptcy and economies of scale in contracting capital, a model was estimated for small and large companies separately. An important conclusion derived from the analysis is that large companies slowly adjust the current level of debt to the optimal size. The adjustment rate for large companies is only 23.54%, while in the case of small firms it is 44.55%. This is because large companies are characterized by lower volatility of cash flow, and therefore meet lower costs associated with a deviation from an optimal debt. Although the adjustment process in large companies is slower than in small firms, based on the literature for both cases it is referred as fast.

It turns out that for large companies, as in the case of industrial firms, growth opportunities and the share of intangible assets in total assets are negatively correlated with the level of debt. This is because the highly developing smaller businesses have a greater financial needs, so they lend more. The increase in sales is not able to meet the financial needs of small businesses because of the gridlock. For large companies an increase in sales growth increase the possibility of self-financing, which reduces the need for external financing. In large companies, payment backlogs are of minor importance, and sales growth results in an increase in revenues from debt repayment. Another difference between small

and large companies is the negative impact of collateral on the level of leverage in the case of large enterprises. Higher fixed assets increase the availability of external capital as they reduce the risk of the lender. Therefore, the positive impact of collateral on debt is expected. However, for large enterprises increase in fixed assets reduces the demand for foreign capital financing. For smaller companies assets held in year t-1 increase debt, as they constitute collateral. This is because the basis for verification of the creditworthiness is the financial statements for the previous year. Moreover, in the case of large companies, variable non-interest tax shield is irrelevant. This is due to the fact that large businesses borrow more in order to maximize tax benefits. Smaller companies receive tax savings mainly due to depreciation, rather than the interest paid on the debt. Despite minor differences in the estimates of parameters, the impact of most variables points to the application of the theory of substitution in Polish listed companies, regardless of company size.

## 6 Conclusion

In this study we analyze a collateral and bank credit relation. This study pursues two objectives: on one hand, we conduct a meta-analysis, we make comparison of results differentiating between publications and verify publication selection bias, on the other, we explore the determinants of bank loan financing based on the country level data and Polish firms level data.

The described study is the continuation of the previous meta-analyses of the authors (Bialek-Jaworska, Dzik-Walczak, Nehrebecka, 2015). The benefit of this work is that, by aggregating results across a large number of investigations and exploiting between-study design variation, we point variables that modify them more precisely than could be done through qualitative review.

In the publications regarding bank loans, the publication selection bias was found for collateral estimates. When analyzing the determinants of bank loan financing based on the country level data we found that equity is most prevalent among enterprises in Poland, Netherlands and Czech Republic while total debt is most widespread among enterprises in Austria, Portugal, Germany and Italy, where bank loans play a greater role. At the country level collateral is significant for bank loans and the impact that we get is negative. Based on the empirical analysis of Polish firms we conclude that the long-term and short-term debt contracted by non-financial companies is affected by three categories of factors: macroeconomic, microeconomic and structural. We find that the impact of collateral on debt is positive, except for the subsample of large enterprises.

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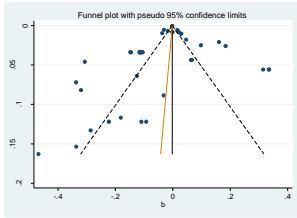
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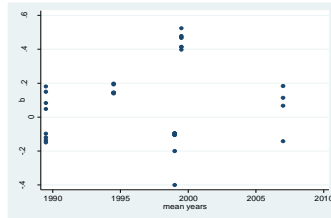
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**Figure 1.** Collateral: relation between the parameter estimation and the inverse of the standard deviation



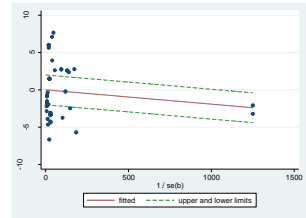
Source: own study based on the review of empirical literature

**Figure 2.** Collateral: change of estimated values in time



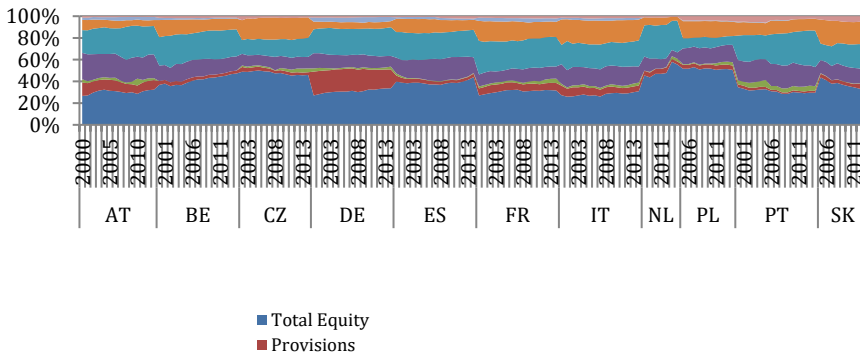
Source: own study based on the review of empirical literature.

**Figure 3.** Galbraith plot for the effect of collateral on bank credit financing



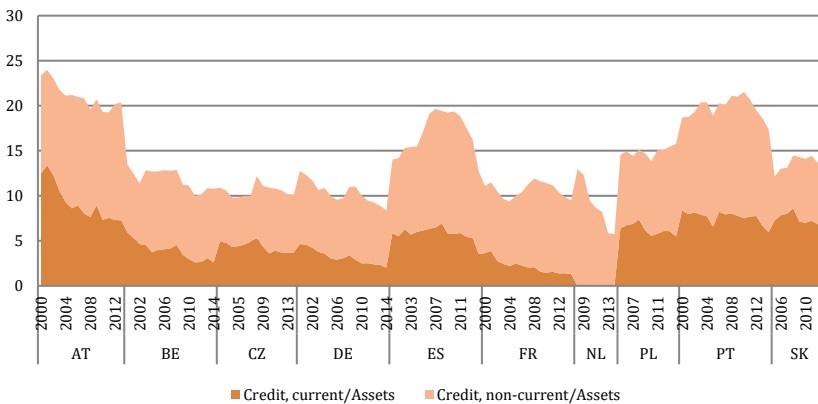
Source: own study based on the review of empirical literature.

**Figure 4.** Weight of each source of financing on total liabilities



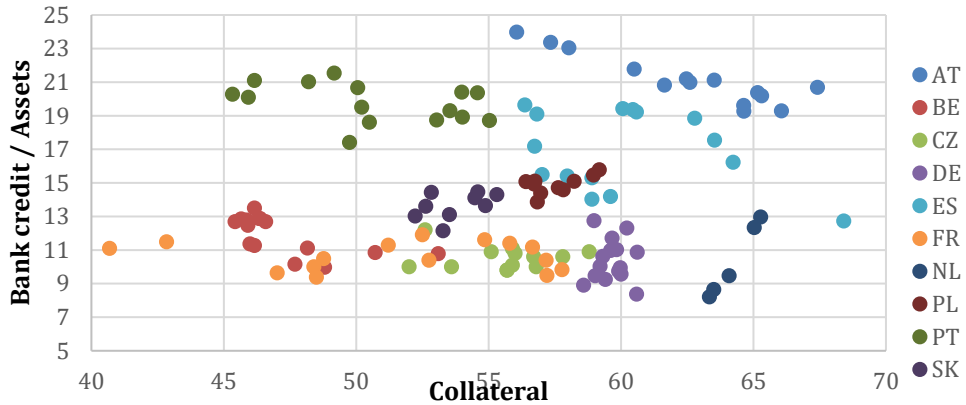
Source: Own Study Based on Bach Database.

**Figure 5.** Bank credit on total assets



Source: own study based on BACH DATABASE.

Figure 6. Bank credit and Collateral relation



Source: own study based on BACH DATABASE.

Table 1. List of articles included in the last phase of the meta-analysis

Authors and title	Years of research	Country	Publications
Alonso et al. (2005) Determinants of Bank Debt in a Continental Financial System: Evidence from Spanish Companies	1991-1996	Spain	The Financial Review, Eastern Finance Association
Białek, Dzik-Walczak, Nehrebecka (2014)	1995-2011	Poland	Materiały i Studia National Bank of Poland
Boguszewski, Kocięcki (2000) Wpływ polityki pieniężnej na zachowania przedsiębiorstw w świetle danych GUS i badań ankietowych - wybrane zagadnienia	1994	Poland	Bank i Kredyt
Bougheas et al. (2006) Access to external finance: theory and evidence on the impact of firm-specific characteristics	1990-1999	Great Britain	Journal of Banking and Finance
Brown et al. (2011)	2003-2007	Bulgaria	Economic Policy
Berrosipide, Meisenzahl, Sullivan (2012), Credit Line Use and Availability in the Financial Crisis: The Importance of Hedging	2006-2008		FEDS Working Paper
Cole, Sokolyk (2016) Who needs credit and who gets credit? Evidence from the surveys of small business finances.	1993, 1998, 2003	USA	Journal of Financial Stability
Cole., Bank Credit, Trade Credit or No Credit: Evidence from the Surveys of Small Business Finances (January 14, 2011). Available at SSRN: <a href="http://ssrn.com/abstract=1540221">http://ssrn.com/abstract=1540221</a> or <a href="http://dx.doi.org/10.2139/ssrn.1540221">http://dx.doi.org/10.2139/ssrn.1540221</a>	1993, 1998, 2003	USA	Office of Advocacy, U.S. Small Business Administration
Cole, Dietrich (2012) SME Credit Availability Around the World, Evidence from World Bank's Enterprise Survey	2006-2011	80 countries	World Bank's Enterprise Survey
Cook (1999) Trade Credit and Bank Finance: Financing Small Firms in Russia	1995	Russia	Journal of Business Venturing
Demiroglu et al. (2012) Bank lending standards and access to lines of credit	1996-2004		Journal of Monetary, Credit and Banking
Dewaelheyns, Van Hulle (2010) Internal capital markets and capital structure: Bank	1997-2001	Belgium	European Financial Management

versus internal debt			
Ghosh, Sensarma (2004) Does monetary policy matter for corporate governance? Firm-level evidence from India.	1992-2002	India	Advances in Financial Economics
de Haan, Sterken (2000)	1990-1997	EU, Great Britain	De Nederlandsche Bank, Research Memorandum WO&E
de Haan, Sterken (2006)			European Journal of Finance
Huyghebaert, Van de Gucht, Van Hulle (2007), The Choice between Bank Debt and Trade Credit in Business Start-ups	1988-1991	Belgium	Small Business Economics
Jiménez, Ongena, Peydró, Saurina (2010), Credit supply identifying balance-sheet channel with loan applications and grantem loans,	2002-2008	Spain	European Central Bank Working Paper
Jiménez et al. (2010)	2002-2008	Spain	AMERICAN ECONOMIC REVIEW
Jiménez, Ongena, Peydró, Saurina, (2012) Credit Supply versus Demand: Bank and Firm Balance-Sheet Channels in Good and Crisis Times	2002-2010	Spain	European Banking Center Discussion Paper
Jiménez, Ongena, Peydró, Saurina, (2009), Monetary Policy and Credit Crunch: Identifying Simultaneously the Bank Lending and Balance Sheet Channels	1992-2006	Spain	Bank of Spain mimeo
Love, Peria (2014)	2002-2010	80 countries	World Bank Econ Rev
Aghion, Askenazy, Berman, Cette, Eymard (2012)	1993-2004	France	Journal of the European Economic Association

Source: own study based on the review of empirical literature.

**Table 2.** Summary statistics for the effect of collateral on bank loan financing

Variable	The direction of impact	# regressions	Mean	Median	SE	Minimum	Maximum
Fixed Assets / Total Assets	+	27	0,089	0,139	0,202	-0,401	0,524
	-	15					
	Not significant	12					

Source: own study based on the review of empirical literature.

**Table 3.** Linear regression results for publication selection bias

Variables	b (se)	
Publication selection bias		
1/se	-0,1139*** (0,0362)	
constant	2,1118*** (0,5891)	
Publication selection bias + heterogeneity		
Model	FE	RE
Publication bias (K-variables)		
Constant	0,7868*** (0,1682)	0,8496*** (0,2086)
No. of firms	-5,44e-06*** (9,90e-07)	-5,63e-06*** (1,07e-06)
Study citations	0,00678** (0,0034)	0,0071*** (0,0033)
Genuine empirical effects (Z-variables)		
1/se	-0,1085***	
	-0,1106***	

	(0,0096)	(0,0107)
Sector fixed-effects /se	0,1445*** (0,0335)	0,1392*** (0,0323)
N	46	46
F (Ho: K variables are jointly not significant)	F( 2, 41) = 17.31 Prob > F = 0.0000	F( 2, 41) = 16.24 Prob > F = 0.0000
Test for residual between-study variance (of $\tau^2=0$ )		Q_res (41 df) = 1001.21 Prob > Q_res = 0.0000

\* Significant at 10%, \*\* Significant at 5%, \*\*\* Significant at 1%. Mean error values are enclosed in round brackets.

Source: own study based on the review of empirical literature.

**Table 4.** Potential Explanatory Variables for Meta-Regression Analysis

Variables	Definition
Data Characteristics	
Panel data	1 if panel data are used (cross-sectional data are the base)
Time span	The number of years of the data used
No. of firms	Sample size/time span
Average year	Average year of the data used
Year of publication	Year when an article was published
Large	1 if large enterprises are investigated
Capital groups	1 if capital groups are investigated
Estimation Characteristics	
Differences	1 if the regression is estimated in differences
Year fixed-effects	1 if year fixed-effects are included
Sector fixed-effects	1 if sector fixed-effects are included
OLS	1 if OLS used for estimations (random effects, GMM, WLS, and others as a base)
Macro	1 if macroeconomic conditions variables are included
One-step estimations	1 if coefficients are estimated in one-step
Specification Characteristics	
Firm size	1 if the specification controls for firm size (sector competition)
One country	1 if one country firms are included in the regression
Lagged spillover	1 if the coefficient represents lagged foreign presence
Europe	1 if European countries are investigated
Publication Characteristics	
Publication date	The publication year of the study
Published	1 if the study was published in a peer-reviewed journal
Study citations	Study citations in Google Scholar per age of the study, as of May 2016
Journal rank	1 if the study published in high journal rank, 2013 ISI impact factor
Working paper	1 if research is a working paper

Source: own study based on the review of empirical literature.

**Table 5.** Country data level analysis of bank loans

Variable	Whole sample		Small firms		Medium firms		Large firms	
	RE	GLS	RE	GLS	RE	Random-effects linear models with an AR(1) disturbance	RE	Random-effects linear models with an AR(1) disturbance
Collateral (Fixed Assets / Total Assets)	-0,187 (0,035) [-5,3]	-0,124 (0,038) [-3,3]	-0,041 (0,069) [-0,6]	-0,170 (0,057) [-3,0]	-0,269 (0,063) [-4,3]	-0,180 (0,054) [-3,4]	0,014 (0,053) [0,3]	-0,045 (0,042) [-1,1]
Profitability (ROA = Net Income / Total Assets)	-0,489 (0,130) [-3,8]	-0,225 (0,095) [-2,4]	0,122 (0,300) [0,4]	-0,085 (0,234) [-0,4]	-0,429 (0,242) [-1,8]	0,067 (0,192) [0,4]	-0,181 (0,163) [-1,1]	0,038 (0,131) [0,3]
Interests on financial debts/ Total Assets	0,743 (0,421) [1,8]	1,325 (0,370) [3,6]	1,844 (0,638) [2,9]	1,423 (0,441) [3,2]	-0,176 (0,654) [-0,3]	0,052 (0,496) [0,1]	0,696 (0,585) [1,2]	2,237 (0,486) [4,6]
Size (Logarithm of Total Assets)	-0,553 (0,336) [-1,7]	-0,961 (0,366) [-2,6]	-1,386 (0,589) [-2,4]	-3,121 (0,633) [-4,9]	1,522 (0,618) [2,5]	0,263 (0,683) [0,4]	-1,177 (0,486) [-2,4]	-0,651 (0,520) [-1,3]
Constant	37,341 (7,054) [5,3]	39,089 (7,893) [5,0]	45,209 (12,014) [3,8]	84,714 (12,890) [6,6]	6,552 (10,833) [0,6]	22,717 (12,577) [1,8]	33,412 (9,923) [3,4]	23,450 (10,193) [2,3]
N	143							
Diagnostic	Statistical tests	p-value	Statistical tests	p-value	Statistical tests	p-value	Statistical tests	p-value
Test for panel-level heteroskedasticity	151.33	0.0000	158.15	0.0000	2.13	0.9952	-84.94	1.0000
Test for panel-level autocorrelation	29.476	0.0003	13.669	0.0041	52.296	0.0000	-0.034	0.9731
Test of cross sectional independence	1.816	0.0694	0.802	0.4225	0.666	0.5057	8.147	0.0171

Mean error values are enclosed in round brackets, t Student – in square brackets.

Source: own study based on BACH DATABASE.

**Table 6.** Description of variables used in the debt of polish enterprises model

Variable	Definition
Debt1	(Long-term debt+ Short-term debt) / Total assets
Debt2	Short-term debt / Total assets
Debt 3	(Long-term debt+ Short-term debt) / (Total debt+Equity-Revaluation reserve)
Firms' characteristics	
Company size	Logarithm of revenues
Profitability	EBIT/ total assets



Collateral	Tangible assets/total assets
Non-interest tax shield	Depreciation/total assets
Interest tax shield	Interest/total assets
Intangible assets	Intangible assets /total assets
Growth opportunities	(Revenue from sales (t) – Revenue from sales (t-1)) / Revenue from sales (t-1)
Current ratio measure	Current assets/Short-term liabilities
Quick ratio measure	Current assets and inventories/Short-term liabilities
Effective tax rate	The current part of income tax/profit before tax
Inverted index bankruptcy	Nehrebecka, Dzik (2016)
Grants	Binary variable, takes 1 if firm got grants
IAS	Binary variable, takes 1 if firm have set of basic accounting records which are prepared and audited in line with IAS
Macroeconomic variables	
GDP	The growth of Gross Domestic Product
WIBOR3M	3-month WIBOR interest rate
REER	Effective rate of exchange

**Table 7. Descriptive statistics of variables used in the model**

Variable	Mean	Std. dev	Q1	Median	Q3	Min	Max
Debt	0,3928	0,2137	0,2240	0,3814	0,5493	0,0000	0,9821
Revenues	536923	2769538	22256	79039	255306	0,0000	79000000
Profitability	0,0691	0,0846	0,0015	0,0465	0,0965	0,0000	0,7770
Collateral	0,2661	0,2218	0,0729	0,2224	0,4102	0,0000	0,9673
Non-interest tax shield	0,0363	0,0334	0,0136	0,0294	0,0489	0,0000	0,4537
Interest tax shield	0,0066	0,0105	0,0000	0,0000	0,0101	0,0000	0,0354
Intangible assets	0,0312	0,0796	0,0008	0,0048	0,0198	0,0000	0,8654
Growth opportunities	0,1630	0,3772	-0,0537	0,0942	0,2989	-0,4331	1,1907
Current ratio measure	2,2986	1,9178	1,1179	1,5883	2,6870	0,5611	8,3258
Effective tax rate	0,0669	0,1103	0,0000	0,0000	0,1480	0,0000	0,3420
Inverted index bankruptcy	1,0447	2,2484	0,3887	1,0000	1,8662	-4,6108	6,1899
Median sector debt	0,3737	0,0949	0,3089	0,3552	0,4397	0,2477	0,6204

**Table 8. Debt determinants – model estimation results.**

Explanatory variable	Trade-off theory	Pecking order theory	Base model (Debt 1)	Models with effect of the sector			Models with effect of the size		Robust models	
				Manufacturing	Services	Small	Large	Debt 2	Debt 3	
Debt in t-1			0,584 * 5 (0,00 * 21)	0,641 * 7 (0,00 * 87)	0,590 * 0 (0,00 * 40)	0,554 * 5 (0,00 * 57)	0,764 * 6 (0,00 * 63)	0,42 * 36 (0,00 * 28)	0,58 * 55 (0,00 * 35)	
Firms' characteristics:										
Company size	+	-	0,007 * 1 (0,00 * 03)	0,012 * 2 (0,00 * 05)	0,006 * 3 (0,00 * 04)	0,004 * 1 (0,00 * 07)	0,013 * 5 (0,00 * 17)	0,01 * 04 (0,00 * 02)	0,00 * 81 (0,00 * 04)	
Profitability	+/-	-	- * 0,116 * *	- * 0,121 * *	- * 0,174 * *	- * 0,044 * *	- * 0,277 * *	- * 0,08 * *	- * 0,13 * *	

