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## The Impact of Foreign Direct Investment on Trade (Export and Import) in Turkey

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### Abstract

It is said that after globalization processes foreign direct investment start to influence trade moreover it is very complicated to deduce the relationship between trade and FDI according to theoretical analysis. Therefore, empirical studies showed that until the 1980s international trade generated direct investment but after 1980s FDI started to heavily influencing international trade. Also, results showed that the relationship can differ from one country to another. Thus, this paper is aimed to analyze the impact of Foreign Direct Investment inflow on the macroeconomic variable as a Trade (Export, Import) in Turkey. The paper covers the time period from 1974 to 2017. The time series datasets, those are obtained from World Bank and IMF database are utilized in employed statistical models as ADF Unit Root, VAR lag selection, Johansen co-integration, and the Granger Causality tests, to fulfill empirical part of the paper. Based on results, it was confirmed that there was the presence of the co-integration between analyzed series. Additionally, results of Granger causality test showed that there is unidirectional causality from Export and Import to FDI.

**Keywords:** FDI, Export, Import, Turkey, ADF test, Johansen co-integration test, VAR, Granger causality test.

### 1. Introduction

Foreign Direct Investment is one of the important drivers of the economy in developing countries which brings to host countries the followings: finance, technologies, new management and etc. From past studies, it has been proved that they can cause economic growth, unemployment reduction, improvement of human capital and institutions in host countries, depending on the size of the market, level of human capital, infrastructure and economic stability of host country. With globalization processes foreign direct investment start to influence trade. Therefore, it is very complicated to deduce the relationship between trade and FDI according to theoretical analysis because the relationship between them can differ from one country to another (Fontagné, 1999).

Mostly, empirical studies showed that until the 1980s international trade generated direct investment but after 1980s FDI started to heavily influencing international trade (Fontagné, 1999).

The evidence from OECD studies indicates that foreign investment abroad stimulates the growth of exports from originating countries (investing countries) and, consequently, that this investment is complementary to trade. An analysis of 14 countries demonstrated that each dollar of outward FDI produces about two dollars' worth of additional exports (OECD).

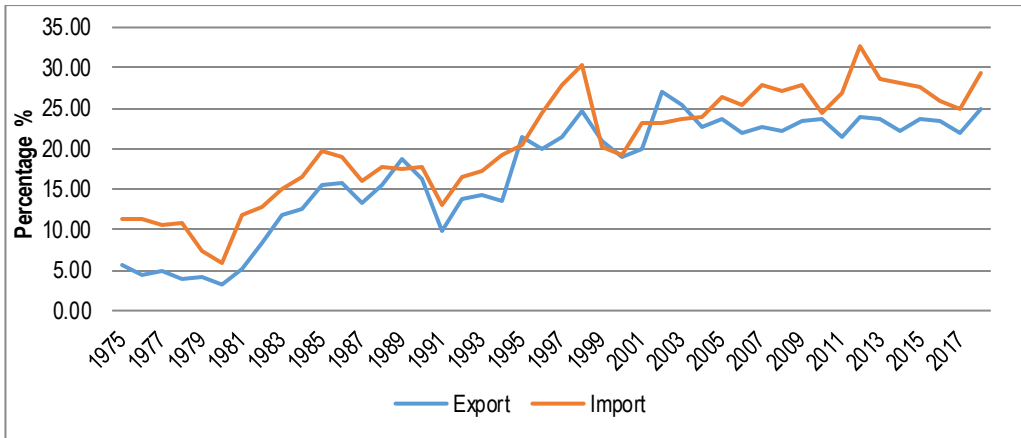
Conversely, in host countries, short-term foreign investment most often tends to increase imports, whereas an increase in exports appears only in the longer term. However, in the short term, host countries enjoy many benefits from foreign investment (technology transfers, job creation, local subcontracting, etc.) (Fontagné, 1999).

Turkey was the 18th largest economy in the world; with a GDP of US\$851 billion and US\$10,540 per capita, in 2017. Trade is an important part of the economy: total trade in goods and services had 54% of a share of GDP in 2017; total export with \$156 billion had 24.84% of a share of GDP; total import with \$233 billion had 29.33% of a share of GDP<sup>1</sup> (See Graph 1).

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<sup>1</sup>World Integrated Trade Solution  
<https://wits.worldbank.org/countryprofile/en/tur>

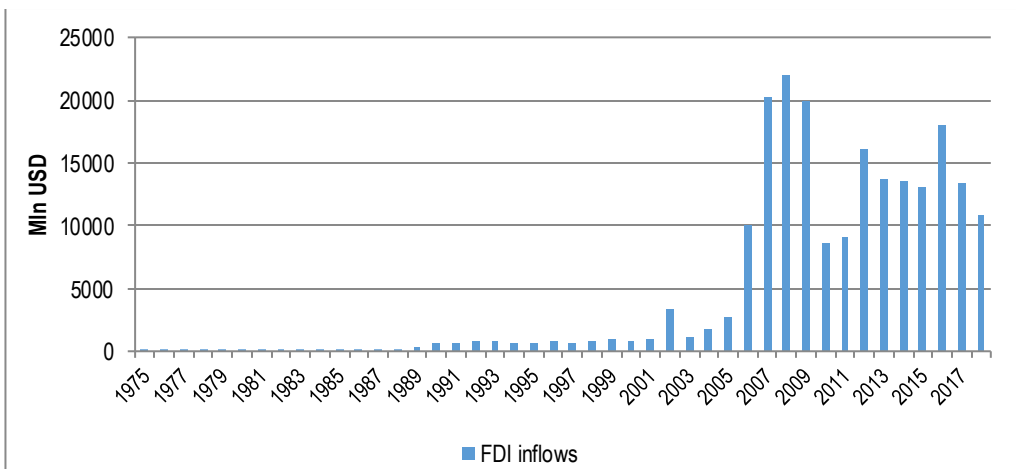
**Graph 1: Trade Balance (Export, Import) of Turkey (share of GDP).**



Source: Author's own invention based on World Bank Database

According to the UNCTAD 2018 World Investment Report (UNCTAD, 2018), Turkey was the second largest recipient of FDI in West Asia, behind Israel. The crucial reasons of attraction the FDI were: strategic geographical location that makes Turkey be regional hub between Europe and Asia; the huge size of market that counts 70 million consumers; demographic vitality, the country has a developing young middle-class population with increased purchasing power and orientation towards consumption; the relative low cost labor with comparison EU market; establishment of European regulations and trade standards during repeated attempts to join European Union; attraction of FDI into services, electronics, shipbuilding, technology and telecommunications. The highest FDI flows which were detected were USD 22 billion in 2007, afterward it started to decrease to USD 13.3 billion FDI flows in 2017. The thought out reasons for dropping were: political stability, inflation, the weak currency and etc. (See Graph 2).

**Graph 2: FDI inflows into Turkey in the time period 1975-2017.**



Source: Author's own invention based on World Bank Database

Main partners of Turkey with FDI flows in 2017 were: Netherlands (23.8%), Spain (19.5%), Azerbaijan (13.6%), Austria (4.4%), UK (4.4%), Germany (4%), Japan (4%), Belgium (3%), and United States (2.3%). The main invested sectors by



foreign investors in 2017 were Finance and insurance (19.5%), Transport and storage (18.2%), Manufacturing (17%), Energy (12.7%) and Construction (8.4%)<sup>1</sup>.

The main part of Turkey's exports are vehicles (15.2%), machinery including computers \$13.8 billion (8.8%), gems and precious metals (6.9%), knit or crochet clothing, accessories (5.6%), iron, steel (5.2%) and electrical machinery, equipment (5.2%). The majority of Turkey's imports contain raw materials and intermediate goods which feed into the production of higher value-added finished goods for export, the principal items being: mineral fuels including oil (15.9%), machinery including computers (11.6%), electrical machinery and equipment (9%), gems and precious metals (7.5%), vehicles (7.5%), iron, steel (7.2%) and plastics, plastic articles (5.7%). Turkey continues to be a net exporter of services due to its significant surplus in travel services. Due to travel services Turkey is stable to be a net exporter of services. The main partners of Turkey in export are: Germany (9.6%), United Kingdom (6.1%), United Arab Emirates (5.9%), Iraq (5.8%), United States (5.5%), Italy (5.4%), France (4.2%) and Spain (4%). The main partners of Turkey in import are China (10%), Germany (9.1%), Russia (8.4%), United States (5.1%) and Italy (4.8%)<sup>2</sup>.

The main objective of this paper to analyze the relationship between Foreign Direct Investment (FDI) and Trade (Export, Import). The content of paper will be structured as follows: In section 2 literature reviews will be expounded, in section 3 data description will be shown, in section 4 methodology will be disclosed, in section 5 empirical results from employed statistical analysis will be expounded, in section 6 conclusion will be described and finally in section 7 references will be shown.

## 2. Literature Review

### 2.1 Theoretical studies

The relationship between Foreign Direct Investment and Trade has recently been a remarkable topic for many studies in the literature review. Through theoretical studies, we will discuss horizontal and vertical FDI and their linkage with the New Trade Theory Approach. It is known that firms could either produce at home and export to foreign destinations or produce abroad and substitute home country exports with foreign affiliate local sales. Horizontal FDI refers to market seeking investments, in which the MNE duplicates the production and produces similar products or services in multiple locations. One of the key components in the horizontal FDI model, developed by (Markusen, 1984), is that firms choose to serve foreign markets through foreign affiliate local sales, instead of via exports. This is done in order to achieve better market access and reduce costs coming from tariffs and transportations. Thus, the reason for firms investing abroad can be concluded in a trade-off between the gains from being near the consumer and the losses originating from production dispersion, which is illustrated in the proximity-concentration hypothesis by (Brainard, 1997) (National Board of Trade, 2008).

Hence, in the horizontal FDI model, firms will prefer FDI instead of exports, to supply goods and services. This can be explained by the fact that the proximity gains from being located near the consumers are higher than the concentration gains created from allocating the production in a single location. That is, FDI arising with the purpose of achieving better market access will, in general, replace exports of final goods from the home country of final goods. A remark is due, however: Foreign production may also generate new export possibilities from the home country since imported inputs and parts may be exported to final production abroad (National Board of Trade, 2008).

Platform FDI can be seen as a more intricate form of horizontal FDI. Platform FDI refers to market-access driven investments, where the MNE locates production in a foreign country positioned in proximity to the export market, as a platform, in order to facilitate affiliate exports to that market. Therefore, platform FDI generates exports from foreign affiliates (National Board of Trade, 2008).

The importance and presence of this mode of FDI, which gives an additional explanation for why firms invest abroad, has been well documented in (Hanson, Mataloni Jr, & Slaughter, 2005). In sum, horizontal FDI, which also includes platform

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<sup>1</sup>Santander, Trade Portal, Turkey Foreign Direct Investment  
<https://en.portal.santandertrade.com/establish-overseas/turkey/foreign-investment>

<sup>2</sup>Globaledege, Michigan State University, Turkey: Trade Statistics  
<https://globaledege.msu.edu/countries/turkey/tradestats>

FDI explains why similar products are produced locally by MNEs in different parts of the world. The theory concludes that local production can increase sales volume by avoiding trade costs in exports. The theory further concludes that, in large markets with high incomes and a high willingness to pay, new investments in additional plants for local production and sales will be profitable, despite the extra investment costs. Thus, the theory of horizontal FDI explains why investments predominantly flow from rich countries to rich countries. Finally and most important, horizontal investments, made in order to increase market access, are likely to replace exports from the home country (National Board of Trade, 2008).

Vertical FDI refers to investments where the production process, or value chain, is fragmented into different parts in order to take advantage of differences in factor prices between countries or regions. That is, FDI where the prime motive is to obtain access to cheap production factors is labeled "Vertical FDI" in the literature. The vertical FDI model was first developed by Helpman (1984). In general, we can think of the organization of production and sales within MNEs as a production network, where different parts of the production process are located in different countries in order to take advantage of factor price differences (National Board of Trade, 2008).

This geographical dispersion of production will reduce production costs. Since different production stages require different intensities of skilled labor, and factor prices may differ across countries, it will be profitable to locate production stages which make intensive use of less-skilled labor in less developed countries (where less skilled labor is relatively abundant and therefore cheap). Likewise, activities which make intensive use of skilled labor, such as research and development (R&D), are located where there are abundant resources of skilled labor in developed countries, making them relatively cheap there. Since vertical FDI implies a geographical separation of the production process, this type of FDI will initiate a trade through intra-firm trade in terms of exporting and importing intermediate goods from other parts of the firm (or from external suppliers) (National Board of Trade, 2008).

Based on the OLI framework, the New Trade Theory Approach has been developed which incorporates location, ownership advantages, and internalization into general equilibrium models and predicts the pattern of trade. The market size, trade cost and differences in relative endowments of countries were included in location advantages. Knowledge-capital constitutes ownership advantage. According to location and ownership advantages, the location decision of MNEs is explained by two competing hypotheses: the proximity-concentration and the factor proportion hypothesis (Esiyok, 2010).

The factor proportion hypothesis views the phenomenon of FDI from the perspective of MNEs' ability to locate their different stages of production in different countries, considering the advantage of differences in factor costs (Markusen, 1984). For example, if firm-specific inputs (knowledge-capital) produced at headquarters could easily be transferred to the foreign affiliates at a low cost, a single plant multinational would arise to exploit possible factor cost differences. If factor proportions consideration dominates in a given industry, multinationals emerge in a single direction between countries. Then they export differentiated product back to the headquarters. The effect of this inter-industry trade on overall trade of given country depends on how MNEs in this country would meet the needs of production in terms of inputs, through import from the parent or a third country or local suppliers. Furthermore, external tariffs of regional blocs might affect the trade for inputs and induce MNEs to trade within the regional bloc (Esiyok, 2010).

Based on assumption that countries are symmetric in terms of market size, factor endowments and technological development, the proximity-concentration hypothesis (Brainard, 1993) suggest that firms prefer FDI over exporting provided that firms are motivated by proximity to customers or specialized suppliers at the expense of reduced scale. Therefore, MNEs' existence is positively correlated to high transport costs, trade barriers, low investment barriers and the ratio of scale economies at the plant level relative to corporate level (Brainard, 1993; Horstmann & Markusen, 1992). Given the symmetries in countries' market size, factor endowments and technologies, MNEs motivated by market access would invest in foreign markets to minimize transport costs associated with exporting. This setting allows for horizontal FDI, where two-way investment between similar countries in terms of both absolute and relative factor endowment occurs (Esiyok, 2010).

Trade substituting effects of FDI is likely to dominate if MNEs are concerned with proximity. If proximity considerations dominate in a given industry, multinational sales would replace two-way trade in final goods of unequal magnitudes and might generate inter-industry trade in intermediates (Brainard, 1993). In this respect, even the presence of FDI itself might have further effects on trade between home and the host country, for instance, FDI stimulates demand for imports through informational spillovers and the creation of production channels (Swenson, 2004) (Esiyok, 2010).

(Markusen, 1995, 1998; Markusen & Venables, 1998; Markusen, Venables, Konan, & Zhang, 1996) introduce asymmetries of market size, factor endowments and technological efficiency among countries in explaining the choice between countries in terms of market size, factor endowments, and technological efficiency. More firms would establish subsidiaries in these developing countries; hence FDI and trade could exist simultaneously. As a result, MNEs become more important relative to trade as countries become more similar in size relative endowments as world income grows, and multinational production would substitute trade when countries are similar (Brainard, 1997) (Esiyok, 2010).

(Markusen, 1998; Markusen et al., 1996) integrate the proximity-concentration hypothesis and factor proportion hypothesis in a knowledge-capital model, in which both vertical and horizontal FDI take place. The knowledge-capital framework combines the assumptions of proximity-concentration and factor proportion hypotheses with the assumption of investment liberalization (Esiyok, 2010).

## 2.2 Empirical studies

According to trade and foreign direct investment theories, those were mentioned above it can be accepted that there is link between them because export and import are one of the important factors of economy and it can be influenced by foreign direct investment actions. But still, it is a quite a complicated issue to find the relationship between them due to crucial factors that can influence this linkage between foreign direct investors and host countries. Furthermore, the empirical studies from literature gave various results according to user data and applied models. (Aizenman & Nov, 2006) examined the intertemporal linkages between FDI and disaggregated measures of international trade for the time period 1980-1990. The applying Geweke (1982)'s decomposition method, they find that most of the linear feedback between trade and FDI (81%) can be accounted for by Granger causality from FDI cross flows to trade openness (50%) and from trade to FDI (31%). The rest of the total linear feedback is attributable to simultaneous correlation between the two annual series. (Lin, 1995) examined trade effects of foreign direct investment (FDI) between Taiwan and each of the following four ASEAN countries: Indonesia, Malaysia, the Philippines, and Thailand. Regression results show that Taiwan's outward FDI has a significant positive effect on exports to and imports from the host country, whereas no such effects were consistently found for inward FDI from the same country. (Zhang, 2005) examined the relationship between FDI and export of China. The results showed that FDI indeed has had a positive impact on China's export performance. its export-promoting effect is much greater than that of domestic capital, and its effect is larger in labor-intensive industries. (Simionescu, 2014) examined the relationship between trade and foreign direct investment G7 countries for the time period 2002-2013. The results obtained by the Granger causality tests for panel data showed that there is only short-run causality between FDI and exports and FDI and imports. There is unidirectional causal relationship on the long-run between FDI and trade. Moreover, short-run causality in both senses was observed for FDI and trade in G7 countries on the considered horizon. (Sharma & Kaur, 2013) examined the causal relationships between FDI and trade (i.e Exports and Imports) in India and China for the time period 1976-2011. The results for China show unidirectional causality running from FDI to imports and FDI to exports, however, there exist bidirectional causality between imports and exports. India gives the results which are not similar to China where bidirectional causality between FDI and imports; FDI and exports; and exports and imports have been found.

## 3. Data description

The secondary time series dataset, which was obtained from the World Bank Database<sup>1</sup> for the period span from 1974 to 2017, was applied for analyses part of paper. These three variables were utilized in the model:

FDI – Foreign Direct Investment, net inflows (current USD)

EXP – Total export of goods and services (current USD)

IMP – Total import of goods and services (current USD)

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<sup>1</sup>World Bank Database  
<https://data.worldbank.org/country/turkey>

## 4. Methodology

### 4.1 Augmented Dickey-Fuller Unit Root Test

The first step of the empirical analysis is the ADF test, which was developed by American statisticians David Dicker and Wayne Fuller (1979), to check the order of integration of the series to avoid spurious results. There are 3 various cases of the test equation<sup>1</sup>:

When the time series is flat (i.e. doesn't have a trend) and potentially slow-turning around zero, then use the following mathematical equation of test (1):

$$\Delta z_t = \theta z_{t-1} + \alpha_1 \Delta z_{t-1} + \alpha_2 \Delta z_{t-2} + \dots + \alpha_p \Delta z_{t-p} + \alpha_t \dots \dots \dots (1)$$

Notice that this test equation does not have an intercept term or a time trend. The null hypothesis of the Augmented Dickey-Fuller t-test is  $H_0: \theta = 0$  (the data needs to be differenced to make it stationary). The alternative hypothesis is:  $H_1: \theta < 0$  (the data is stationary and doesn't need to be differenced)

When the time series is flat and potentially slow-turning around a non-zero value, then use the following mathematical equation of test (2):

$$\Delta z_t = \alpha_0 + \theta z_{t-1} + \alpha_1 \Delta z_{t-1} + \alpha_2 \Delta z_{t-2} + \dots + \alpha_p \Delta z_{t-p} + \alpha_t \dots \dots \dots (2)$$

The null hypothesis of the Augmented Dickey-Fuller t-test is  $H_0: \theta = 0$  (the data needs to be differenced to make it stationary). The alternative hypothesis is:  $H_1: \theta < 0$  (the data is stationary and doesn't need to be differenced)

When the time series has a trend in it (either up or down) and is potentially slow-turning around a trend line you would draw through the data then use following mathematical equation of test (3):

$$\Delta z_t = \alpha_0 + \theta z_{t-1} + \gamma t + \alpha_1 \Delta z_{t-1} + \alpha_2 \Delta z_{t-2} + \dots + \alpha_p \Delta z_{t-p} + \alpha_t \dots \dots (3)$$

The null hypothesis of the Augmented Dickey-Fuller t-test is  $H_0: \theta = 0$  (the data needs to be differenced to make it stationary). The alternative hypothesis is:  $H_1: \theta < 0$  (the data is trend stationary and needs to be analyzed by means of using a time trend in the regression model instead of differencing the data).

When you have data that is exponentially trending then you might need to take the log of the data first before differencing it to avoid risk. To estimate the significance of the coefficients in focus, the modified T (Student)-statistic (known as Dickey-Fuller statistic) is computed and compared with the relevant critical value: if the test statistic is less than the critical value then the null hypothesis is rejected. Each version of the test has its own critical value which depends on the size of the sample<sup>2</sup>.

### 4.2 VAR Optimal Lag length

From past studies it is known that if wrong lag length is chosen for statistical analysis it could cause the over-fitting leads to a higher mean-square forecast error of the VAR and that under-fitting the lag length often produces auto-correlated errors. To avoid these risks VAR Optimal Lag Length has been applied to find correct lag length. The mathematical equation of test is<sup>3</sup> (4):

$$y_t = v + A_1 y_{t-1} + \dots + A_p y_{t-p} + u_t \dots \dots \dots (4)$$

Based on guideline, the most significant model is with the lowest Akaike Information Criterion (AIC).

<sup>1</sup>Southern Methodist University, Augmented Dickey Fuller Unit Root Test  
<http://faculty.smu.edu/tfomby/ec06375/BJ%20Notes/ADF%20Notes.pdf>

<sup>2</sup>RTMath, Mathematics experts in quantitative finance

<https://rtmath.net/help/html/93a7b7b9-e3c3-4f19-8a57-49c3938d607d.htm>

<sup>3</sup>Universitat Wien, VAR Order Selection

[https://homepage.univie.ac.at/robert.kunst/pres07\\_var\\_abdgunyan.pdf](https://homepage.univie.ac.at/robert.kunst/pres07_var_abdgunyan.pdf)

### 4.3 Johansen Co-integration test

Johansen Co-integration test, which was developed by Johan Soren (1991), is statistical model to test co-integration between several series those are integrated in order  $I(1)$  at 1<sup>st</sup> difference. Johansen co-integration test contains trace and eigenvalue tests. The mathematical equation of test is<sup>1</sup> (5):

$$y_t = \mu + A_1 y_{t-1} + \dots + A_p y_{t-p} + \varepsilon_t \dots \dots \dots (5)$$

The null hypothesis for test is:  $H_0 =$  there is no co-integration between analyzed series. An alternative hypothesis is:  $H_1 =$  there is at most 1 co-integration between analyzed series. Null hypothesis will be accepted if p-value > 0.05.