		9	*	9	*	7	*	5		7	*	87	*	83
		(0,00		(0,01		(0,01		(0,01		(0,01		(0,00		(0,00
		76)		84)		09)		78)		23)		81)		70)
Collateral		0,114	*	0,073	*	0,086	*	0,062	*	-	*	0,02	*	0,09
		1	*	6	*	9	*	0	*	0,032	*	77	*	71
	+	(0,00	*	(0,01	*	(0,00	*	(0,00	*	3	*	(0,00	*	(0,00
	-	44)		10)		47)		87)		(0,00		39)		42)
										99)				
Non-		-	*	-	*	-	*	-	*	0,006		-	*	-
interest		0,325	*	0,391	*	0,195	*	0,160	*	8		0,11	*	0,25
tax shield	-	2	*	1	*	0	*	5	*	(0,04		45	*	87
		(0,02		(0,07		(0,01		(0,04		52)		(0,01		(0,02
		05)		40)		67)		32)		80)		80)		09)
Interest		1,930	*	2,392	*	1,666	*	1,695	*	1,650	*	2,65	*	1,46
tax shield		4	*	2	*	5	*	5	*	7	*	85	*	53
		(0,03	*	(0,08	*	(0,05	*	(0,10	*	(0,06	*	(0,04	*	(0,03
		22)		62)		75)		44)		80)		17)		83)
Intangible		0,216	*	-	*	0,068	*	0,221	*	-	*	0,20	*	0,16
assets		9	*	0,087	*	2	*	9	*	0,087	*	24	*	07
		(0,01	*	1	*	(0,01	*	(0,02	*	2	*	(0,01	*	(0,01
		11)		(0,04		42)		34)		(0,03		14)		03)
				07)						24)				
Growth		0,035	*	-	*	0,076	*	0,019	*	-	*	0,08	*	0,04
opportunit		8	*	0,012	*	0	*	7	*	0,011		27	*	81
ies	-	(0,00	*	4	*	(0,00	*	(0,00	*	9		(0,00	*	(0,00
	+	15)		(0,00		21)		27)		(0,00		14)		12)
				55)						68)				
Current		0,002	*	0,005	*	0,005	*	0,003	*	0,015	*	-	*	0,00
ratio		9	*	2	*	5	*	1	*	6	*	0,00	*	25
measure	+	(0,00	*	(0,00	*	(0,00	*	(0,00	*	(0,00	*	08	*	(0,00
	-	02)		06)		03)		06)		11)		(0,00		04)
										02)				
Effective		-	*	-	*	-	*	-	*	-	*	-	*	-
tax rate		0,093	*	0,050	*	0,043	*	0,063	*	0,028	*	0,06	*	0,06
		4	*	9	*	3	*	1	*	2	*	96	*	98
		(0,00		(0,00		(0,00		(0,01		(0,00		(0,00		(0,00
		44)		62)		57)		08)		72)		44)		38)
Inverted		-	*	-	*	-	*	-	*	-	*	-	*	-
index		0,003	*	0,001	*	0,004	*	0,007	*	0,001	*	0,00	*	0,00
bankruptc		2	*	7	*	5	*	2	*	8	*	31	*	35
y		(0,00		(0,00		(0,00		(0,00		(0,00		(0,00		(0,00
		03)		03)		03)		05)		03)		02)		02)
		0,007	*	0,013	*	0,002	*	-	*	0,003		-	*	0,00
Investme		9	*	5	*	6	*	0,010	*	3		0,00	*	80
nt rate		(0,00	*	(0,00	*	(0,00	*	6	*	(0,00		47	*	(0,00
		10)		36)		09)		(0,00		21)		(0,00		12)
								19)				09)		
Median		0,276	*		*	0,193	*	0,254	*	0,136	*	0,28	*	0,32
sector		9	*		*	8	*	0	*	6	*	47	*	00
debt		(0,00	*		*	(0,00	*	(0,02	*	(0,01	*	(0,00	*	(0,00
		57)				71)		48)		19)		52)		59)
Grants		-	*	-	*	-	*	-	*	-	*	0,00	*	-
		0,009	*	0,019	*	0,019	*	0,008	*	0,019	*	92	*	0,00
		2	*	4	*	7	*	0	*	7	*	(0,00	*	57
		(0,00		(0,00		(0,00		(0,00		(0,00		11)		(0,00
		20)		24)		53)		54)		29)				19)
IAS		0,027	*	0,021	*	0,017	*	-	*	0,032	*	0,02	*	0,01
		3	*	5	*	0	*	0,015	*	2	*	56	*	68
		(0,00	*	(0,00	*	(0,00	*	2	*	(0,00	*	(0,00	*	(0,00
		14)		30)		22)		(0,00		22)		13)		16)

51)

Macroeconomic  
variables

GDP	0,002 7 (0,00 02)	* * * * * *	0,005 3 (0,00 05)	* * * * * *	- 0,000 8 (0,00 05)	* * * * * *	0,000 8 (0,00 08)	* * * * * *	0,003 7 (0,00 05)	* * * * * *	0,00 49 (0,00 02)	* * * * * *	0,00 30 (0,00 02)	* * * * * *
ΔWIBOR 3M	- 0,001 9 (0,00 01)	* * * * * *	- 0,003 2 (0,00 02)	* * * * * *	- 0,002 4 (0,00 03)	* * * * * *	0,000 0 (0,00 03)	* * * * * *	- 0,000 9 (0,00 03)	* * * * * *	- 0,00 29 (0,00 01)	* * * * * *	- 0,00 15 (0,00 01)	* * * * * *
REER	- 0,001 2 (0,00 01)	* * * * * *	- 0,002 3 (0,00 02)	* * * * * *	- 0,000 8 (0,00 02)	* * * * * *	- 0,002 2 (0,00 02)	* * * * * *	- 0,001 2 (0,00 02)	* * * * * *	- 0,00 26 (0,00 01)	* * * * * *	- 0,00 13 (0,00 01)	* * * * * *
Constant	0,051 0 (0,00 94)	* * * * * *	0,168 0 (0,01 76)	* * * * * *	0,064 5 (0,02 04)	* * * * * *	0,226 7 (0,02 07)	* * * * * *	- 0,021 6 (0,02 94)	* * * * * *	0,19 40 (0,00 84)	* * * * * *	0,04 42 (0,00 99)	* * * * * *

Test statistic (p-value)

Test	- 9,141 4 (0,00 00)	- 6,025 2 (0,00 00)	- 6,134 4 (0,00 00)	- 6,228 5 (0,00 00)	- 7,172 8 (0,00 00)	- 9,63 54 (0,00 00)	- 8,65 73 (0,00 00)
Arellano- Bond Test for the first-order autocorrel- ation	1,247 1 (0,21 24)	0,262 8 (0,79 27)	1,460 5 (0,14 42)	1,352 0 (0,17 64)	0,343 6 (0,73 12)	0,56 65 (0,57 11)	1,19 04 (0,23 39)
Arellano- Bond Test for the second- order autocorrel- ation	344,2 584 (0,57 65)	157,3 900 (0,98 04)	187,2 700 (0,64 16)	179,3 050 (0,78 32)	197,2 016 (0,44 24)	341, 88 (0,61 17)	344, 51 (0,57 27)

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## Legislative Aspects of Environmental Inquiries Pertaining to Problems of Families Related to Social Support

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### Abstract

The paper presents the legal conditions created by the state dedicated to people in difficult financial situation. In particular the analysis focuses on the guidelines of the Act of March 12, 2004 on social support and the Ordinance of the Minister of Family, Labour, and Social Policy of August 26, 2016 on environmental inquiries in the family. According to the aforementioned act “environmental inquiry in the family is conducted with persons and families who benefit from or have applied for social support in order to establish their personal, family, financial, and material situation” (art. 107 sec. 1). The following problems are discussed in the present paper: the guidelines of conducting environmental inquiries in the family, the subjects eligible to carry out the inquiries, and the methods of documenting the interviews. The problems pertaining to the conditions of being granted financial help by the government are changing dynamically in Poland, while the institutions that provide the support ought to be stable and guarantee the reception of support if the necessary conditions are met.

**Keywords:** environmental inquiry in the family, social support, system of support for families, poverty.

### The system of social support in Poland

One of the most important institutions of state social policies is social support, whose aim is to make it possible for individuals and families to overcome difficult life situations which they cannot themselves overcome with the use of their own resources, opportunities, or legitimations (Act of March 12, 2004 on social support: art. 2.1). The Minister of Family, Labour, and Social Policy, a chief body in government administration, is responsible for the organisation of social support. Currently in Poland it is Elżbieta Rafalska (Ministry of Family, Labour and Social Policy, 2016a). On the level of voivodships social support is organised by the voivods, and as part of the units of territorial government also the voivodship marshals, as well as starosts on the poviante level and voits, mayors (city presidents) on the level of boroughs. When carrying out their duties pertaining to social support these government bodies cooperate with non-governmental organisations, the Roman Catholic Church, other churches and religious associations, as well as individuals and legal entities (Act of March 12, 2004 on social support: art. 2.2).

The aim of social support is to help individuals and families in fulfilling their basic needs and achieving a living standard securing human dignity. The goal of social support is the prevention of difficult life situations and undertaking actions aimed to help individuals and families live independently and to integrate with the communities (Act of March 12, 2004 on social support: art. 3). In Poland social support is provided on the basis of two criteria. The first criterion is income (commonly called the threshold of entrance to the system of social support) which is a formal premise; the second criterion is social risks that threaten an individual or a family – the risks are listed in the act on social support (factual premise). Both the criteria ought to be met simultaneously (Broda-Wysocki, n.d.).

The circle of persons eligible for social support is defined by **formal premises**. Firstly, the act enumerates the persons with Polish citizenship, with registered residence and currently residing in Poland (Act of March 12, 2004 on social support: art. 5). What is more, social support funds can be received by foreigners with registered residence and currently residing in Poland on the basis of residence permits (permanent or temporary) as well as residence permits based on humanitarian premises or tolerated residence permits granted to refugees and migrants. These rights are also granted to citizens of the European Union, the countries of the European Free Trade Association, the Swiss Confederation and their families residing in the Republic of Poland (Act of March 12, 2004 on social support: art. 5). Furthermore, according to the act the subjects applying for social support need to meet the following income criteria:

single household income – 634 PLN (ca. € 144<sup>1</sup>),

income per family member – 514 PLN (ca. € 117),

family income – the amount depends on the number of family members and does not exceed the limit for income per family member.

The act on social support enumerates examples of situations that constitute a **factual criterion** to apply for social support. These include social risks such as: (1) poverty, (2) orphanhood, (3) homelessness, (4) unemployment, (5), disability, (6) enduring or severe illness, (7) domestic violence, (8) the necessity to protect the victims of human trafficking, (9) the necessity to protect motherhood and numerous families, (10) helplessness in parenthood and running the household (particularly in single-parent and numerous families), (11) difficulties with the integration of foreigners who have been granted asylum in Poland, as well as (12) alcoholism and drug addiction, (13) accidents and crises, and (14) natural and ecological disasters (Act of March 12, 2004 on social support<sup>art. 7</sup>). The enumeration is open, which means that individuals and families in situations similar but not listed in the act can also apply for social support from the state.

The persons who qualify according to both formal and factual criteria can receive support from the state in the form of (1) benefits, (2) community work, (3) conducting and developing necessary social infrastructure, (4) analysis and evaluation of the phenomena generating the need for social support, (5) realisation of the aims arising from a recognition of social needs, (6) developing new forms of social support and self help within the boundaries of the recognised needs (Act of March 12, 2004 on social support<sup>art. 15</sup>). The support is aimed at:

supporting individuals and families in difficult life situations, if possible, allowing them to live independently in conditions securing human dignity,

providing income on the level of social intervention – for individuals with no income or low income, in post-productive age, and the handicapped,

providing income to the level of social intervention to persons and families with low income who demand temporary support,

providing professional help to families that fall victim to social pathology including domestic violence,

integrating the socially excluded into their communities,

creating a network of social services adequate to the needs (Ministry of Family, Labour and Social Policy, 2017).

The social support system provides two types of benefits: monetary and non-monetary. The first type includes permanent and temporary benefits. Monetary benefits include also designated benefits and special designated benefits, benefits and loans to become financially independent, benefits for foster families, the benefits to become independent and continue education, benefits for livelihood and the expenditures connected with learning Polish for foreigners. The non-monetary benefits typically take the form of social services for those afflicted by social risks. The most important of them is community work (Broda-Wysocki, n.d.).

The social support benefits are granted when applied for by: (1) the individual to receive them, (2) their legal representative, (3) a third party, as agreed by the interested person or their legal representative. Social benefits may also be granted by the administration. An individual or a family can apply to a social support centre in their place of residence (the centres are located in every borough) (Ministry of Family, Labour and Social Policy, 2017).

### **Environmental inquiry in the family**

The decisions on the basis of which the support is granted or not call for the conducting of an environmental inquiry. The legal basis is art. 107 of the Act on social support which, in sect. 1 states: "Environmental inquiry in the family is conducted with persons and families who benefit from or have applied for social support in order to establish their personal, family, financial, and material situation" (Act of March 12, 2004 on social support<sup>art. 107.1</sup>). It is a particular type of evidence, obligatory to be carried out in all the cases connected with social support except for the granting of a credit ticket and providing help for foreigners-victims of human trafficking (Act of March 12, 2004 on social support<sup>art. 106.4</sup>). The Chief

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<sup>1</sup> Calculated on the basis of the exchange rate of 22.12.2016: 1 EUR=4.4 PLN.

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Administrative Court in its ruling of May 7, 2002 emphasises the role of environmental inquiry as evidence of particular importance in preliminary investigation pertaining (Ruling of the Chief Administrative Court of May 7, 2002) to social support.

Environmental inquiry in the family is conducted by a social worker who in some cases may be accompanied by another social worker or a police officer. The interview is carried out once every 6 months in the case of permanent support, and each time when personal data is altered (Act of March 12, 2004 on social support: art. 107.4). It can be stated that environmental inquiries in families are fundamental tools for social workers which allow them to learn about the family that apply for social support.

The persons and the families benefitting from social support are obliged to cooperate in the improving their difficult life situations. The act on social support notes that failure to agree to participate in an environmental inquiry in the family (or the updating thereof) by individuals or families applying for social support constitutes one of the reasons for the rejection of the application, repealing a decision to grant social support, or placing monetary benefits on hold. The refusal to provide a declaration of income and financial situation shall have the same result (Act of March 12, 2004 on social support: art. 107.4a and 107.5). The decisions pertaining to the benefits of social support are issued in writing. Each decision can be legally appealed. The discoveries made by a social worker ought to be based on the following documents:

an identity card,

duplicate of the birth certificate of a child or the medical record book of a child,

documents defining the legal status of a foreigner in Poland,

decisions on annuities, pensions, pre-pension payments and benefits, early retirement pensions, compensation benefits for teachers, payments for those in resting state, structural annuities, and social annuities,

decisions of a commission on disability and employment, medical decision on inability to work, inability to function independently, decisions of medical commissions,

decisions on disability or the level of disability,

certifications or declarations of employment remunerations, including information about personal income tax down payments, healthcare and pension and annuity fund dues, sick leave fund dues,

certifications or declarations on the level of remuneration received on the basis of agency agreements, order contracts, membership in farmer's associations, including the information about personal income tax down payments, healthcare and pension and annuity fund dues, sick leave fund dues,

certifications or declarations on the duration of employment, including the periods when social security dues were, or were not, paid,

certifications of the reception of annuities, pensions, pre-pension payments and benefits, early retirement pensions, compensation benefits for teachers, payments for those in resting state, structural annuities, and social annuities,

certifications of the borough office or declarations on the area of a farm in hectares,

certifications or declarations on the continuation of education in gymnasium, post-gymnasium schools, secondary schools, or college or university,

decision of a starost on recognition (or the lack thereof) as an unemployed person, the loss of the status of an unemployed person, the denial to grant the status, placement on hold, or the resumption, the loss or the deprivation of the right to unemployment benefits, training benefits, stipend, activation benefits, or the declaration of being registered as an unemployed person or a person seeking employment,

decision of the Social Security Institution on the definition of seed money,

certifications or declarations on obligation to pay social security dues for farmers,

confirmations of the paid social security dues for farmers,

confirmations of the payment of social security dues by entrepreneurs,

certifications or declarations on the declared basis of the social security dues for entrepreneurs,  
certifications of income of entrepreneurs,  
certifications or declarations of one-time social support benefits,  
decisions of administration bodies granting benefits,  
declarations of financial situation (Act of March 12, 2004 on social support, art. 107.4a and 107.5b),  
other documents, if required (Act of March 12, 2004 on social support, art. 107.4a and 107.5d).

Environmental inquiries in the family are documented by filling in an official form defined in the Ordinance of the Minister of Family, Labour, and Social Policy of August 25, 2016 on environmental inquiries in the family (Ministry of Family, Labour and Social Policy, 2016b). The same legal act defines the method and the times of the conducting of the inquiries, as well as the specimens of declarations of financial situation and the identification cards of social workers.

According to the aforementioned ordinance an environmental inquiry is conducted within 14 days of the reception of the information of the necessity to conduct an inquiry. In urgent cases requiring immediate intervention of a social worker from a social support centre or the poviata centre of support for families the inquiry is to be carried out immediately but not later than 2 days after the reception of the information about the necessity to grant social support benefits. A social worker ought to conduct the inquiry with the individual or the family in their place of registered residence or current residence, on business days, during the working hours of the social support centre or the poviata centre of support for families, or at another date as agreed upon with the individual or the family, with the permission of the head of the particular social support centre. The social worker ought to present their identity card before conducting the inquiry. The template of the identity card is provided in Attachment 4 to the Ordinance of the Minister of Family, Labour, and Social Policy of August 25, 2016 on environmental inquiries in the family (Ministry of Family, Labour and Social Policy, 2016b, § 14 in connection with Attachment 4 to the Ordinance). While the inquiry is being carried out what needs to be taken into account are individual traits, as well as personal, family, financial, and income situation of the person in the single household or the persons in the family, which can all have bearing on the type and the scope of the granted support. As part of the inquiry the social worker analyses and evaluates the situation of the particular individual or the family and formulates conclusions that are the basis for the planned support (Ministry of Family, Labour and Social Policy, 2016b, § 2). Each time the social worker is obliged to inform the individual or the family of the necessity to declare all changes in their personal and financial situation as well as income, which are all connected with the basis to provide support (Ministry of Family, Labour and Social Policy, 2016b, in connection with Act of March 12, 2004 on social support, art. 109).

In some cases an environmental inquiry in the family must be conducted with a legally incapacitated person. In such a situation the inquiry is *de facto* carried out with their legal guardian or curator, in the presence of the incapacitated person and in their place of residence (Ministry of Family, Labour and Social Policy, 2016b, § 5). Sometimes it is necessary to conduct an environmental inquiry in the family in more than one borough. This pertains in particular to the situations when a member of a family is in a hospital, or in a home in a different location, or because the members of the family are separated for other reasons. In such cases it is acceptable to use the help of social workers in the boroughs where the person that is to be interviewed resides (Ministry of Family, Labour and Social Policy, 2016b, in connection with Act of March 12, 2004 on social support, art. 103). The questionnaire of an environmental inquiry in the family can be filled in on paper or electronically. The template of the environmental inquiry in the family form is found in Attachment 1 to the discussed ordinance (Ministry of Family, Labour and Social Policy, 2016b, Attachment 1). It consists of 9 parts:

Part I. Pertains to the persons applying for social support. It includes the personal information of the person with whom inquiry was carried out, information about the family, description of their place of residence of the individual or the family, description of their health and professional situation, as well as the needs and the expectations of the person of the family that were mentioned during the interview. A further element is the evaluation of the situation of the individual or the family and the conclusions of the social worker, a plan of the support for the person or the family, as well as help plan confirmed by the head of a social support centre.

Part II. Pertains to the spouse, the descendants, and the parents not present in the place of residence of the individual applying for the support. It includes the personal information of the interviewed individual, information about their family members and other cohabitants, description of the help of the individual or the family granted to the individual or the family



applying for the support, as well as the persons that can also help the individual or the family applying for support, and conclusions of the social worker.

Part III. It is the update of the information about the spouse, the descendants, and the parents not present in the place of residence of the individual applying for the support. It includes the personal information of the interviewed person and the conclusions of the social worker.

Part IV. Pertains to the persons and the families benefitting from social support and it is an update of the inquiry. It includes the personal information of the person with whom inquiry was carried out, and a description the needs and the expectations of the person or the family that were mentioned during the interview, a plan of the support for the person or the family, as well as help plan confirmed by the head of a social support centre.

Part V. Pertains to persons applying for monetary benefits to become independent or to continue education. It includes personal information of the interviewee, conclusions of the social worker, and information about the decision to grant support.

Part VI. Pertains to the foreigners who have received asylum in Poland. It includes personal information of the interviewee, information about their family members residing in Poland, evaluation of their Polish language skills, description of the functioning of the foreigner and their family members in the new environment after leaving the refugee centre, description of their residential, health, and professional situation, income, as well as the needs and expectations addressed during the inquiry, the evaluation and the conclusions of the social worker, and a plan of the support for the person or the family, as well as help plan confirmed by the head of a social support centre.

Part VII. Pertains to the persons afflicted by mass crises, as well as natural disasters and accidents. It includes: personal information of the interviewee, description of the losses suffered as the result of the mass-scale crisis, as well as a natural disaster or an accident, as well as the needs and expectations addressed during the inquiry, the evaluation and the conclusions of the social worker, and a plan of the support for the person or the family, as well as the decision of the head of a social support centre.

Part VIII. Pertains to inquiries carried out to define the right to special attendance benefit<sup>1</sup>. It includes: personal information of the subject to inquiry, information gathered by the social worker, as well as conclusions of the social worker conducting the interview.

Part IX. Pertains to the inquiry on how the funds from the upbringing benefit (commonly named "500+" in Poland) are spent<sup>2</sup>. It includes: personal information of the interviewee, information gathered by the social worker in order to verify the doubts as to how care is taken and how the benefit funds are spent, and conclusions of the social worker conducting the inquiry.