### 4.4 Granger Causality Test

Granger causality, which was developed by British statistician Sir Clive William John Granger (1969), is a statistical concept of causality that is based on prediction. According to Granger causality, if a signal  $X_1$  "Granger-causes" (or "G-causes") a signal  $X_2$ , then past values of  $X_1$  should contain information that helps predict  $X_2$  above and beyond the information contained in past values of  $X_2$  alone<sup>2</sup>. The mathematical equation of test is (6):

$$y_t = \alpha_0 + \alpha_1 y_{t-1} + \alpha_2 y_{t-2} + \dots + \alpha_m y_{t-m} + \text{error} \dots \dots \dots (6)$$

The null hypothesis for model is:  $H_0 = X$  doesn't Granger Cause  $Y$ ,  $Y$  doesn't Granger Cause  $X$ . Null hypothesis will be accepted if p-values is more than 0.05.

## 5. Empirical Results

### 5.1 Augmented Dickey-Fuller Unit Root Test

As the pre-condition of Johansen co-integration test proposes, selected time-series must be non-stationary at a level and stationary at the 1st difference. Thus, the ADF test individually has been performed on the variables. According to the result of ADF test, the null hypothesis that series has a unit root at levels should be accepted, because T-statistics are less than critical values at 1% and 5% level of significance and P-values of variables are more than 0.05. Thus, after taking the first difference, the series became stationary according to these outputs: T-statistics more than critical values at 1% and 5% level of significance and P-values less than 0.05. Based on results, the null hypothesis that series have unit root at 1<sup>st</sup> difference should be rejected. Thus, ADF results showed that the observed series appeared to be integrated of order one ( $I(1)$ ) (See Table 1).

**Table1: Augmented Dickey Fuller unit root test results**

Null Hypothesis: (lnEXP) has a unit root					
Variables	ADF Test Statistic	Level	Critical values	Prob*	Conclusion
Ex port of goods and services in current USD at level: (lnEXP)	-1.689615	1%	-3.592462	0.4292	Non-stationary
		5%	-2.931404		
		10%	-2.603944		
Null Hypothesis: D(lnEXP) has a unit root					
Ex port of goods and services in current USD at 1 <sup>st</sup> difference: (lnEXP)	-6.184469	1%	-3.596616	0.0000	Stationary
		5%	-2.933158		
		10%	-2.604867		
Null Hypothesis: (lnIMP) has a unit root					
Import of goods and services in current USD at level: (lnIMP)	-0.976994	1%	-3.592462	0.7531	Non-stationary
		5%	-2.931404		
		10%	-2.603944		
Null Hypothesis: D(lnIMP) has a unit root					

<sup>1</sup>IMF - International Monetary Fund, Testing for Co-integration Using the Johansen Methodology when Variables are Near-Integrated <https://www.imf.org/external/pubs/ft/wp/2007/wp07141.pdf>

<sup>2</sup>Scholarpedia, Granger Causality [http://www.scholarpedia.org/article/Granger\\_causality](http://www.scholarpedia.org/article/Granger_causality)

Import of goods and services in current USD at 1 <sup>st</sup> difference: (lnIMP)	-7.435963	1% 5% 10%	-3.596616 -2.933158 -2.604867	0.0000	Stationary
Null Hypothesis: (lnFDI) has a unit root					
Foreign Direct Investment at level: (lnFDI)	-1.055682	1% 5% 10%	-3.592462 -2.931404 -2.603944	0.7245	Non-stationary
Null Hypothesis: D(lnFDI) has a unit root					
Foreign Direct Investment at 1 <sup>st</sup> difference: (lnFDI)	-9.308990	1% 5% 10%	-3.596616 -2.933158 -2.604867	0.0000	Stationary

Source: Author's own calculations

## 5.2 VAR Optimal Lag length

According to (Lütkepohl, 1993) study, the over-fitting leads to a higher mean-square forecast error of the VAR and that under-fitting the lag length often produces auto-correlated errors. The results gained by (Braun & Mitnik, 1993) show that approximates of a VAR, whose lag length varies from the true lag length are erratic. To avoid these risks VAR Lag Order Selection Criterion model was applied to find the optimal lag. According to the guideline, the best model is with the lowest Akaike Information Criterion (AIC). Based on results gained from the model the optimal lag for LnEXP, LnIMP and LnFDI are 1 (See Table 2, 3).

**Table2: Optimal Lag Selection model for LnEXP and LnFDI**

VAR Lag Order Selection Criteria, Endogenous variables: LnEXP LnFDI, Exogenous variables: C, Sample: 1974 2017, Included observations: 40

Lag	LogL	LR	FPE	AIC	SC	HQ
0	-100.0620	NA	0.564038	5.103099	5.187543	5.133631
1	1.340947	187.5954*	0.004330*	0.232953*	0.486285*	0.324549*
2	2.030792	1.207228	0.005120	0.398460	0.820680	0.551122
3	4.817945	4.598802	0.005465	0.459103	1.050211	0.672829
4	9.646993	7.485025	0.005287	0.417650	1.177646	0.692441

\* indicates lag order selected by the criterion

LR: sequential modified LR test statistic (each test at 5% level)

FPE: Final prediction error

AIC: Akaike information criterion

SC: Schwarz information criterion

HQ: Hannan-Quinn information criterion

Source: Author's own calculations

**Table3: Optimal Lag Selection model for LnIMP and LnFDI**

VAR Lag Order Selection Criteria Endogenous variables: LnIMP LnFDI, Exogenous variables: C, Sample: 1974 2017, Included observations: 40

Lag	LogL	LR	FPE	AIC	SC	HQ
0	-97.43903	NA	0.494711	4.971952	5.056396	5.002484
1	-15.45336	151.6735*	0.010027*	1.072668*	1.326000*	1.164265*
2	-13.59236	3.256748	0.011181	1.179618	1.601838	1.332279
3	-11.71014	3.105660	0.012488	1.285507	1.876615	1.499233
4	-11.02202	1.066582	0.014861	1.451101	2.211097	1.725892

\* indicates lag order selected by the criterion

LR: sequential modified LR test statistic (each test at 5% level)

FPE: Final prediction error

AIC: Akaike information criterion

SC: Schwarz information criterion

HQ: Hannan-Quinn information criterion

Source: Author's own calculations

### 5.3 Johansen Co-integration test

Based on the ADF unit root test our series are integrated of the same order, I(1) which means the Johansen co-integration test has been allowed to perform. Johansen co-integration test has been employed for LnEXP and LnFDI to analyze the long-run relationship between them. According to the obtained Johansen co-integration test results, those based on trace test and maximum eigenvalue test (p-values in both tests = 0.0054 and 0.0037 < 0.05), the null hypothesis is that there is no co-integration between LnIMP and LnFDI has been rejected. It has been confirmed that there is at most 1 co-integration between analyzed series (p-values in both tests = 0.5480 > 0.05) (See Table 4).

**Table4: Johansen Co-integration test for LnEXP and LnFDI**

Johansen Co-integration test: Sample (adjusted): 1982-2017, Included obs.: 36, Series: LnEXP, LnFDI, Lags interval (in first differences): 1 to 1.

Unrestricted Co-integration Rank Test (Trace)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None*	0.338876	17.86794	12.32090	0.0054
At most 1	0.011546	0.487753	4.129906	0.5480
Unrestricted Co-integration Rank Test (Maximum Eigenvalue)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None*	0.338876	17.38019	11.22480	0.0037
At most 1	0.011546	0.487753	4.129906	0.5480

Trace test indicates 1 co-integrating eqn(s) at the 0.05 level,

Max-eigenvalue test indicates 1 co-integrating eqn(s) at the 0.05 level

\* denotes rejection of the hypothesis at the 0.05 level

\*\*MacKinnon-Haug-Michelis (1999) p-values

Source: Author's own calculations

Johansen co-integration test was employed for LnIMP and LnFDI to analyze the long-run relationship between them. According to the obtained Johansen co-integration test results, those based on trace test and maximum eigenvalue test (p-values in both tests = 0.0029 and 0.0018 < 0.05) the null hypothesis is that there is no co-integration between LnIMP and LnFDI, has been rejected. It has been found that there is at most 1 co-integration between analyzed series (p-values in both tests = 0.5449 > 0.05) (See Table 5).

**Table 5: Johansen Co-integration test for LnIMP and LnFDI**

Johansen Co-integration test: Sample (adjusted): 1982-2017, Included obs.: 36, Series: LnIMP, LnFDI, Lags interval (in first differences): 1 to 1.				
Unrestricted Co-integration Rank Test (Trace)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None*	0.418770	23.15609	15.49471	0.0029
At most 1	0.008688	0.366504	3.841466	0.5449
Unrestricted Co-integration Rank Test (Maximum Eigenvalue)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None*	0.418770	22.78959	14.26460	0.0018
At most 1	0.008688	0.366504	3.841466	0.5449

Trace test indicates 1 co-integrating eqn(s) at the 0.05 level,  
Max-eigenvalue test indicates 1 co-integrating eqn(s) at the 0.05 level  
\* denotes rejection of the hypothesis at the 0.05 level  
\*\*MacKinnon-Haug-Michelis (1999) p-values

Source: Author's own calculations

#### 5.4 Granger Causality test

As mentioned previously, causal relationship will be checked between EXP and FDI through the Granger Causality test. The null hypothesis of the test, states the following:

$H_0$ : LnFDI does not Granger Cause LnEXP, and

$H_0$ : LnEXP does not Granger Cause LnFDI

Null hypothesis will be rejected if the probability value is less than 0.05% .

**Table 6: Granger Causality test for LnEXP and LnFDI**

Pairwise Granger causality test, Lags 2, Sample 1974-2017		
Null Hypothesis	F-statistic	Prob.
LnFDI does not Granger Cause LnEXP	0.00434	0.9478
LnEXP does not Granger Cause LnFDI	20.7306	5.E-05

Source: Author's own calculations

According to the obtained results, from Granger causality test, the null hypothesis of no causal relationship from FDI to EXP should be accepted (P-value=0.9478 > 0.05). But based on P-value= 5.E-05 < 0.05%, the second null hypothesis of no causal relationship from EXP to FDI should be rejected. Thus, the results of the causality test demonstrated the unidirectional causal relationship from EXP to FDI (See Table 6).

The next step to check the causal relationship between IMP and FDI through Granger Causality test. The null hypothesis of the test states the following:

$H_0$ : LnFDI does not Granger Cause LnIMP, and

$H_0$ : LnIMP does not Granger Cause LnFDI

Null hypothesis will be rejected if the probability value is less than 0.05% .



**Table 7: Granger Causality test for LnIMP and LnFDI**

Pairwise Granger causality test, Lags 2, Sample 1974-2017		
Null Hypothesis	F-statistic	Prob.
LnFDI does not Granger Cause LnIMP	3.55887	0.0665
LnIMP does not Granger Cause LnFDI	20.1379	6.E-05

Source: Author's own calculations

According to the obtained results from the Granger causality test, the null hypothesis of no causal relationship from FDI to IMP should be accepted ( $P\text{-value}=0.0665>0.05$ ). But based on  $P\text{-value}=6.E-05<0.05\%$ , the second null hypothesis of no causal relationship from IMP to FDI should be rejected. Thus, the results of the causality test demonstrated the unidirectional causal relationship from IMP to FDI (See Table 7).

## 6. Conclusion

The aim of the study was to analyze the relationship between Foreign Direct Investment inflows and Trade (Export, Import) in Turkey by using annual time series data for the period span from 1974 to 2017. It is known that depends on circumstances FDI can influence the import and export of host country and can't. If FDI uses local raw materials, and human capital and etc., then, they won't have any significant and positive impact on the import of host countries. In versus, if they will transfer machinery, equipment, raw materials, human capital, assets and etc., afterward they will have a significant positive impact on the import of host country.

The export can be stimulated by inward FDI from domestic sectors through spill-over effects. It builds strong demand incentives for domestic investors and stimulates export. Additionally, export-oriented FDI is able to create products that further will boost export of host country. Furthermore, export-led growth can be brought as an example because it will increase growth in productivity. Thus, productivity growth will enhance the competitiveness of products at the international level in the case of price and quality and by that raises its export.

The empirical findings showed us further; according to obtained results from Augmented Dickey-Fuller Unit Root Test, all series were non-stationary at levels and stationary at 1st difference which is preconditions of the Johansen co-integration test. Based on obtained results from VAR optimal lag length test, 1 lag was chosen as an optimal lag for those series. The next step was the Johansen co-integration tests to see those series are co-integrated or not. Johansen co-integration test confirmed the existence of at most one long-run co-integration vector between EXP/IMP and FDI. The Granger Causality test was employed as a final step of the statistical analysis. Based on results there were unidirectional causal relationships from EXP to FDI and from IMP to FDI. Thus, according to the facts from theories and obtained empirical results, FDI has a positive linkage with Trade in Turkey. The lack of raw materials, management, technologies, and finance can be considered as consequences of the positive impact of FDI on the import of goods and services. Moreover, there is no doubt that the horizontal (market seeking) FDI implements investments in Turkey. Therefore, based on theories horizontal FDI manufactures products by using imported goods and services and afterward these created final products can be exported to international market. Thus, this empirical study can be the attempt to prove these above-mentioned claims.

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# Dissecting Export Trade Patterns of Georgian Economy and the Growing Importance of the European Union Market

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## Abstract

From the very beginning of its rebirth after leaving the Soviet Union, Georgia embarked on a transition to a free market economy and linked its fate to western culture. Since then, strengthening the private sector, creating an attractive investment climate, promoting trade liberalization and above all else fostering exports are the main concerns of the country. Thus, as an export-oriented country, close examination of the Georgian export performance is of great importance. Besides the decomposition of general export trends for the period of 2008-2017, this paper applies Balassa index of revealed comparative advantage (RCA) to identify the key export sectors with comparative advantage and correspondingly with higher growth potential; By this shaping the export promotion policy to prioritize those sectors as the main drivers to increase export earnings. Furthermore, the study employed export product diversification index to gauge the convergence degree of Georgian exports structure by products to the structure of the world; as it significantly affects the resistance of a country towards the trade shocks caused by a price instability of the exported commodities. Eventually, the EU-Georgia trade relationship will be assessed through the trade intensity index to check whether the value of trade between the EU and Georgia is corresponding to the expectations based on their importance in world trade. The results show the comparative advantage for nine products (HS4) that account for <60% > of total exports including all the major sectors of Georgian export production. The diversification degree of export products improved over the last decade but still very poor, thus, it is unlikely for Georgia to resist the external trade shocks in case of a price instability of the exported commodities. Furthermore, despite the removal of the main trade barriers between EU and Georgia, it appears that the bilateral trade relationship is characterized by a low-intensity pattern, meaning that there is much to trade between the partners. The problem of low-intensity can be linked to the lack of accessible export-related information that limits the ability of the new entrants to survive. As a result, discouragement of new firms to become exporters limits the diversification of export basket, which in turn negatively affects the level of trade intensity between the trade partners and decreases the potential trade benefits of bilateral agreements.

**Keywords:** RCA index, export, trade intensity, Georgia.

## 1. Introduction

Globalization along with internationalization of an economy is quite handy when it comes to economic development. It can complement economic development through increased trade benefits and foreign direct investment (FDI) inflow, technology spillover, and economies of scale. In this regard, the globalization of Georgia concerning the European integration process is not an exception. It is acknowledged that the coherence with EU will prompt competitive pressure for Georgian export production, but at first glance, due to the factor endowments, attractive investment climate and the untapped potential of Georgian agricultural sector, it should be the least of a concern. Located at the crossroads of two biggest markets, namely Europe and Asia, Georgia has a capacity to develop into the intercontinental hub and fuel its economy through the export earnings.

As a newborn market economy, Georgia has a substantial base to be a competitive actor in the international market. After engaging in trade agreements with world trade organization (WTO) in 2000 and European Union (EU), which granted Georgia with Generalized System of Preferences (GSP+) and Deep and Comprehensive Free Trade Area (DCFTA), Georgian export products exhibit growing heterogeneity. Thus, suggesting that openness to an international market can

enhance the degree of product diversification by this enhancing the export earnings and correspondingly the economic growth. As a whole, theoretical background along with the economic bases developed by the country during its transition process suggests the rapid growth effect on the economy. Unfortunately, the export performance of Georgia does not indicate the presumed growth effect. Thus, Georgian exports require delicate observation to identify pros and cons regarding export production by this shedding the light on the modest performance of the country in the international market. In addition, EU, as the new dimension of Georgian export market which accounts for 24% share of total export, needs further exploration and should be treated exceptionally to reap the maximum trade benefits.

## 2. Methodology

This paper examines the general trends of the Georgian export trade along with the growth potential of its export production in an international market, diversification degree of the products and the trade intensity with European Union (EU) as the latest addition to the Georgian export market. Hence, following trade indices were employed: Balassa index of the revealed comparative advantage (RCA), Diversification degree of export products and the trade intensity indices (TII). Twenty product categories were examined for the period of 2008-2017. The data was collected from the International Trade Center (ITC) agency and the United Nations Conference on Trade and Development (UNCTADSTAT) database.

### 2.1 Balassa index of revealed comparative advantage (RCA)

The application of the RCA index by Balassa is useful to calculate the relative advantage of Georgia in a particular group of products. It helps us to evaluate the potential of the country's export production by revealing competitive product groups that can be traded with its partners. If certain countries have the indistinguishable RCA index values, then it is unlikely for them to engage in bilateral trade agreements except if a similar-similar trade along with the increasing returns to scale takes place. Mathematical formulation of the Balassa index can be written as follows:

$$RCA_{ic} = (X_{ic} / X_i) / (X_{cw} / X_w) \dots \dots \dots (1)$$

Where  $RCA_{ic}$  is the Balassa index of the revealed comparative advantage of product  $c$  for country  $i$ , in our case Georgia,  $X_{ic}$  is the Georgian export of the product  $c$ ,  $X_i$  is the total amount of Georgian exports,  $X_{cw}$  is the world export of the product  $c$ , and  $X_w$  is the total world exports. Comparative advantage in a particular product or a sector is revealed if the value of the RCA index is more than one.

### 2.2 Diversification index of export products

The diversification index of export products measures the divergence of a certain country's export structure from the world structure. It is an important measure for many developing countries, since the most of them are highly dependent on the limited number of primary commodities, and in case of price instability of these commodities, developing countries can be a subject of serious trade shocks. Thus, increasing the level of the export diversification enables the developing countries to resist external trade shocks. Mathematical formulation of the export diversification index can be written as follows:

$$S_j = \frac{\sum_i |h_{ij} - h_i|}{2} \dots \dots \dots (2)$$

Where  $h_{ij}$  is the share of product  $i$  in the total exports of a country  $j$  and  $h_i$  is the share of the product  $i$  in the total world exports. The value of the index ranges from 0 to 1. The value closer to 1 indicates the greater divergence from the world pattern.

### 2.3 Trade intensity indices

The trade intensity index (TII) identifies the degree to which trade partners are engaged in trade with each other. In other words, it is the share of a country's exports going to a partner divided by the share of the world exports going to the partner, thus, bilateral trade flow is higher than expected, if the value of the index is more than one.<sup>1</sup> Mathematical formulation of export/import trade intensity indices of Georgia with the EU is written as follows:

$$ExIlij = (Ex_{ij} / Ex_i) / (Im_j / (Im_w - Im_i)) \dots \dots \dots (3) \text{ Export intensity index}$$

<sup>1</sup> Trade indicators: Trade Intensity Index. World Bank Group.  
[https://wits.worldbank.org/wits/wits/help/Content/Utilities/e1.trade\\_indicators.htm](https://wits.worldbank.org/wits/wits/help/Content/Utilities/e1.trade_indicators.htm)

Where  $Ex_{lljt}$  is the export intensity index of Georgia with EU at time  $t$ ,  $Ex_{ij}$  is the Georgian exports to EU,  $Ex_i$  is the total Georgian exports,  $Im_j$  is the total EU imports,  $Im_w$  is the total world imports,  $Im_i$  is the total Georgian imports, and  $t$  is the time from 2008 to 2017.

$$Im_{lljt} = (Im_{ij}/Im_i)/(Ex_{ij}/(Ex_w - Ex_i)) \dots \dots \dots (4) \text{ Import intensity index}$$

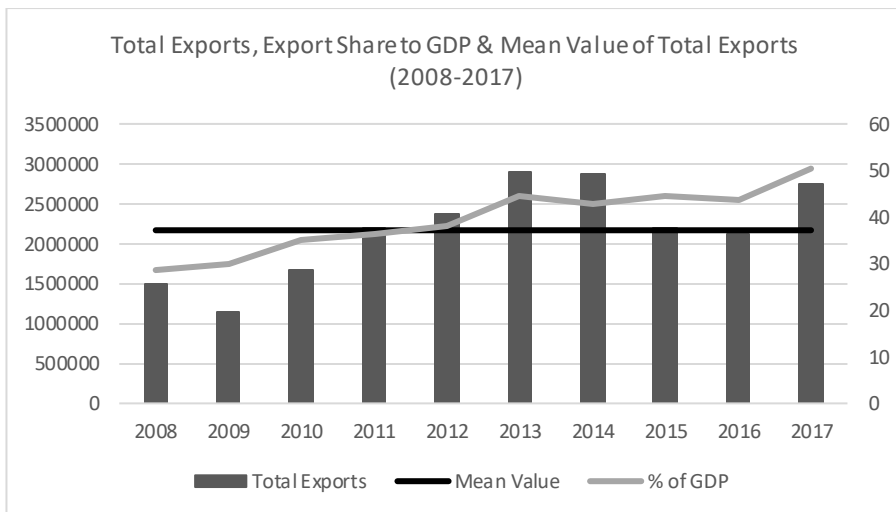
Where  $Im_{lljt}$  is the import intensity index of Georgia with EU at time  $t$ ,  $Im_{ij}$  is the imports of Georgia from EU,  $Im_i$  is the total Georgian imports,  $Ex_j$  is the total EU exports,  $Ex_w$  is the total world exports,  $Ex_i$  is the total Georgian exports, and  $t$  is the time span.

### 3. Decomposition of Georgian export market

#### 3.1 Export trade trends

Within the last decade, Georgian exports increased by 54.66% and total external trade turnover by 26.91%. The average total export is 2.168 billion USD. Correspondingly, from 2011 Georgia has been exported over its mean value except for 2016. The annual growth rate exhibits high fluctuation but averaged to positive 10.73%. As for, the export share to GDP, it has increased steadily from 28.62 to 50.41 (See Graph 1).

**Graph 1. Total Exports, Average Annual Growth Rate & Mean Value of Total Exports (2008-2017).**



Source: National Statistics Office of Georgia; Authors own calculation

#### 3.2 Trade structure by partner and product categories

Top export markets and their average share in total exports during 2008-2017 are as follows: European Union (21.87%), Commonwealth of Independent States (43.69%), Black Sea Economic Cooperation Organization (55.34%), Organization of Economic Cooperation and Development (37.13%) and GUAM countries (22.23%) (See Table 1).

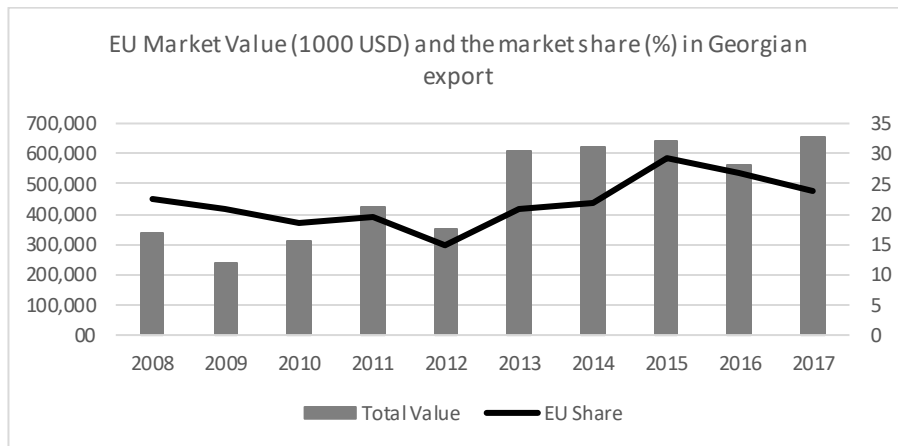
**Table 1. Top export markets by country groups and their export value in thousand USD alongside average share (%) in total exports (2008-2017).**

Year	EU	CIS	BSEC	OECD	GUAM	Total
2008	335.153.8	540.884.8	884.007.9	749.559.2	338.714.6	1.495.345.2
2009	237.552.5	416.162.3	697.234.1	519.616.5	251.184.6	1.133.630.2
2010	309.189.5	676.618.2	898.098.3	742.692.0	374.325.9	1.677.306.9
2011	424.448.1	1.052.101.3	1.182.843.5	814.807.3	577.233.6	2.186.421.2
2012	352.950.4	1.244.575.8	1.326.382.7	796.116.4	805.398.3	2.376.635.4

2013	607.204.0	1.621.095.7	1.778.144.4	841.524.7	917.066.8	2.910.314.5
2014	624.201.4	1.465.298.7	1.676.758.4	943.526.1	689.105.1	2.861.045.2
2015	645.214.1	840.936.6	1.089.229.4	769.200.7	307.361.3	2.204.685.3
2016	565.531.0	737.522.4	967.355.2	737.263.1	227.738.7	2.112.922.0
2017	655.124.9	1.184.758.1	1.489.799.3	784.293.6	399.930.7	2.735.495.4
Av. Share	21.8726715	43.6984586	55.3429024	37.1352878	22.2351292	

Currently, one of the main concern of Georgia is the market penetration strategy regarding the EU as it represents the second largest export market for the country. The Association Agreement (AA) including Deep and Comprehensive Free Trade Area (DCFTA) prompted the dynamic increase in the value of Georgian exports to the EU, which doubled from 335.15 to 655.12 million USD with the market share of 23.94% at the end of 2017 (See Graph 2).

**Graph 2. EU market value in thousand USD and the share (%) in Georgian export.**



Source: National Statistics Office of Georgia; Authors own calculation

Top Georgian export products and the percentage change in the share of total export from 2008 to 2017 are as follows: Wine (+3.8%), copper ores (+7.49%), motor cars (+1.04), ferro-alloys (-6.59%), beverages, spirits (+6.05). Therefore, Table 2 exhibits the dynamic increase in all major product categories except the ferro-alloys (-6.59%) (See Table 2).

**Table 2. Value of top Georgian export product categories in thousand USD and their % change in the export market share (2008-2017).**

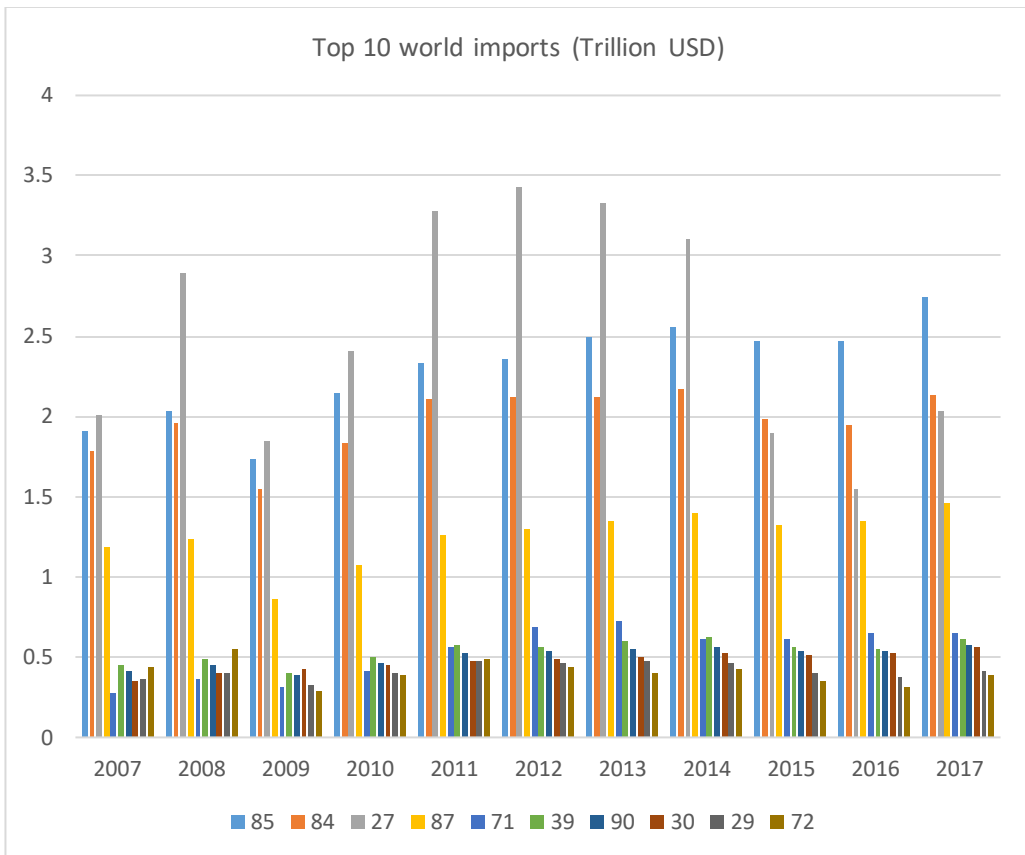
Year	Wine	Copper Ores	Motor Cars	Ferro-Alloys	Beverages
2008	36863	118265	113324	267242	138444
2009	31997	61868	78462	130081	123776
2010	41138	74504	227360	263966	152097
2011	54086	85135	450297	253617	192122
2012	64828	53535	587296	260578	233129
2013	128299	161633	703817	230748	356785
2014	180402	248008	517787	285806	444869
2015	95796	270601	179646	194766	263850
2016	113497	311703	166634	169265	299824
2017	170985	419805	234885	306932	417279
% Change in Export Share	3.8062006	7.4913745	1.0426459	-6.5947337	6.0512519

### 3.3 Demand side of Georgian export commodities in the world and EU area

Top Georgian export products include wine, copper ores, motor cars, ferro-alloys, beverages, and spirits (See Table 2). The aggregate demand for these commodities in the world/EU area seems to be highly inconsistent. However, it experienced a noticeable increment considering the overall performance from 2007 to 2017 (See Graph 3 & Graph 4).

According to Graph 3 & 4, the structure of the top imported products by the EU area and the world is perfectly matched. The top 10 imported products by HS4 products classification mostly consists of manufactured products like electronic machinery and equipment, vehicles, mechanical appliances, etc. As so, structural coherence of the main Georgian export products with the top imported products by the EU/World is far from perfect. However, convergence is held in terms of motor cars and pharmaceutical products.

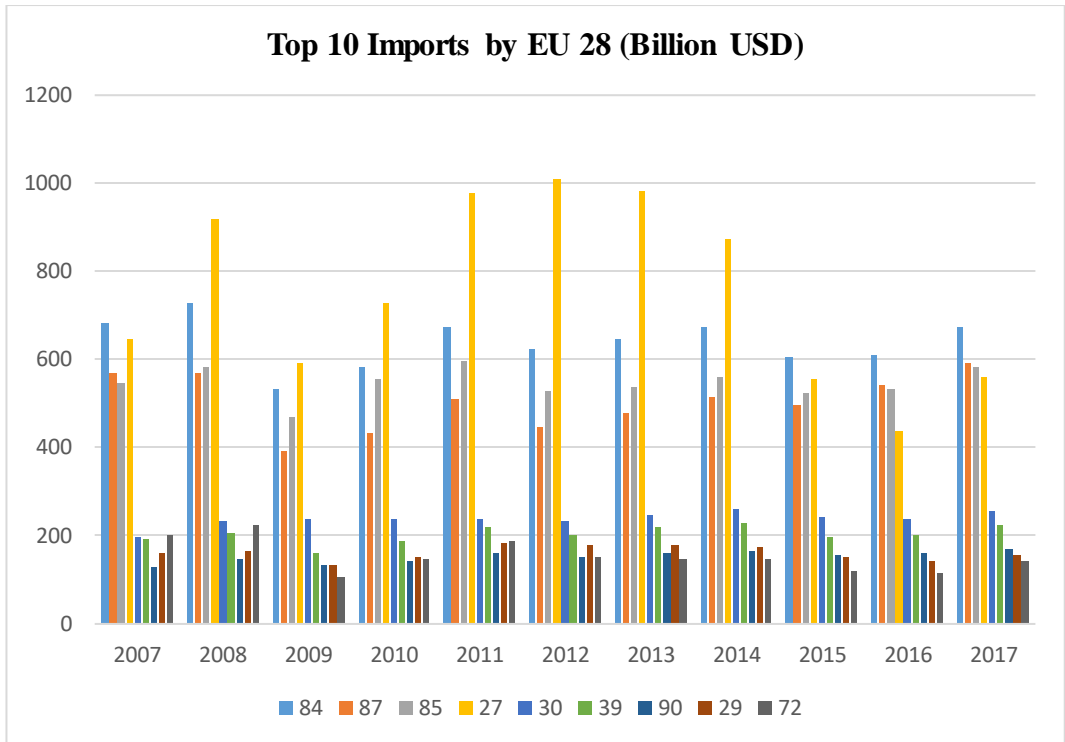
**Graph 3. Top 10 world import products (HS4) in trillion USD.**



Top 10 world import products by HS4 classification and their corresponding product codes: (85) Electrical machinery and equipment and parts, (84) machinery, mechanical appliances, nuclear reactors, boilers, (27) mineral fuels, mineral oils and products of their distillation; bituminous substances, (87) vehicles other than railway or tramway rolling stock, (71) natural or cultured pearls, precious or semi-precious stones, precious metals, (39) plastics and articles, (90) optical, photographic, cinematographic, measuring, checking, precision, medical, (30) pharmaceutical products (29) organic chemicals, (72) iron and steel.

Source: International Trade Centre; Authors own calculation

**Graph 4. Top 10 import products (HS4) by EU 28 (Billion USD).**



Top 10 EU import products by HS4 classification and their corresponding product codes: (84) Machinery, mechanical appliances, nuclear reactors, boilers, (87) vehicles other than railway or tramway rolling stock, and parts and accessories, (85) electrical machinery and equipment, (27) mineral fuels, mineral oils and products of their distillation; bituminous substances; mineral waxes, (30) pharmaceutical products, (39) plastics and articles, (90) optical, photographic, cinematographic, measuring, checking, precision, medical or surgical, (29) organic chemicals, (72) iron and steel.

Source: International Trade Centre; Authors own calculation

### 3.4 Trade indices

#### 3.4.1 Revealed comparative advantage

Application of the RCA index helps us to reveal the portion of a country's export production that exhibits a relative advantage in a market. Accordingly, this paper examined 20 product categories including Wine, Copper ores, Motor cars, Ferro-alloys, Live animals, Pharmaceutical products, Beverages, spirits, Vegetable plaiting materials, Edible fruit and nuts, Mineral fuels, Sugars, and sugar confectionery, Preparations of meat, of fish or of crustaceans, mollusks or other aquatic invertebrates, Animal or vegetable fats, and oils and their cleavage products; prepared edible fats; animal or vegetable waxes, Lac; gums, resins and other vegetable saps and extracts, Edible vegetables and certain roots and tubers, Live trees and other plants; bulbs, roots and the like; cut flowers and ornamental foliage, Products of animal origin, Dairy produce; birds' eggs; natural honey; edible products of animal origin, Fish and crustaceans, mollusks and other aquatic invertebrates, Meat and edible meat offal.

The results revealed the comparative advantage in 9 product categories, including: Live animals (L.A.), Pharmaceutical products (P.P.), Vegetable plaiting materials (V.P.M.), Edible fruit and nuts (E.F.N.) alongside top 5 Georgian export products, namely: Wine (W.), Copper ores (C.O.), Motor cars (M.C.), Ferro-alloys (F.A.) Beverages and spirits (B.S.).

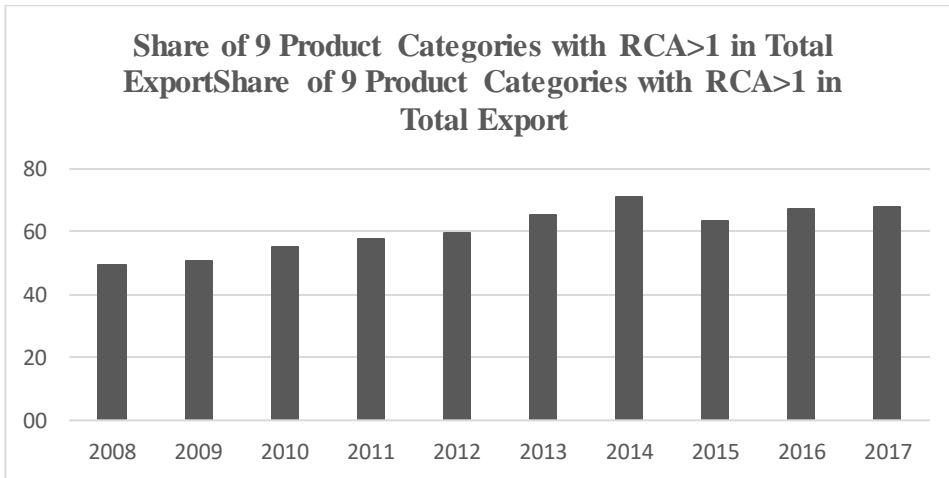


**Table 3. RCA index of 9 Georgian export product categories (2008-2017).**

Year	W.	C. O.	M.C.	F.A.	L.A.	P.P.	B.S.	V.P.M.	E.F.N.	% Change in RCA
2008	13.13	37.52	1.90	79.54	1.01	0.64	16.17	3.00	6.54	137.2
2009	13.61	21.44	1.96	87.18	21.19	0.66	16.91	0.92	14.31	23.6
2010	13.23	14.84	3.68	88.27	15.93	0.75	15.73	0.84	11.08	6.5
2011	13.59	13.81	5.84	66.41	17.01	0.79	15.24	0.38	13.26	-5.9
2012	15.09	8.19	6.98	69.32	20.27	0.91	16.81	1.37	8.31	1162.8
2013	23.87	19.80	6.74	61.22	17.84	0.78	20.39	0.67	12.59	192.6
2014	34.20	31.23	4.82	69.37	13.96	1.35	25.85	0.76	12.85	44.3
2015	22.37	43.90	1.97	69.04	14.30	2.32	18.72	1.62	14.25	-91.7
2016	26.26	49.75	1.79	66.26	16.92	1.81	21.09	1.60	13.59	-10.1
2017	31.14	46.39	2.02	74.83	12.81	1.87	23.34	0.25	5.88	137.2

As for Pharmaceutical products, it reveals the comparative advantage after 2013, and the Vegetable plaiting materials exhibit inconsistency tendency (See Table 3). In addition, although the RCA values of Vegetable plaiting materials and Edible fruit and nuts decreased significantly, they maintained the comparative advantage. In general, all 9 product categories account for 60% of total Georgian export production (See Graph 5).

**Graph 5. The share of 9 Product Categories with RCA>1 in Total Export.**



Source: Authors own calculation

The observed RCA values show the growing tendency for all the product categories except Vegetable plaiting materials, Edible fruit and nuts, and Ferro-alloys. According to the Table 3, following changes were detected regarding RCA index: Live animals (+1162.8%), Pharmaceutical products (+192.6%), Vegetable plaiting materials (-91.7%), Edible fruit and nuts (-10.1%), Wine (+137.2%), Copper ores (+23.6%), Motor cars (+6.5%), Ferro-alloys (-5.9%) Beverages and spirits (+44.3%).

### 3.4.2 Diversification degree of export products

Dependence of a nation on a limited number of commodities can trigger severe implications imposed by the trade shocks in terms of price instability of those commodities. As long as, developing countries are vulnerable to price instability of the

exported commodities, measuring diversification degree of a country's export products is worth to be considered. In this regard, Georgia experiences a low degree of convergence with the world structure (See Table 4).

**Table 4. Diversification Index of Georgian exports and number of exported products (2008-2017).**

Year	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
Diversification Index	0.74	0.69	0.69	0.71	0.70	0.69	0.70	0.64	0.67	0.65
Number of Products	152	142	160	166	184	180	183	184	178	187

Although the number of total exported products increased significantly from 152 to 187, the value of the diversification index of Georgian export products did not change much. It experienced a slight decline from 0.74 to 0.65, which is still high value (See Table 4).

### 3.4.3 Export/Import trade intensity indices

The EU share in Georgian export market is the smallest among other country groups (See Table 1) but holds the second place regarding the market size. The examination of the trade intensity by employing TI indices showed that the EU-Georgia bilateral trade relationship indicates a low-intensity pattern (See Table 5).

**Table 5. Export/Import intensity indices (EII/III) of Georgia with the EU (2008-2017).**

Year	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
EII of Georgia with EU	0.48	0.45	0.43	0.47	0.39	0.54	0.55	0.73	0.64	0.58
III of Georgia with EU	0.60	0.61	0.64	0.69	0.75	0.69	0.65	0.65	0.66	0.61

According to Table 5, the EI index slightly increased from 0.48 to 0.58, and the II index does not experience noticeable changes.

## 4. Findings and conclusion

Since the very beginning, Georgia was the active player in international trade. In this regard, the geographical location of the country has a significant contribution. The natural endowment of being a trajectory between two giant markets prompts Georgia to evolve into the new mecca of international trade. In this regard, Georgian export performance indicates the positive tendency in many aspects, but still, there are a list of problems to be dealt with.

Within the last decade, Georgian exports increased by 54.66% along with overall trade turnover by 26.91%. From 2011, Georgia has been exported over its mean value. The export share to GDP increased by 21.79%. As for the export products, except the ferro-alloys, the value of all the major export commodities experienced dynamic increment. In addition, the study revealed the comparative advantage in 9 product categories, including top 5 Georgian export products. Together they account for <60% > of total Georgian exports. Most importantly, except for Ferro-alloys, the aggregate demand of these commodities in the world and the EU area experienced inconsistent but still noticeable growth from 2007 till 2017. On the other hand, Georgian exports are not so promising if we look at the top 10 products (HS4) imported by the EU area and the world, which mostly consists of manufactured products like electronic machinery, vehicles, mechanical appliances, etc. These products require highly industrialized sectors but unfortunately, Georgia experiences a lack of technological modernization in this regard. However, convergence between Georgian and the EU/world import structures holds in terms of motor cars and pharmaceutical products. The low level of technological modernization can explain the modest performance of Georgian exports in the international market. Solution to this problem can be linked to the foreign direct investment (FDI), as it can enhance the capital accumulation in the export sectors with high growth potential and create positive externalities in terms of technology transfers and knowledge spillovers. Thus, directing the investment inflows in the most profitable export sectors can fill the gap between the actual performance of Georgian exports and its potential.

A bigger problem arose when the diversification index of Georgian export products was examined. Although the number of total exported products increased significantly, the value of the diversification index of export products remained high. As so, the low level of convergence with the world structure can cause the severe implications imposed by the trade shocks in the future. Therefore, stressing the importance of the export promotion policy changes, including the transparency of the

accumulated export information. The accumulated experience of the exporting firms is the perfect guide for new entrants to become successful players and raise their chances to survive in a market. In fact, acquisition of this type of information is costly, thus, the local firms refuse to take the risk and expand their businesses to an unknown environment. For this reason, the flow of information should be organized through the state educational programs or by creating positive incentives for the exporting firms to share the experience. Currently, the Georgian government is running a similar program through the project of "Produce in Georgia" concerning export information transparency. The project grants Georgian producers to access the paid information provided by the top international research agencies, including "Euromonitor". In this regard, supporting local firms to transform into the exporters is an a priori for the diversification of the export products. Consequently, over a long period, Georgian export basket can be successfully diversified as the exporting firms will evolve through the Schumpeter's gale of creative destruction. Thus, Georgian exports will become more resistant to the trade shocks caused by the price instability of the commodities.