A social worker is obliged to fill in the proper part of the form of the environment inquiry in the family depending on the situation defined in the application submitted by the person to receive the benefits or by proper authorities.

As it has been mentioned above, the questionnaire of the environment inquiry in the family is filled in on paper or electronically in the system that is made available free of charge by the minister proper to problems of social security. The system makes sure that, after the environmental inquiry in the family is confirmed, the information received from the person with whom the environmental inquiry in the family was conducted does not change and that it is integral. In the case when the questionnaire of the environmental inquiry in the family is filled in electronically, after the provided information is confirmed by the social worker, the person with whom the interview was carried out signs a declaration in which they confirm that they have become familiar with the content of the inquiry, the truthfulness of the information provided in the inquiry and having become familiar with the information about the criminal liability for bearing false testimony. The social worker

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<sup>1</sup> This inquiry is defined in art. 23 of the Act of November 28, 2003 on family benefits (Journal of Laws 2003.228.2255 with subsequent amendments).

<sup>2</sup> This inquiry is defined in art. 23 of the Act of November 28, 2003 on family benefits (Journal of Laws 2003.228.2255 with subsequent amendments) or in art. 15 sec. 1 or 2 of the Act of February 11, 2016 on government help in upbringing of children (Journal of Laws 2016.00.195 with subsequent amendments). Art. 15 sec. 1 states that "If in relation to an individual applying for the upbringing benefit or a person receiving the benefit doubts arise pertaining to their care of their child, (...) the benefit being spent wrongly or of the upbringing benefit being wasted, the proper government body or the voivodship marshal may ask the head of a social support centre to conduct an environmental inquiry in the family". The aforementioned upbringing benefit is the controversial 500+, that is, the amount of 500 PLN granted to every second child and further children, or to all children in low-income families.

conducting the inquiry types in the signature generated automatically by the system. After the submission the contents of the inquiry cannot be altered (Act of March 12, 2004 on social support<sup>art.</sup> 107.4a and 107 sec. 5e, 5f, 5f, 5h).

### Final conclusions

The European Social Charter signed by Poland on November 26, 1991 states that in order to secure the proper execution of the right to social support and medical care that state shall provide institutional support to every person incapable of securing them with their own means or the means that they can receive access to. The charter ensures that the persons receiving social support shall not suffer because of limitations of their social and/or political rights, and that each individual can receive from the proper public or private services personal help that is required for their security, and the removal or improvement of personal or family situation. The state secures the use of the aforementioned statements in an equal way to its citizens as well as the citizens of other countries legally residing in Poland (The European Social Charter, art. 13).

The essence of social support are the actions aimed to return and secure independent functioning where it is possible, and where it is not, support and care that guarantee existence with dignity (Starega-Piasek, 1998, p. 9). The goals in the realm of social support ought to be pursued by qualified social services, grouped in social support centres connected with the local administration. All other subjects of social support can and need only to serve a supplementary role. The number of the tasks for the social services makes it necessary for them to be conducted by properly trained personnel provided with proper tools to work with (Ratyński, 2003, pp. 258-259). It is all the more important because we can observe a constant transformation of the system of social support – from institutions of social aid to subjects conducting active social policies (Grewiński, & Zasada-Chorab, 2012, p. 13). The currently introduced changes are heading towards active social policies, they are aimed to activate the long-term unemployed, those threatened with social exclusion, to make it easier for them to move from the role of a passive client to an active participant in the process of helping and activation of local communities (Grewiński, & Zasada-Chorab, 2012, p. 13). In the reference sources, however, it is often claimed that a depreciation of the importance of social work in social support has taken place, that it is now a supplementary service to the granting and distribution of benefits. What is symptomatic of this phenomenon is the use of the environmental inquiry in the family by the social workers not as a tool of social diagnosis, but as a “buffer” for administrative decisions to grant benefits (Rymsza, 2011, p. 35). It is not easy to adjudicate in this matter, however, the conducted research suggests that there are indeed cases when conducting an environmental inquiry in the family is limited to thoroughly filling out the questionnaire defined by regulations and people and their actual needs are treated with indifference, not as a problem that needs to be solved, but as the object of tedious paperwork (Jurczyk-Romanowska, 2014, pp. 297-315).

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## Stereotype of the Other and the Bosnian Cultural Borderland Research Assumptions

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### Abstract

This paper tackles the issue of attitudes shaped in a culturally diverse environment, that can take form of a stereotype of the Other – a notion fundamental for the process of establishing own social identity. As far as culturally heterogeneous, complex societies are concerned, the image of the Other may acquire connotations different from those in culturally homogenous societies, hence it is worth to ponder over the way members of a cultural borderland construct their image of the Other, its features and specificity. Although the research is of preliminary, pilot character, it can provide with some assumption to a wider-scope project revealing the mechanisms of forming stereotypes and prejudices. Such knowledge, consequently, would be of great importance for pedagogues as well as formal and informal intercultural educators in determining the areas of compromise and conflict with given cultural codes, and cross-cultural practices. The theoretical framework of attitudes, stereotypes, and the concept of “the Other” is accompanied by the description of a cultural borderland as exemplified by Bosnia-Herzegovina, where the preliminary, qualitative research took place. Key impact in this regard is played by a relation between cultural pluralism and the process of shaping attitudes, as within given attitudes the individuals accept diversity and recognize it as an integral part of own, surrounding reality, crucially stimulating the process of opening to the understanding, cooperation and cross-cultural dialogue.

**Keywords:** stereotypes, prejudices, concept of the Other, qualitative research, Bosnian borderland, intercultural education

### Introduction

*...three possibilities [...] have always stood before man  
whenever he has encountered an Other: he could choose  
war, he could fence himself in behind a wall,  
or he could start up a dialogue* (Risard Kapuscinski)

Contemporary intercultural education deals with number of sociological and cultural phenomena that require a constant investigation into the nature of cultural diversity. Multiculturalism considered as a distinctive feature of the modern societies implies the today's man ceases to function as a typical member of a specific cultural community, within a ready-to-use and an unchangeable identity. The complexity of interactions occurring in the cultural borderlands is reflected in the attitudes to the Other, and stereotypes of such notions as “otherness” and “alienness”. In the pedagogical context, Bosnian multiculturalism, applying the philosophical notion of the Other (Alien) as defined by B. Waldenfels, allows to reveal the potential of daily experiences with the Other, that - in long term - could fundamentally enrich the cultural structure of a borderland, and provide pedagogues with new models of dealing with the cultural difference.

Attitudes constitute a form of divergent thinking, i.e. such, that contrary to convergent manner, recognizes and acknowledges various answers and solutions. Hence, if treated as an educational capital, they can provide a foundation for informal cross-cultural education allowing to “generate” ways to comprehend given social phenomena, entailing “flexibility of thinking” (Guilford, 1968). So, they can shape approach to cultural diversity, and reflect the way of exercising given stereotypes in a culturally diverse environment. Both flexibility and fluidity of thinking are linked to the degree of integration of attitudes (from strongly integrated to disintegrated) and its character (primary and secondary). Yet, it must be remembered that attitudes to given phenomena are related to the sense of self-esteem, its preservation, empowerment or protection. Therefore, if one finds his or her sense of self-esteem is threatened, he/she may adapt manners of diminishing the importance of a given object, phenomena or person. This, in turn, can evolve towards stereotypes, i.e. a fixed and oversimplified image or idea. Thus, such phenomena are worthy of methodological investigation, as stereotypes and

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attitudes towards the cultural difference can significantly shape theoretical framework of intercultural education. This pilot research project aims to initially recognize the attitudes of the Bosnian society members (with a multicultural background) towards the Other, and to establish whether (informal) cross-cultural education is a part of their everyday life experiences in this regard, or perhaps, it can become a foundation for such projects.

### **Stereotypes and attitudes – theoretical framework**

Gordon W. Allport defined attitudes as “the most distinctive and indispensable concept in contemporary social psychology” (Allport, 1935, p. 789). Attitudes combine beliefs and behaviour towards a given object, subject to individual traits and influence of the socializing surrounding, yet they are not of a permanent character. Alice H. Eagly and Shelly Chaiken define attitude as “a psychological tendency that is expressed by evaluating a particular entity with some degree of favor or disfavor” (Eagly & Chaiken, 1993, p. 1). Such stand seems to be reflected in the findings of social psychologist Robert Zajonc, who proved that people are more likely to have a positive attitude on the object of the attitude when they are exposed to it frequently than if they are not, hence more repeated exposure of the individual to a stimulus is a sufficient condition for the enhancement of this attitude toward it (Zajonc, 1968, pp. 1-27)<sup>1</sup>.

Although amongst social psychologists there is not one consensus as for the precise definition of an attitude, it is commonly agreed that it is a permanent positive or negative assessment of people, objects and ideas. It, therefore, significantly influences the way of applying stereotypes, and consequently contributes to the process of generating prejudices and discrimination, as attitudes are related to the way others' values, feelings and behaviors are assessed, entailing stereotypes within. Thus, from the perspective of the contemporary formal and informal education it is of paramount importance to analyze attitudes and stereotypes present in a culturally diverse environment, define their most common objects, and provide with proposal of counteracting various forms of prejudice they can lead to.

Albeit attitude as such has manifold interpretations in the literature on the subject, as for social psychology two main discourses come to the forefront (Lukaszewski, 1974, pp. 190-193). The first one defines attitudes as a way of taking a stand of a subject to a given object, accordingly such definition entails assessment of a given phenomenon – positive, ambiguous or negative, however it is not an intellectual judgment, but one of emotional origin. Such assessments are expressed with relation to the activity of a given subject towards an object, rather than as expressed by the opinion. The individuals express judgment manifesting own attitudes, at the same time accepting, avoiding, praising, fighting or condemning a given phenomenon. The second approach points to the function of an attitude as a way of readiness to perform tasks of a given kind. By so, attitude is an unaware readiness of the subject to perform a given task and provides a motivating factor for such activity. Both perspectives of perceiving attitudes stress their regulating character towards the human's activity, additionally determining the complexity of the conduct of such person.

An attitude is composed of three elements:

Cognitive – cognitive information includes the facts people know and the beliefs they have about an attitude object;

Affective information consisting of people's feelings and emotions about the object;

Behavioural information, i.e. knowledge about people's past, present, or future interactions with the attitude object (Smith et al., 2015, p. 237).

Thence, attitude is considered as a relatively permanent cognitive, emotional and behavioral organization of a subject, related to given object or a class of objects. It does not only directs reactions of an individual, but determines its dynamics, so attitudes lie at the foundation of a personality.

A fully shaped attitude is conditioned not that much by biological or primary needs, but higher ones. Hence, the object of the higher needs corresponds to the object of the attitudes. It can concern aesthetics, art, science, society, morality, ethnicity, politics, religion or nationality. Therefore, it can be linked to such values as democracy, understanding, compromise, dialogue or cross-cultural cooperation, crucial for the counterbalancing of negative stereotypes.

Bearing in mind the fact that attitudes and stereotypes are shaped by the influence of various interactions of an individual with other people, as well as by the theory of social learning entailing socialization, education, enculturation etc., it provides a foundation for intercultural education that could prevent from instilling negative attitudes leading to prejudices, to which

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<sup>1</sup> On that account it can serve as an assumption for some intercultural, educational projects.

social and cognitive factors contribute. It can stem from stereotypes, which constitute “positive or negative beliefs about a group’s characteristics” (Smith et al., 2015, p. 187).

The relation between an attitude and the stereotype is of key importance. As far as various structural components of the attitude and the stereotypes are concerned, the following differences regarding emotions, knowledge or their modification can be distinguished.

Table 1: Constitutive differences between an attitude and a stereotype.

	Emotions	Knowledge	Relations between knowledge, emotions and behaviour	Modification
Attitude	Emotions are constitutive for the attitude	Specific type of knowledge, not a purely descriptive one, but still entailing evaluative traits	All the components of the attitude imply each other i.e. knowledge and emotions both determine the behaviour	Direct change of attitudes is seldom, rather taking place in an indirect manner; Change of knowledge or behaviour has impact on emotions and vice versa
Stereotype	Emotional component occurs, but is not indispensable	Knowledge doesn't have to be reliable nor actual – it can be a pseudo-knowledge, and a constructive component	Co-relations of three elements take place to a small degree, hence such relation is marginal	It can be subject to modification, yet it is challenging, and requires a complex approach

Source: own study based on: Macrae, C., Ch. Stangor, and Hewstone M. (1996). *Stereotypes and Stereotyping*. The Guilford Press: New York, pp. 27-41.

It is worth to emphasize the fact that stereotypes reveal their negative nature especially in the context of prejudice and discrimination. Stereotypes can be “learned through personal experience with group members, but may still be biased because of emotions that arise during cross-group interactions” (Smith et al., 2015, p. 150). According to C. Macrae, Ch. Stangor and M. Hewstone (1999, p.89), if stereotypes correspond to the cognitive component of the prejudice, it can be assumed that strong stereotypization is to be linked with the increase of prejudices. The latter are explicitly defined as negative attitudes, often referred to an individual as a member of a given group, regardless of the fact whether such group stereotype accentuates individual traits of a given person. Prejudices, similarly as other attitudes, contain cognitive element (such as irrational beliefs on the stereotyped person), affective aspect (disinclination), and are related to will (such as behavioral tendency to avoid the stereotyped person).

Attitudes and stereotypes are significantly determined by social and cultural circumstances that play a key role in the process of socialization. Since culture involves ideas on the reality defining the degree and form of the belonging to a given cultural group, the personality is influenced by ideologies, social norms and behavioral patterns, i.e. attitudes, too. Common attitudes towards own nation, tradition, distinguished persons or the neighbouring countries do not condition uniformity of the national culture, as relation with a given nation or social class is predominantly determined by small social groups, particularly by the family and educational institutions<sup>1</sup>. Consequently, cultural diversity of the given communities conditioning the origin of social norms, beliefs, and stereotypes, crucially influence range of the possible attitudes.

The role of culture with regards to given aspects of the attitudes and stereotypes can be outlined as follows:

**Cognitive:** Each culture includes repertoire of statements on the reality, beliefs and convictions providing some elements of the knowledge or systems of science contributing to religious or ideological doctrines;

**Emotions:** Emotional reactions are tightly linked to the bio-mental layer of personality. Therefore they function within dynamic relation to the process of socialization and internalization of the norms and judgments. The manner of internalizing the cultural code in a given culture taking place upon socialization or upbringing crucially determines emotional approach towards an object of a given attitude; i.e. an object that constitutes a cultural and social element of reference of a given group;

<sup>1</sup> This can provide another psychological/pedagogical premise for the establishing of cross-cultural educational projects.

Behaviour: Behavioural patterns are strongly influenced by the generally accepted norms of conduct.

Thanks to social and cultural life, attitudes presented by given individuals crucially influence the process of explaining given social facts. As explanatory hypotheses they help to understand the surrounding reality, and also to take appropriate stand towards it. If the attitudes towards cultural diversity are negative, they affect the perception of such social and cultural reality, hindering dialogue and cross-cultural cooperation. On the other hand, such negative attitudes or stereotypes of the representatives of other culture can be counterbalanced by appropriate educational tools, facilitating cross-cultural communication. Therefore, the attitude to the Other can provide an information on the potential of informal cross-cultural education in the culturally diverse societies, and the chances, circumstances and conditions of implementing such projects.

### The concept of the Other<sup>1</sup>

The postmodern sociology and politics of difference has played a big part in the current European cultural discourse, challenging the universalistic notions of the subject, identity, society, inequality and knowledge. The category of the Other corresponds to the discourse of difference, (cultural) diversity and so on, providing a powerful resource for the analysis and critique, whereas the Otherness is “fundamentally about cultural denigration and exclusion” (Seidma, 2013, p. 3).

In the process of socialization the individuals are subject to the process of social categorization, hence the world around is divided into “them” and “us”, establishing a boundary between in-group (us) and out-group (them). Consequently, social identity theory implies that group members of an in-group tend to seek and find negative aspects of an out-group, enhancing their self-image. Henri Tajfel, an American social psychologist, implied that the subsequent stereotyping is based on a standard cognitive process, namely the tendency to group similar objects together. In doing so, members of given groups display inclination towards exaggeration of the differences between groups, and on the other hand highlighting similarities within own group (Tajfel & Turner, 1979). Nonetheless, the process of in- out-group classification, if taking place in a culturally diverse environment, is not linear as it naturally, due to its cultural dynamics, involves the “interfering” role of the Other. Thus and so, the presence of the Other questions this explicit classification as it confronts unambiguous identity constructs with cultural difference, that may become incorporated to the image of the “Self” and “Me”. In his works, *The Question of the Other* (2007) and *Phenomenology of the Alien* (2011) the German philosopher Bernhard Waldenfels emphasized constitutive plural character of experience, in which alienness/otherness is constantly involved. Waldenfels’ philosophical orientation – characterized both by a close dialogue with the doctrine of Maurice Merleau-Ponty and a thorough confrontation with thinkers such as E. Husserl, M. Foucault, E. Levinas, P. Ricoeur and J. Derrida – corresponds in this regard with the J. Habermas’s communication discourse which negating any “radical alien”, acknowledges the participation of a “relative alien”, who can therefore always be part of a successful strategy of inclusion and intercultural discourse. Therefore, according to Waldenfels, the alien,

“does not arise from a mere process of delimitation [of self and other]. It emerges from a process which is realized simultaneously as an inclusion (*Entgrenzung*) and an exclusion (*Ausgrenzung*). The alien is not opposed to the same, rather it refers to the *Self* (αὐτός, *ipse*), to myself or to ourselves, including the “sphere of ownness” ...from which it escapes. What is alien does not simply appear different, rather it arises from elsewhere. The sphere of alienness is separated from my sphere of ownness by a threshold [...]. (2007, p. 7)”.

Thus, the encounter with the Other is a multifaceted and multidimensional phenomenon that permeates everyday experiences of those in the cultural borderlands. The Other, in the realm of subjective experience, can confront members of a culturally diverse community with their own beliefs on what is “Mine” (familiar) and what is Alien (unfamiliar), in terms of cultural code. As Waldenfels explains:

“in the call of the Other which breaks the purposive circle of intentionality as much as the regulative circle of communication, the alien emerges *in actu*. [...] Peculiar to the call of the Other is the fact that both forms of *Anspruch*, i.e., appeal and claim, are intertwined. In the call that I receive, there is something that is demanded from me...” (2011, p. 37)

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<sup>1</sup> The notions of *The alien* and *the Other* come from B. Waldenfels’ *The Question of the Other* (2007). Waldenfels uses the term “other” for what is consistently rendered elsewhere in translation as “alien”. He justifies this by stressing that the difference between “other” and “alien” is not as explicit in English as in German.



Interestingly, Waldenfels projects an image of the Other freed from the logical and ontological opposition to the category of "the same", as the phenomenological framework allows to avoid the abstract duality otherness/sameness, "placing the other on the very plural and unstable terrain of factual experience" (Menga, 2001, p. 7). Thus, it is exactly this constitutive plural character of experience, in which "alienness" is constantly involved, what makes Waldenfels's phenomenology<sup>1</sup> particularly open to confrontations with several discourse domains (ibidem), as it can be tracked down in some culturally diverse communities. Waldenfels, however, locates his constitutive presence of alienness within the "own" not only in the realm of "subjective" experience, but also at a more extended level, which concerns the orders of experience, in whose domain our lives acquire their general meanings and orientation (Waldenfels, 1987). Accordingly, as Frank Haiké emphasizes "Waldenfels argues that we perceive the alien as a provocation or as something that makes us uncomfortable. The alien shows us that there is something else that exists outside of the self. This creates both fear and desire in us" (Haiké, 2008, p. 328)<sup>2</sup>. It proves that meeting the Other in a cultural borderland can facilitate the Self to become engaged in relations marked by reciprocity and symmetry (Leistle, 2014, p. 55). And, although contemporarily there are various manners of dealing with the experience of the Alien, i.e. from extreme hostile approach, and through appropriation and domination which "take away its otherness or alienness, and reduce it to an extension of the Self" (Waldenfels, 2007, p. 38), as for the prerogatives of cross-cultural education the most desirable pattern is discursive narration and dialogic interaction with the Other. Therefore, the latter is worthy of methodological investigation taking into account various multicultural societies that deal with a cultural difference on a daily basis. It can be subsequently assumed, that the interactions with the Other generate a potential area for the cross-cultural education.

### **Bosnian cultural borderland**

Cultural borderland is a notion created to accommodate a multicultural society, and concerns a space created when two or more cultures and races occupy the same territory. According to Foley (1995), the space should be considered psychologically and politically, as it generally refers to a psychological area at the conjuncture of two cultures. Nonetheless, cultural borderland is also a "political space in which ethnic groups actively fuse and blend their culture with the mainstream culture" (Foley, 1995, p. 119). The borderland is also a generative space, yet is not only where the defiled/civil divide is publicly staged, but it is productive of new hybrid selves (Eyal, 2006).

The category of a cultural borderland is a primary concept for the conceptualization of the community microspace in a culturally diverse society. In the literature, the borderland as such has many interpretations. One of the applicable theories concerning borderland is put forward by Jerzy Nikitorowicz, who classified and defined specific types of the borderlands. According to the author, a cultural borderland is an area "(...) of difference, sense of otherness, and diversity where comparisons, discoveries, amazement and negotiations take place (Nikitorowicz, 1995, p. 11).