The significance of the main trade partners by country groups did not change much, except for the EU after the export embargos from Russia. Although Georgia experienced significant trade barriers imposed by Russia, it managed to diversify the export market to the EU through the DCFTA, which comprises reduction of the trade barriers to encourage the bilateral flow of goods and services. As a result, the value of exports to the EU doubled from 335.15 to 655.12 million USD. Apparently, the EU has the smallest share in Georgian export market and the level of the trade intensity is quite low. But, in accordance with the market size, the EU holds second place. In addition, the EU can be filtered as the new trade partner due to the ongoing process of Georgia's European integration, suggesting that there is much to trade between the parties. Thus, considering the market size of the EU and the unmaturing trade intensity with Georgia evinces the importance of the region in the long-term perspective. On the other hand, reaping the maximum trade benefits from the EU market is not an easy task due to the significant difference between the Georgian export basket and the composition of the top imported products by the EU member states. Therefore, as we have already mentioned, to catch up with the trend of the highly demanded import products by the EU, it is necessary to direct the FDI inflow to the export sectors with high growth potential, which can accelerate the modernization of those sectors through the profound benefits of the FDI. As a result, Georgia will be able to produce those highly demanded products and gradually converge its export basket to the composition of the EU imports.

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## An Exploratory Study of EFL Teachers' Perceptions on Grammar Terminology Use in Kosova

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### Abstract

This exploratory study aims to find out perceptions of EFL teachers on grammar terminology use in Kosova in the light of recent national curriculum change in language teaching. Data was collected through semi-structured questionnaires administered to EFL teachers teaching in primary and lower secondary schools in Prizren. Data was analysed using frequency count and percentage distribution. Findings of the study revealed that teachers show superiority of communication competence over grammar competence in thought and the opposite in practice.

**Keywords:** EFL teaching, grammar terminology, primary school, school curriculum

### Introduction

This study aims to collect feedback from EFL teachers about their views on use of grammar terminology in primary classrooms. The traditional structural syllabuses had quite a few grammar terminologies; however with new alterations in educational policy, imminent changes needed to follow in everyday teaching across Kosova. Even two decades later after the 1999 war, there is still very little research done to give voice to Kosovar teachers' perceptions and views (Turtulla, 2017) about education-related topics and almost none about teaching practices in Kosova. This is the first research of its kind and also one of the first independent studies to venture into aftermaths of new curricula implementation in Kosovar education. Some of the questions that this study aims to answer are looking at how EFL teachers view grammar instructions and which specific grammar terminology is used in primary grades. Two prevailing social concerns spurred this research on. First, education is still undermined in Kosovar society because of the public perception that the quality of teaching is low (MEST, 2016b) and second, there is general indecisiveness about grammar instructions in EFL context (Borg, 1999; Ellis, 2006; Swan, 1985; Wang, 2010).

Efforts of the Ministry of Education, Science, and Technology (MEST) in Kosova for fundamental transformations in education are underpinned by the recent curricular changes in its schooling system (Ministry of Education, Science and Technology [MEST], 2016a). The new Curricula Framework, which

was approved in 2011, made a leap from goal-based teaching into result-based learning expressed through competences (MEST, 2016a; MEST, 2016b). Competences are used as an umbrella for integrated systems of knowledge and skills including communication and expression competences that children need to acquire in order to succeed in the new digital era (MEST, 2016a). The national curriculum has created novel possibilities and gave freedom for teachers to develop personalized lesson plans, choose teaching materials, and adapt teaching methods in order to teach core competencies to learners (MEST, 2016b). It presented a novelty in the school syllabus also by adding English language as a compulsory subject for first graders. But, its most important change was the emphasis put on developing competences, in particular, the communicative competence.

However, improving the quality in teaching and building a society of knowledge remain a challenge for the national educational system which still needs to struggle with imbalanced student/teacher ratio, unflagging large classes, inadequate teaching aids, and two-shift school hours (MEST, 2016a). These challenges are evident in many instances including international achievement tests (PISA) and widespread copying phenomena (MEST, 2016b). In order to address this issue and implement the new curricula, the ministry of education approved the Action Plan of Kosovo Education Strategic Plan 2017-2021. This is the second plan in a row which aims to develop the national education thanks to its seven strategic

priorities including learner participation and inclusion; the education system management; quality assurance; teacher development; teaching and learning; vocational education, training, and adult education; and higher education (MEST, 2016b). These strategic goals of Kosovar education as part of improvement processes in education reflect also the Kosovar National Development Strategy and the European strategic cooperation framework in education and training (MEST, 2016b). Consequently, both the new curriculum and its implementation plan form a theoretical framework for this research. These changes in the curricula and priorities in the implementation stage are discussed in this study through the lens of EFL grammar significance in language teaching/learning.

This topic is closely linked to the tradition in EFL teaching which fluctuated between structural, functional, semantic and communicative syllabuses, each having a share in development of EFL (Swan, 1985). However, language experts suggest that using only one kind of syllabus can be insufficient for language teaching because the language itself has many structures, functions and semantics that cannot be taught using only one teaching method, or one syllabus (Swan, 1985). Due to this multidimensional quality, language needs to be taught in its whole, as a system, not as lists of grammar rules (Swan, 1985). In addition, it is also known that languages are learned best when they are acquired. The term “acquire” described by Jerome Bruner (1983) covers three language capacities of a native speaker including “well-formedness” which shows how well we can apply grammar structures, “capacity to refer and to mean”, how well we can convey relevant meaning, and capacity to communicate, how well we can effectively interact with others (p. 17). It is evident that in order to learn a language we need to know its grammatical structure, meaning of its words, and how to use it to communicate with others. Research reveals that some of these language aspects are perceived as more important than the others. For instance, in a study about the importance of grammar, pronunciation, and vocabulary in communication, Dutch university students ranked vocabulary at the top of the list although, classroom exercises were considered to be as helpful for all three aspects regardless of the level of education (Simon & Taverniers, 2011). In the same study, vocabulary was seen as easier to learn than grammar and also could be learned independently as opposed to grammar. Still, studies show that learners can learn language better by being exposed to language than by using analytical methods of analysing sentences linguistically (Bruner, 1983). Scholars are still at their wits’ end when it comes to grammar’s significance in language learning, without any rational solution at sight. Despite arguments against, teaching grammar rules cannot be left out altogether from lessons because it might leave learners linguistically disabled to communicate in a foreign language (Wang, 2010), just as pointed out by Swan (1985) that when “the theoretical pendulum swings from one extreme to the other, each exaggeration is followed by its opposite” (p. 86).

In the similar fashion, the new national program on education moves away from grammar-based learning by fostering interaction, topic-based lessons, and concept-related themes instead (MEST, 2018a). Grammar receives very little attention in the new curricula, but it is not entirely left out. It is mentioned only after children reach the sixth grade (MEST, 2018b). A single page of it raises concerns about methods that need to be used in order to put the “knowledge of grammar into use and communicate effectively” rather than teach grammar terms and terminology (MEST, 2018b, p. 34). Thus, teachers are explicitly suggested not to teach grammar i.e. grammar terminology and rules, but “demonstrate grammar ....through communicative activities” (MEST, 2018b, p. 35).

Demonstrating grammar might just be a compromise that is needed in this unproductive linguistic dispute. A concise summarized paper given by Rod Ellis (2006) poses valuable questions that have significance to language teachers when it comes to assisting learners in their communicative competences. The questions raise some of the grammar-related issues such as what should be taught, when should it be taught, and how much of it should be taught. Answers to these questions can help teachers demonstrate grammar through meaningful and situation-relevant activities. As teachers are given freedom to choose their own teaching strategies and techniques, taking decisions on how to approach grammar instructions might not be easy as it entails compromise. The first compromise is to decide what to teach. In order to address this need, there is a wide variety of language choices that teachers can choose as their teaching aims including functions (ordering food, expressing gratitude), notions (time, space), situations (at dinner party, in the theatre), topics (sports, professions), language structures (3<sup>rd</sup> person singular, comparative of adjectives), phonological item (the schwa sound, minimal pairs), lexical items (word collocations, connotations), or language skills (skimming, scanning) (Swan, 1985). However, since grammar instructions are only one part of teacher repertoire, and not everything can be taught at the same time, deciding which topics to cover and which ones not to cover might not be an easy task (Ellis, 2006). Just like it is not an easy task to use grammar instructions or present grammar structures clearly, simply, distinctively, truly and relevantly

to learners (Swan, 1994). Anyhow, most of the times, grammar terminology is not meant for learners, but for grammarians and linguists to distinguish or debate about their field of study. So, grammar terminology needs to be distinguished which one is meant for teachers and which for learners, as they are not the same (Swan, 1994). If this is accomplished successfully, teachers will have more success in teaching learners how to use language alongside appropriate grammar, if any, while using their own knowledge of grammar rules and grammar terminology (Berry, 2008; Bruner, 1983), thus, bridge the gap between EFL classrooms and real-life situations (Swan, 1985).

It's not only choosing topics, the compromise lies also in the manner how one organizes grammar instructions and when one teaches grammatical terms (Ellis, 2006; Swan, 1985; Swan, 1994). Grammar structures used in specific real-life situations should be divided in smaller parts and taught in an organized manner, especially those which students find difficult to understand (Swan, 1985). Depending on the structure taught, some structures need more focus on form, others more on meaning. However, teaching should not lean only towards one aspect, because the other will suffer. It shouldn't also remove one or the other, but it should organize the two in a way that is comprehensible, logical, and accessible to all types of learner styles (Swan, 1985). These two diverse language priorities need to form a unified language competence (Ellis, 2006) and need to be integrated into "a sensible teaching programme" (Swan, 1985, p.80). Such integration can be achieved through organized single-aim lessons (Swan, 1985).

The third decision is when to refer to grammar terms. Based on the new curricula, English is introduced early on from the first grade and continues to be learned through primary, lower secondary and secondary school years. The first two years children are exposed to language "through game, drawing, and songs" (p.40) in order to create a foundation for their oral skills first, then, continue with literacy skills in later grades expanding those skills in verbal and written communication (MEST, 2016a). Exposing children to communicative input before working with explicit grammar instruction is in line with one part of second language studies which advocate meaning before grammar teaching (Ellis, 2006). It also matters how much of this organized information is presented to learners. Too much of new information can be too confusing and too difficult to remember, too little can decrease motivation (Swan, 1985). It is widely accepted that the increased exposure to language helps in acquisition; however, there is also a need to recognize that in the process of learning a language learners accomplish other "non-linguistic functions" before the linguistic ones (Bruner, 1983, p. 31). Anyhow, most of this knowledge does not need to be taught because this is what they bring with themselves to the classroom as background knowledge, so this is what teachers need to establish first (Swan, 1985) before they decide on their teaching aim.

## Methods

The methodology of this exploratory case study is grounded on inductive methods of accumulating data to enable the researcher identify new avenues for future research (Reiter, 2017). In order to avoid possible drawbacks of case studies, this research is focused on single case of EFL teachers acting as mentors hence smaller sample of participants (Cohen, Manion, & Morrison, 2007). It is exploratory in nature because it hopes to gather initial information about teaching practice of a particular group of EFL teachers in relation to grammar use within the context of EFL and demands of the new national curricula (Zainal, 2007). The study tried to gather information about teaching in primary level in Kosovar education up to the fourth grade. Primary level includes grades 1 through 5 with children from six to ten years of age which also corresponds to ISCED 1 of the UN International Standard Classification of Education (MEST, 2016b). The participants in this study are 32 EFL teachers who act as mentors for English language university students during their teaching practice at primary and lower secondary schools in Prizren municipality as part of their methodology courses. Participants were selected through purposive sampling making results non-generalizable to larger population of EFL teachers (Cohen, Manion, & Morrison, 2007). In order to follow the ethical aspect of educational research, prior approval was sought from the Municipal Directory of Education in addition to the description and purpose of the research which was part of the questionnaire itself. Data was collected using semi-structured questionnaire designed by the researcher which fitted the purpose of the research. In case study type of research data are collected mostly through observation, interview and document review (Boudah, 2011); however, as this is exploratory in nature aiming to provide insights for clearer research themes to be used in consecutive research, the author has decided to focus on administering semi-structured questionnaires instead of interview questions. This change in methodology was made in order to protect the confidentiality of participants (Boudah, 2011) and allow for freer response to questions which is possible through questionnaires rather than through direct interview with the researcher. The questionnaire used in this study consisted of two parts: demographic-related questions and questions related to the subject-content of the research. Demographic questions included gender, marital status, and years of experience. Second part included total of five questions, three of which were close-ended and other two open-ended in

order to generate personalized perceptions (Cohen, Manion, & Morrison, 2007). The first question “do you think that teachers should use grammatical terms (verb, present tense, pronoun, subject and alike) in ELT from first through fourth grade of primary school?” offered three possible answers “yes, no, depends”; second open-ended question “which grammar terms do you usually use in classes one through four of primary school?” required a written response; third close-ended question “how many classes do you need to teach present simple tense?” included four possible choices 1-2 classes, 2-3 classes, more than 4 classes, and depending of the coursebook; the fourth close-ended question “in which area do children which you teach show most of the success?” offered two choices: knowing grammar terms and communicating successfully in a foreign language; the last fifth open-ended questions asked from respondents to “describe your teaching techniques that you would recommend to other teachers?”. The questionnaire was written in Albanian language to allow participants to express their ideas freely and confidently.

There are several limitations to this study such as the small sample size which cannot allow for generalizability of results at this stage; there is only one group of participants and one form of data collection (Cohen, Manion, & Morrison, 2007).

## Results

Based on research data, the results are presented according to the order they appeared on the questionnaire. According to participant demographic data, the study included 78% (N=25) female and 22% (N=7) male teachers; 97% married and 3% single; 53% (N=17) belong to the group which has 11-20 years of experience in teaching, groups of 1-10 and 31-40 years make of 19% (N=6) each, and 9% (N=3) belongs to the group with 21-30 years of experience (Fig. 1).

As regards questions related to grammar terminology use, to the first question “do you think that teachers should use grammatical terms (verb, present tense, pronoun, subject and alike) in ELT from first through fourth grade of primary school?” over 80% of teachers moved away from using grammar terms, where 44% (N = 14) stated that grammar terms should not be used in primary levels, while 38% (N = 12) took a more considerate stance stating that it depends, and only 19% (N = 6) said grammar terms should be used. Out of the those who chose the depend possibility, 46% said that using grammar terminology depends on the lesson, while the rest gave other factors such as age of students, level of knowledge, development, size of class, and curricula needs. To the second question “which grammar terms do you usually use in classes one through four of primary school?” all the participants gave a total of 44 items in their responses. Out of all the participants, only 31% (N=10) of them reported of not using grammar terms as opposed to 63% (N=20) who reported using at least some kind of grammar terminology, while 6% (N=2) gave unspecified responses where one of teachers stated that grammar is not divided from other instructions and the other one wrote that word sentence roles are not mentioned (Fig. 2). The rest of 63% (N=20) who reported of using some kind of terminology including the answer “simple terms” gave a total of 32 items, out of which parts of speech make up 50% , tenses 22% , singular/plural 13% and other terms make up 16% of all the responses (Fig. 3). From total responses to the third question “how many classes do you need to teach present simple tense?”, 41% (N=13) of respondents said they need 2-3 classes, 34% (N=11) 1-2 classes, 16% (N=5) said it depends on the book, and only 9% (N=3) needed more than 4 classes to teach present simple tense. The fourth question “in which area do children which you teach show most of the success?” gave a remarkable 72% (N=23) responses on communication-competence area, followed by 16% (N=5) grammar-competence area, and 13% (N=4) who said that children they teach show success in both competence areas. The last question “describe your teaching techniques that you would recommend to other teachers?” generated a total of 49 recommendations including 18% brainstorming activities, 14% individual/pair/groupworks, 14% activities including games, 12% illustrations including photos, 8% examples, 6% roleplay including presentations, and 27% other specific ones including, demonstrations, DRTA, DLTA, speaking/listening activities, ERR, deductive and inductive techniques.

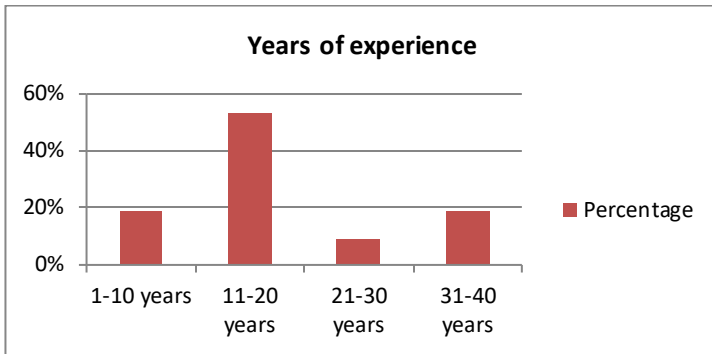


Fig. 1 Percentage of years of experience in teaching

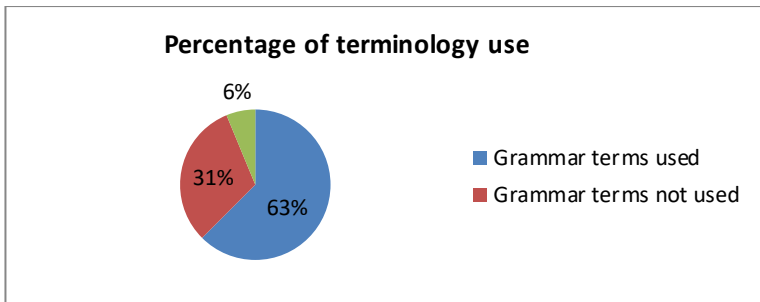


Fig. 2 Percentage of grammar terminology use

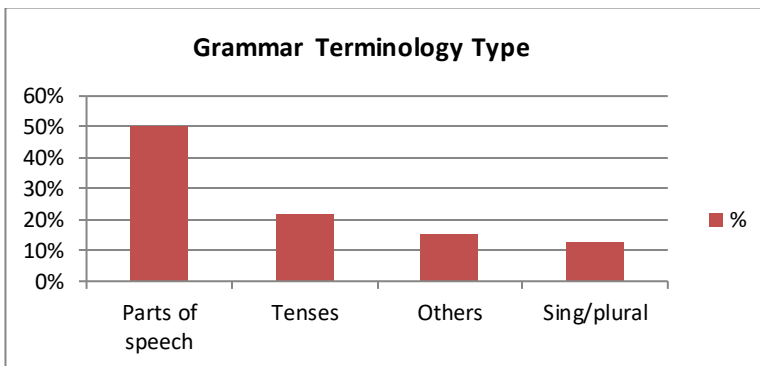


Fig. 3 Percentage of grammar terminology types used by teachers

## Discussion

This study gave some valuable insights into EFL teacher perceptions about grammar terminology. Two distinctive comprehensions come forth. First, results show that EFL teachers try to accommodate to learners needs according to the first principle of the national curricula, communicative competence, (MEST, 2016a); and “join[ing] good teaching standards with practice in teacher development” (MEST, 2016b, p.25) according to challenges of the national strategy plan on education. Results of this study reveal that EFL teachers are conscious that knowing grammar terms will not help in using the language communicatively (Swan, 1994), so majority of them stated they don’t use grammar terminology. However, more specific inquiry revealed that little more than 30% of them admitted of not using grammar terms (Berry, 2008). This



contradictory result shows that while EFL teachers perceive that grammar terminology does little for communication skills and communication skills are important for language learners, when it comes to practice it is difficult to change the traditional habit (Nazari & Allahyar, 2012). Realistically, as pointed by Swan (1994), while it isn't easy for the linguists to comply with difficult criteria for giving grammar rules, it is immoral to hope teachers achieve this and teach it successfully to learners. It is also inhumane to expect teachers to tackle these difficult issues of clarity and simplicity in grammar instruction (Swan, 1994) and ask them to discontinue their transition without offering them something in return. Teachers need professional resources and technical means in order to cope with demands of the curricular changes. It is this something in return that will help teachers make a smooth change from their traditional teaching to new methods laid out clearly in the national curricula and increase the quality in education which is also one of the main objectives in the national planning strategy for education (MEST, 2016b). This is precisely what the second insight points at. Results show that teachers have abundance of knowledge with all the teaching techniques and strategies they need in order to address the second challenge identified in our national strategy plan on education "having limited capacities to implement the new curriculum" (MEST, 2016b, p.26). Teachers in this study expressed their ideas on grammar terminology and offered valuable insights for future research which is based on real-life experience in classrooms. With sustainable professional support, teachers can facilitate a better fulfillment of new curricula's requirements within their copious duties and responsibilities (Nazari & Allahyar, 2012) encumbered with the new curricula and increase their professional capacities. Results of this exploratory study form a good foundation for future research in Kosovar education as they reflect the initial steps in collecting field information to make decisions related to new policies in improving education (MEST, 2016b). We hope that these results will improve the teaching/learning process and ease decision-making based on statistical information, both identified as challenges in objectives of the national strategic planning 2017-2021. Future research should focus on clarifying further the role of grammar instructor in EFL context.

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## The Importance of the Portfolio on Students' Achievements

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### Abstract

This study presents the results of a research work, which aims to highlight the importance of the portfolio on students' achievements. The study aims to validate the hypothesis that the creation of a portfolio / portfolio is one of the major factors by which the teacher appreciates the student's progress. The purpose of the paper is to analyze the student's evaluation effect through the dossier and its impact on the results of their achievements. To substantiate the hypothesis we raised the research question of research: What impact does the file have on student assessment? From the results of the distributed questionnaires, we could understand that a file should show a student's story. From the results of the research, we have come to the conclusion that students are familiar with the preparation, purpose of drafting the dossier and see it as a very good option in their final assessment. The data was obtained through questionnaires. The study was attended by 27 students studying at the secondary school "Kongresi i Manastirit "in Tirana", who attended classes VI-IX. Student subjects have been studied according to these variables: age, gender, classes that teach.

**Keywords:** Assessment, student, file / portfolio, teaching

### 1. Introduction

Students know what the goals of learning are, what are the standards they are expected to achieve and how their achievements will be assessed (what they should learn and what, how and when to evaluate them

Types of assessment are numerous such as formative assessment; summative evaluation; learning assessment (VpN); assessment of learning (ViN); Diagnostic evaluation; Assessment by tests; Continuous assessment; Daily assessment; Preliminary **assessment and dossier evaluation that** will be the important object of the work.

**What is the student file...?**an intentional "collection" of the student's work that shows his efforts, progress and achievements in a particular field of study. This 'collection' should include the student's participation in the selection of the contents of the dossier, selection guidelines and evaluation criteria to demonstrate the merits and testimonies of the student's self-reflection. "(Arter & Spandel, 1992 (p. 32) *SCIENTIFIC AND DEVELOPMENT INSTITUTE - ULQIN, Montenegro, April 1, 2016 VIII Conference: The Role and Effectiveness of Investments in the Balkan Integration Process After the Stabilization and Association Agreement* ISSN 2337-0521 ISSN 1800-9794

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**In a file can be included:** Written work, research, math problems, lab reports, artwork, games, graphics, surveys, drawings, web pages, photos, audio and video tapes, tests, essays etc.

The student's file can be used in all classes in all subjects

Before we begin the process of creating the file, it is essential to determine its purpose which includes : What material will the learner collect on them? Which of the learning objectives will be evaluated through it? Will the process or product be evaluated? Is the file the best way to get the information we need?

All other decisions regarding the format, content, student reflections, and assessment tools will re-link the goal. The purpose will then determine the type of file and objects the teacher wishes to include the students as well as the criteria on which these objects will be evaluated. Objectivity clarity is key in determining how to evaluate and why the file will be used.

## 2. Purpose of Search

The main purpose *that prompted us to deal with this problem is the new way of assessing students through the file*. For IV-V class students, the continuous assessment is 45% of the weight, the 30% test weight test, while the student's portfolio represents 25% of the weight. While for class VI-IX students, the continuous and test evaluations have 40% of the weight of each of them, while the student's file accounts for 20% of the weight. The weight of the file confirms our hypothesis *that the creation of the file / portfolio is one of the main factors by which the teacher appreciates the student's progress*

## 3. Practical Findings

Theories from the theory help us to focus on and focus on finding work from the cases. Worked with the cases, these findings result to us, which contribute to establishing the hypothesis that file creation is one of the major factors by which the teacher appreciates the student's progress. Cases shed light through their content. Through the questionnaires with the students selected in the sample, it turns out that these students know why it is important to use the file; that the file is individual; she is benevolent, ie. the best works of the student were placed in it, and works that he could have corrected in the future, so it is like a diary of his good episodes

Since the file is a novelty, students will encounter natural difficulties in the first steps.

The student file is worth the teacher to add another voice to the student's final assessment. So, to set a student's annual grade, the teacher is also consulted with the student's file

### Methodology

The study was attended by 27 students studying at the "Kongresi I Manastirit" secondary school and teaching in grades VI-IX.

Student subjects have been studied according to these variables: age, gender, classes that teach.

### Inclusive criteria:

- Being a pupil of this school
- Inclusion of students with different ages 12-15
- Involvement of male and female students

Number of students in the study	Age	Gender	Classes that develop lessons
27 students	12-15 age	17/F----10 /M	VI-IX

Below are the data related to their age groups and gender

Table 1

Total / students	Age group	Male	Female
2 students	12 year	-----	2
5 students	12-13 year	-----	5
10 students	13-14 year	4	6
8 students	14-15 year	4	4
2 students	Over 15 year	2	-----

The students of the secondary school "Kongresi i Manastirit" were explained the purpose of the study and the content of the questionnaires. Once they have been explained for everything, then the application of the questionnaires has been carried out. Anonymity has been provided, it is made clear that completing or not the questionnaire is optional, and are not required to complete it.

To build the questionnaire, Qualtrics came to us and their distribution was done via email. The questionnaire is built with 5 questions where students give their opinions about the content of the student's file, about its scale, about the value of the file usage in their final assessment and about the subject that occupies the largest amount of jobs in that file.

### Analysis and interpretation of research results

As we said earlier, 27 students of the " Kongresi i Manastirit " in the city of Tirana participated in the study. The questionnaire consisted of 5 questions and after analyzing the answers, the following data and findings were obtained:

First question: What does a folder contain? Participants in the questionnaire answered 100% and below we give some of the answers:

A folder contains all the works best rated by teachers in different subjects. In drawing, poetry creations, maps in geography

All the jobs that we like and who have received maximum evaluations from the subject teachers.

A folder contains the best works in various subjects such as drawing, reading cases, or foreign language. Selected works, ours

The second question: How important is the file for you?

Graphically presented this information looks so

nr	Answers of the question	number of responses	%
1	The student's file is part of my daily work	19	70%
2	The student's file is not part of my daily work	7	26%
3	I have not portfolio	1	4%
	Total	27	100%

Question 3: Does the evaluation of the file have an important place in your final assessment of a subject? In this question, 22 of the respondents who completed the questionnaire responded that having a good file affected the final evaluation of the subject, as portfolio assessment is one of the evaluation columns, while 5 respondents responded that it did not affect and play a role in final assessment

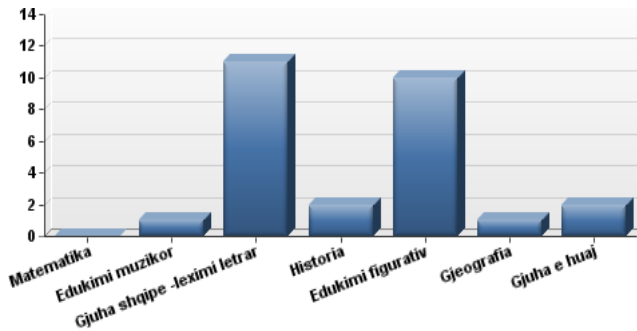
Against this question there are positive and less positive opinions and the latter should serve to draw conclusions for the future

Question 4 Is the file used as a tool to track students' progress?

A significant number of students nearly 60% of them thought that in subjects such as figurative education, literary reading or foreign language the teachers of these subjects used as a tool to follow the progress of students in these subjects and 40% of them they expressed that teachers were enthusiastic at the beginning of the file / portfolio design and then did not even deal with the fact that the students were advancing in these subjects or staging in the country.

Fifth question: 5. Ranko, which subjects have more work in your file?

There is this graphical presentation where it is read clearly and through the courier that we will present below that the subjects that "filled" the file with their works were Albanian language and literary reading, figurative education and foreign language and less subjects



## Conclusions

The most interesting findings of the paper are:

- The teacher appreciates the student's progress through his file.
- Teacher evaluates the works and products realized, different individual and group presentations included in the file.
- Teacher and student jointly decide on the works to be included in the file
- The student portfolio is a kind of collection that aims to reflect the student's progress.
- It contains written assignments, photographs, recordings, etc.
- The portfolio is individual, i.e. each student holds his portfolio. Portfolio is kind, d.m.th. in which to put the best works of the student, and works that he could have corrected in the future, therefore, is like a diary of his good episodes. The learner primarily decides on how to fill his portfolio.
- Teacher guides his students on how to create a good portfolio and collaborate with them about the content of the portfolio.
- Since portfolio is a novelty, students will encounter natural difficulties in the first steps. Initially, the teacher, after clarifying the wallet, lets his students keep their will, especially by encouraging those who appear more zealous. By overcoming the initial difficulties of teachers and students, the portfolio becomes a permanent obligation.
- The student has an obligation when the teacher orders to keep the portfolio and submit it to the teacher whenever he or she requests it.
- The student portfolio is worth the teacher to add another voice to the student's final assessment. So, to set a student's annual grade, the teacher is also consulted with the student's portfolio

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## Grades in the Education System: A Poor Solution but at the Same Time a Necessity

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### Abstract

This paper aims to provide a judgment for the assessment of the students of the pre-university and university system with grades, will be discussed for the grade as a "bad" necessity for assessing students. Grades are the results of the previous achievements achieved by students, are called evidence of a student knowledge and are an informative tool for parents to know their child's achievement. Grades can never be used as a medal for the student behavior nor as a penalty tool against them. Quantitative methods with qualitative approaches are used in the methodology of the paper. A total of 50 students and 10 teachers from the "Skënder Luarasia primary school in Tirana have been interviewed. It has been concluded that in Albania the grades system has not yet come out of fashion and it is seen as an assessment system for student achievements.

**Keywords:** assessment, teacher, student, grade

### Introduction

Competency-based curricula that is being implemented in the pre-university education system is accompanied by a variety of documents including a class register, a personal classbook, a school certificate and the personal number of each student. The assessment of students in our country is done through a grade system which start from grade 4 (four) to 10 (tenth). This assessment has remained the same as in the old curriculum and the new curriculum.

Types of assessment under the new curriculum are as follows:

1. Continuous assessment is done by the teacher with marks or symbols that are accompanied by comments in the personal classbook or evidence.
2. The assessment test is performed not less than three tests per year, which are foreseen in the annual subject plan of the teacher.
3. The evaluation with portfolio / file is accomplished through written assignments, projects, researches, thematic works etc.
4. Periodic evaluation is performed at the end of every 3 months where the teacher evaluate students achievements based on continuous assessment, test assessment and portfolio evaluation.
5. Every end of the year the final assessment is performed based on the class register, personal classbook and school certificate. Based in the new curriculum the final assessment is calculated by means of the formula above:  
 $(NVV \times 0.4) + (NTP \times 0.4) + (NVP \times 0.2) = \text{Final Score}$

Assemble these products and fill in the full number (eg. 7.7 = 8).

### REVIEW OF LITERATURE

The application of the grades in the educational system has been a problem for many years for all: students, teachers and parents. As noted above, the grading scale in our country is based on a ten point system. Ten (very good) being the highest and four through to one it represent the failing grades. Students aren't assessed for their behaviors or manners, but for their achievements, their academic knowledges and learning outcomes. Grades are a motivation for high achievement and a testimony for these achievements. They are also an informative tool for parents and a measure for their children academic

achievements. European countries do not apply the same grades system as in us. In an interview with "Shqip" an albanian newspaper, Prof Behar Gjoka revealed: "I recall a personal case in 1995 when I was in Denmark and the score that was given to the student was 5.36. Grade, at times, it appears as a student's interest. Now it is the interest of the student, the parents and the teachers, which means that from a simple measuring level has turned into a formal and sometimes misused level of knowledge presence or lack of knowledge.

Artan Fuga reveals that: "The grade system is out of fashion nowadays. This system applied at the Albanian schools, resembles working days that were given as a miserable reward to the former members of the agricultural cooperatives in the time of albanian totalitarian socialism".

Unfortunately, grades can be used in some cases as punishing tools. There are teachers who rely only on the power of grades to discipline their students.

Professor Behar Gjoka explains:

"In order for the school to create the chance that tomorrow we won't be as we are today, measuring the level of knowledge by summarizing the assessment into a number which in some cases represents the level of knowledge, but in a few cases represents even the level of an informal relationship. We must extinguish the cult of the grades in order to raise a new one: the cult of knowledge".

In our society even an individual's and personal assessment is done based on grades. If you get good grades, you are a good girl / boy on the contrary if you get bad grades you are a failure for the society.

Dritan Nela, an education specialist, explains: "The actual educational system does not promote meritocracy, desire for knowledge, development of skills, and the cultivation of conscience for justice. I think that before changing the shape or color of the label, it is necessary to change the prerequisites that determine the process and product of the education system."

The teachers and students at the school where the survey was conducted disagree with the opinion of the specialists. What will we see in the analysis of the findings

Internal and external factors that affect a student grade and performance are:

\*Transition from primary to secondary school The move to secondary school means a number of major changes for all children. Most children will cope with these and feel accustomed to the changes by the end of the first couple of weeks. This change can affect the children's performance and grades.

\* Family-related factors can play a critical role in a student's academic performance. In urban areas most working parents are too busy to care about their children's performance, causing children to lose their academic focus. Furthermore, living in poverty also can distract a child from academics because survival becomes a more immediate and pressing priority. Both of these examples include situations in which the parents are not intentionally harming a child's education, but such cases still can impact the problem. In extreme examples, if a parent or other family member is abusive, that situation easily can consume a student's attention and cause his or her academic performance to decline dramatically.

\* There are some reasons for poor performance that are specific or related to the students such as bullying.

\*Technology. Spending an amount of time on tablets, mobile phone scrolling through internet pages can distract children from their main priority: the school.

## METHODOLOGY

"This thesis is based on the quantitative method supported and by the qualitative approach. Combining this two, quantitative and qualitative methods helps us to provide the most accurate results. The research base that we used for this study was the primary school "Skender Luarasi" which is located in Tirana. The sample of students was selected in accordance with the design of the study and the method and the type being implemented. The sample was selected with the random selection technique. A total of 50 students were interviewed at the primary school "Skender Luarasi".

The data collection process was performed by the author of the study with the assistance of the principal of the school and teachers. The research was conducted on the basis of two quantitative research methods which includes questionnaires for



students and teachers and qualitative methods conducted through interviews with 5 female students of IX-th grade and 5 male students also from the IX-th grade.

## RESULTS

In the graphics below we present the results of the questionnaires which were completed by teachers and students.

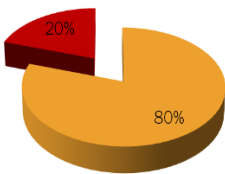
### Students Questionnaire

Question nr.1.

Is the grade system valid for you?

The students gave the answer which is reflected in the following graphic. 20% of 50 students responded negatively. 80% of 50 students validated the grade system.

PO JO



### Graphic nr.1

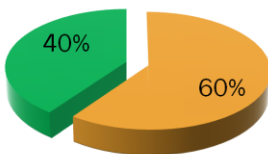
Question nr.2

Are you assessment with other forms rather than grades in your class ?

60% of the total of 50 students responded that there are other forms of assessment as well as signs and symbols and portfolio rating performed by teachers, while a small number (40%) claim that there are no other forms for their academic evaluation. This response is reflected in graphic nr.2.

2. A vlerësoheni ju me forma të tjera?

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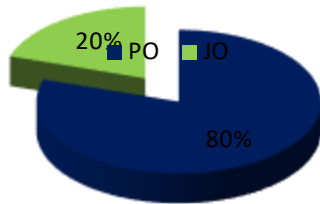


### Graphic nr.2

Question nr.3

Do you think that grades system is unnecessary in the assessment of academic knowledge?

80% of respondents gave the opinion that another system should be found, while 20% of them think that the grade system is fine.

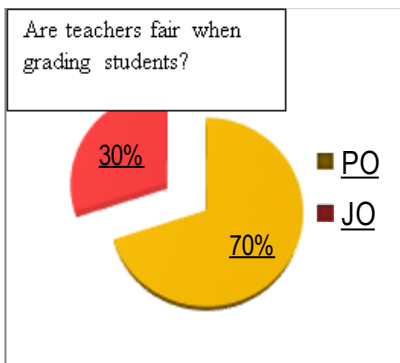


### Graphic nr.3

#### Question nr.4

Are teachers fair when grading students?

If we see the graphic nr.4, 70% of the students claim that YES they are fair and 30% of the students claim that NO. This 30% of the interviewed students believe that most of teachers fail to give grades to students that are as valid as they should.



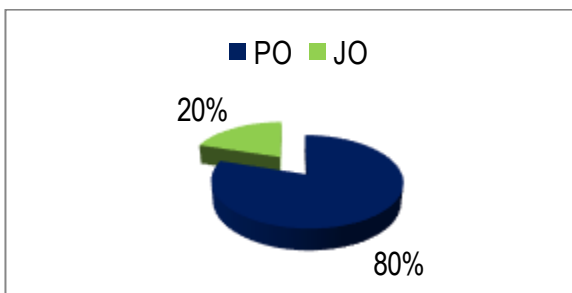
### Graphic nr.4

#### Teachers Questionnaire

##### Question nr.1

Have you ever assigned grades without giving any explanation? 80% of the teachers responded with YES, and the other 20% responded that this never occurred to them.

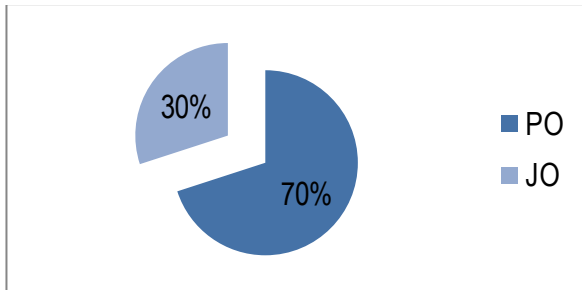
The chart below illustrates better the answer given by teachers:



### Question nr.2

Do you agree with the opinion that the grade system its not efficient ?

You can find the answer in the graphic below.



Let's move onto semi-structured interviews.

5 female students of IX-th grade and 5 male students of IX-th grade participated in semi structured interviews. Their thoughts are as follows:

Are grades a reason to motivate yourself to have a highest result?

Four (4) female students agreed with the idea that grades motivated them to get the best outcomes in the lessons, while one of them thought they played no role in their motivation. Boys shared a different opinion. For none of them grades don't play any role in the motivation department. They explained that grades are not accurate measures of the student's achievement because they do not communicate the truth about the level of the students academic achievement.

Did grades serve as a motive to have an argument with the teacher?

Four of the female students responded that they never had an argument with teachers in for this topic, while the boys responded that this happens frequently.

### CONCLUSIONS AND RECOMMENDATIONS

The grade represents a combination of each student's academic knowledge, overall performance (the quality of work the student produces), and the student efforts.

Grade is a bad necessity.

Grade should be used as a reward not as a threat or penalty.

The teacher should provide guidance on the grade rating criteria in order to avoid conflicts

Teachers should be transparent in the assessment process of their students.

Teachers shouldn't judge their students when they are evaluating them.

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## Language Shift among the Arbereshe of Italy

Elsa Pollozhani

### Abstract

Throughout history the world has faced migration, occupations, assimilations and explorations that have significantly influenced the way that the world functions today. Humankind has it in its nature to extend and confirm its knowledge. The world has undergone many political and cultural changes through the ages. It has witnessed different world orders, changes of borders and maps, colonization, globalization and similar significant processes. Among the many changes, language is a particular phenomenon that has faced shift, change and many times death. These are common language phenomena that require attention from scholars, researchers and most importantly from decision makers. But how much is being done for the preservation of minority languages? Not enough. Because first of all a language needs institutional and legal protection. This can be done by governments and their linguistic policies. Taking into account actions taken to date, this paper aims to study the under-researched area of Italy's policy towards *Arbëresh*, a variety of Albanian language spoken by the Albanians of Italy or the Arbëreshë. Arbëresh presents an archaic variant of Albanian, spoken five centuries ago in Albania and has managed to survive in the Albanian communities in Italy, mostly spoken in Calabria and Sicily.

**Keywords:** language, migration, policy, minorities, arbëresh.

### Introduction

Language is the most characteristic component of a nation. Therefore, it should be admitted the fact that language it is not only a mean of communication; it also represents the most important symbol of identity. Without language there is no identity. But, language, being a living organism, the same way it experiences birth and development it also experiences death. The UNESCO Atlas of the World's Languages in Danger lists about 3000 threatened languages to go extinct worldwide. Researchers are monitoring the rapid changes that the threatened languages are undergoing. An important role in the survival of a language plays language contact. Language contact has been and will always be unavoidable. When people come in contact so does language. Some of the reasons that lead to language contact are invasions, migrations, etc. Similar to other people, the Arbëreshë as well have experienced the same fate, and a part of the population was detached from the motherland. Since the paper will elaborate more widely on the case of the Arbëresh language, the study will be preceded by a brief overview of several other cases of languages that experience the same issues.

### Language as a social phenomenon

Although people migrate and settle in other territories, their mother tongue allows them to stay connected to their roots and history. But being in foreign country or maybe living in a country that has another more powerful and more dominant language, people face a lot of difficulties. That is when we face the repercussions of language contact, like language choice, and language shift. Living in a multilingual country is not easy since as a minority language speaker you face difficulties in education, employment and many other situations. Moreover, there are many countries that have practiced more severe limitations for example, in Turkey the extreme was reached and the Kurdish language<sup>1</sup> was outlawed from public use for some time. But communities vary from one another as some tend to hold on to their language as the Cantonese<sup>2</sup> has persisted for generations in overseas Chinese communities. Yet, it is believed that people who speak a minority language are still being deceived by society or by the government.

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<sup>1</sup> Arslan, 2015, pp.16-17

<sup>2</sup> Terrazas, Batalova, 2010

Joshua Fishman, an American linguist, published an article in 1964, where he consolidated the terms language “maintenance” and “shift”. Language maintenance signifies “*the continuing use of a language in the face of competition from a regionally and socially more powerful language*”, whereas language shift denotes “*the replacement of one language by another as the primary means of communication and socialization within a community*”<sup>1</sup>. Language shift implies the decrease in the number of speakers, lower level of proficiency or the extent of the use of the language. Language death occurs when a language loses its speakers, and there remain no native speaker. In most cases, the majority language as the more privileged one, dominates in state institutions, education, health sector, media etc. As a consequence, people who speak a minority language use it only in their personal environment, such as in family situations or around people that speak the same language. This is the case with the first generation of a minority speaking language, they tend to use their mother tongue more, because they are connected to it and they want to preserve it for as long as possible. But then again, the speaker is led to choose the language he or she is going to use. Although they want to speak their mother tongue, they also have to adapt to the language of the majority in order to prosper in a new country. Then in the second generation, although they grow up as bilingual, they often tend to accept the majority language as a first language because they face it in all the main public institutions. So by the third generation the speaker will eventually speak only the majority language, due to the state’s absent language maintaining actions. Sometimes it is not only a personal choice as it is also a “submission” to institutional rules. And that is how the minority language is threatened to be used less and less until it is completely lost. There are countless cases representing this issue all around the world.