Thus, borderland in multicultural education is perceived as a psychological space in which bi- or multicultural identities can be shaped (Pilarska, 2014), as it is constituted by "areas of contact among different groups of people with different value systems, cultural traditions, patterns of behaviour and languages" (Kubica & Rusek, 2014, p. 9). Grażyna Kubica and Halina Rusek highlight the fact that:

"In the borderland situation, a particularly visible problem is the identity of individuals and social groups who, since they live on the cusp of two or more cultures, are constantly in touch with the 'other'. The question of identity and thus 'who am I' and 'who am I not' is particularly clearly revealed in the borderlands [...] the question is in fact sharper wherever we are dealing with marked differences, where the 'others' are often "strangers" (who, in some cases become "ours"), where value systems and cultural patterns compete and often lead to their confrontation" (Kubica, Rusek 2014, p. 9).

Experiencing contact with the cultural difference (personified by the Other) entails confrontation of (at times) competing or corresponding systems of values and cultural patterns, thereupon such contact could threaten, or quite the contrary, enrich integrity within cultural or social identity. In the past, Bosnia-Herzegovina was subject to extremely contradictory powers affecting not only its current political shape, but also framing its social nature and the specificity of intercultural communication taking place in the cultural borderland. The latter is established by a heterogeneous society in terms of

<sup>1</sup> Waldenfels has characterized his own work as "a further development of the existential-structural phenomenology in Merleau-Ponty's sense" Friesen, N. (2014). Waldenfels' Responsive Phenomenology of the Alien: An Introduction. *Phenomenology & Practice*, 7(2), 68-77. Concurrently such phenomenological stance corresponds to the applied strategy of inquiry (phenomenology) of this pilot research design.

<sup>2</sup> This desire, in turn, could be utilized within the framework of some educational schemes that would support the cross-cultural framework of such encounters.

ethnic, confessional or national provenance, providing a unique example of synthetic form of eclectic cultural code. Bosnian society is constituted by three major ethnic/confessional groups, namely Bosnian Serbs, Bosnian Croats and Bosniaks. As proved by previous findings of the author (Pilarska, 2011) Bosnian Muslims provide extraordinary example of unconventional pattern of perceiving own identity, being a combination of various, at times contradictory, cultural codes, such as south-European (Yugoslav facet), ottoman, Mediterranean, Muslim and Slavic. As J. Žiga stresses:

"multicultural character of Bosnian society was visible by a bear eye at almost every step [...] for centuries Bosnian people lived in mixed villages, towns, and from only fairly recently in apartment buildings. And, it never caught anybody's eye but was accepted as a usual and everyday way of life" (2001, p. 58).

Such acknowledgement of Bosnian cultural borderland is also confirmed in the works of Š. Mededović, who claims that: "all contents of its social being – language, customs, tradition, culture, multicultural and confessional pluralism and tolerance, have never been lost even under the imperial authority [...]" (1996, p. 19). Despite many misconceptions about the "permanent intolerance of the people from these grounds, "conflicts of civilizations", and the similar" (Žiga, 2001, p. 83), the cultural and social experience of Bosnia and Herzegovina "testifies of something entirely different, this is, tolerance, openness towards the other and different" (Žiga, 2001, p. 83). Taking the above into consideration such cultural and social setting provides a thought-provoking field of research for the perception of the Other that could be further investigated within the range of appropriate quantitative or qualitative methods. Such research design could provide an answer to the question whether the Other is perceived in a culturally diverse society differently than in a homogenous communities, how specifically is this notion understood in a multicultural Bosnia-Herzegovina, and whether Bosnian approach provides premises for informal and formal cross-cultural, educational projects.

### **Methodology of the pilot research<sup>1</sup>**

Since experiencing cultural diversity is often subject to regional or local cultural contexts, historical memory and the nature of intercultural relations in Bosnia-Herzegovina outline a specific area of attitudes towards "the culturally other", as reflected in the explorations within the framework of qualitative research. With reference to the theoretical framework of the concept of the Other it is worth to stress that Waldenfels "can be traced back to that constellation of thinking which, by putting at its center the phenomenon of intersubjectivity, attempts to show how every domain of human experience is faced by a constitutive intervention of alterity as an element calling for constant questioning and inevitable transformations" (Menga, 2001, p.7). Thus, the pilot study exercised the phenomenological approach, which allows the researcher to understand how one or more individuals experience a phenomenon, followed by relative epistemology, i.e. individual and group justification with varying standards and subjective, personal and constructed nature of the reality (ontology). In this case the studied phenomena is the experience of contacts with the Other, own manners of its interpretation, assigning significance to such encounters, etc. The emphases of qualitative research stress the importance of generating theories from the data collected during fieldwork, hence the research objective is to describe, explore and discover within wide-angle examination of the phenomena, acknowledging the reality as subjective, personally and socially constructed. The qualitative research methods were applied as by their nature they allow "to gain an understanding of the underlying reasons and motivations for actions and establish how people interpret their experiences and the world around them" (Macdonald & Headlam, p. 69). Remembering that the "major concern in qualitative research is with richness of information, and so sample size is not a determination of research significance" (Ebrahim, 1995, p. 206) and since qualitative field research is "about in-depth understanding of specific individuals, rather than studying the general characteristics of a large number of individuals across specific variables" (Ebrahim, 1995, p. 96), the systematic non-probabilistic sampling was applied. The respondents were selected upon the research design objective, i.e. they selection concerned the members of the Bosnian society, i.e. Bosnian Serbs, Bosnian Croats and Bosnian Muslims, 10 for each of the ethnic groups. Collection of qualitative data took place applying interviews with an open-ended questions. Unstructured interviews as the applied technique of data collection allowed to obtain the information in a form of free discussion, where respondents were encouraged to relate freely they experiences, permitting a free flowing account of the personal and social context of beliefs and feelings. The data was recorded using the Dictaphone, i.e. the responses were recorded and transcriptions were used as the material for the analysis. Additional field notes were made to capture some non-verbal signs accompanying the speech or discourse of the respondents (some expressed emotional attitudes, agitation or reflectiveness). Applying phenomenological data analysis,

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<sup>1</sup> This paper is an outcome of own pilot research project carried out individually within the framework of the internal grants for researchers at the University of Wrocław. The preliminary research was carried out by the author in August 2015 in Sarajevo, Banja Luka and Mostar, Bosnia-Herzegovina.

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the search for patterns and some holistic features of the comments made by the respondents was possible, and so the results could generate the emic representation of the insider viewpoint, entailing multiple perspective. The qualitative nature of the data analysis enabled the search for relations between the ideas, expressions and viewpoints declared by the respondents. In such way two processes were embraced. i.e. deducing what the respondents meant from what they say and secondly, understanding the implications of what they said. Consequently, the research was subject to descriptive codes, so the results could be presented within narrative form, due to the fact that in the framework of qualitative paradigm "it is possible to undertake subjects reaching beyond this, what is objective and measurable, allowing to tackle issues linked to assessment, values and experiences" (Bauman, 1998). Since within own research application of such methods allows to undertake unrecognized topics, "which the researcher rather has a feeling of, rather than possess a certain knowledge" (Bauman, 1998), it was inadequate in such circumstances to apply hypotheses due to the natural case of unfamiliarity with given task, that a researcher wanted to explore. Consequently, if there are no hypotheses, there was no necessity to verify or falsify such notions. The main research question was how the members of a culturally diverse Bosnian society perceive and picture the image of the Other. The pilot study took place in Bosnia-Herzegovina in August 2015. The research was conducted in Bosnian language (with no assistance from an interpreter) among Bosnian Croats, Bosnian Serbs and Bosniaks, 30 in total,<sup>1</sup> in a qualitative manner within implementation of open unstructured interviews, which as a discovery-oriented method was used to obtain opening information, providing with some preliminary findings and foundation for the further investigation. According to some of the research narratives, the sense and notion of "the Other" emerges as a reaction to the lack of understanding of the respondents' culture, i.e. their customs, religion and tradition. In such case the researched link "otherness" to the lack of understanding for their culture, the nature of their confession (e.g. Islam) and its cultural connotations:

*The other is someone who doesn't understand my need to cultivate the tradition of islam and its customs; someone who attacks my autonomy in this regard [R1]*

*If somebody doesn't respect my values, doesn't understand its importance and key role it played in shaping cultural heritage in the entire Balkans, then I'll never find a common language with such person [R2]*

Own cultural group is therefore perceived as the dominant and exclusive, whereas unfamiliarity with the respondents' cultural background implies in their opinion lack of respect towards their own heritage, and builds up an image of the Other as someone who does not have the knowledge, nor recognition for the respondents' culture.

Another factor stressed by the researched concerned the key values such as religious affiliation, which can potentially serve as a ground for dialogue, yet if internalized insufficiently (or subject to excessive pride and sense of superiority) can be reflected as sort of chauvinism, as in statement as below:

*The other is someone who doesn't believe in what I believe; he can speak some other language and have some other name, but if he doesn't understand power of my religion I will not communicate with such person [R3]*

Thus, the Other is someone who doesn't respect and understand the foundation of a given faith that shapes the cultural and spiritual world of the respondents<sup>2</sup>:

*It's someone who doesn't understand and attacks Islam [R4]*

*It's for sure someone who doesn't understand my customs, culture, language or history. It is not someone from here; not an European from the West either; it is and abstraction [R5]*

*Serbian culture provides ready answers as to the questions who I am, how to live and how to think, what is my place in my culture; it's my heritage so if someone doesn't understand and follow that it's hard for me to see similarities between such person and me; [...] if such perons attack or diminishes its worth, he is the other [R6]*

Withdrawn, hermetic cultural identity perceives diversity in terms of "the otherness" stemming from the conviction that "what is mine is the best", hence, culturally most valuable. Interpretation of this type of phenomena therefore takes place from

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<sup>1</sup> Each respondent's statement was codified as R for respondent and corresponding number of the interviewee.

<sup>2</sup> In the light of the above, the question of preparing cross-cultural education well-grounded in the local context could be raised.

the angle of own culture. Accordingly, "the other" comes across as someone who provides a real threat to the members of a given group, someone questioning its continuity:

*It's someone who doesn't understand our culture in the Balkans; who started the war; who divided us; to me those are Croats who chased us from Krajina; who hurt us...[R7]*

*Those that don't belong to the Muslim culture [R8]*

*Those who don't understand islam don't understand us; I feel among "Others" when I am along those who cannot respect our culture [R9]*

*It's someone who chased us from our house during the war and betrayed; someone who is not a Croat, as everything related to Croatia is familiar to me [R10]*

Aggression, disinclination and passive antagonism accompanied by intolerance dividing between this what is "familiar" and this what is "strange" often reflect lack for the need to get to know and recognize the very existence of diversity. Hence, own culture is perceived as the "superior" and the only "righteous" one, followed by the need of recognition to a set of "own" features and values acknowledged as "common" for everyone. Consequently, the sense of the otherness is identified with lack of understanding of the above:

*I don't understand people when they don't speak my language, or the language I know; when they don't follow the rules I do; or behave contrary to what I find as normal; then I think such person is "the other" [R11]*

Thus, it can be anyone who doesn't belong to the same cultural group, doesn't identify with the respondent's group, etc. Such attitudes reveal strong attachment to own cultural identity with little space whatsoever left for the flexibility or openness towards other cultural influences. It is an important signal for pedagogues, teachers and educators that should introduce cross-cultural contents to all spheres of life, regardless of its formal or informal character, within the framework of a lifelong learning. Taking it into account a rather discernible conclusion is revealed, i.e. lack of intercultural education, entailing lack of knowledge on the representatives of culturally diversity, implies xenophobic approach and sense of threat to own identity.

"Otherness" can be understood with regards to what is "external", i.e. as reflected in the statements of the respondents with reference to the attitude towards "the West" and its presence in Bosnia-Herzegovina. The division goes along the line we - the Balkans (in-group) them - the West. Consequently, ethnic diversity is not perceived as something unfamiliar, as the sense of the latter is rather expressed in the ironical perception of the Western presence:

*The other is the West with its monopoly of knowledge about Bosnia [R12]*

*All those who have come here and want to enlighten us as if we couldn't manage without them [R13]*

*Serbs, even if they want to, cannot become „the other“, the different, as we know each other too well; but if someone doesn't respect my values I don't understand such person either; it's like with this EU and Western presence, they look at us as at aliens and think we will kill each other without them [R14]*

*It's someone who doesn't understand my culture and customs, attacks it and doesn't understand how unique it is; as everything in the Balkans [R15]*

*The other is someone who doesn't understand the character of the Balkans; when those from UN come and ask us if we can live together and not kill each other, and how to explain it to them; it's not someone from the Balkans but beyond [R16]*

*Well, it is not someone from here [R17]*

Interestingly, the image of cultural familiarity and sense of "ownness" is extended to all Balkan nations and cultures. The reflections are accompanied by a strong sense of the uniqueness of the Balkan culture linked to the presence of various cultural elements in the social surrounding. Therefore, "the otherness" is related to the lack of understanding of the idea of the Balkan melting pot and its specificity. Hence, "Otherness" is searched for in these aspects that question common Bosnian coexistence:

*The other is someone who betrayed Yugoslavia, common ideals, peace, common wealth and solidarity[R18]*

*Those are these who destroyed Yugoslavia, denied the community for money and power [R19]*

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Interestingly, the “Balkan community” can provide some common ground of a cultural compromise, encounters and area of mutual recognition.

Taking the above into consideration, the sense of otherness is assigned to those persons and factors that “betrayed the community”, so it is interpreted as an attack on the “idea of Yugoslavia”:

*It's someone who doesn't understand us and this, what was being built in Yugoslavia for years [R20]*

*I have never been thinking about it, that what scholars are for, especially those who come here and select these opinions, as we simply live here amongst each other, as the city under the siege for 3 years taught us solidarity the best possible way [R21]*

A common foundation of the culture with reference to the “Yugoslavian” heritage entails some local, regional connotations that could be also taken into consideration while working out educational schemes for cross-cultural education. The sense of otherness is therefore often linked to the lack of respect and understanding of the nature of the Balkans, its culture and social relations in Bosnia, which altogether appear as a set of commonly declared values that allow to identify with a wider social context in the region:

*It's not that I think of my culture in the categories of familiar/strange; how could I if I live in Bosnia yet I'm half-Croat half-Montenegrin? What would be “the other” for me then? Due to my origin I'm part of all these cultures after all [R22]*

Moving beyond the homogenous frameworks of cultural interpretation, it is becoming a challenge to explicitly define what/who is the cultural other. Moreover, partnership-based relations and a sense of symbiotic relations moving beyond ethnic lines are evident:

*There are no others; others are those I don't know as I haven't had the opportunity to meet; here in the Balkans we know each other well; there are no strangers here [R23]*

*Others are those who tell us we've been always hating each other; they are the strangers; we've been living together for centuries and I will never call them “the others”, even if some of them provoked the war [R24]*

Consequently, no one is a member of own, one, isolated group, as (s)he defines own identity in relation the members of other groups:

*We think of ourselves as Bosnians – it is already a mixture, a creation of various pieces, a patchwork; if you ask if someone from here is the „other” to me as he or she is not a Catholic or Croat as I am – these are stereotypes and we never thought of each other this way, because our country is multicultural and has diverse people of various nationalities I think we should respect each other; the war left a huge imprint on us and people don't live in harmony as before so no matter how much others can differ, we need to know how to live together [R26]*

*No one is „the other” here; what an artificial division; even if it means something that is not the same it could still function together; we have always lived one next to another, so may be the others are those who started the war; here we are all on the same boat [R27]*

The above prove the degree of mutual process of enrichment, coexistence in a given local environment as well as historical memories result from the idea of a given cultural community of all the nationalities, ethnicities and confessions in Bosnia-Herzegovina. It is reflected in the following remarks:

*Well, today they say we are different, so to me the fall of Yugoslavia and the war affected this; In the past we used to be a one, big country, Bosnians, Croats and Serbs, we were great and together and now we are a country of various cultures and territories; sometimes I wonder if we really differ and then I think how this country used to look like. And it was really good [R28]*

*When I think of “the other” I don't have anything particular on my mind, but I think that people now see others because of their ethnic or religious origin, and it's very dangerous, honestly I don't use such word as I treat the entire nation, planet and the world as the same, no matter how different they are; a black man, a Serb a Croat, an orthodox, catholic, Muslim or a white man; so religion, nationality or color of the skin doesn't matter to me at all and don't mean someone is “the other”, and when I see people who come from other countries I want to get to know to them and their culture [R29]*

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*I don't see people as others but I think in Bosnia some say those are ethnic majorities which are seen by them as complete others and therefore they have prejudices against them and deny equal rights to them; I don't think of who is the other but I know that in Bosnia some Bosnians think that Serbs and Croats are different, but I believe it's not true; we are all first of all people, no matter if they say someone is a Serb, a Croat or a Bosnian [R30].*

Taking the above into consideration, it can be assumed there are some areas of "otherness" entailing emotional aspects of the attitude to "others", disabling the process of opening up to the cultural diversity. Sense of the "otherness" towards given values, ideas or subjects occurs when they question or show lack of recognition for the Balkans and specificity of the region. Thus, knowledge, recognition, respect and sensitivity to the local, cultural context come to the forefront, although subject to some Yugo-nostalgic sentiments.

It is also expressed with regards to those that do not understand the customs and traditions of the Bosnian culture. Yet, the latter, as far as educational activities are concerned, can be acquired through understanding and comprehension via interactions and dialogue. Undoubtedly, memory of the war after the fall of Yugoslavia contributes to some strongly emotional attitudes to others, being part of the regional community. Nonetheless, interestingly, as the above signals, negative statements of prejudicial nature are scarce.

The preliminary review of the respondents statements allow to conclude that the Other as a notion reflecting cultural diversity is actively present within the area of a cultural borderland, and affect the way social identities are constructed. In some cases the Other is seen as the reflected Me, a coherent part of the cultural surrounding and social environment, for some it provides a challenge to incorporate cultural contents of diverse origin to own system of values, and other respondents, although in minority, perceive the Other as someone threatening their sense of cultural integrity. Thus, it can serve as a point of reference for cross-cultural educational projects and a point of departure for a further, in-depth research exploration.

## Conclusions

The pilot research concerning the image of the Other projected by members of a culturally diverse Bosnian society aimed at the reconstruction of the individual's understanding of the notion of the Other in the Bosnian cultural context. As a result, it enabled to reveal areas of the cultural familiarity and the sense of bond, consequently defining some areas of experiencing the Other. Participants of the cultural borderland work out together their cultural community incorporating the values, traditions and customs that constitute a typically Bosnian (Balkan) cultural code, hence not much that comes from the Balkan culture is perceived as an "Alien", strange or "Other". It is possible due to everyday interactions with the representative of various cultural traditions that altogether generate a cultural code comprehensible to all members of the cultural borderland. Hence, the respondents would reply that "the other" is someone who doesn't know their customs; ergo – even if a Muslim doesn't follow Christian rites, yet is aware of the importance of such tradition, through such awareness given rites naturally become "internalized" and incorporated to the image of the nearest cultural landscape. It occurs to confirm implications that "we only become ourselves by responding to the Other; hence otherness becomes one of basic issues in human life allowing for introduction of innovations in the behaviour and beliefs of the Self" (Welnic, Fislak, 2008, p. 182).

Attitudes towards the Other stemming from the stereotype of the latter have impact on the course of social interactions, perception of cultural otherness, hypothetical ways of cooperation, and cross-cultural communication. Moreover, they also affect the process of dialogue, and influence the dynamics of a civic society. In a cultural borderland extreme attitudes can generate cultural conflict due to the dominance of homogeneity of one group and marginality of others, as some of the respondents imply. Attitudes in a multicultural society often concern negative stereotypes of „the otherness" and can become subject to xenophobia with regards to the perceived and misunderstood difference. Hence, the sense of otherness can concern all the elements that are central in the system of values of given persons; e.g. ideas, phenomena, historical figures, etc., everything that composes of historical memory and cultural tradition of a given social, ethnic or national group.

The analyzed part of the qualitative research pointed to some aspects of the perception of cultural unfamiliarity and the sense of "otherness" in a culturally diverse environment. It allows to conclude that sense of otherness or its lack is subject to everyday experience and interactions with the representatives of the other culture. Thus, the more opportunities are provided to encounter the other, the greater chance he/ she will become a coherent part of the cultural surrounding of those involved in such encounter.



Such conclusion is of great importance in case of attitudes towards ethnic or national diversity in a cultural borderland. If attitudes to Others imply (as pointed in the theoretical part) given approach, i.e. positive, ambiguous or negative, they are of emotional character and can be shaped during the process of pedagogical intercourse, dialogue and other forms of educational communication (through projects, task assignments, etc). Moreover, attitude as such entails a readiness to perform tasks towards a given object. Hence, if a stereotype – which is a form of an attitude – has a positive connotation, it can generate constructive, positive relation with the object of a stereotype (e.g. the Other). All things considered, since the stereotype and attitudes are of regulating character, they can be exercised in the course of formal or informal cross-cultural education to deconstruct prejudices and upon the process of becoming familiar with the Other incorporating its image to the multicultural landscape of ontological familiarity. As the findings of social psychology confirm, most persons are capable of assessing highly the phenomena that are favorable from the perspective of their attitudes, whereas those that are unfavorable are degraded (Smith et al., 2015). Hence, if the process of education could provide the learners with ways of becoming familiar with the Other, not classifying him or her as an objecting threatening the sense of integrity or self-esteem, a common ground for understanding and interaction could be established. Such differences do not have to be negative as they can provide a chance for contact and mutual enrichment. It can be, however, reached only through compromise, tolerance and cross-cultural learning. The results of the pilot study prove there is some degree of the recognition and curiosity for the Other, that encompasses the regional, “local” (Balkan) context, yet it should be definitely strengthened within the framework of some cross-cultural projects. The distinct aims of intercultural education can be summarized under the headings of “The four pillars of education” as identified by the International Commission on Education for the Twenty-First Century (Delors, 1996). According to the conclusions of the Commission, such education should, among others, make communication possible, develop an understanding of other people and “an appreciation of interdependence in a spirit of respect for the values of pluralism, mutual understanding, peace and cultural diversity. [...] the learner needs to acquire knowledge, skills and values that contribute to a spirit of solidarity and co-operation among diverse individuals and groups in society” (Ibidem, p.97). As some of the states from the respondents’ narratives prove, lack of knowledge on the cultural code of a wider cultural circle can generate xenophobic attitudes. On the other hand, the most interculturally desired values encompass open-mindedness, solidarity, sensitivity, empathy, willingness to find compromise, and the willingness to redefine own views. Therefore, intercultural education, whether as formal or informal, entail openness, tolerance and democracy in order to enhance the efficiency of intercultural relations, increase tolerance and acceptance towards those who are different, and encourage others to perceive, accept and respect diversity for mediating social relations (Badelau 1990). According to contact hypothesis that “under certain condition, direct contact between members of different groups can reduce intergroup stereotyping, prejudice, and discrimination” (Allport, 1954, p. 17) and bearing in mind that “human cultures are neither necessarily coherent nor always homogenous” (Lugo, 1997, p. 51), the following conclusions can be drawn:

The more contacts with cultural difference occur, the weaker is the projection of Otherness in terms of culture;

The stereotype of the Other largely depends on the familiarity of the “stranger” with the cultural specificity of mutual communities – it proves that intercultural education can help in such communities and societies to learn mutual understanding and respect of a heterogeneous, cultural heritage;

The wider scope of cultural background, the narrower image of the other is generated – introducing educational projects that would establish a common ground for intercultural communication, getting to know other traditions, customs and ways of living can help bring such members of a multicultural reality together;

Attitude formation in a cultural borderland facilitates broadening the scope of accepted traditions, customs, rites and elements of cultural that compose given borderland, enriching social life, process of cultural communication and conceptualization of own identity;

Shaping attitudes in the atmosphere of cultural pluralism is related to the influence and impact of many, often contradictory social and cultural influences; hence difference as such plays important part in the cultural system;

Negative stereotype of the Other can be balanced by teaching on both cultural diversity of human societies and processes of cultural interactions, relations, fusions, exchange and the transformation of cultures initiated by intercultural contacts; as such, “dynamic approach emphasizes categories like ‘between’, ‘interaction’, ‘dialogue’, ‘cultural borderland’ and ‘change’ placed within the interactionist perspective” (Bleszyńska, 2006, p. 75).

Bosnian cultural borderland due to its culturally diverse nature is interspersed by the presence of the Other and there are various strategies participants of such environments can adapt to deal with the Other. This issue, in the context of the



priority of intercultural education and threats to a multicultural societies omnipresent in the European area, is worthy of attention and profound investigation, so appropriate educational and pedagogical schemes can be applied in order to prevent from development of negative stereotypes and prejudices, questioning dynamic, yet productive multicultural status quo of some communities. Research on negative attitudes and stereotypes should be undertaken in culturally diverse societies as their deconstruction could reveal the areas of conflicts and compromise, enabling the possibilities of counteracting prejudices and using the category of the Other as a potentially cultural capital that could enrich such heterogeneous communities. Ignorance towards cultural abundance of contemporary societies can lead to xenophobic attitudes and prejudices, questioning the paradigm of cross-cultural dialogue, yet the antidote can be found within intercultural educational schemes.

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## Why Lifelong Learning

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### Abstract

Mankind has learned many things and has trained himself not knowing in the prehistoric times because of necessity by means of trial and error. He learned to learn while giving human life struggle that they taught what they learned to make their lives easier for those who come after them. So the real reason for learning is the needs and continuity. These needs have developed parallel to the development of mankind and continue to develop today. Learning in this development process is institutionalized. On the other hand, learning in today's world has gained a new dimension. The wider network of Internet and digital media has removed the boundaries of learning, time, space and age. Today, when we look at people's education and teaching life in terms of people, institutions and the environment, we can separate five stages: Childhood, Mother, Mother and Father, Brother, Aunt, Uncle, Grandmother, grandfather, Other family members, Pre-school, Primary School, Various courses, Various activities; Puberty, Family members, In the current environment, High School, Various courses and studies; Youth Family members, In the current environment, Universities and colleges, Various courses and studies; Maturity, Family members, In The current environment, Working environment, Courses, Activities; After Maturity, Sharing knowledge and experience, Evaluation of knowledge and experience in today and tomorrow, Events for quality living, Travels and such. In this article, the answer to the question "why life-long education and teaching" was sought in classical method.

**Keywords:** Education, Internet, Life, Lifelong learning, Teaching.

### Introduction

Learning is a human action. Since their arrival in the world, people have been introduced to other people through the use of various means and methods of new knowledge and skills acquired through interaction with their parent, family member, relative, friend, school, social circles. For example, goods, models, movements, sounds, drawings, pictures, texts and signs, mass media (telephone, television, internet and such). As you can see, the reason of learning and education is human and continuity. That is, the needs that people need in the life process. These needs evolved parallel to the development of mankind and today this development continues rapidly in the twenty-first century world. The mass media, which developed in parallel with the rapidly developing communication technology in today's world, have inevitably made communication, learning, education-teaching the basic tool. This situation has especially gained a new dimension in learning in today's world. The wide network that the Internet and the digital medium have had lifted the boundaries of learning, time, space and age. For this reason, education is more important than ever, both in the individual and in the social life today.

### General Learning and Education- Teaching Periods

Today we can evaluate the human learning, education and training life in five stages, including age, people, institutions and other activities.

**Childhood, 1.1.**Mother, **1.2.**Mother and Father, **1.3.**Brother, **1.4.**Aunt, **1.5.**Uncle, **1.6.**Grandmother, grandfather, **1.7.**Other family of members, **1.8.**Pre-school, **1.9.**Primary School, **1.10.**Various courses, **1.11.**Various activities.

**Puberty, 2.1.**Family members, **2.2.**In the current environment, **2.3.**High School, **2.4.**Various courses and studies.

**Youth, 3.1.**Family members, **3.2.** In the current environment, **3.3.**Universities and colleges, **3.4.**Various courses and studies;

**Maturity, 4.1.**Family members, **4.2.**In the current environment, **4.3.**Working environment, **4.5.**Courses, **4.6.**Activities;

**After Maturity, 5.1.**Sharing knowledge and experience, **5.2.**Evaluation of knowledge and experience in today and tomorrow,

**5.3.** Activities and activities to improve the quality of life. **5.5.** Travels and such. This process is the process of education of the individual in today's world.

#### Learning and Education- Teaching Process

The above recorded learning and teaching process is roughly the same whether it is a highly developed or an underdeveloped society. Differences between such societies are whether the education systems and institutions respond to the needs of living standards.

For babies who open their eyes to crying, the beginning of learning and education begins with mother, father, parents and family members. Especially the role of mother is very important. The baby begins to imitate learning. It observes all forms of behavior and tries to apply them. He tries to understand the material and spiritual world surrounding him with five senses.

During the development of the child, a healthy family environment is very important. The child learns to express freely and expressively feelings and thoughts freely in an effective communication environment. It learns to understand, express, interpret, and reach the result which is the basis of basic education.

Before and after primary education. 3.4.1. Before. Kindergarten; It is the first environment where the child begins to be found in a social environment other than the family environment. Teacher>student>school. The first environment in which he / she tests the learning and reading habit that he / she initiated in the family environment. The environment he or she is trying to adopt to be an individual. 3.4.2. After. Primary School: Family environment> teacher> student> school environment and other environment. The environment in which the functions of listening, reading, understanding, learning and speaking are disciplined in the family environment and before the school, both individually and collectively. Research, criticism, communication problem solving, creative, entrepreneurial skills and then such as the environment where students are trying to gain. In personal skills, it is aimed to achieve a more systematic outcome.

Secondary School: Teacher>students>school and surrounding. The main aim of basic education is to work with the accomplished students to read, explain and express the main source of education, to ensure that they take their place in the society in their own abilities. It is to make their lives easier, to provide them with physical and mental skills.

Higher education institutions and various courses, events; Provide young people with the academic environment and guidance and professional formation for discovering and developing their talents. On the other hand, in parallel with the rapidly changing economic, cultural, political and social changes in today's world, there is a change in the way it operates in universities and colleges. Universities have undertaken the task of raising human resources to meet regional and global needs in each country. The final step in today's education is the main goal of universities and colleges, providing research, information generation and survival and continuity. Today, there is a need to cultivate versatile, well-equipped individuals.

The main purpose is the same, as can be seen from the general education and education phase recorded above. To raise individuals who will benefit from the gathering in the future, who are equipped with necessary knowledge and skills, who are entrepreneurial and innovative, who attach importance to cultural values.

#### Learning and Education- Teaching And After

In today's world, in most educational institutions, taking a high grade from the theoretical courses is held on the frontline. The result is naturally a high mark of success. This view is reflected in the work areas at the end of the training period. Regardless of the success rate in the training process, it is very important that the trial, adaptation and competence period in the working life, the success of the individual in the working life and the working process is constant. This is not explained to the students very clearly during the education period. This results in the high expectation of those who started working. Beginning to work life, wants to get high wages and to be in managerial position either immediately or shortly. Things like experience and knowledge can be ignored. However, it would be possible to add new information to the individual's ability to be productive and sustainable in business life, regular private life, long-term productivity, experience, knowledge and knowledge.

## **Learning and Education- Teaching And Competence(Perfection)**

When we look at the whole of human life, it is seen that the learning that exists in every stage of life is disciplined in education- education institutions and the knowledge and experience acquired in every stage of life are carried to the dimension of accumulation and offered, to the service of individual and society. The material, spiritual and cultural dimension of this process varies according to each individual and each society.

Learning and Education- Teaching And Competence(Perfection) and after maturity period and after, is the point reached after the accumulation of human experience and knowledge. In another way, the process by which, an individual shares his knowledge and experience in writing and verbally. This sharing, whether through a personal or official institution, is inevitable as new knowledge of learning emerges as knowledge and experience are shared in this process. This is indicative of the continuity of the learning.

## **Discussion and conclusion**

Why life-long learning. The learning process (2.1-3) is an educational process for each individual in today's world. During this period and afterwards, the learning process continues throughout human life. He continues to learn to fulfill his basic physical and spiritual needs. o contribute to the productivity of professional life, for material and spiritual education support which will increase the quality of life and in every area of life like this. Today life-long learning is a way of life. The continuity of learning, education and exchange of experience and information is indispensable to life. Beyond expecting a new discovery from each individual, training is needed to protect or increase living conditions. On the other hand, today most societies lack of education as a threat to society, economic, cultural and political, daily life and future. In fact, all societies can derail their lack of education as a threat to their future and applying life-long learning in all areas of your life. Today, for every individual, it is not only easy to access information, but it is also confronted with information pollution. For this reason, lifelong learning will be the lifestyle of the individual throughout his lifetime.

Lifelong learning requires forward vision. Lifelong learning involves the direction of pop of human activities. On the other hand the moral and physiological direction. Each individual is an accumulation by itself. It requires lifelong learning for the continuity of my accumulation. Lifelong learning continues to serve the family that exists in all families and societies. Sharing knowledge and experience in the individual (value) with the environment, and providing benefits to the self, to the gathering and humanity that it is in. Benefits, harm and goodness, what evil means in the past mean the same today. From time to time, the way people behave and change their way of life for one reason or another. The material and spiritual aspect of change must be for the benefit of mankind. No human being can move forward alone in life, to seek help from others, or to listen to their suggestions. Only the main endeavor belongs to him. This is expressed in lifelong learning. The responsibility of being a human being in today's world means that the individual and his / her community must be equipped with the knowledge and skills necessary for the future, have acquired lifelong learning skills, constantly renew and develop themselves, be entrepreneurial and innovative and give importance to cultural values. The congregation of these qualified individuals is the duty of all educational institutions, especially universities, which now provide educational services to all on the ground, as a result of the educational process of today's world starting from the mother. Universities established everywhere today should take the place of the village institutes established for the continuity (education and development) of the learning-education-training period in the country where the population after 1923 is the greatest. Because today that the majority of the population in our country is located in our cities.

As a result, in today's world, where mass media serve in the field of learning, education and training, it is possible to create love, tolerance, tolerance and love that are cultivated centuries ago (Mevlana, Hacı Bektaş Veli, Ahmet Yesevi and such) how to share feelings of helping and sharing, how to read in today's and future conditions, and all-important love; Learning, teaching- learning, experience and knowledge, productivity and the positive and lasting reflection of the individuals' thoughts and behaviors of the society should be the main goal of lifelong learning. This goal is 99% of the society's happiness and prosperity and the quality of life is the reason for the continuity of the view.

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## Film Reception by Means of New Media or How the Film Escaped from the Cinema

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### Abstract

The biggest change in film reception occurred in the moment when the film audience began to watch films over the Internet, or with devices that can connect to it, i.e. computers, laptops and smartphones. The paper redefined notions of contemporary audience and different horizons of expectations, and a new horizon of expectations has been established, and that is the horizon of device expectations. Also, we have redefined the conative function i.e. the empty spaces function, individual and social reception of the film, while the theory of production relations in the case of the production of art has been applied to the film industry. The paper applies to the film received through social networks requirements of all characteristics of new media, which is also a novelty in scientific thinking.

**Keywords:** Reception theory, horizon of expectations, film audience, social networks, information and communication technologies

### Introduction

Motivated by a lack of attention that is given to the systematization of theory postulates of media reception in Croatia and its environment, and consequently with almost the total lack of their implementation, we decided to deal with the issue of the film reception in more detail, at the moment in time when the way in which the film can be accessed in terms of technology significantly changed. This significant change is reflected primarily in the mobile, Internet transmission of films and hence the film 'consumption' gets relocated from the controlled conditions of cinemas and homes and becomes available at any moment. This change is followed by the change of the audience, its characteristics, expectations and requirements that should also be considered from the aspect of the reception theory. As the reception theory has met with different interpretations over the years, we decided to check out contemporary events through the postulates of original theorists in order to find out if they are applicable in the new media challenges as well. We have opted for this approach due to the especially noticeable lack of scientific production in the environment related to the film reception, which is not surprising given that, unfortunately, scientists have transferred dealing with film onto professional levels that, when the film reception is in question, almost exclusively deal with how the audience received a particular film.

On the other hand, the world's scientific journals (mostly American and British) intensively deal with the problems of film, literature and other media's reception, although their systems do not draw a line between scientific and professional approaches, but still this professional approach is at much higher level than the commercially-semi-scientific approach which we are witnesses of in countries of the region. And although it served to us as preliminary research in the form of content analysis, in this paper we will use only small parts of the analysed corpus that can be considered somewhat deficient from the methodological point of view because it is too broad and not fully defined: the study included the search of online content i.e. scientific journals, which are allowed in free access and those that are available to the Croatian academic community in the temporary access (such as a collection of research and academic journals 'Oxford Journals' that was available until December 4, 2016). The main corpus of the paper will consist of the application of the basic concepts of the reception theory of its primary theorists (Jauss, Isser, Mandelkov, Marx and Nauman) to the medium of film, or to the reception of the film through the devices connected to the internet, while the paper will also indicate the possible ways of their redefining. A review of the global reception-theoretical production will constitute a smaller part of the paper.



The third motivational aspect is the expected functionality of the initiated researches and scientific work on the definition of legality of media reception shown and customized for the specific medium of film, or in the narrow sense for the film reception by means of information and communication technologies. This paper does not intend in any way to represent a new reception-film manifesto, but rather it tends to 'update' and adapt the existing standpoints to the contemporary film and social changes. The biggest change occurred in the moment when the film audience began to watch films over the Internet, or with devices that can connect to it, i.e. computers, laptops and smartphones. Therefore, this change is necessarily reflected on the film reception as well.

The hypothesis of this paper was that, through the darting changes brought by the advancement of information and communication technologies, which caused a reversal in the understanding and functioning of all forms of human communication, the biggest change was experienced by the audience which represents one of the basic concepts and approaches of the reception theory. The change of such an important factor places the whole reception theory in imbalance and comes to standstill, that is, it also includes the changes of other factors in a greater or lesser extent, and searches for redefining of the theoretical assumptions so that the balance can be established again.

### Examples of the Application of Literary Reception Theory to the Film Medium

As we have said in the introduction, the application of the theory of literary reception to the medium of film is not by any means a new approach. We will show here only a few randomly selected examples from the extensive corpus dealing with similar issues, but they do not deal with the change in the reception influenced by ICT, which we consider our own contribution to science.

In their work, 'Narrative', Thomas Albrecht and Celine Surprenant give a book review by Karl Kroeber<sup>1</sup> stressing his study as extremely important for the portraying of the novels of the nineteenth century in the films of the twentieth century. 'Kroeber's approach to this topic is a combination of a casual formalist analysis and what might be called reception theories/.../ (in this portion of his demonstration, he makes reference to classical reception theory, for instance to the work of Wolfgang Iser). /.../ Some of these points have been addressed more systematically, more rigorously, and in greater detail by current and past scholarship in narrative theory'.

In her work 'Film Theory', Lisa Trahair<sup>2</sup> also refers to contemporary research of reception theory on examples of actual, empirical viewers of the film with the assumed future, 'secondary' audiences and deferred meanings of the film text. 'In these terms, cinema, like other arts and technologies, is not bound to the predictability of the future (le future) but the unpredictability of l'avenir, the time to come'.

In the work of the same name ('Film Theory') Lisabeth During and Deborah Levitt are doing a review of expert books on film<sup>3</sup> which recreate the historical approach to the film in very different ways, and in doing so, they move away from the so far established models stemming from psychoanalysis, cultural studies, reception theory or cognitivism. It is exactly this

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<sup>1</sup>„Make Believe in Film and Fiction: Visual vs. Verbal Storytelling is a study of considerable value to anyone interested in nineteenth-century novels, in twentieth-century narrative cinema, and in the question of how novels and films tell stories differently. Kroeber's approach to this topic is a combination of a casual formalist analysis and what might be called reception theories. On the one hand, he discusses and compares passages from well-known European realist novels and sequences from classical Hollywood and postwar European narrative films in order to demonstrate how each constructs a narrative using very distinct techniques (his first chapter, for example, opens by suggestively juxtaposing the ax murder scene from Dostoevsky's Crime and Punishment with the killing of Marion Crane in Alfred Hitchcock's Psycho [1960]). /.../ (in this portion of his demonstration, he makes reference to classical reception theory, for instance to the work of Wolfgang Iser). /.../ Some of these points have been addressed more systematically, more rigorously, and in greater detail by current and past scholarship in narrative theory. „ (Downloaded from <http://ywccct.oxfordjournals.org/> at University of North on November 22, 2016)

<sup>2</sup> :“Instead of countering the ideological conception of the cinematic spectator with the notion of real empirical viewers, as so many recent studies in reception theory do, the tropes of the ghost, hauntology, after-effects and deferred meaning make it possible to think of film texts as engaging with the alterity of future audiences as much as current ones. In these terms, cinema, like other arts and technologies, is not bound to the predictability of the future (le future) but the unpredictability of l'avenir, the time to come.” (Downloaded from <http://ywccct.oxfordjournals.org/> at University of North on November 22, 2016)

<sup>3</sup> „Reviewed in this section are a set of books which, in rather different ways, reanimate the historical approach to cinema: they are not film histories perse, but they each take us further into the rich ground where history, culture, and the philosophic imagination meet, and inform the appreciation of the cinema./.../One of the tendencies in this rethinking is a move away from the models that have historically dominated theories of spectatorship, whether these emerge from psychoanalysis, cultural studies, reception theory, or cognitivism.” (Downloaded from <http://ywccct.oxfordjournals.org/> at University of North on November 22, 2016)

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emphasis on the move-away from, among others, the reception theory that proves to us to what extent the reception theory application in film studies used to be generally accepted.

Ernest Mathijs dealt with specific reception in his work 'Bad reputations: the reception of 'trash' cinema'<sup>1</sup>. Mathijs believes that marketing and reception contexts, both historical and topical, play a crucial role in determining the public meaning of a film text and believes that the discourse of its reception actually starts long before it is received (which can be considered the epoch's horizon of expectations (author's comment)). Such considerations are fully justified on the reception theory.

Further, similar considerations are discussed in the work 'Film history terminable and interminable: recovering the past in reception studies' by Barbara Klinger in which she states<sup>2</sup> that 'Reception studies scholars almost exclusively come to terms with a film's meaning by considering the impact that its original conditions had on its social significance.' Klinger points out the presence of contextual analyses which hope to reveal the impact of discursive and social situations on the film, and they examine a network of relationships between a film and filmic element with intertextual fields such as censorship, exhibition practices, star publicity and reviews, and the dominant or alternative ideologies of society at a particular time, that is, reception theories again.