So by taking into account the phenomenon of language death within three generations we understand that governments influence with their policies the fate of minority language. The governments in some countries put the minority language in a large disadvantage. Fortunately, there are some states that respect and help a minority language by giving autonomy. For example, Norway gave to Sami<sup>2</sup> considerate linguistic rights, in the regional area of Finnmark, including in government, law and education. By doing this, the Sami people have the possibility to preserve and develop their language. Practicing a mono-linguistic dominance in most of the public institutions leads to a slow but unavoidable language disappearance. This might be seen as an indirect discrimination of a minority group or a minority language. Seeing that public institutions are not welcoming any other language except for the majority language that means that the minority groups are not being acknowledged and their Linguistic Human Rights are being violated.

### Language protection laws

For the preservation of minority languages, a number of special international acts have been adopted. In 2008, the European Union adopted the Resolution on a European strategy for multilingualism<sup>3</sup>. This document consists of a number of obligations for its member states. According to this document the member states are obligated to promote multilingualism with the purpose of enforcing social cohesion, inter-cultural dialogue, economical competition and the possibility of employment within the European market. Even the candidate states of EU and the potential candidates that have applied to become members of EU are obliged to apply these multilingual strategies. These principles<sup>4</sup> are also being promoted by the “Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities, Resolution of United Nations”. Society needs to ensure that these types of resolutions are practically and rightly applied. Practicing multilingualism is being dragged by the bureaucratic traps of different countries.

Precisely, as a result of these international acts, the Arbëresh language in Italy has gained the right of language protection by law. Therefore, this paper aims to analyze the specific case of the *Arbëresh language* in Italy. Italy legally guarantees the right of protection, learning and researching the languages of minorities, with Arbëresh as part of that group. Arbëresh presents an archaic variant of Albanian, which is spoken in Calabria and Sicily, as well as in some other areas of Italy. The law in question is based on the European Charter for Regional or Minority languages<sup>5</sup>, adopted by the Council of Europe in 1992 in Strasbourg. This strategy promotes the protection of minority languages and it also encourages their use in public and private life. Even though Italy, signed the resolution in delay in the year 2000, the Italian Parliament is yet to ratify it. However, with the adoption of the law number 482/99<sup>6</sup>, which signified the protection of the historic linguistic minorities, the

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<sup>1</sup> Mesthrie, Swann, Deumert, Leap, 2009, p.245

<sup>2</sup> Action Plan for Sami Languages, 2008

<sup>3</sup> Resolution on a European strategy for multilingualism, 2008

<sup>4</sup> Declaration on the Rights of Persons Belonging to National or Ethnic Religious and Linguistic Minorities, 1992

<sup>5</sup> European Charter for Regional or Minority Rights, 1992-1998

<sup>6</sup> Norme in materia di tutela delle minoranze linguistiche storiche, 1999

Arbëresh language was also protected by law. Despite not enough actions taken by the government in general, this variant of Albanian language, its preservation and its use deserve a deep and thorough study. It is an archaic variant of Albanian language that was spoken five centuries ago in Albania, before the invasion of the Ottomans and it has not been influenced by the Turkish language as it does not contain any Turkish words, compared to the Albanian language that is today spoken in Albania and by Albanians in the region of the Balkans. This form of Albanian still uses the grammar, sounds and the vocabulary of pre-Ottoman Albania. The word *arbëresh* is borrowed from Albanian, a rhotic variant of *arbënes* (Albanian), from *Arbën* (Albania, archaic) + *esh* (-ese, -ish).

### **Arbëreshë settlements**

Compared to other minorities in the Italian territory, the Arbëreshë case is well documented.<sup>1</sup> There are data about their origin and their migratory moves. It is important not to confuse the Arbëreshë with the groups that moved to Italy in the last two decades. That was a second large wave around the 1990s that are not identified as Arbëreshë, which migrated as a result of the poor life conditions, the bad economic situation after the fall of the communist regime. The move of the Arbëreshë followed after the death of Gjergj Kastriot Skenderbe, the Albanian national hero. They were scattered throughout villages in the South of Italy. They fled Albania to escape the invasion of the Ottomans. Apart from Italy, there are many Arbëreshë that settled in North and Latin America, mainly in USA, Argentina, Mexico, Chile, Brazil, etc. However, there is one more rather homogenous settlement of the Arbereshe community in Croatia<sup>2</sup>, known as the "Arbanasa of Zadar" or "Arbëreshë of Zadar". The proximate number of the Arbëreshë in Zara is around 4000. What distinguishes them from the Arbëreshë in Italy is their dialect; their language is based on the gheg dialect, compared to the Arbëreshë of Italy, where the majority is Tosk.

The first large wave of migrants from Albania to Southern Italy was during the fifteenth century when the Ottoman Empire invaded the Balkans. The largest number of these migrants came from the South of Albania, and they were mainly Tosk Albanian refugees. Even though Albanians migrated around five hundred years ago to Italy, they have successfully managed to keep and still use the language, despite being surrounded by Italian language and culture. They have been able to maintain and develop their identities. The Arbëreshë rather than seen as different, should be seen as rich, in language and history. Despite fighting to save their identity, the Arbëreshë have also made a great contribution even to the history of Italy. Even though in smaller number, they were relevant, giving their patriotic contribution for the country of Italy. They contributed to the unification of Italy, they were the soldiers of Garibaldi, and they felt as Arbëreshë and at the same time Italians<sup>3</sup>.

### **The Arbëreshë today**

As it was already emphasized, the Arbëreshë have mainly settled in Calabria and Sicily. They have lived and continue to live in smaller communities, mostly in villages and rural areas. According to the data given by the online library<sup>4</sup> created by the Arbëreshë living there, and researchers dealing with the Arbëresh language, there are around fifty Arbëresh-speaking communities in Italy. Currently, there are around fifty communities, forty one municipalities and nine villages. The approximate number of the Arbëreshë population is around 88,727, representing one of the largest ethno-linguistic groups in Italy. They have settled across seven regions of Southern Italy: Abruzzo, Molise, Campania, Puglia, Basilicata, Calabria and Sicily. There are 19 municipalities of the Arbëreshë of Calabria in the province of Cosenza while only three municipalities of the Arbëreshë of Sicily in the province of Palermo<sup>5</sup>. They have managed to maintain social, religious and linguistic original traits. At least until the twentieth century, they have been identified as Orthodox and have continued to use Arbëreshë.

Some of these communities have been more determined and able to keep the language, by transmitting it from generation to generation, promoting it and using it. Some communities, even though not connected or not being close to other Arbëreshë-speaking communities, they still have managed to keep the language and continue to use it. Other communities have not been able to "resist" to the Italian culture and language. The influence of Italian language is very visible in their

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<sup>1</sup> Samo, 2016

<sup>2</sup> Barančić, 2008, p. 551 - 568

<sup>3</sup> Ars Poetica, 2009, p. 105

<sup>4</sup> Besa- Biblioteca Electronica Dei Siti Arbereshe

<sup>5</sup> Besa- Biblioteca Electronica Dei Siti Arbereshe

language, so, despite having a rich language, they have adopted new words or Italianisms. Certainly, this is a normal phenomenon in minority languages, however, there are different cases, where in some the impact is very low and in others the influence is much bigger. The Arbëreshë, being large in number, scattered in villages, and not facing severe restrictions, concerning the practice of their culture and the use of their language, were able to preserve their identity for more than five centuries. These communities have proved, for over 500 years that they were capable and willing to save their language and culture. They use the Arbëresh language in informal communication, within their household, with other Arbëreshë communities, with Albanians living in Albania, Kosovo, Macedonia, Montenegro and Greece. They have developed an online dictionary, published articles, have written songs that date back to the 1500s, have continuously celebrated Albanian culture and traditions, through music festivals and other events.

The village of San Marcano<sup>1</sup> is one of the best examples that prove the preservation and the use of the Arbëresh language. With a population of around 7000, of Albanian origin, it represents an area that, despite being "isolated" and not in direct contact with other Arbëreshë areas in Southern Italy, has never ceased to use the Arbëresh language. Even though, surrounded by Italian culture and language, the Arbëreshë language remains the language of communication among the villagers of San Marcano. Being ruled by Albanian families for a long time, they have contributed in the preservation and the use of the language, its culture and tradition. The language spoken in San Marcano is less studied and less known compared to the language spoken in other Arbëreshë villages, mainly as a result of the lack of writers, yet, it is well preserved.

In a study about the endangerment of Arbëresh Language<sup>2</sup>, it was concluded that half of the communities in Italy have lost their language. In most cases, the features of dialects and cultures have experienced death without being collected or studied, while in those cases that they have managed to maintain the language, the number of speakers has decreased significantly and they use Arbëresh "in restricted situations and settings". Also, some dialects are very close to complete death. Certainly, the phenomenon of language loss is connected with the shift to the dominant language, Italian. As it is the case with many minority languages, in Italy as well, the Arbëresh language faces death. There have continuously been calls by the communities toward the government, to get support in preserving the language and culture. They have addressed the government of Italy as well as the government of Albania, asking for help, to continue to preserve and use the language that they have successfully managed to do for 500 years. They have traditions and customs that even the Albanians in Albania have failed to preserve. The older generations now fear that their successors, the younger generation have little or no knowledge of Arbëresh. Compared to their parents who grew up bilingual, they only speak Italian, because that is the instruction language in schools and Arbëresh is being used less and less.

Another similar case, which represents an example of interest for researchers, is the Albanian enclave in Greece, known as Arvanitas. Hamp (1978) in his comparison of these two cases has concluded that the Arberesh variant of Albanian has more favorable conditions to survive compared to Arvanitika, spoken in Greece. He argues that in Italy people can use a language or dialect other than Italian, and this does not represent an issue or threat to Italian nationalism (as cited in Tsitipis and Elmendorf). While in Greece "no form of linguistic autonomy has ever been recognized to various localities..."<sup>3</sup>, therefore, this does not allow for any other language to be accepted as a language of a minority. With an estimated number of 200,000, the Arvanites, can be found mainly in southeastern Greece. Initially settled in the villages, similar to their counterpart in Italy, eventually, Arvanites moved to cities, and this migration within the borders of the country largely contributed to the language shift among Arvanite speakers of younger generations.

Taking into account the causes of language shift and in certain cases language death, recommendations of conventions cited in the text, and multilingual strategies should be supported to great extent. In March 2013, Rita Izsák<sup>4</sup>, UN Independent Expert on minority issues, said that "*protection of linguistic minority rights is a human rights obligation and an essential component of good governance, efforts to prevent tensions and conflict, and the construction of equal and politically and socially stable societies*". If a minority language isn't being acknowledged then the communities will consequently face tension among groups. Language maintenance is also dependent on political realities. In the end, it is not only a matter of personal choice, but it is also a matter of politics that regulates the use of language.

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<sup>1</sup> Shkurtaj, 2013

<sup>2</sup> Derhemi, 2002

<sup>3</sup> Tsitipis and Elmendorf, 1983

<sup>4</sup> Izsak, 2013

## Conclusion

Taking the name Arbëreshë since at the period they left Albania the country was called Arbëria, they represent the Albanian community that was most successful at preserving the language, the traditional clothes and Christian Orthodox-byzantine religious rites. Organized in smaller communities, initially in villages and later in cities as well, the Arbëreshë have created conditions for the continuous use of their language. Recognized as "the language of ethno-linguistic minority", included in certain university departments of linguistic minorities, available in the radio, magazines, cultural, musical and theatrical events, in traffic signs and signals, the Arbëresh language, to a certain extent has overcome the challenges of time. Yet, the insufficient action of the decision makers has largely influenced the fate of the Arbëreshë. With the migration of Arbëreshë in most developed cities and neighboring countries and the decrease of number of speakers, these communities have already experienced language shift and now fear the phenomenon of language death. For this reason, calls requesting support and initiatives have been very frequent. Therefore, governments should be thinking of ways that they can reverse language shift because by preserving the language that will also preserve a culture that may be threatened to disappear.

The above-mentioned convents should be implemented by every country that within their territories have minorities and languages facing extinction. In order for a minority language to continue to be used it needs the action of political groups, it needs the initiative to try to save its traditions and culture. Moreover, it needs protection from institutions as well as commitment and efforts by the communities that face language shift or language death. Despite the large number of nongovernmental organizations that make great efforts to help languages that are facing extinction, still, the involvement and the action of the government is indispensable. Governmental institutions not only offer legal protection; at the same time they possess all the required financial possibilities in order to obtain the needed infrastructure for the survival of an endangered language.

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## Modes of Teaching and Learning of Indigenous Music Using Methods and Techniques Predicated on Traditional Music Education Practice: The Case of Bapedi Music Tradition

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### Abstract

This paper takes a look at music education in Bapedi society in Sekhukhune district, Limpopo Province in South Africa as the transmission of musico-cultural manifestations from one generation to the other. The aim is to investigate the modes of transmission of indigenous Bapedi music. Music teaching and learning in Bapedi society is an integral part of cultural and religious life, and is rich in historical and philosophical issues. Traditional music knowledge system produces a better result to the teaching and learning of indigenous music in Bapedi culture. The research question of interest that emerges is: What are the modes of transmission for indigenous Bapedi music during the teaching and learning process? The primary source for data collection was oral interviews and observations. Secondary sources include theses, books and Journal articles. Performances were recorded in the form of audio-visual recordings and photographs. The results have shown that in Bapedi society, learning music through participation has been a constant practice. The transmission process involves participation, fostering of communal sense, concentration on the present moment and the use of musico-cultural formulae and cues for interactional purposes. It was concluded that in Bapedi society, creative music making and music identity are the obverse sides of the same coin, in that the former provides an arena in which the latter can be explored.

**Keywords:** Indigenous music, transmission, modes of teaching and learning, Bapedi society, Sekhukhune, Limpopo Province, South Africa.

### Introduction

The transmission of indigenous Bapedi music can be seen as taking place through an aural-oral form of musical literacy (Lebaka 2013:57). Transmission among participants involves the transfer of knowledge and understanding between people. The article attempts to discuss, among others, the following issues, regarding the modes of teaching and learning of indigenous Bapedi music: retention of musical ideas, story-telling, participation, listening, imitation, internalization, communal undertaking, creativity, demonstration and observation, as well as mastery. It is the contention of the author of this article that music-making in the context of this study entails social participation, social – creative interactions of practicing experience, creative artistic interpretation and mastery. The process of teaching and learning of indigenous Bapedi music is a group activity, organized, direct and instructional. Through the processes of demonstration, listening, observation and internalization, communal undertaking and enculturation process becomes a reality and a success.

Participation in the transmission process of indigenous Bapedi music has been the most salient example of the traditional music education practice. Learning by listening is the principal and sometimes the most preferred mode of teaching and learning of indigenous Bapedi music. It has long been of major concern among ethnomusicologists, sociologists and educators in South Africa that indigenous music has not received the same attention as mainstream music in education (Nompula 2011:1). Nompula (2011:4) believes that “through participation in group-clapping, drumming, and music interpretation through dancing, the children’s interpretative skills are developed”. She observes that as the children are afforded an opportunity to express their musical feelings through dance, they learn rhythmic patterns by rote, memorise and internalize them. Nompula (2011:5) remarks further that “indigenous music is an oral tradition that aims to transmit culture, values, beliefs and history from generation to generation”.

The article first presents a theoretical framework, discussing the terms/theories 'praxialism' and 'transformative learning', as well as the integration of multi-dimensional aspects of traditional music education practice which is a predominant feature in the transmission process of indigenous Bapedi music. This is followed by a review of previous related studies, research design and methodology. An analysis of the modes of teaching and learning of indigenous Bapedi music using methods and techniques predicated on traditional music education practice is conducted, followed by discussion of results, and the article ends by presenting some conclusions. What will follow in the next section is a look at the theoretical framework of the study.

### **Theoretical Framework**

This research study is based on the theory of Praxialism, as advocated by David Elliott (Elliott 1995). The study resonates well with the premises of Elliott's philosophy, namely, that 1) music education depends on the nature of music, and 2) the significance of music education depends on the significance of music in human life. The theory is relevant to this study as the study focuses on the modes of teaching and learning of indigenous Bapedi music using methods and techniques predicated on traditional music education practice. The theory is applicable to this study because it proposes for the provision of meanings and values in actual music making and music listening in specific cultural contexts. Like in this study, the transmission process of indigenous Bapedi music provides meanings and values in actual music making and music listening in specific cultural and religious contexts, and involves a high level of music expertise including music making, listening, improvisation and creative expertise. My interpretation of Elliott's music philosophy in relation to indigenous Bapedi music context is that in the Bapedi culture, the transmission of the teaching and learning of indigenous Bapedi music is understood in relation to the meanings and values evidenced in actual music making and music listening in specific cultural and religious contexts. The theory is adopted for this study because the indigenous Bapedi music philosophy and approach concur with Elliott's philosophy. Both emphasize the action of making music, rather than the artefact of a musical event in the form of a musical score. Consistent with these observations, Nzewi (2002:20) asserts that "Africa perfected paraxial music education" since Africans have always been actively involved in music making instead of "non-participatory auditory encounters with music". Furthermore, Nzewi elaborates that Praxialism allows for the integration of multi-dimensional aspects of music which is a predominant feature in the music making process of this study. According to him, the multi-dimensional aspects include among others, creative thinking, social tolerance, performance techniques, and self-discovery. The following section will explore a review of previous related studies.

### **Previous Related Studies**

Traditional Bapedi music education practice is an integral part of the Bapedi culture and history, and largely an informal process, but informality does not necessarily imply lack of philosophy and systematic procedure in transmitting the knowledge of a music tradition of Bapedi people. A growing body of literature (Omolewa 2007; Nzewi 1999; Nompula 2011; Ramadani 2017; Mapaya 2011; Ngara 2007; Mbaegbu 2015; Joseph & Hartwig 2015; Ogunrinade 2012 and Amlor 2016) that supports this view indicates that traditional African education is an integral part of the culture and history of a local community and is passed from one generation to another by learning through various modes, which include language, music, dance, oral tradition, proverbs, myths, stories, culture, religion and elders. Omolewa (2007:598) reveals that music and dance are fundamental to the African ways of life. Ramadani (2017:249) and Mbaegbu (2015:180) emphasize the importance and usefulness of the role of music plays in everyday life. Ramadani (2017:248) cites an example of musical education as one of the main factors of cultural development and preservation of national identity.

Mapaya (2011) explored and commented extensively on the indigenous Northern Sotho music learning process. It is beyond the parameters of this study to discuss these issues in any great depth but it is considered important here to mention that Mapaya (2011:72) referred to different modes such as immersion, seclusion, imitation and intuition, drilling and coercion as the most effective modes for the transmission of indigenous African music. He recognized that as with immersion, seclusion plays an important role in focusing the initiates' attention on the training without the disturbances of everyday life (Mapaya 2011:73). In a similar vein, Nzewi (1991:53-55) points out that formal music education is found in African cultures in the form of apprenticeship systems, initiation schools, and music borrowing practices. Nzewi (1999:73) argues that music thinking, education and practice in African traditional cultures have conceptual bases, and are methodical processes. He proceeds to describe how at birth, cultural music: sensitization begins when the baby is carried and jogged to the regular pulse of music many times in a family day (Nzewi 1999:75). According to him:

A young baby carrier participates in children's music and dance activities, which basically feature stepping to the coordinating pulse, while carrying the baby. The mother or any other helper also straps the baby to the body while performing daily chores that require patterned rhythmic regularity, such as sweeping pounding, etc. Thus, the child starts being enculturated into the society's cultural rhythm as well as musical sensitization as a passive participant.

According to scholars writing from an Afrocentric perspective, in the context of Ubuntu, mutuality between the participants, a feeling of tolerance, hospitality and respect for others, their language, opinions, and conversational style is highly regarded (Mkabela 2005; Oyebade 1990; Chawane 2016; Sakuba 2008). In particular, Oyebade (1990:237) observes that Afrocentricity insists that investigation of African phenomena, be it language, history, or gender studies, must be subjected to proper research. Chawane (2016:82) echoes the very same concern when he states that "Afrocentricity is viewed as a theory just for the African diaspora". Mkabela (2005:179) concurs with Chawane (2016:82) when he writes that "the Afrocentric method suggests cultural and social immersion as opposed to scientific distance as the best approach to understand African phenomena".

Various ethnomusicologists like Adeogun (2006), Bohlman (1988), Lebaka (2017), Phibion (2012), Teffera (2006) and Mataruse (2017) have thus eloquently demonstrated that "music is itself one of the most effective mnemonic devices in oral tradition". It has also been argued by Bohlman (1988:15) that the oral transmission of folk music depends on memory and the mnemonic devices that facilitate it. Lebaka (2017:94) also indicates that "the teaching and learning process of indigenous Bapedi music reflects communal composing whereby groups of music practitioners belonging to a particular traditional dance group meet to assemble communally new compositions for specified occasions". In his view, learning music is part of the socialization process and imitation forms an important part in the transmission process (Lebaka 2017:94). To support these observations, Phibion (2012:2) postulates that in African societies, participation in music may be a voluntary activity or an obligation imposed by one's membership in a social group. Furthermore, he observes that compositions and performance techniques are learned by rote and imitation (Phibion 2012:4). According to him, music notation is far less important in nonwestern than in western culture. Consistent with these observations, Mataruse (2017:62) writes that "indigenous African music has relied entirely on an oral tradition of transmitting musical knowledge. He concurs with Phibion by stating that "African music is a cultural activity which reveals a group of people organizing and involving themselves with their own communal relationships" (Mataruse 2017:62). A brief history of the role of traditional music among East African societies by Teffera (2006:36) affirms that among traditional East African communities, music making is closely related with and recognized as a social activity that fosters and reinforces communal unity.

### **Research Design and Methodology**

This research study is a product of a negotiated partnership which allowed some of the Bapedi people to define for themselves the degree to which they wish to make themselves available as subjects. A voluntary participation approach was adopted for this study (Bless, Smith & Kagee 2006:102). Participants were at liberty to participate or not to participate, and their decision was guaranteed to be respected. The collection of data for this study was carried out in four villages in Sekhukhune district, Limpopo Province in South Africa. These villages are predominantly Sepedi-speaking. The four research villages are Dikgageng, Dingwane, Kotsiri and Mashite. Eleven informants were assigned to answer oral questions on stipulated dates and specified times by the researcher. Most of the informants were gradually becoming advanced in years. The interviews and songs were audio recorded and practical performances were photographed.