As we can see, most of these works and studies (which represent only a small part of the researched sample which also has similar characteristics) quite competently apply the legality of the theory of literary reception to the medium of film, but in doing so, they mostly concentrate on the historical reception of the film. This approach, of course, cannot be applicable for this research on contemporary synchronic level, since the mobile reception of films is a new concept in the ways of showing and reception of the film and it is not possible in the diachronic analysis.

### Redefining of Film Reception Legality

The film is as a mass medium, but with the existing and very present artistic component (in the paper we will not insist on the division of the film into artistic and commercial film, because the debate about it would take us in a completely different direction and would greatly complicate the planned development guidelines relating to redefining of exclusively reception terms) much more suitable for questioning of different horizons of expectations, which, we believe, have changed more than, for example literature, which still represents a largely individual experience. The film is, therefore, chosen as the primary investigated medium although the studied theories focused primarily on literature or on the written text. But the film, with its literary template in the basis, represents a kind of upgrade to the literature which is more approachable to the nowadays audience than the book itself. In a culture of the visual and virtual<sup>3 4</sup>, which today more than ever is emphasized by the visual quality of all-pervasive Internet, the audience has even more pronounced demands and assumed changes

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<sup>1</sup> „marketing and reception contexts, both historical and topical, play a crucial role in determining the public meaning of a film text and explaining the creation of reputation, hypes and controversy./.../ the pursuit of information from the time of the film's inception (which is an obvious influence on the film's further development) and its significance for the ways in which the film is eventually presented and received raise the theoretical problem that the discourse of its reception actually starts long before it is received./.../ This provides a view of the complex pattern of influences and opinions that makes up a film's reception. (Downloaded from <http://screen.oxfordjournals.org/> at University of North on November 22, 2016)

<sup>2</sup> „the object of literary analysis from the text to the intertext - the network of discourses, social institutions, and historical conditions surrounding a work – they helped inspire the development of historical reception studies in film. Those engaged in reception studies typically examine a network of relationships between a film or filmic element (such as a star), adjacent intertextual fields such as censorship, exhibition practices, star publicity and reviews, and the dominant or alternative ideologies of society at a particular time. Such contextual analysis hopes to reveal the intimate impact of discursive and social situations on cinematic meaning, while elaborating the particularities of cinema's existence under different historical regimes from the silent era to the present. /.../ On occasion, reception studies focused on the industry fail to raise the question of how the industrial context connects to surrounding social and historical processes. /.../ Reception studies scholars almost exclusively come to terms with a film's meaning by considering the impact that its original conditions had on its social significance. (Downloaded from <http://screen.oxfordjournals.org/> at University of North on November 22, 2016)

<sup>3</sup> : „The roots of longing for the virtual world are fixed in permanent Western belief in the sight as the most noble organ and the sensual metaphor for expansion of understanding. That belief helped in creating a space for the imaging virtual world of visual language that promises 'transcendence' and emotionality in images, which has been denied for us until this day because of our material incarnation.“ (Hillis, 2001: 107.)

<sup>4</sup> „New virtual terms are not just fashion, they are a new perspective on things /.../ These terms tell us about deep changes which the contemporary culture is going through and the role that literature and art have in these changes /.../“ (Oraić Tolić, 2005: 209.)

must be more clearly shown in the visual media<sup>1</sup>, such as film, which is therefore, with the necessary respect for the obvious differences, fully adequate to show the reception transformations.

In the scientific literature this approach is not new, but his opponents appear frequently. Thus, for example, the professor Milivoj Solar in his 'Lectures on bad taste' points out that 'At the same time, the image accompanied by speech radically narrows the scope of imagination. The very fact that the image prevails over the speech in advance cancels what theorists call places of uncertainty. What you get on the screen does not give you anything to suggest further imagining and thinking, but you get a concrete form product that is in the consequences exclusively confined to affirmative suggestion' (Solar, 2004: 22.). If we accept such a position, and partly we have to agree with him, one more fundamental concept of the reception theory requires redefinition, and that is (according to Iser<sup>2</sup>) the function of empty spaces. However, the coming of age of a new generation of film audiences, which is used to receive non-linear content, selecting by interest and *scrolling* content that they do not read, but scan, they fill empty places that were not selected in a completely new way. Because they are so used to it and have learned to access the media in that way, their particular approach will be applied to the chronological, non-interactive media by inserting empty spaces into sequences that did not predict such course of actions by extending their meaning and creating no more mass media hypnotic effect, but individual experience. In that way, the film will be a medium that will most satisfy their still existing artistic demands that social networks and television cannot meet. In such an approach conative structure of the film<sup>3</sup> is more prominent, so it is understandable that the film has a big impact on social issues and particularly on the actions of an individual.

By transferring the film through this relatively inadequate equipment, the quality of the recorded film will be much lower than on the cinema screen for which it was originally recorded. On the mostly small screens (let us even take into account cell phone screens) you simply cannot discern what would be seen in the cinema or even on television. Therefore, there are new empty spaces that the viewer has to complement by his/her imagination. This leads to an almost absurd situation that in fact the poor quality of the film reproduction leads to its greater artistic value! The filmmakers will probably never agree with this thesis (we are not sure if we ourselves can agree with it), but it certainly gives us food for thought.

When we talk about new ways/techniques of receiving/watching the film, we must be aware that the horizons of expectations have fundamentally changed. The very term horizon of expectations can thereby remain unchanged from the original Jauss's definition<sup>4</sup>, or the one by Charles Robert Mandelkov<sup>5</sup>.

Moving the film on the medium of the Internet (although thus the Pandora's box of copyright relating to almost all Internet content has been opened), the film has received another form of its appearance, or another transmission medium to the audience. In doing so, the individual reception is further influenced by social reception, but to a lesser extent because the online film viewer has the opportunity to, without the mediation of cinemas and distributors, choose a film on his own, but the selection will still probably be influenced by the film's advertising campaigns. However, low-budget films become available as well which owe their promotion almost exclusively to positive evaluation of the audience that evaluates and/or shares them with other users. Therefore, an individual viewer takes more than an active role in promoting a particular film

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<sup>1</sup>The importance of the visual language was also noted by Umberto Eco in his study *Sounds and images: 'Democratic civilization will be saved only if the language of the picture sets the challenge to critical thinking, rather than a call for hypnosis.'* (Eco, 2005: 179.)

<sup>2</sup>Wolfgang Iser deals more thoroughly with the relationship of the text and the reader, as well as the concept of uncertainty. He believes that if we accept that uncertainty represents elementary prerequisite for action, then the question arises about what its expansion, especially in modern literature, actually means. It certainly changes the relationship between the text and the reader. The more the text loses of its uncertainty, the more the reader gets involved in the completion of its possible intentions. The amount of uncertainty in literary prose, and perhaps in the literature in general, is the most important element in the inclusion of the reader in the text (according to Iser, 1978: 94. and 112.)

<sup>3</sup>According to W. Iser, conative structure of the text is the most important element of including the reader into the text.

<sup>4</sup>The biggest news in Jauss's theory is the introduction of the concept of 'horizon of expectations', which provoked much controversy. Jauss considers that the new text evokes for the reader (listener) the horizon of expectations and those rules of the game which he knows from previous texts and which are now being repaired, altered or only reproduced. The reader may notice a new work in the more narrow horizon of his literary expectations, as well as in the wider horizon of his life experience (according to Jauss, 1978: 45,47.)

<sup>5</sup>Karl Robert Mandelkov also discussed a horizon of expectations, stating that there are a number of different horizons of expectations. He wondered whether it was justified to talk about one horizon of expectations, or is the historical reality such that one work is continuously received in the mirror of different horizons of expectations depending on non-concurrency and non-uniformity of simultaneous holders of action? Already at the level of historical synchrony at least three different foils of expectations can be conceptually distinguished that determine the process of reception and influence it. Mandelkov called these foils the epoch's horizons of expectations, acts expectations and expectations of the author (according to Mandelkov, 1978: 120.)

that, in the above case, does not have to invest abundant resources in advertising campaign. Also, film criticism is reduced here to amateur comments, which are short and mostly unskilled, but the audience trusts them much more than the 'professional' ones whose authors, as the impression has been created, are often members of particular film interest lobbies. The possibility of evaluating, sharing, commenting and discussing the film through the Internet and social networks gives the film added value and meets the need of the audience for the immediacy and interactivity that is expected of all content on the Internet, and also of the film, which, in itself, does not have this feature. A new layer of expectations horizon appears here, and that is the horizon of device expectations. As the audience responded to the need that any content posted online must have an interactive content as well, the film industry has done the same. It already started with films on DVD, where they quickly responded to the online media's third request, and that is connectivity, and they offered a choice of content related to the film; shots from the filming, unlisted parts of the final film, uncensored parts, interviews with the cast and director, music videos with film music, link to an online store offering T-shirts, scarves, cups, figurines ... with characters and situations from the film which opens the possibility of creating additional indirect financial gain.

The fourth feature of online media, and that is archivism, will also come into focus while searching the films so that, after watching a particular film, the device 'itself' (using the 'cookies') offers similar films under the assumed affinity; director, actor, genre ... from the vast archive of films on the Internet.

The expectations of the audience, which is understandable, experience the most complete change. Since the film is received through computers, laptops and mobile phones (smartphones), the audience expects of the film similar stimuli and similar forms of presence as in other contents they receive through their gadgets. These expectations will also be linked to the resolution, design, photography and film syntax, and expectations will be extended to the form of film's narrative as well. Since a large number of viewers were raised on computer games, they will look for similar stimuli in the film, remaining less empathic for the fate of the characters, but also for the violence in the film, which, indeed, appears less brutal on a small screen than on the big screen. And although it seems fundamentally different, the requirements of the audience have been changing for centuries in similar direction: 'We do not state that the audience is more corrupt than before: it just has more experienced nerves, so it needs rougher and cruder stimulations.' (Ujević, 2004: 200.)

Hereby, we come to another postulate of the reception theory, and this is a film audience. V. Žmegač wrote about the phenomenon of the audience, but of the literary audience, declaring: 'From the methodological point of view it is necessary to draw attention to the lack which is often accompanied by theoretical considerations about the reception (for example Jauss's considerations), and this lack is reflected in the generalized, abstract understanding of 'literary audience'.../ The audience, as we conclude, is definable as a sociological and also literary-aesthetic category: in the literary process the reader is economic factor, and partly a selective one, but he is one of the unknown heroes of literature, anonymous or present, elusive figure whom the author either gives in and pleases or throws down a challenge to him.' (Žmegač, 1976: 71- 73.) With the film audience this is even more prominent since one entire, very profitable industry, that is the film industry, is based precisely on the whims of the audience and it is very important, from the standpoint of profit, to assess what film audiences 'love' and what they do not like. Of course, just as the case is with literature, but also with the news media, this pandering to audiences usually goes towards loosening and adjustment and reduction of challenges, rather than its referral that is still present in the non-commercial art film.

Talking of the industry in the context of the reception, and it is more than necessary with the film, it is impossible to bypass the categories of production and consumption that are woven into the critique of political economy of Karl Marx<sup>1</sup>. Besides the categories of production and consumption<sup>2</sup>, Marx also mentions the *way of consumption* which proved to be a special and new in the case of the film reception through ICT. Another theorist of receptions refers to Marx, and that is Manfred Naumann: 'If we do not forget its 'substantial difference', then 'the production of art' is nothing more than just a 'special form' of production, and hence the same provisions apply to it as the ones 'that apply to production in general.' (Nauman, 1978: 138). When we talk about the film industry, even the reception via the Internet, we cannot disagree with these two

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<sup>1</sup> *Introduction to the Critique of Political Economy* was created in 1857 and first published in the journal *Die Neue Zeit*, 1903, in its unfinished form.

<sup>2</sup> Production produces consumption in that it creates a material, an object of consumption, and through the object, which is always just that particular object, it creates a way of spending and creating the need for spending, spending incentive, 'the ability for consumption', i.e. in so far as creating an entity for the subject. Consumption also produces production to the extent that it creates real product; as opposed to natural object, the object created by the man only becomes a real product when it is confirmed in consumption and consumption creates the need for new production (according to Marx, 1969: 205-241)

theorists from (before) the last century, even though, at first glance, it seems impossible and bizarre, primarily because of the exceptional time delay, but also all the connotations associated with Marx, especially in this region.

### Conclusion

The darting changes brought by the progress of information and communication technologies, which caused a reversal in the understanding and functioning of all forms of human communication, the biggest change (with naturally the way or technology of receiving) has been experienced exactly by the audience. The assumed hypothesis at the beginning of this paper that the change of such an important factor, such as the audience, placed the whole reception theory in imbalance has been demonstrated in terms of the necessity of redefining certain settings.

The paper redefined notions of contemporary audience and different horizons of expectations, and a new horizon of expectations has been established, and that is the horizon of device expectations. Also, we have redefined the conative function i.e. the empty spaces function, individual and social reception of the film, while the theory of production relations in the case of the production of art has been applied to the film industry. The paper applies to the film received through social networks requirements of all characteristics of new media, which is also a novelty in scientific thinking. All contemporary changes were compared with root settings of reception theory, rather than with contemporary interpretations.

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## The Communist past of Albania and the Country in 25 Years of Transition: The Challenges of a Reparation Mechanism

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### Abstract

Already a quarter of a decade after the fall of communism in Albania, the country continues to undergo a profound political, economic, social, and legal transition period. This long transition challenges the constitutional aspiration of the Albanian people to build a democratic state founded on human rights and fundamental freedom and build a future of social peace and economic prosperity. Despite the large constitutional and legal measures adopted to consolidate a modern state based on human rights and freedoms, free market, private and public property, and rule of law they have failed to adequately address the demand for respect of human rights of a category of subjects that during communism suffered the profound violation of these rights, were victims of vicious inhuman acts and unable to benefit from repair as much as possible of the consequences of these violations. In the first part, this paper aims to analyze the concept of transitional justice and the legal instruments of international law used to address the obligation of ex-communist states to take measures to eradicate the communist past. These measures are a prerequisite for building a functional democracy founded upon social peace and prosperity. The essence of this paper lies in assessing the reforms of the restitution and compensation of expropriated property during the communist regime as an important instrument of transitional justice in Albania. The main focus of this paper is on its second part, which provides a legal evaluation of domestic legislation regarding the restitution and compensation of property expropriated during the communist regime. The aim is to determine whether this legislation has contributed to justice and human rights.

**Keywords:** transitional justice, human rights, property rights, restitution and compensation, UN, the Council of Europe, lustration, the communist past.

### 1. Introduction

More than a quarter of a decade has passed since the beginning of the aspiration of the Albanian people to build a free and democratic society based on European values and standards, and the country continues to undergo a deep political, social, and economic transition. The transition from a totalitarian communist system to a democratic one has been and remains a difficult and long process. At first glance, it looks like a change in governance and economic system, meanwhile, in a deeper analysis, it is characterized by a different philosophy of the legal system, where the interpretation of the law is not simply positivist, but argumentative. In this system the constitutional principles constitute a set of superior norms and values and the law is the instrument for achieving a social equilibrium. In this system that we are trying to build, human rights are the leading values, meanwhile social justice is not only a constitutional concept, but a social, economic, and cultural condition that must not only be achieved but surpassed, not allowing discrimination.

One of the main challenges of the democratic state in the transition period is how to achieve social justice and build a future of peace and economic and social prosperity, serving the interests of society in general. In this stage of political, economic, and legal transformations, the realization of the constitutional aspiration of justice requires taking as a basis, not only certain economic and social circumstances or values such as needs, merits, and services but above all also the protection for basic human rights, such as the human personhood and dignity, private property, etc., violated for decades during the communist system. This view is based on the presumption that in a democratic system, human rights are considered of a natural character, indivisible and inalienable. As will be discussed below, this point of view, known as transitional justice, was an expression of the conviction that a country based on democratic values cannot be developed without first looking at the historical background to evaluate and deal with the violations of human rights, as well as without repairing their consequences as much as possible (Williams, 2007, p.1).



In a transitional context, the dilemma arises whether the new democratic state must deal with the past, in the conditions where it has many other challenges ahead. Consequently, questions such as: what is the public utility that justifies the legal addressing of issues, facts, events, and subjects that happened and acted in the past based on a certain legal framework that authorized their actions? If they are justifiable, does the new system allow such a thing, from a formal-legal point of view?

Beyond the "narrow" framework of the demands of the victims of communist violence, there are two main reasons that justify the necessity of addressing the past from the general social interest. First, a need to protect and consolidate democracy from the long communist past, its ideology, and mechanisms. Second, society must know what happened, and what crimes were committed to punish the perpetrators, repair as much as possible their consequences, and never allow such situations and events to be repeated. If such an intervention is justified, the main challenge for the democratic state remains the fairness, timing, nature, and content of the measures that will be taken to address the injustices of the past to achieve, through the law, social justice, enabling the protection of the rights of persons who were persecuted during the communist regime without causing other injustices.

This doctrinal concern was also expressed by Vaclav Havel, the former first democratic president after the fall of the communist regime in Czechoslovakia. Havel stated: "It is important to find a fair balance, the right approach, which would be humane and civilized but would not try to evade the past (Michnik, 2003, p. 65). The international legal framework that defines and analyzes the concept and instruments of transitional justice serves as a guideline for the types and content of the legal measures to be taken. This paper, as a study of the political and legal nature focuses on the progress and challenges of transitional justice reforms in Albania.

## **2. Conceptual Framework of Transitional Justice in International Law.**

In international law, transitional justice was originally conceived as a form of justice, which characterizes and inspires some legal reforms in the transition phase. This form of justice addresses the need to build and develop a democratic state, relying on the assumption that a society cannot prosper without addressing with concrete measures the violations of human rights that occurred in the past (Walker, 2006b, p.12). Transitional justice emerged as a field of study within the discipline of human rights, at the end of the 20th century, after the overthrow of a series of dictatorial regimes in Latin America and Southeastern Europe (Huntington, 1993) Consequently, its foundation is the Universal Declaration of Human Rights and Fundamental Freedoms, and the European Convention on Human Rights, which in their preamble not only declare that: human rights constitute the foundation of justice, but also manifest a wide catalog of basic human rights (UN Declaration of Human Rights and Fundamental Freedoms, Preamble).

Transitional justice was articulated for the first time, by Kritz, in 1995, with the publication of the book: "Transitional Justice: How New Democracies Must Deal with Past Regimes" (Kritz, 1995) One year later, transitional justice was embodied in the Resolution of the Parliamentary Assembly of the Council of Europe (1096) 1996 "Measures to dismantle the heritage of former communist totalitarian systems" (CoE Resolution (1096)1996). The main goal of this act was to help former communist states, build a liberal democracy and the rule of law. The content of this act is considered within the transitional justice paradigm (Sweeney, 2012). This Resolution represented both a political program for a democratic transition to be implemented in ex-communist countries, as well as a legal document as a framework on the meaning of transitional justice and its constituent legal instruments. This act unfolded the main objectives of the transitional justice reforms: "creation of a democratic society, based on the rule of law and respect for human rights, based on the principle of subsidiarity, the economy of market, freedom of economic activity, equality of opportunities and transparency of decision-making". This Resolution identified four basic principles that should guide the transition process: demilitarization, decentralization, demonopolisation, and debureaucratisation (CoE Resolution (1096)1996, point 5). From the point of view of international law the most important aspect of this act was the proclamation for the first time of a wide catalog of transitional mechanisms recommended to ex-communist states to rebuild the legacy of the past and consolidate a democratic state. According to the Resolution, transitional justice instruments are:

- a) Prosecuting and punishing criminal acts committed by individuals during the communist regime under the standard criminal code (Ibid, p.7).
- b) Awarding material compensation to these victims of totalitarian justice. The award should not be (much) lower than the compensation accorded to those unjustly sentenced for crimes under the standard penal code in force (Ibid, p.8).
- a) Opening of secret service files for public examination (Ibid, p.9).



b) Restituting or compensating expropriated property during the totalitarian systems (Ibid, p.10).

c) Introducing administrative measures, such as lustration or decommunization laws to exclude persons from exercising governmental or state power (Ibid, p.11).

The Resolution foresees that the risks of failure to implement transitional justice measures in former communist countries might be the installation of oligarchic regimes instead of democratic ones, and corruption and organized crime will flourish (Ibid) This view is also expressed 10 years later in Resolution No. 1481 (2006) "The need for international punishment of the crimes of totalitarian communist regimes", expressing the need to condemn at the international level the past and existing totalitarian regimes, and also redemanding the member states of the CoE to dismantle the communist past.

The most comprehensive definition of transitional justice was given by the United Nations, in the report of August 23, 2004, declaring that: "transitional justice comprises the full range of processes and mechanisms associated with a society attempts to come to terms with a legacy of large-scale past abuses, to ensure accountability, serve justice and achieve reconciliation" (Security Council of the United Nations, Report no. (S/2004/616, ph. 8). UN General Assembly in the Resolution 60/147 of December 16, 2004, laid the conceptual framework of transitional justice instruments" (UN, Basic Principles, Doc, A/RES/60/147). UN argues that adequate, effective, and prompt reparation is intended to promote justice by redressing gross violations of international human rights law or serious violations of international humanitarian law. According to this legal document, effective reparation includes the following forms: restitution, compensation, rehabilitation, satisfaction, and guarantees of non-repetition (Ibid, Principles 19-23) Meanwhile, the restitution aims to restore the victim to the original situation before the gross violations of international human rights law and among others imply the restitution of property. A few years later, in 2010, the UN Secretary-General presented a guiding document entitled "The UN Approach to Transitional Justice" elaborating further on the above principles.

Transitional justice is an important topic in several legal documents of the European Union, such as the Prague Declaration "On European Conscience and Communism" (2008) and the European Parliament Resolution "On European Conscience and Totalitarianism" (2009). These documents share the same objectives and goals as those of CoE.

### 3. The Roots of Transitional Justice in the Albanian Constitution

After the fall of the communist regime, the concept of justice and human rights became the most important pillars of the Albanian legal system. At the beginning of 1991, through the law no. 7491, dated 29.04.1991 "On the main constitutional provisions" Albania was declared a legal and democratic state. According to this law, human dignity and personhood, human rights, as well as the rule of law, and social justice became the foundation of the legal order, which must be respected and protected". Article 4 of this law stated that: "The Republic of Albania recognizes and guarantees the basic human rights ... accepted in international documents". The most important step in the Albanian affirming the human rights after the fall of the communist system was the approval of Law no. 7692/1993 "On an addendum to Law no. 7491/1991 "On the main constitutional provisions" which entailed for the first time the catalog of human rights. Building a new legal regime based on human rights and social justice was a major societal expectation considering that, during the brutal 46 - years of dictatorship in Albania, the infringement of human was a method of governance. Thus, the preamble of this law stated that "the comprehensive respect and enjoyment of human rights constitutes one of the highest aspirations of the Albanian people and is considered one of the necessary preconditions for guaranteeing freedom, social justice and democratic progress of our society."

A few years later, the Constitution of the Republic of Albania of 1998, proclaimed that: "...the fulfillment of the aspiration of justice, peace, harmony as the highest values of humanity are the main goals that the Albanian people aim to achieve" (Law no. 8417/1998). The Constitution sanctioned that justice is established through law, which constitutes the basis and limits of the state's activity (Ibid, Art. 4). This constitutional norm implies the close connection between justice and the law because justice is the fundamental principle that guides the legislator's activity regulating various relations in a democratic state. According to the Constitution, the aspiration of justice is embodied within the concept of the social state (Law no. 8417/1998, Preamble), and thus in the principle of social (Law no. 8417/1998, Art.3). Therefore, the constitutional principle of social justice requires that a social balance should be achieved, the interests of different groups within the social structure be harmonized and a welfare state be built. The Article 15, of the Constitution proclaims that human rights are indivisible, inalienable, and inviolable and lays the foundation of the entire legal order, obliging the public authorities to take effective actions that contribute to their fulfillment. The constitutional roots of transitional justice in Albania go beyond the general principles of human rights and justice. An important feature of transitional justice roots in Albanian legal order is that the Constitutional norm explicitly recognizes restitution and compensation of expropriated property during the communist

regime as one of the transitional justice instruments (Albanian Constitution, Article 181). The above-mentioned constitutional basis imposes several obligations through legal reforms. are included in the spectrum of transitional justice.

This paper aims to analyze restitution and compensation in Albania as one of the legal reforms of the transitional justice spectrum. The restitution and compensation of expropriated subjects during the communist regime constitutes one of the most complex and important reforms of transitional justice. This is considered the most important and complex reform of the transitional period. First, this reform in its sphere has a large spectrum, because in Albania the loss of property rights almost affected the entire society. Consequently, this transitional justice reform does not only serve the category of political convicts and persecuted subjects, but a much wider category. Secondly, the complexity of this reform lies in finding a fair balance between the general public interest, that of the expropriated subjects, and the third parties who had acquired ownership rights during the communist regime. Thirdly, such a reform has been deeply influenced, not only by political interests but also by other economic ones, due to the impact and value of the land during these years.

#### **4. Restitution and Compensation in Albania: The Difficult Path of a Reparation Mechanism**

Restitution and compensation are considered as two ways of redressing past injustices inflicted by the communist regime on expropriated subjects. This view is embedded in restitution and compensation laws and also declared by our Constitutional Court, in decision no. 4/1994, arguing that the correction of the injustices of the previous regime through law no. 7698/1993 will be carried out through the application of two methods: a) assuming the obligation by the state to return the previous expropriated lands and buildings to the former owners, that is, to re-own them with those properties that are factually and legally possible to return, or b) for the lands occupied by permanent constructions the repair should be carried out only through compensation in kind or value (Law no. 7698/1993, Article 16).

The same argument was affirmed again by the Constitutional Court in decision no. 26/2001, acknowledging that through the law on restitution and compensation, the legislator recognized the expropriated subjects "right to compensation for damages caused by the illegal actions of the previous state". In the assessment of the Court, "This is a fundamental right that has been reflected in Article 44 of the Albanian Constitution, and the ways for its fulfillment have been specifically determined in Law 7698, dated 15.04.1993 "On the restitution and compensation of property to former owners" (Decision no. 4/1994, of the Constitutional Court of the Republic of Albania, p. 2). Also, the ECtHR in the case of *Driza v. Albania*, emphasized that the three property laws provided for a legal remedy, in the form of an administrative action for the restitution and compensation of the property addressed to a public entity, which had the power to decide on the title of the property of the former owners and where it was possible to allocate them their original property or compensate them in lieu. The above procedure represents the only way to acquire the right of ownership nationalized in violation of the law (Case of *Driza v. Albania*, ph. 117)

##### **4.1 The First Legal Framework: 1993 - 2005**

In the Albanian legal framework, the issue of expropriated property during the communist regime first emerged as a reparative measure for the convicted and persecuted politically in law no. 7514/1991. The right to restitution and compensation of expropriated property was fully addressed in 1993, with the approval of law no. 7698, dated 15.04.1993 "On the restitution and compensation of property to ex-owners". The law sanctioned the recognition in favor of the former owners or their heirs of the right of ownership for nationalized, expropriated, or confiscated properties from the state, as well as determined the ways and measures for their restitution or compensation (Law no.7698/1993, Art.1). The law addressed only the issue of land and buildings expropriated during the communist regime sanctioning two instruments: that of restitution of the property when the previous property claimed by the expropriated subject was free, and that of compensation, in cases where the property was occupied. According to the law, the concept of the land plot, for the effects of restitution and compensation (Law no.7698/1993, Art.2) included the land resulting within the boundary line of urban centers at the time of handling the request for restitution or compensation of property, regardless of its previous cadastral item.

The most effective instrument was the restitution of the property to its previous owner. The compensation represented the state's obligation, in cases the land was occupied by permanent constructions, to award to the former owner: a) state bonds, which would be used according to the equivalent value with priority in the process of privatization of the state assets or other activities, b) equivalent land near residential centers or c) equivalent land in tourist zones (Law no.7698/1993, Art. 16). The law established limitations regarding the amount of land to be returned and compensated, in case the previous property was over 10,000 m<sup>2</sup> (Law no.7698/1993, Art. 5).

In the same period, the issue of agricultural land expropriated during the communist regime in Albania was addressed only through the instrument of compensation. This is because in 1991, Law No. 7501/1991 "On Land" sanctioned that "the ownership rights over agricultural land be transferred to families who have founded agricultural cooperatives during the communist regime, and in use to families living in the village or the members of ex-communist farms. With the coming to power of the right-wing political forces, the legal system was not reformed to address the issue of the restitution of agricultural land to the former owners. In 1993, the Albanian Parliament severely hit the expectations of former owners, by legislating that only compensation in value should be awarded while recognizing in 1995 the ownership right to the families living in the village or the members of ex-communist farms (Law no.8053/1995). Compensation of expropriated subjects for agricultural land was regulated by law no. 7699, dated 21.04.1993 "On compensation in value of agricultural land". The law recognized former land owners or their heirs the right to compensation of properties, they owned at the time of the approval of Law No. 108, dated 29.8.1945 "On Agrarian Reform", located outside the boundary lines of the residential centers (Law no.7699/1993) According to the law, compensation in value will be carried out only through state bonds issued in lek, which would be freely transferable and could be sold to third parties, according to the price decided between the parties. The law sanctioned that they represented guaranteed titles and the owners enjoyed the right of pre-emption in cases of the purchase of state property such as industrial assets, shares of state enterprises, etc. The state was obliged to repay these bonds through state property until 31.12.1999. According to the law, after 5 years their repayment should be made in Lek (Law no.7699/1993, Art. 10) The law restricted the amount of agricultural land to be compensated up to 15 ha (Law no.7699/1993, Art. 8). According to the law, the price per m<sup>2</sup> of agricultural land would be set by law, referring to the category or quality of the land (Law no.7836/1994). In 1996 the legislation sanctioned the right to restitution and compensation of other land categories, like forest, meadow, and pasture (Law no.8024/1995 and Law no. 8084/1996).

#### **4.2 The Second Legal Framework: 2005 - 2015**

During the first 10 years, the restitution and compensation process did not have the expected progress. The wide dimension of the phenomenon in Albanian society with a large number of requests submitted and still unresolved, the slow progress, the complexity of the process, lack of standardization of decision-making, fragmentation of legislation according to different types of land, legal restrictions, as well as in particular the non-fulfillment of the compensation right were the main reasons that forced the legislator to sanction at the constitutional level in 1998, the obligation of the Albanian Parliament to undertake a new legal regulation within two to three years from the entry into force of the Constitution (Abdurrahmani, 2015, p.66-67)

The adoption of law no. 9235, dated 29.07.2004 "On the restitution and compensation of property" was a step forward, not only towards the standards in handling the request for restitution and compensation of the expropriated property but also expanded the amount of property restitution and compensation (Law no.9235/2004, Art. 6, point 1) and the most important element seemed to be the guarantees regarding the compensation instrument. At first glance, the second law shows several guarantees compared to the previous law, such as a faster decision-making procedure of 3 months, control over the decision-making process, an increase in the amount of restitution and compensation, expanded forms of compensation, and creation of the compensation sources: physical and financial fund, calculation of compensation based on the market value, as well as determine the final deadlines of the process. According to the second law, the compensation procedure should be regulated yearly by decisions of the Council of Ministers at a later time after the relevant funds are available. Even these measures of the internal legal system did not prove to be effective and applicable, making the progress of property restitution and compensation reform until 2012 very slow, the compensation funds in money insufficient and the compensation criteria very restricted (Abdurrahmani, 2015, p.74). Compensation in kind as a form of compensation was not applied at all, due to the apathy of the state institutions and the lack of land funds. The sub-legal criteria of the process of compensation in value were very restrictive. The execution of the compensation titles became very problematic because, from 2005 to 2014, only 800 decisions out of over 35,000 were partially executed (Ibid). Consequently, a large number of expropriated subjects who did not have the opportunity to obtain their rights in the internal legal system, turned to the ECtHR, suing the Albanian state, for the violation of their property rights and right to due legal process, respectively according to Articles 1, of protocol no. 1 and article 6 point 1 of ECHR.

In a series of decisions against Albania, the ECtHR has found the complaints of expropriated subjects admissible, declaring that the Albanian state is consequently violating human rights. In 2012, the Court issued the pilot decision *Manushaqe Puto* and others against Albania declaring the concern for deep systemic flaws in the Albanian legal framework. The court requested the Albanian state to take immediate measures to bring the internal legal system into compliance with the standards of international law enabling all subjects to gain property rights within the internal system (ECtHR, Case

Manushaqe Puto and Others v. Albania) In this Decision, the court addressed concrete measures that should be carried out to guarantee an effective mechanism for the compensation process (Ibid, ph. 111-118).

### **4.3 The Current Legal Solution**

At the end of 2015, the Albanian legislator approved the law no. 133/2015 "On the completion of the property compensation process". This law focused on the obligation of the Albanian state: a) to address over 11,000 unprocessed claims for restitution and compensation, b) to execute about 26,000 claims for compensation accumulated during 23 years, found in administrative acts, court decisions at all levels, as well as the ones that were addressed to the ECtHR (Decree no.9377/2015 of the President of Albania). According to the provisions of the 2015 law, the reason for the non-execution of the right to compensation according to the previous laws was the state budgetary insufficiency to support the process with funds in cash and kind. This is materialized in the compensation scheme, reducing the amount of compensation by using a different evaluation formula than before. This mechanism is embedded in Article 6 of Law No. 133/2015 determining that all final decisions on the restitution and compensation of expropriated property will be subject to a financial assessment by the ATP, as follows: a) the property recognized for compensation is assessed based on the cadastral item it had at the time of expropriation; b) the property to be restituted is valued by determining it from the difference, which will result between its value, according to the current cadastral item, and the value of this property, according to the cadastral item at the time of expropriation." (Law no.133/2015, Art.6).

The new law has been subject to revision in the Constitutional Court of Albania, assuming that its provisions violate the principle of legal certainty, the equality of subjects before the law, property rights, and the right to a due legal process. In November 2016, the Constitutional Court ruled on the repeal of points 3 and 5 of Article 6 of Law No. 133/2015, thereby making the process of property restitution and compensation in Albania fall into a deep stagnation. Moreover, even though more than two months have passed since the announcement of the decision, this Court still has not clarified the decision, to make clear causes and reasons for the unconstitutionality of these provisions, so that the government can take the relevant measures to repair the legal and functional defects of the process.

## **5. Discussion**

A new solution was adopted in 2015 to address the issue of the restitution and compensation of expropriated properties in Albania. This solution which aimed to turn the process to efficiency constituted a radical change to the existing scheme. According to this solution, the property rights lost during the communist regime can be satisfied using another scheme that provides a significant reduction in the amount of compensation considering that applied during the 22 years of transition in Albania which recognized full restitution and compensation according to its market value.

This approach considered by the ECtHR case law a new form of "property loss" demonstrates how the political will of the legislator aiming to provide a "fair" solution has been overshadowed by electoral interests in gaining votes, neglecting essential aspects of the rule of law and the financial state resources to afford such a legal solution. Such wrong solutions during the transition period have led to human rights violations demonstrating that legislation meant to restore justice has instead resulted in new infringement of the rule of law and human rights.

### **5.1 Legal Dilemmas of the Current Solution**

The current law on property restitution and compensation has affected the interests and expectations of a wide category of subjects, whose rights were violated during the communist regime. The problems with the legality of this solution extend to several main aspects. First, the solution given by the 2015 law to the end of this process, by reducing the compensation scheme, represents a second expropriation because it interferes with the deprivation of property rights previously acquired, but not yet executed due to the impossibility of the state resources. Secondly, the law violates the principle of security of the legal owners because such a deprivation makes them feel insecure in their previously acquired rights and expectations to receive compensation according to the law at the time. Thirdly, the legal solution creates inequality in the same category of subjects, because some of them have acquired their rights (full restitution and compensation), meanwhile, most subjects who have not yet accomplished their rights will be treated completely differently. Consequently, the question is whether such legislation (of 2015) represents a fair solution.

### **5.2 A Comparative View of the Compensation Mechanism**

Legislation for the restitution and compensation of expropriated property has provided a legal remedy for almost all Eastern and Southeastern European countries that underwent the communist regime. The legislation for property restitution and

compensation serving as a form of reparation was adopted as a measure that had to strike a balance between the public interest and the protection of property rights. In Southeast Europe, countries unlike Germany, Lithuania, Hungary, Czech Republic, etc., have adopted laws recognizing partial compensation or restitution of property expropriated by the previous regimes. The Lithuanian Constitutional Court, in its case law, stated that the concept of restoring previously lost property rights implies a form of partial reparation. The Court argued that the Lithuanian state, reestablished in 1990, was not responsible for the Russian invasion half a century ago, nor for the consequences that followed (Constitutional Court of Lithuania, Judgements of June 15 and October 19, 1994). Later, the Court reaffirmed that the legislator's solution for the restitution and compensation of properties represented a partial remedy for the property loss (Constitutional Court of Lithuania, Judgement of 20 June 1995). The Court's approach took into account the challenging political, economic, and social circumstances that the country had experienced, as well as the emergence of new generations and property and socio-economic relations during the 50 years of occupation. These factors were considered important and could not be ignored in resolving the issue of property restitution.

In providing a legal solution to this issue, Eastern and Southeastern European countries (such as Germany) relied on the argument that an expropriation that occurred many years ago could not be equated with the current expropriation of property because the immediate increase in their price cannot be supported by the state budget (Constitutional Court of Germany, Judgment of November 22, 2000). Some of these states recognized that compensation for the expropriated property by the communist regime should be based on its value at the time of expropriation converted with the index of the increase in prices (Bulgaria), others sanctioned that the compensation should be based on the value of the property at the time of entry into force of the law (Czech Republic) or some others built special compensation formulas (such as Hungary). Countries such as Poland that attempted to fully compensate for the expropriated property by the communist regime based on its current market value failed. This failure led the legislator to adopt a partial compensation formula resulting in a breach or change of previous rules. Only states like Albania and Romania, which agreed since the beginning to compensate at market value fully, disregarded important constitutional rights and principles such as social justice, protection of private property, and the rule of law. In a series of successive judgments, the ECtHR tested the effectiveness of the legislation and identified systemic problems in the procedures for fulfilling the compensation right, as the authorities found it impossible to uphold their legal obligations, ultimately turning them into mere illusions.

Most Eastern and South-Eastern European states adopted legal schemes that did not recognize full compensation in full for expropriated property. For them, justice and remedy meant partial compensation. The most important aspect of the legislator's decision-making was "setting realistic objectives regarding the amount of compensation". This argument was also supported by the ECtHR case law when interpreting the proportionality of these legal regulations with the provisions of the Convention. The Court declared that the right to compensation, in contrast to the right to restitution, is formulated and protected, both in the internal system of a democratic state and in international law, Article 1 of protocol no. 1 of the Convention does not guarantee full compensation in all circumstances. In the assessment of the Court, in the framework of the transition towards a democratic regime, the drafting of a broad and comprehensive scheme, but also with possible contradictions, that regulates property rights and that has an impact on the country as a whole may include solutions that limit amount and calculation of compensation (Case of *Vistins and Perepjolkins v. Letonia*, ph. 85).

The need to change the compensation law in the middle of the process appeared before the ECtHR in the case of Poland and Romania. The main argument before the Court was the state's inability to fulfill the right to compensation according to the forms recognized by the previous law due to the lack of relevant financial or physical resources, therefore violating several provisions of the Convention. The Court had to assess whether the legal changes in the sphere of acquired rights (the right to compensation) violate or not the fair balance between public interest and private rights, which Article 1 of the additional protocol requires to be achieved in a legal measure that intervenes in the property right. The Court, both in Polish and Romanian cases, admitted that the general interests of society justify the state's intervention to remove dysfunctional provisions from the legal system and correct extra-legal practices. Article 1 of the additional protocol recognizes the state's right to expropriate property, including compensation titles recognized by law, as well as to reduce, even significantly, the level of compensation in such legal schemes."(Case of *Broniowski v. Poland*, ph. 173).

Before the European Court of Human Rights (ECtHR), a case similar to Albania was observed in Poland. The Court had to decide whether the Convention permitted a certain right, recognized by previous legislation in force at the time of its ratification, to be restricted, thereby worsening the legal positions and legitimate expectations of certain individuals. The Court declared that important reforms of the country's political and economic system or the state budgetary restrictions might justify imposing limitations on compensation. The Court recognized that Article 1 of the additional protocol allows the



state to expropriate, including compensation titles recognized by law, and to reduce the level of compensation in such legal schemes even significantly. This may happen when compensation titles are not a result of an actual expropriation of private property by the responsible state but are meant to mitigate the effects of past property loss, which is not attributable to that state. However, according to the Court, Article 1 of the additional protocol requires that the amount of compensation for the state's acquisition of property must be reasonably related to its value (Ibid).

The Court has declared that in situations involving such comprehensive legal schemes with contradictions and a significant impact on the country's economy, national authorities must have a wide margin of appreciation in determining the measures to ensure property rights or regulate property relations. These measures may involve solutions that limit the amount of compensation to a lower level than the market value. Balancing the rights in question, as well as the gains and losses of different persons affected by the process of transformation of the economic and legal system of the state is a difficult exercise. In such circumstances, the state enjoys a wide margin of appreciation. The Court emphasized that it is not within its jurisdiction to determine the level of compensation reasonably related to the value of the property.

The way how subjects were treated by property restitution and compensation legislation was analyzed by the ECHR. The court, assessing the proportionality of a legal measure of equal treatment of subjects, has declared that it requires an objective and reasonable justification for unequal treatment. The court has confirmed, that there is a difference between the different treatment of subjects and their discrimination. In its assessment, treating someone differently is not necessarily discriminatory, as long as there is a reasonable and objective basis for the different treatment. According to the Court, only a discriminatory treatment of subjects in the distribution of property rights leads to property rights violation protected in Article 1 of the additional protocol. The Court stated that the claim for violation of Article 14 cannot be autonomous and separated from other rights protected by the Convention. According to the Court, once a legal solution is adopted it must be implemented with a reasonable degree of clarity and consistency to avoid, as far as possible, legal uncertainties and the uncertainty of the subjects affected. To achieve this goal, each member state must be equipped with an appropriate and sufficient legal arsenal to ensure compliance with the positive obligations imposed by the Convention (Case of Broniowski v. Poland).