Myers (1992:22) supports this by stating that during fieldwork the ethnomusicologist assembles primary resources: observations in field notes, recordings of music and interviews, photographs, film and video materials. Myers (1992:22) reckons that field work is a hallmark of many social sciences, including anthropology and ethnomusicology. An extensive literature searches were also undertaken in the libraries of the University of South Africa (UNISA), and University of Pretoria, Pretoria in South Africa to review the existing literature around the topic from journal articles, books and theses to gather and compare secondary data to data obtained from ethnographic fieldwork, while discussion and analysis of results were in progress.

Based on the primary aim of this study, the central question was 'What are the modes of transmission for indigenous Bapedi music during the teaching and learning process?' This led to the following sub-questions, which guided the study:

How is collective identity formed through music?

How does indigenous Bapedi music serve as the core part of Bapedi culture?

How does music affect the transmission and communication process?

The next section addresses the question: What are the modes of transmission for indigenous Bapedi music during the teaching and learning process?

## Results

### **Analysis of the modes of teaching and learning of indigenous Bapedi music using methods and techniques predicated on traditional music education practice.**

The results of observing the modes of teaching and learning of indigenous Bapedi music using methods and techniques predicated on traditional music education practice, as well as the influence of indigenous music on participants is described below. The findings of this study are viewed from four perspectives/themes. The first looks at the **'Creative Process'** (creativity, participation, composing, communal undertaking, listening, story telling and innovation); The second describes the **'Associative Process'** (imitation, collaboration, internalization, repetition, coordination, demonstration and observation); The third reflects on the **'Mastery'** (creative product, aural recall, group performance, creative imagination and communication); and the fourth provides an insight about **'Interaction of musical and choreographic form'** (retention of musical ideas, gestures and actions, improvisation, recreation and variation).

#### ***Creative Process***

From the observations and interviews, it was established that in the Bapedi culture, the art of composing requires a reliable musical memory, and the repertoire is heavily indigenous (Lebaka 2017:200). During field research, it was also observed that composing was not necessarily an individual process. All participants were committed to 'creative activities' which involved the relationship between music and dance. Informal interviews indicated that the learning process is a group activity. It is both a pleasure and a recreation rather than a chore. During a personal interview with Madikedike Simon Sete (24 September 2018) at Dikgageng village, Sekhukhune district in Limpopo Province, he pointed out that "the transmission process is organized, direct and instructional". He further mentioned that Bapedi people acquire musical-artistic skill by participating appropriately in shaping contexts in which processes of music making occur and music knowledge is generated.

From the interviews, it was established that musicianship is maintained through practicing, and this is a form of continuing learning which allows Bapedi people to follow the perfection of their skills. In consonance with the above findings, Mataruse (2017:67-68) asserts that through the use of local traditional songs, music education can bring about a democratic society with individuals who have many skills among them, the skills to deal with conflict management in a peaceful manner. Using videos, it was also established that for the transmission process to be meaningful, it is necessary for the participants to be creative and understand socially the various idioms of creativity and conventions of musical presentation. The impression one gets from the interviews and informal discussions about the creative process is that creative imagination and innovation play a vital role in communal composing. The study has also revealed that the transmission process is oral memory based, and as a form of oral communication, both stories and songs play a significant role in Bapedi culture. Consistent with this finding, Joseph and Hartwig (2015:2) observe that music engagement in educational settings is a powerful medium to understand, appreciate and embrace cultures and people. An interesting observation on communal learning should be mentioned. It appears that various techniques are used during the transmission process, for example, observation approach, conscious imitation, etc. In what follows, is the associative process of the teaching and learning process of indigenous Bapedi music.

#### ***Associative Process***

During my interaction with different traditional music ensembles in the Bapedi society, I have personally observed that traditional Bapedi musicians, on their own, drawing upon their creative intelligence, use improvisation, re-creation, variation, and gestures to demonstrate dancing rhythmic patterns, while other participants are observing and to make their performances and/or renditions impressive. Using videos, it was recorded that music performance acts always include demonstration and observation (**see photo 1**). Based on my experience in the Bapedi culture, the spectrum of learning experiences can range from accidental, unintentional, or reluctant forms of learning to active, intentional, involved and highly valued forms of learning.



**Photo 1**

Cultural festival (Dikgageng village; Sekhukhune district, Limpopo Province, 24.09.2018), Photographer: Morakeng Edward Kenneth Lebaka

The literature that has been reviewed demonstrates that in the Bapedi society, imitation forms an important part of music learning (see photo 2), and the simplest and most undifferentiated form of music learning occurs through imitation (Lebaka 2017:106). Of particular interest is the fact that participants learn through slow absorption and unconscious internalization of sounds.



**Photo 2**

Cultural festival (Dikgageng village; Sekhukhune district, Limpopo Province, 24.09.2018), Photographer: Morakeng Edward Kenneth Lebaka

Informal discussions have revealed that after the participants have mastered the songs, they can start dancing, and the dance is repeated innumerable times until all participants have mastered every detail. From the interviews, it was established that learning dancing involves coordination and collaboration, and different techniques are used to start, vary and stop the performance. During my field investigation in Sekhukhune district, it was further observed that repetition is the established style of performing traditional Bapedi music. Attesting to the observation above, Teffera (2006:42) writes that every music tradition possesses its own rules and concepts that will enable musicians to perform music accordingly. When it was asked whether indigenous Bapedi music serves as the core part of Bapedi culture. All participants felt that indigenous Bapedi songs establish mutual relationships as well as cementing friendships, but also communicate social and ethical

values within Bapedi culture. This question was intentionally posed to the participants in a quest to get their understanding on the relationship between music, culture and identity.

### **Mastery**

An interesting observation on communal music-making should be mentioned. It appears that the creative music-making takes place during a process of interaction between the participants' musical experience and competence, their cultural practice and their instructions. Altogether, this forms the *affordances* in the creative situation. Results of the study showed that with musical creativity and rhythmic direction, participants build a repertoire which is characterized by cultural blend, polyrhythm, improvisation and interlocking rhythms which compel the participants to dance to the music. These observations are vividly corroborated by Ogunrinade (2012:114) who states that "traditional music knowledge system has capability for promoting music education, especially as it relates to the ways, culture and values of where it evolves".

The above evidence leads to the assumption that the formation of musical organizations encourages creativity and innovation. Nompula (2011:371) endorses this observation by stating that the creativity that is involved in improvisation is evidence that an African child is capable of composing. Comments by Nompula are noteworthy because during a personal interview with Madikedike Simon Sete (28<sup>th</sup> of September 2018) at Dingwane village, Sekhukhune district, he pointed out that musical creativity involves knowing why, when and how to shape the on-going music performance in ways that are contextually, situationally, artistically, socially and personally significant. These observations are supported by Nzewi (1999:79) who observes that traditional African wisdom and orientation to human up-bringing, advocate that knowing through practical participation and experiencing is a key educational methodology, crucial to the early education of an original-thinking individual.

### **Interaction of Musical and Choreographic form**

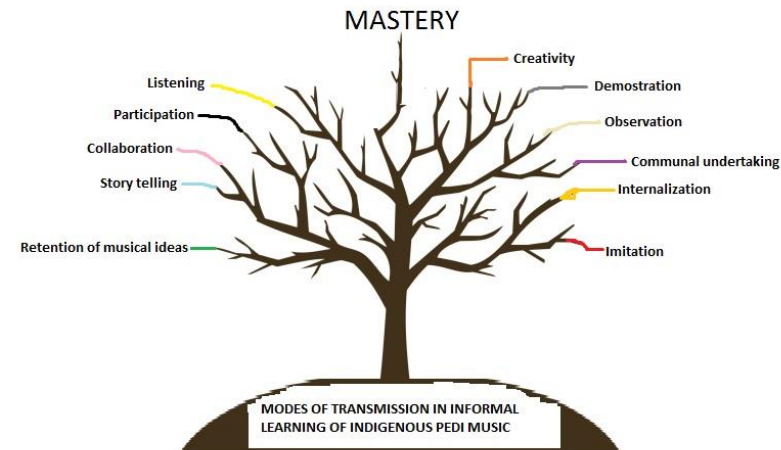
Informal interviews indicated that traditionally when Bapedi people have rehearsals or performances, they sing and dance together. During the field research in the Bapedi community, I have observed that by using their ears to execute different rhythmic patterns, participants can memorize long cycles of patterns with signals, breaks, responses, etc. Based on research findings, it is evident that creative music-making involves retention of musical ideas, gestures and actions. The results have also shown that musical creativity revolves around improvisation, recreation and variation. From the above discussion, it would seem that communal music-making in the Bapedi culture is a quest for unity and integration.

Attesting to the observations above, Adeogun (2006:3-55) observes that "in Africa, actualizing music has both its communalistic and individualistic aspects". Further, Adeogun (2006:3-55) elaborates that "communalistic in the sense that the musical creation of an individual rarely belongs to him, but to the group he belongs. The above information correlates with the observation of Lebaka (2017:72), namely, that amongst Bapedi people, music is a binding force and a way of consolidating collective will. According to Makokobetse Isaac Magane (personal communication, 28 September 2018), the viewpoints of Adeogun and Lebaka are correct. According to him "songs and music are strongly linked to cultural and religious activities". Phibion (2012:2) endorses this observation by stating that traditional music performances bring individuals together and affirm communally held morals and values. Indications from the investigation suggest that intellectual understanding of music involves concept formation, understanding of musical language and engaging music thoughtfully through listening. On the basis of these findings and discussions, it is arguable that indigenous Bapedi music and oral tradition communicate within and contribute to the formation of both culture and community. Similar to my argument, Omolewa (2007:595) observes that traditional African education is always used as the information base for the community, which facilitates communication and decision-making. He further elaborates that traditional African education uses the age grade system in which those about the same age are brought together to share responsibilities, work together and to be introduced to activities that will not be burdensome for their grade (Omolewa 2007:596). When participants were asked about how music is used by individuals and different traditional dance groups to construct identity and self-perception, all interviewees were in agreement that "music in general, must be understood as a critical response to shifts of identity and plays a significant role in expressing personal and communal views on how life affects the Bapedi society". What will follow in the next section is the discussion of results.

### **Discussion**

The results yielded thus far have shown that traditional Bapedi music education practice is an integral part of the Bapedi culture and history, which is transmitted through various modes. Such an indigenous system of holistic education involves

listening (singing & instrumental playing, aural recall, repetition); participation (listening, imitation, repetition); collaboration (improvisation, coordination, gestures); story telling (listening, oral communication, internalization); retention of musical ideas (aural recall, memorization, intent concentration); demonstration (observation, call-and-response, imitation, repetition); observation (instruction, demonstration, imitation); communal undertaking (participation, repertoire, repetition); imitation (recall and repetition), internalization (memorisation, holistic understanding and juxtaposition), creativity (soloing, leading and originality) and mastery (participants are able to use music meaningfully in different domains to further understand the tradition and the way in which it reacts within its social frameworks), methods which are an inherent and integral aspect of the socialization or enculturation process that takes place in the primary contexts of the musics (see figure 1).



**Figure 1: Modes of transmission in informal teaching and learning of Indigenous Bapedi music.**

Based on the findings of this study, it is evident that traditional Bapedi music education, which is passed from generation to another, is usually by word of mouth and cultural rituals, and has to some extent been the basis for sustainable development in Indigenous Knowledge Systems. Indications from the investigation revealed that this mode of education has by and large been used as a way of acquiring lifelong learning. Informal discussions and interviews have demonstrated that traditional Bapedi music education is based on practical common sense, on teachings and experience and it is holistic.

The exposition of this study has shown that music and dance are fundamental to the Bapedi people ways of life, and culture is everything that characterises Bapedi society. The impression created during interviews and observations was that indigenous Bapedi music education practice plays a vital role in the preservation of Bapedi cultural heritage and identity.

Findings from this study further indicate that music is part of the indigenous Bapedi education process, through which its objective is to develop the abilities and skills of Bapedi people. Reviewing the results yielded thus far, it is clear that Bapedi people learn a great deal from one another whenever and wherever they interact. Attesting to the observations above, Nzewi (2005:vii) asserts that in indigenous African societies every person has a chance to experience the social, moral, health and entertainment values of music and dance on a daily basis. According to him, these values become richer if a person takes part as an active performer. He further maintains that proverbs, folktales, wise sayings and oral discussions are methods of intellectual explanation and reflect indigenous theory. Comments by Nzewi are noteworthy because during my field investigation it was found that Bapedi people regard singing as essentially a group activity, an opportunity to express their communal ethos. Similar to what obtains in Nzewi, Kaemmer (1993:156) highlights that "music often results in communication, even when people are not aware that it is taking place". Kaemmer (1993:156) however, has cogently argued that sometimes communicating through music is a way of publicly disseminating information. In view of the comments and observations made by Nzewi and Kaemmer in this study, it is evident that through enhancing communication, music is a way of building and maintaining group identity.



## Conclusion

The results of this study provide evidence that music teaching and learning in Bapedi society is an integral part of cultural and religious life, and is rich in historical and philosophical issues. The data analysis has so far revealed that in Bapedi culture, learning music through participation has been a constant practice. The research unveiled that the transmission process involves participation, fostering of communal sense, concentration on the present moment and the use of musico-cultural formulae and cues for interactional purposes. This research also uncovered that indigenous Bapedi music is mastered, appreciated, felt and understood through sustained exposure to the socio-creative interactions of practical experiencing and the repertoire is heavily indigenous.

It is concluded that in Bapedi society, creative music-making and music identity are the obverse sides of the same coin, in that the former provides an arena in which the latter can be explored. Based on the findings of this study, it is recommended that a research study of this kind should be taken seriously for an exploration of indigenous values influencing the teaching and learning systems. This would assist in preserving Bapedi cultural heritage and identity. Targeting teacher educators would be an important part in an effort to include indigenous knowledge and ways of thinking in the curriculum of both lower and higher education.

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## Fiduciary Transfer of Ownership in Order to Secure the Satisfaction of Claim to Contemporary Right - Proposal De Le Lege Ferenda

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### Abstract

Fiduciary transfer of ownership in order to secure the claim satisfaction represents the form of non-possessory securing of claim satisfaction, which is experiencing the Renaissance in the transition countries and in the contemporary right. This form of non-possessory pledge right is not regulated by law in our own right, nor does it enjoy legal protection. Fiduciary transfer of property on the contemporary right and legal circulation is experiencing affirmation because of the essential advantages in relation to the real means of securing the claim satisfaction. The most important advantage of fiduciary agreements in relation to the pledge (mortgage) is the efficiency of the fulfilment of the claims, because there are no extensively long court proceedings in this institution. In addition to the fiduciary agreement, unlike the pledge right, the object that is subject to the fiduciary agreement, the debtor may keep such property under possession and may use it for the fulfilment of the obligations towards the creditor, thus offering practical benefits to the debtor itself. In the Republic of Kosovo, fiduciary agreements and fiduciary transfer of ownership are not regulated at positive rates. The author of this paper is committed to regulate this legal institute with positive provisions, i.e. the issuance of a special law for this institute, or the same to be included in the new Civil Code of Kosovo, as it is about an institute which has been applied for a long time by countries of the continental system and is experiencing renaissance also in the countries of the region (Slovenia, Macedonia, Montenegro, Croatia). The regulation of this institute with positive provisions would have a positive effect on legal circulation and faster economic development in Kosovo. At the same time, regulation of this institute with positive provisions would enable alignment and approximation of the Kosovo legislation with the European Union legislation. In this paper we will present the reasons why this institute should be regulated by special law or incorporated in the new Civil Code of Kosovo. However, despite the fact that local positive provisions do not particularly regulate the fiduciary transfer of ownership institution in order to secure the satisfaction of claim, nevertheless, this institute is not entirely excluded. Thus, the Law on Obligational Relationship of the Republic of Kosovo, in Article 429 provides for the ceding in order to secure "Where ceding is made in order to secure the claim satisfaction of the concessionaire against the cedant, the concessionary is obliged to behave with the care of a good economist, namely of a good housekeeper on the collection of ceded application and after the collection is completed, after keeping as much as it is needed to meet its demands against the cedant, shall hand him over the surplus.

**Keywords:** Fiduciary, Fiduciary ownership, Fiduciary transfer of ownership, pledge (mortgage) right.

### 1. Introduction

The Roman law has recognized three forms of pledge. The oldest was fiducia, then the pignus has emerged, and finally the hypotheca.

In the first two forms it comes to handing over items to the creditor (and that at fiducia in ownership, while at the pignus in possession). For that beside legal-property relations, the Obligational Relationships also appear.<sup>1</sup>

Fiducia in Latin language means a trust, because it is regarding the institution by which the debtor transfers his property on the creditor as insurance to repay his claim. Otherwise, fiducia in Roman law has preceded the right of pledge,

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<sup>1</sup> Stanojević Obrad, "Rimsko Pravo", Belgrade 1988 - p. 218.

respectively it is considered that the right of pledge arises on the foundations of fiduciary.<sup>1</sup> Initially, this kind of contract is based on the parties' trust; it is concluded only between cousins and friends and was not defended by lawsuit. However, often, before all real and consensual contracts, **fiducia** win a special lawsuit.<sup>2</sup>

**Fides** has been a goddess of goodwill; a personalized symbol of the trust (loyalty) in the Roman mythology, its symbol was the symbol of two tied hands. The cult of this goddess was celebrated by the ancient Romans and the fact that the goddess appeared as a gray-haired old woman shows that respect for the word has been of fundamental value, the base of the social and political system.<sup>3</sup>

Ancient Romans have most often used this institution for fiduciary transfer of ownership with the purpose of property management (*fiducia cum amico contracta*) and for fiduciary transfer of ownership with the purpose to insure the claim (*fiducia cum creditore contracta*).<sup>4</sup> Transfer was allowed only for Roman citizens (*cives*) or to other free people who had been granted commercial power (*commercium*).<sup>5</sup>

The development of legal instruments for insurance of the claims has started with personal responsibility - *nexum*, recognized in the law of XII tables. Beside the personal responsibility of the *nectere* debtor, in Roman law at the earliest period is presented the real insurance of the claim - **fiducia cum creditore** - with the transfer of the item of the debtor in the possession of the fiduciary, for the purpose of the insurance. *Fiducia cum creditore* in reality was kind of conditional sale of the item. The person who needed financial means, the financial means had opportunity to come through the debt. In order to secure the creditor's claim (lender), he has sold a certain item to the creditor, i.e. he has transferred the property (*Mancipatio* *ose in iure cesio*) and has received the financial means on behalf of the purchase, but in that case the parties have reached agreement (*Pactum fiducie*) that the creditor (lender) will return the item (again with *Mancipatio* *ose iure in cesio*) when the debtor (borrower) fulfills his obligation - repayment of the debt.<sup>6</sup>

The creditor's obligation to return the item was, at first, only of a moral nature, without a sanction. Later, the obligational sanctions have been applied, not of a legal-property nature, if the creditor alienates the item, even though the debtor has paid the debt, he cannot take it back, but he only can, by the *actio fiduciary* lawsuit, can claim from the creditor the compensation of the damage, where this presents the great misfortune for the debtor and could have caused damage, especially because the pledged item was usually the value greater than the amount of the debt.<sup>7</sup>

Thus, if the debtor, because he did not pay the debt, lost ownership, he could not claim the item from the others by legal-property lawsuit. However, if the debtor paid the debt with fiduciary action, he could claim for the return of the item, or if the creditor, even *pactum fiducie*, realized the item, the debtor could claim the compensation. **Actio fiducie** in itself contained the *infamian*, the shame that the creditor would have to suffer because he did not adhere to the trust, *pactum fiducie*. On the other hand, since the creditor became the owner of the item, he could be protected by **actiones in rem**, with the property lawsuit - *rei vindication* and **actio negatoria**.<sup>8</sup>

At the *fiducia*, the creditor does not 'just stretch his hand and does not put eye' on the other's (debtor's) item, he does not take only the item, but also takes the debtor himself stripped of his rights over that item. At the pledge the creditor wins only the right to possession of the debtor's item, as well as to the realization of his right to claim the sale of such item, if the debtor does not obey his obligations to the creditor. At *fiducia* the creditor is entitled to ownership, he is the owner of the item, has all the strength and 'governance' that the owner has, as any exclusive owner in his item.<sup>9</sup>

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<sup>1</sup> Romac, Ante, *rimsko pravo*, Zagreb, 1998, p. 224.

<sup>2</sup> *Pravna Enciklopedija*, Belgrade, 1989, p. 378/.

<sup>3</sup> Mihnea-Dan Radu, *Fiducia: From Fides to trust and the new Romanian Civil Code Regulation*, Valahia University • Law Study, Volume xx. Issue 2012, p. 239.

<sup>4</sup> Stojčević Dragoljub, "Rimsko Privatno pravo", *Savremena administracija*, Belgrade, 1985, p. 250

<sup>5</sup> Mangatchev, Ivan P, *Fiducia Cum Creditore Contracta in EU Law* (September 16, 2009). Available at SSRN: <https://ssrn.com/abstract=1474199> or <http://dx.doi.org/10.2139/ssrn.1474199>

<sup>6</sup> Mr. sc. Zrinka Radić: *Uzroci heterogenosti besposjedovnih osiguranja tražbina na pokretninama i pravima*, Zbornik radova Pravnog fakulteta u Splitu, year 52, 4/2015, p. 1009

<sup>7</sup> Asllan Bilalli&Bedri Bakalli - *E drejta Romake* – p. 338-339, 2015 – Prishtinë/Priština

<sup>8</sup> Dr. Ejup Statovci, *E drejta e pengut-aspekte komparative*, 1988, p.37.

<sup>9</sup> Dr. Ejup Statovci, *ibid*.