In their case law ECtHR and the Albanian Constitutional Court have recognized that the public interest as an important principle of law under certain circumstances might be prevalent over some human rights affected by the pursuit or implementation of a public policy. The intervention in the property rights of the previous owners represents one of those cases where the need to bring into efficiency a legal system where some important rights and principles materialize such as that for private property, the rule of law, the right to due process, etc., can be justified as "a legitimate purpose in the public interest" and the limitation on the compensation amount as proportional according to international legal standards.

Regardless of the above aspects that arouse legal debates, the most important challenge now remains the progress of the new reform. If the previous reforms were impossible to fulfill the acquired rights the main question now is might this be achieved in the current law? During the 25 years, this transitional justice reform didn't fulfill its purpose of being a useful tool that guarantees justice and reparation. The challenge of this mechanism now is time, hoping that justice can be done at least a little.

## 5 Conclusion

International and regional law offered a valuable contribution to defining a framework of legal reforms that would serve the aspirations for justice and reparation. The Implementation of transitional measures, such as the restitution and compensation of expropriated properties, has often been a challenge due to complexity, meanwhile in other cases like Albania due to the lack of will to properly address an injustice of the bitter past.

In 25 years of democratic developments, this transitional justice mechanism has not served the principle of justice and human rights. Consequently, the implementation in practice of property rights, not only failed to restore justice for the expropriated subjects but showed how the attempt to protect the basic human rights violated years ago turned out to be a new serious violation of basic human rights, turning into an obstacle factor for the economic and social development of the country. The lack of the political will to give a serious, appropriate, and fair solution to this issue has made the justice violated years ago is also turned into injustice today.

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## The Ottoman Emigration from the Middle East and Anatolia to North and Latin America Between 1820-1918

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### Abstract

The purpose of this thesis is to analyze the Ottoman emigration towards North and South America regarding social, economic and cultural aspects from the years of the early 1820s to late 1910s. That thesis also matches up the pushing and pulling factors of the emigration, to those measures that were primarily regulated by the Ottoman administration. In fact, the size and particular characters of the emigration took place in it in a category of its own as it reached up to various of ethnic and/or religious groups and reached toward the kilometers from the point of origin were also investigated in this thesis as well. The thesis is composed of three chapters, each of them dealing with different aspects of Ottoman emigration. Chapter One is introductory and defines basic terminology used in the dissertation: the Causes and Scope of Emigration. The chapter is subdivided into three main parts. Part One describes the pushing factors and explains the matter regarding the subjects of agriculture, trade, discrimination and regression, and military service. Part Two deals with the pulling factors and discusses relevant stories from those emigrant groups. And Part Three highlights the scope of emigration within the dimensions of numbers, origins and religions. This part also mentions of Ottoman migration policy and a series of regulations taken by the Ottoman government. Chapter Two examines relevant resettlement processes during the migration flow, and outlines numbers of critical cases in both of North and South Americas. The chapter consists of two parts. While Part One focuses on North America and mentions of the subject within the scope of blueprint of emigration, early movements from the Middle East and Anatolia, and early emigrant associations in the United States, Part Two scrutinizes carefully a myriad of interpenetrating samples in different parts of South American continent. From Cuba to Argentina, and Brazil to Chile, this part addresses distinctive features of each Latin American country as well as it provides the historical context. Conclusions are drawn in Chapter Three. In conclusion and discussion part, it is reasonable to say that the Ottoman emigration of the early 1820s and late 1910s was in which the Ottoman citizens of the time emigrated from the Middle East and Anatolia towards the New World to gain easy access to wealth and prosperity, as well as security and future opportunities to leave a good future to the next generations. As a matter of fact, the emigration remains significant today not so much for the specific aspects took place during it, but because of the underlying occurrences of these migration waves. It is considerably evident that the Ottoman emigration cannot be understood apart from the general policy of the Ottoman administration on compulsory military service, citizenship, and taxation law and legislation. The overall approach of the government was eventually regulated in agreement with the traditional Ottoman concepts concerning the flow of people from one region to another, but ultimately, it ended up with espousing the real financial and civil along with social circumstances.

**Keywords:** Ottoman Emigration Middle East Anatolia North and Latin America Between 1820-1918; Pushing and Pulling Factors New World

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## The Impress of Memory on the Postmodern Self in Audre Lorde Bell Hooks and Rebecca Walker

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### Abstract

The question of Self and memory is inextricably linked to the question of the representation and representability as well as to the uniqueness or iterability of the sense of the Self. Criticisms through the times suggest thinking of the sense of Self in terms of one's memory for it--not how faithfully you represent yourself, but rather how accurately you remember your past Self and how much you know about your present Self. Memory is the key element in determining the production of an autobiographical work, it is the author's memory and his sense of Self which determines how accurately he will transpose his life in front of us and correspondingly the one that decides whether autobiography will take the form of a memoir, a semi-fictional autobiography, or a completely fictionalized version of one's life. The relationship between Self and memory has initially been considered by John Locke in his "Essay Concerning Human Understanding"(1698). In his view, a person's identity comprises of whatever a person can remember from his or her past. Consequently, what the person does not remember is not part of his identity. Differing from the other critics, Locke believed that identity and selfhood have nothing to do with continuity of the body, they are rather an extension of memory. The paper delves into the postmodern autobiographical writings of three women-of-color including Audre Lorde, bell hooks and Rebecca Walker. The autobiographies in this study share the arrangement of events in the form of quilts made of accidentally stitched patches, the presentation of life as a fictional narrative and the treatment of the forgotten past as a remembrance and a revisiting. While Audre Lorde's and bell hooks' accounts bring an emphasis on myth, (hooks on the construction of a dreamscape and Lorde on the arrangement of the psychological quilt of life), Rebecca Walker asserts that wishful forgetting and the conditioned amnesiac status contribute to the preservation of the fluid character of memory, its organization into dualities and the increased impermanence of the autobiographical account. The reliability of memory, together with the accuracy of life writing determines the classification of a narrative as memoir, autobiography or fictional autobiography. The autobiography criticism corpora are the ones to question the mnemonic truth and the reconciliation of the forces of signification.

Keywords: Impress Memory Postmodern Audre Lorde Bell Hooks Rebecca Walker

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## The Neutrality of International Courts and Tribunals: Why and to What Degree?

Merve Ozkan Borsa

### Abstract

It goes without saying that the principle of separation of powers leads to an independent judiciary imposing the rule of law and thereby assurance for the society so as to be prevented against any abuse of power, which is an integral part and a must of democratic values. This independence and impartiality crystallize as to the degree the judiciary (as an institution) and individual judges are able to hold responsibility without being influenced or intervened by any other source. The confidence of the society and the maintenance of justice can only be ensured provided that this independence and impartiality is taken under guarantee by binding instruments and that the manner in which jurisdiction is performed is carried out in accordance to such requirement. Nevertheless, the author of this paper claims that if meant to remain pretty much uncontested, such rhetoric holds true merely for domestic law, since I believe there is reasonable ground to state that this idea –and “ideal” too, since it has also reached such a level-, is relevant mainly for the domestic laws, dissenting from international law; like the title of the article provocatively illustrates. Likewise, there has been theoretical objections asserting that independence, impartiality and neutrality of international courts and tribunals is not required for fair decisions, justice or the court’s effectiveness.

**Keywords:** Neutrality International Courts Tribunals

### Introduction

As regards to above objections, two main critiques can be introduced:

For the first type of objection, it is possible to note that law –not limited to international law but as a “logic”-, most of the time cannot –if not “never”- be free from external factors such as conjuncture, the demands of society, power struggles and alike. This state of affair enables alleging indecency of neutrality and independence of international courts, because, –since we are not in an era of natural or divine law which is based on human conscience, theology or any other origins similar to those-, “law” itself has been a phenomenon constructed depending upon and in relation to such influences. And what the law actually does is merely to mask and sustain the inequality and oppression characteristic of capitalist society. Under such circumstances, the judges to be dependent on some factors like moral ideals, ideological imperatives or certain interests and alike that influence their judgments –though theoretically speaking- can be justifiable and even demandable in the name of eroding the current inequalities and unfairness by re-distributing the justice to reach *de lege feranda* –under the assumption that the influences are not further deepening the existing negative features of the current situation-. This way, by the judges who are belonging to different cultures; different moral systems will be able to be represented in the court and this will open a way for different moralities to take the scene, since current law represents the value prevalent in certain geographies. The phenomenon of “international community”’s becoming a matter of discussion can be used as a supportive argument for this objection. On the other hand, a counter-argument –amongst others-, can be developed to challenge this view by expressing that it ignores the consensual characteristic of international law.

A second main objection can be founded on the basis of an utilitarian perspective. Such perspective suggests that an international court can be effectively working only when instruments have been set up as to allow the court’s jurisdiction to be open to the influence of governments and when the judges can closely be controlled by governments. The main reason for this, according to the approach, is the argument that if the governments can influence the decision of the Court, they become more willing to resort to the Court. This approach can be supported by the theory of “constrained independence”. According to this theory, states create independent international tribunals aiming at enhancing the credibility of their commitments in multilateral settings and then they limit the potential for judicial overreaching by structural, political, and discursive mechanisms. As opposed to that, it is possible to challenge utilitarian objection by the evidence of some states’ resorting to international courts –or establishing them in the very beginning- without any opportunity and facility as claimed.

The application impediments, on the other hand, possess a variety of difficulties ranging from physical shortcomings to structural inadequacies, from the minor and basic ones to the major and unchangables.

All in all, while implying a positive sense regarding justice, effectivity, integrity and credibility, but not exempted from neither theoretical objections nor application impediments, the issue of independence, impartiality and neutrality of international courts and tribunals and their judges has been a moot question in the area of international legal interactions. In this paper, the issue of neutrality of international law will be evaluated by the inquiry of the current and possible theoretical and ampirical/practical objections towards the nearly uncontested dictum and assertion of the (necessity of and) neutrality of international courts and tribunals. The title asks the question of why and to what degree international courts and tribunals are neutral. In this case, the theoretical objections will be explored for discussing the first interrogative article (why should international courts and tribunals be neutral?), while the study on ampirical objections will pave way for discussing the second. At the same time, counter-arguments will also be developed towards each of the objections.

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## An Eclectic Approach to Teaching the English Tense System to Arabic-Speaking Learners of English: A Pilot Study

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### Abstract

The proper use of tenses is one problem facing Arabic-speaking learners of English when they are taught them and their uses. One of the reasons is the traditional method through which students were taught grammar. The aim of the study is to implement an eclectic approach for teaching the English tenses to Arabic-speaking learners of English.

**Keywords:** Eclectic, approach, teaching, english, tense, system, arabic-speaking, learners, pilot study

### Introduction

**Methods:** This experimental study took place at CON-A. The subjects are Saudi female freshman nursing students enrolled in an intensive English course. The researcher has developed an eclectic approach to teaching the English Tenses. She implemented her method on the study group, whereas the control group was taught by another instructor. Both instructors are Ph. D holders.

A demographic sheet was designed for the inclusion and exclusion criteria. A pre-test, mid-test and post-test were administered to both groups at three points in time: beginning of the semester, half way through and at the end. They consist of 60 questions equally divided into language awareness tasks, reading and writing skills and vocabulary. The tests covered the course content, were graded by an external examiner. The results were compared with the scores in the pre-test and with one another.

Simple random sampling technique was used to select the sample out of 150 students divided into five sections. Descriptive statistics and ANOVA were used to analyze the data.

### The Experiment

The approach is a selection of aspects of different methods combined together in such a way that the resulting activities are compatible, reinforce each other and result in a higher level of linguistic competence. It consists of four main phases: the Reception and Assimilation phase for initiating the students to the new structures, the Accommodation phase covers the intensive practice provided in the book and uses translation, followed by 'Consciousness-raising' tasks and dictogloss. The Production phase sensitizes the students to actual language use and the Self-Assessment phase is an ongoing process throughout the learning process.

### Results:

Using repeated measure ANOVA, the results indicated statistical significant differences between the two groups over time regarding Language awareness ( $F(1, 18)=6.02, P=.03$ ) and Reading and Writing skills ( $F(1, 18)=7.30, P=.02$ ); except for Vocabulary ( $F(1, 18)=2.28, P=.15$ )

### Conclusion

The highest effect of the approach appeared in the language awareness. This was expected because the students are already taking reading and writing courses whereas language awareness is the goal of the grammar course. Larger sample is needed to verify the effectiveness of the approach.

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## Participatory Budgeting in Poland - Case of Cities in Lodzkie Region

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### Abstract

The paper examines the practice of participatory budgeting in cities of Lodzkie Region in Poland. The research was conducted in 2016 through interviews in 14 cities in Lodzkie Region which have experience in participatory budgeting. At present, both cultural and technological changes influence relations between city's authorities and inhabitants and urge public authorities to search for new determinants of action, which will allow interests of a wide group of stakeholders to be taken into account. In order to meet the society's changing needs, representatives of authorities and local communities seek new approaches to the management of public affairs which focus on openness and transparency in the flow of information between authorities and the society, requiring (close connections between institutions and organizations and are based on their cooperation. An example of participatory method of public affairs management is a participatory budget. The participatory budgeting (in Poland also sometimes called civil society budget) is a process which allows residents to have a direct influence on decisions as to which funds within budget shall be spent on projects submitted by citizens themselves. Present conditions of society involvement in public affairs in Poland depend on historical circumstances. After World War II, Poland was subject to the influence of the USSR, (implementing the great ideas of socialism. A centralized state was developed not allowing any decentralization or formation of independent views. In 1990 the self-government in communes has been reactivated and since 1999 the county-level (powiat) and regional (voivodship) government has been established. At present, more and more often, participatory approaches of public management are being launched in Polish self-government units. There are mandatory and optional forms of public participation. Public consultations are the most common form of cooperation. Practice of self-government entities management in Poland reveals that public authorities also reach for methods and instruments not required by the law. Participatory budget is one of examples. There is no legislation governing the principle of the creation and operation of the participatory budget. The introduced initiatives are based on Art. 5a of the Act of 5 March 1990 on Local Government. Each commune can develop its own rules governing the procedure of participatory budgeting. As the conducted research revealed, the public bodies are aware of the advantages and consequences of participatory budgets. The majority of investigated cities decided not to build the additional organizational units. Nevertheless, in majority, a special committee was organized including various stakeholders representatives. The procedure also varied in the cities. The cities use various channels of communication with citizens, including Internet. Some cities use external support when launching the participatory budget for the first time, they also learn through their own experience. Only one city declares not launching the participatory budget in future due to financial limitations. Most of the implemented projects referred to sport and recreation. This can reflect that within traditional budgets, the basic needs are fulfilled while within participatory budgeting, people are paying more attention to additional types of municipal services or infrastructure. The cities declared that the participatory budgeting met their expectations thus it allowed mainly for improvement of knowledge regarding citizen's needs, increased interest of public affairs among citizens, better match of the investment to the resident's needs. As regards the main possible shortcomings of participatory budgeting, it was declared that there is a risk of strong lobby of certain citizens, as well as a risk of generating conflicts around the classification of projects for the competition. They notice that the decision process is prolonged.

**Keywords:** Participatory Budgeting in Poland - Case of Cities in Lodzkie Region



## Phraseologisms in the Political Language: An Example of Political Speeches in the German-Albanian Language Pair

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### **Abstract**

The need for politics to use conflicts of interest with journalistic means in the public media often leads to the use of fixed expressions, idioms and phrases. These are used by the different social groups and parties in the public discussion, in the current dispute of opinions, and especially in the struggle for political power with different contents, interests and intentions. Starting from the fact that the political language is increasingly determined by formulaic phrases, this article presents an exemplary study of political speeches in the newspapers to explain the frequency and nature of the use of phraseologisms. Exemplary texts are the newspaper texts of the 1990s. At the center of the linguistic investigation are the changes of phrases in the text - modifications as well as obvious "violations" against the phraseological norm. Through an extensive corpus with examples from the Albanian and German daily press, the question of the role of the media in the political transformation processes is problematized and examined to what extent a crystallization of political processes takes place in phraseologisms, especially as such fixed expressions focus the specific discourses of a time.

**Keywords:** Phraseologisms in the Political Language. An Example of Political Speeches in the German-Albanian Language Pair

## **Cultural Diversity in the Age of Globalization-the Challenge for Education in Society-the Case of Ethnic Minorities**

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### **Abstract**

It cannot be taken during the studies on Eastern Europe without hearing once the Aromanian population. The explanation is simple: They face (appear) to the world times as Greek, times as Romanians times as Albanians, Serbs, Macedonians, Yugoslavians or Bulgarians. As such they have gone down in history and have given their countries of important politicians and intellectuals have participated actively in the histories of these countries. With the term "Aromanian" they are known to Europe, while with the name "Vlach" they are recognized only in the neighboring countries. But if better informed on Aromanian hardly found a place in the Balkan Peninsula, where Aromanian not have given their contribution. No ethnicity or ethnic group is characterized by a disparity in spatial distribution as Aromanians. The reasons for this distribution are, among others pastures economy practiced more by Aromanians, continued evacuations from one country to another but also the persecution and displacement of population. In this way raises the question on the issue of Aromanian identity or more precisely the different types of identity Aromanians in the areas where they live and the conclusion of the report or their ethnicity and geographical distribution. Aromanians are one of the oldest nations of Europe. They once lived throughout the Balkans, and now live in large numbers in Greece, Macedonia, Albania, Romania, Serbia and Bulgaria. Unlike these countries only in Macedonia Aromanian are recognized as a minority and enjoy the ethnic minority rights.

**Keywords:** Aromanians, population, globalization, ethnic minorities, cultural diversity

## Sorting Process and its influence on the Demands of Heterogeneous Customers

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### Abstract

We deal with the issue of sales promotion which uses a special device that has been developing for product diversification. Each product differs from others in size, shape, flavors, fat contents, etc. This enables the producer to more accurately adjust the specific product configuration to the demands of heterogeneous customers. Pricing policy for the diversified products is examined to determine whether or not price discrimination is preferable for achieving the profit maximization goal of the manufacturer.

**Keywords:** Heterogeneous customers; Heterogeneous population; Diversified products; Sorting process; Sorting cost

**JEL classification:** D2, D21, D4, L12

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## Hardiness and Resilience Versus Personality Work in Visually Impaired

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### Abstract

Personality, trauma, research last 20 years showed that people in crisis are not only injured, suffering, but able to resist, withstand also solves life problems: not only adapt, but take courage to overcome difficulties, to love, to work, to construct, to let personality grow? Theoretically described in activity-meaning approach, focusing on positive aspects of extreme situation and meaning personality work with a traumatic experience (M. Magomed-Eminov, 1990, 2009) so that demonstrate resilience, coping, overcoming and hardiness. The study was aimed at identifying resistance in extreme situations by the comparative analysis of discourses of people with normal vision and impaired people with its various etiologies (blind from birth and have lost their vision due to injury). We tested manifestation of resistance in people with visual impairment (congenital or acquired as a result of injury), and sighted by a "Test of hardiness" (S. Maddi) and developed life situation interview. The sample (90 people) of three groups: 1) with intact vision, 2) loss of vision due to trauma, 3) with congenital visual impairment. The overall level of viability, control and risk taking). The third group demonstrated the highest score of hardiness. Comparative analysis showed statistically significant differences in these parameters between people with congenital impairment and two other groups, differences between people who lost vision due to trauma, and sighted are not significant. Qualitative analysis of crises experience showed that in traumatic loss the fact of blindness becomes one of the central problems in life experience and possibility of positive transformation and integration is less probable because loss of vision "completely changed their lives, former life meaning". People with congenital visual impairment, showing similarities with sighted in allocation of types of loss and crisis situations (loss of a loved one, family breakdown, etc. ), but in description of effects and what they do with experience - more active and positive view on situation, future perspective and own efforts to overcome difficulties, to care of others, fulfill personality work which actually makes it possible to transform the hardiness into resilience, positive outcome of the disaster.

**Keywords:** Hardiness, resilience, personality, work, visually, impaired.

## The Impact of Micro -Teaching in Teaching with Technology

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### **Abstract**

Information and Communication Technology (ICT) is widely used in teaching. But to use ICT in teaching, student teachers should develop the skills to use technology in teaching. Micro-teaching is a teacher training technique which helps the student teachers to master the teaching skills reducing the complexity of teaching in the classroom. It has been widely used in the education program of pre-service teachers to enhance learning experiences to future teachers. Using microteaching offers a valuable opportunity to develop effective strategies to use technology in teaching. The purpose of this study is to examine whether the use of micro-teaching offers a valuable opportunity to student teachers to develop effective strategies for using technology in teaching. The survey was conducted with a total of 87 third-year students enrolled in the program of study: "Elementary Teacher", Faculty of Education at Elbasan University, in Albania. A combination of quantitative and qualitative techniques was employed for the purpose of collecting the data. A questionnaire and a focus group interview were used as the main tools for data collection. The research results were evaluated regarding the benefits and disadvantages of microteaching. The findings revealed that student teachers in general have kept a positive attitude towards microteaching about its effectiveness for professional development, development of skills in the use of technology in teaching. Micro-teaching sessions offer an opportunity to student teachers to gain knowledge of their teaching role, engage in dialogue and to become more reflective about their practice.

**Keywords:** Micro-teaching, student teachers, technology in teaching, teaching skills