The definition of the trust (good faith) itself indicates the fiduciary's damage in this institution as a result of the fiduciary contract; the creditor becomes the owner of the trusted property. Thus, he gains the 'full and complete' property and, in principle, all the advantages of the owner. This is also the main characteristic of the fiduciary contract. Thus, he has the right to exploit (usus) property, harvest fruit (fructus), and even to destroy the good (abusus).<sup>1</sup>

Recognition of Roman law into continental legal systems has been made, primarily by Justinian's codification. The Fiduciary Institute of the property transfer as a means of insurance the claim is experiencing reaffirmation in the XIX century, when legal science in the process of recognition of the Roman law begins to concentrate on other sources as well, including the Institutes of Gaius, which in detailed manner regulate fiducian.<sup>2</sup>

The Fiduciary Institute of the property transfer is first encountered in the legal and judicial practice of Germany and Switzerland. It is implemented in the function of insurance of the claim (*Sicherungsübereignung*), or for the purpose of foreign property management (*Treuhand*). The first European country which implemented the fiduciary property transfer by law was Liechtenstein, where in the law on personal economic society of 1926 we encounter this means of insurance.<sup>3</sup>

## 2. Causes of Fiduciary Re-Affirmation into Legal Systems

The fiducia at the beginning of the post-classic period arises from legal practice. The Fiduciary replaces the simplest and most appropriate ratio of the pledge – pledge of the hand (pignus). Fiducia proved unsuitable due to the formalism of the transfer of items as well as the fact that actio fiduciae had effect only between the parties.<sup>4</sup>

Classical civil codifications do not regulate fiduciary property transfer and do not even regulate fiduciary affairs.<sup>5</sup> However, in the contemporary legal systems is an actualized interest in the Fiduciary institutes of the property transfer which is experiencing a surprise return to the conditions of the contemporary market economy.<sup>6</sup> After the Second World War, in continental Europe, it comes to the change in insurance of claims in legal-property relations. It comes to increased credit and concession claims in the business practice of powerful creditors, and thus to the return of property transfer for the purpose of insurance, even in the legal systems that were abandoned in their entirety.<sup>7</sup> Thus, the economic power of potential creditors led to the transformation of pledge right, extending the object of pledge right by introduction of so-called non-possession item as a pledge, then with the abandonment of the specialty principle and ultimately with the development of insurance of the non-possessive claims.<sup>8</sup>

## 3. Fiduciary Ownership

Fiduciary ownership is a special way of securing a creditor's claim, which means the transfer of ownership over movable or immovable property of the creditor in order to secure the claim, and with the fulfilment of the claim the creditor must return the ownership over the property in which he has acquired ownership in order to secure his claim. Whereas, if the debtor does not meet the creditor's request within the specified time limit then the debtor is obliged to hand over the item in possession to the creditor because the creditor has already acquired the right of ownership at the time of the creation of the creditor's claim.

In fiduciary ownership, the fiduciary becomes conditional owner of the trustee's item, which means that in the Register for registration of the rights or in the Register where the fiduciary ownership is noted, there is also a registered note that

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<sup>1</sup> Kombe Bosombisa, Cynthia, La Protection Du Fiduciant (The Protection of the Settlor) (December 20, 2014). Available at SSRN: <https://ssrn.com/abstract=2664839> or <http://dx.doi.org/10.2139/ssrn.2664839/>

<sup>2</sup> Vladetić Srdan, "Fiducija u rimskom pravu i savremeni fiducijarni poslovi", Doktorska Disertacija, Pravni fakultet Univerziteta u Beogradu, Beograd, 2010, p. 243.

<sup>3</sup> Dr. Bojan Pajić "Problem Dopustenosti fiducijarnog prenosa svojine u nasem pravu", Zbornik radova Pravnog Fakulteta u Novom Sadu 1/2017, p. 126.

<sup>4</sup> Petrak, Marko, Konceptija generalne vindikacijske tužbe u rimskoj pravnoj tradiciji i de lege ferenda, Zbornik Pravnog fakulteta u Zagrebu, br. 5-6/2013, p. 1054.

<sup>5</sup> Povlakić, Meliha, Fiducijarno vlasništvo u usporednom pravu i sudskoj praksi, Zbornik Pravnog fakulteta Sveučilišta u Rijeci, br. 1/2003, p. 196.

<sup>6</sup> Petrak, Marko, Rimsko pravna tradicija i hrvatska pravna kultura, u: Rimsko pravo i Europa, Golden marketing-Tehnička knjiga, Zagreb, 2007, p. 176

<sup>7</sup> Gavella, Nikda; Josipović, Tatjana; Gliha, Igor; Belaj, Vlado; Stipković, Zlatan, Stvarno pravo, Narodne novine, Zagreb, 2007, p. 471.

<sup>8</sup> Povlakić, ibid.

ownership is acquired for the insurance of the claim and the fulfilment of the claim of the creditor must be the settlement of the ownership and register the ownership on behalf of the debtor (the provider of the item owned by the creditor).<sup>1</sup>

Fiduciary ownership has "two faces". In relation to the third persons, the fiduciary is the owner of the item, the trustee and fiduciary's internal affiliation, Fiduciary ownership does not have that view. Its essential feature is the lack of legal authorizations. The fiduciary is the formal-judicial owner of the item; however, he has the authority to disposition of the item, which is limited by a contractual obligation (pactum fiduciae). Trustees, fiduciaries as a non-possessory insurance mean, maintain the authorization of keeping, using and harvesting fruit. The fiduciary security item is the trustee's property, while the fiduciary ownership is in the fiduciary's property. The trustee is an economic owner, while the fiduciary is the legal owner of the item.<sup>2</sup>

Fiduciary ownership is obtained on the basis of a fiduciary contract for the transfer of a property right (legal title) which must be in writing and authenticated to the notary when it comes to immovable property, as well as registration in public registers or other appropriate registers for evidencing fiduciary ownership, with the note that it has to do with the fiduciary transfer of the property right.<sup>3</sup>

#### 4. The Juridical Nature of Fiduciary Ownership

The theory, when talking about the legal nature of the contract on the transfer of fiduciary ownership, mostly links them to the real means of securing the claim, using the terminology that suits this qualification. Thus, the names (which are sometimes used as synonyms for fiduciary agreements) are used, such as unsecured warranties, mortgages, non-dividend mortgages and so on. In this regard, many theorists are of the opinion "that the contract on the transfer of fiduciary ownership is a real means of securing the claim and thus belongs to the contracts on the pledge."<sup>4</sup>

The Institute of fiduciary ownership deviates from the fundamental characteristics of the classical property right, which is due to the limitation and the effect of the transfer of fiduciary ownership stemming from pactum fiduciae. The fiduciary ownership transferred to the trustee is not complete in terms of property authorizations or independent ownership, but it is a conditional right in a limited period whose fate depends on the fulfilment of the main contract the provision of which it serves. Thus, fiduciary ownership is a **sui generis** property which, in view of securing the principal claim, presents a type of real-estate insurance.<sup>5</sup>

#### 5. Fiduciary Ownership Cause

Fiducie is abstract - the cause is not visible to third persons. There are perceptions that fiducie, as a direct economic purpose of legal contract, consists in securing the claim, and the perception that the cause of the fiduciary contract, as its direct legal purpose, is "specific" or "sui generis", so it is not possible to compare in the framework of existing classifications.<sup>6</sup>

According to German law, which for the transfer of ownership provides the abstraction principle, the transfer of ownership due to securing in the prevailing opinion is fairly abstract and non-*fixt*ure. However, the parties are free to connect the real-legal contract with any resolutive clause for the securing agreement. The possibility that the transfer of ownership for securing purpose is non-*fixt*ure is also provided by the Slovenian law, which is, in principle a causal one.

In the Republic of Croatia dominates the legal theory according to which "the fiduciary transfer of ownership with the securing purpose" presents an exercising manner of ownership authorizations in order to ensure fulfillment of the liability. The contract cause on the fiduciary transfer of ownership is specific, and consists in securing the claim.<sup>7</sup> Fiduciary contract as an *fixt*ure contract does not have an independent purpose, but serves to the implementation of the other principal

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<sup>1</sup> Prof. Dr. Abdulla Aliu, "E Drejta Sendore", Prishtina, 2014., p. 401

<sup>2</sup> Andrija Gams, Nesto o fiducijarnim pravnim poslovlma, Anali Pravnog fakulteta u Beogradu, 1960, p. 34.

<sup>3</sup> Abdulla Aliu cited act. p. 403.

<sup>4</sup> Velimirovic Mihailo, Ugovor o fiducijanom obezbedjenju trazbine, Pravni zivot No. 11/1998, p. 532.

<sup>23</sup> Lj. Djurovic, Ugovoro fiducijarnom prenosu svqjine, Pravni zivot, No. 10/1998. p. 824. - 825.

<sup>6</sup> Lj. Djurovic, *Ibid*

<sup>7</sup> N. Gavella et al., *stvarno parvo, svezak drugi*, Zagreb, 2007, p. 469-470.

contract in which the debtor's obligation is based. The purpose, of which the fiduciary transfer of ownership is made, is the provision of the foreseen claim with the principal contract (most often with the contract on the credit or loan).

For this we consider that the contract on the fiduciary transfer of ownership is a legal transaction cause, which constitutes the legal basis on the transfer of the ownership for the securing purposes, where the cause is outside the contract itself.<sup>1</sup>

## 6. Fiduciary Transfer of Ownership in Comparative Right

Notwithstanding the fact that the codes of civil law do not regulate this type of security, today is represented in many legal systems, such as developed countries (Germany, Austria, Switzerland) and in transition countries (Poland, Czech Republic, Montenegro, Croatia, Slovenia and Macedonia). There are many fundamental differences in the implementation of this institute. In Germany, this form of security has wider application, since the many years of legal practice and the support of the doctrine, have responded in many questions which arise in practice.<sup>2</sup>

German law distinguishes between the fiduciary transfer of ownership for the purpose of managing and the fiduciary transfer of ownership for the purpose of securing the claim. At the fiduciary transfer of ownership for the purpose of management, the fiduciary exercises the right of ownership in the interest of the fiduciary, while at the fiduciary ownership for the purpose to secure the claim, the fiduciary for the purpose to secure the movable property follows its credit interests towards the fiduciary for the purpose of securing that the claim will be paid at the noticed moment. In case of transfer of movable property into ownership for security purposes, the creditor and the debtor enter into a special contract under which the creditor cannot change or dispose the property and must keep it as a pledge, and in case of debt repayment, it is liable to return the pledge into the debtor's property. Otherwise, the transfer of ownership for the purpose of securing the creditor's claim can be extended so that not only claims are secured but all future claims of the secured party towards secured grantor or the claims of other creditors towards secured grantor (concerned clause). The German Civil Code only indirectly refers to the fiduciary transfer of the right and does not contain any provision in terms of form for this transfer. Legal practice allows the fiduciary to have real-legal protection against the fiduciary's creditors. Thus, the fiduciary may, prior to the fiduciary's insolvency, exclude this property from the bankruptcy measure, if the fiduciary's creditors enter into execution for the fiduciary's property, he can oppose it, since he is the final owner of the property. The fiduciary may, despite his obligation, have the final power to possess such property in relation to third person, since his legal position exceeds the economic and legal goals of his work.<sup>3</sup>

France, after three decades and many unsuccessful legal efforts, finally, in 2007, regulated the fiduciary, with supplements and amendments of the FCC.<sup>4</sup> In addition to the general type, in French law there are also two independent fiduciary modalities: *fiducie-sûreté* and *fiducie-gestion*. The first is applied for the purpose of securing the execution of the liability. The second is applied for the purpose of managing union credits.<sup>5</sup> The specificity of the fiduciary security claim in French law consists in that fiduciary security can only be contracted by legal persons in the tax on profit regime (Article 2014.CCa). Fiduciary can only be the financial institution (banking and security legal persons, state monetary and financial institutions), while there is no limit on the fiduciary side (Article 2015 CCa). Fiduciary security claim fiduciary security is required to be registered in the public register within one month from the date of contract conclusion (Article 2019.CCa).

The Swiss Code on Obligations. Where the agent acting on the principal's behalf acquires claims in his own name against third parties, such claims pass to the principal provided he has fulfilled all his obligations towards the agent under the agency relationship.<sup>6</sup>

Swiss doctrine and legal practice accepts the fiduciary transfer of ownership and the claim transfer for the purpose of securing the claim, but provided that this transfer be made on the basis of the actual will of the parties. The fiduciary transfer of ownership enables the beneficiary to acquire the full ownership. However, if the fiduciary transfer of ownership is created

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<sup>1</sup> D. Stojanovic, *Prenosenje svojine u cilju obezbedjenja kredita*, Pravni zivot, no.5-6/1993. God. f. 621

<sup>2</sup> Mr. Povlakic, quoted paragraph, p.198-199.

<sup>3</sup> D. Borkovic-Stojanovic, *Svojina radi obezbedjenja potrazivanja-fiducijarna svojina*, Pravni zivot, br. 10/98, p.381-382

<sup>4</sup> See Article 2011-2031 of FCC

<sup>5</sup> Lvczkawska, Karolina. *The New Regime of Fiducie in French Law. in the Light of the Last Reforms (El Nuevo Régimen de Fiducie en el Derecho Francés a la Luz de las Últimas Reformas)* (Spanish) (January 1, 2010). In Dret, Vol. 1, 2010. Available at SSRN: <https://ssrn.com/abstract=1565553/>

<sup>6</sup> The Swiss Code on Obligations, Article 401.

through *constitutum possessorum*, it has no legal effect on the third person, if by this had as purpose of avoiding and violating the pledge law norms. Therefore, fiduciary transferring of ownership does not bind all parties, especially not creditors of the alienator of property, but it is applied between the parties.<sup>1</sup>

Austrian legal theory has been shared on the issue of permissibility of fiduciary contract. Controversial was the cause of this legal contract or its suitability to be a legal basis for the transfer of ownership. According to one of the parties, fiducie is unlawful because there is no purpose of final transfer of ownership. Others see the cause in fiducie itself. Ownership is transferred with the purpose of securing the claim, to return back, if the secured claim is properly met.<sup>2</sup>

Fiduciary transfer of ownership has been accepted by Poland and Czech Republic with various legislative decisions. Fiduciary security in the Czech Republic is not a non-possessory property of security. In Poland the fiduciary transfer of ownership is based on banking law.

Greece has also approved the security of property transfer claims in order to secure and cessation of security purpose, without claiming for publicity of those secured claims.<sup>3</sup>

In the Republic of Croatia, the fiduciary security of claims is presented in three forms: fiducie with a legal-binding effect, permitted by the disputes of the liability relations, the fiduciary security of the claims in the form of the prior owner and the last owner with real-legal effect, regulated by the Law on Property and Other Real Rights and Judicial and Notary security with the transfer of ownership, regulated by the Execution Act of the Republic of Croatia.<sup>4</sup>

In the Republic of Slovenia, the fiduciary transfer of ownership is regulated by the real-legal code, where for the establishment of this institute is necessary the agreement of parties in notarial form. The feature of the Slovenian law is that the fiduciary transfer of ownership is allowed only for movable properties.<sup>5</sup>

In the group of states in which the fiduciary transfer of ownership is regulated for the security purpose also includes Montenegro, where in 1996 was established the Law on the Fiduciary Transfer of Ownership (the provisions of which were later incorporated into the Law of 2009 on real-legal relationship).<sup>6</sup>

In Montenegro Law the fiduciary transfer of ownership for the purpose of securing the claim is regulated in a different way, depending on whether the subject of the fiduciary property is movable or immovable property. According to the Law on real-legal relationship, fiduciary ownership in movable property is obtained by entering into a contract on the fiduciary transfer of ownership (Article 353, paragraph 1). The property remains in the possession of the fiduciary, according to the rules on the fictitious delivery of the property through the *constitutum possessorium*. Fiduciary ownership in the immovable property is obtained based on the contract on fiduciary transfer of ownership, with cadastral registration, a note that it is a matter of fiduciary transfer of ownership (Article 353, paragraph 2 and Article 354).

## 7. Fiduciary Security Subject

Subject of fiduciary security may be individually defined moveable properties and immovable properties. Fiduciary security is extended in entire property, with the inseparably fruits, in constituent parts and the additional of the property. Fiduciary ownership according to the rules on the extension in terms of subject of fiduciary security extends also to further improvements. Rules on fruit apply if the defaulted debtor in the moment of claim notice does not fulfill his liability to the fiduciary, when it reaches the final moment of acquiring the ownership by the fiduciary. Thus, until the moment of the final acquisition of the fiduciary, the right to usufruct the fruit (upon separation of the fruit from principal property) belongs to the fiduciary that enjoys direct power on the property. Rules defining fiduciary transfer of ownership comply first and foremost with the rules of the registered pledge and the mortgage, in which the debtor remains in possession of the pledged property and is authorized to usufruct the fruits provided by the property.<sup>7</sup> Similar to Montenegrin law, both Macedonian and Croatian law have foreseen that in addition to movable property, as subject of fiduciary transfer of ownership may also be immovable

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<sup>1</sup> Mr. sc. Zrinka Radić, *ibid*.

<sup>2</sup> D. Arandjelović, *O fiducijarnim pravnim poslovima*, Arhiv za pravne i društvene nauke, Beograd 1926, p.342.

<sup>3</sup> Mr. sc. Zrinka Radić, quoted paragraph p.1022

<sup>4</sup> "Narodne Novine RH" no.91/96, no.57/96.

<sup>5</sup> *Stvarno –pravni zakonik (SPZ, Uradni list Republike Slovenije 87/2002)*, cl.201-209.

<sup>6</sup> Sl. List RCG. no. 19/09, sl. List RCG. no. 23/06.

<sup>7</sup> Lj. Djurović, quoted paragraph, p.817.



properties. In the business practice, the fiduciary transfer of ownership represents the representative form of security of bank loans, in addition to the mortgage, because by immovable property the creditor's demand from the principal contract (more often banks as a creditor) is seriously guaranteed and it is enabled the collection by the value of property charged in the moment of claim notice arrival, without the Court participation. With the analogous application of the rules on the acquisition of ownership by the non-owner, the acquisition of fiduciary ownership by the non-owner is possible in movable properties.<sup>1</sup>

## 8. Content of the Contract on Fiduciary Transfer of Property

The rights and obligations of the contracting parties make the contents of the contract on the fiduciary transfer of ownership. A Fiduciary has the right to complete the insurance, the sale of the item prematurely due to its destruction or loss of value, the right to demand the delivery of the item and its sale if the debtor does not fulfil its obligation upon receiving the request, the right to hold the item, the right of collection, the right to request the establishment of the sequestration institute, the obligation to return the surplus, the obligation of conduct under customary commercial law. The fiduciary has the right to possess, use the item and harvest the fruit, the obligation to store the item with the attention of the good housekeeper, the obligation to hand over the item if its debt is not paid prior to the deadline, the obligation of informing the creditor on the changes in the item etc.<sup>2</sup>

## 9. Proposals De Lege Ferenda

The task of legal science is to propose the reform of existing legal institutes or the introduction of new institutes by which the real problems of the society shall be solved at a lower cost or more efficiently. Science has the privilege to propose the introduction of a new legal institute into the juridical order, whereby legal responsibility is borne by policy, while the task of science is to find the technical components accepted for the realization of this political enterprise. However, legal science must offer a new solution that will be in line with the functioning of the legal order and the principles on which it is based. This delicate task of juridical science especially It comes into play with regard to fiduciary affairs. Do we need the type of legal work that implies legitimizing the non-compliance of the legal form and its economic content, and the need for an ancillary legal purpose for securing the claim.<sup>3</sup> The author of this paper is of the opinion that this institute should be regulated by a special law or be included in the new Civil Code of the Republic of Kosovo for many reasons.

The comparative advantages of fiduciary transfer of ownership include comparative doctrines in which, as an example of the implementation of the fiduciary transfer of ownership in the French Civil Code, the reason for the implementation is stated as "the explicit acceptance of the fiduciary relationship itself has caused France a lot of damage in the economic competition with other countries."<sup>4</sup>

In Kosovo neither legal doctrine nor court practice have not deal with the institute of fiduciary transfer of ownership. However, some elements of the existence of the Institute of Fiduciary Transfer of Property are found in the Law on Obligational Relationship of the Republic of Kosovo.<sup>5</sup> And Article 429 which, inter alia, foresees the provision for security purposes. "If a claim is assigned as security for the recipient's claim against the assignor the recipient shall be obliged to act with the diligence of a good businessperson or the diligence of a good manager in collecting the assigned claim, and after collection to deliver the surplus to the assignor once the amount required for repayment of the recipient's claim there against has been kept. In the present case, the object of the agreement represents a non-obligational right, but the express regulation of the assignment with legal provisions constitutes an argument for accepting the effect of the fiduciary transfer of ownership belonging to the affiliated trust group, respectively this institute should be governed by a special law.

Republic of Kosovo by drafting the Law on Property and Other Real Rights (hereafter: LTDPS) in 2009<sup>6</sup> in our law has foreseen the pledge, pledge without a possession-institute which by effect is similar to fiduciary contracts, as well as the

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<sup>1</sup> Tamara Djurdjic, Fiducijarni prenos prava svojine, Zbornik radova Pravnog fakulteta u Novom Sadu, 2/2011, p.488.

<sup>2</sup> T. Djurdjic, ibid.

<sup>3</sup> Dr. Atila Dudas, O celishodnosti zakonskog uredjenja fiducijarnog prenosa svojine u pravu Srbije, Zbornik radova Pravnog fakulteta u Novom Sadu, 1/2014, p.222.

<sup>4</sup> Dr. Bojan Pajtic, paper cited. p.133.

<sup>5</sup> Official Gazette of The Republic Of Kosovo / No. 16/19 JUNE 2012, Prishtina Law No. 04 / L-077 On The Obligational Relationship.

<sup>6</sup> Official Gazette of The Republic Of Kosovo / Prishtina: Year IV / No. 57/04 AUGUST 2009 Law No. 03 / L-154 On Property And Other Real Rights Assembly of Republic of Kosovo.

mortgage. Whereas, pursuant to Article 14 of the Law on Registration of Pledge in the Register for Movable Items subject to registered pledge may be any movable property of a material value as well as any right that can be legally transferred.<sup>1</sup>

One of the reasons why the institute of Fiduciary transferring should be regulated by special law in Kosovo is that LT DPS has a restrictive stand towards the creditor in the contract on the non-public pledge, respectively, brings it to a more unfavourable position in comparison to its position as a fiduciary in the fiduciary contract. Thus, with Article 130 of the LT DPS it is envisaged as follows: The agreement, which is concluded prior to the achievement of the secured claim is null if it determines that in the event of non-payment after obtaining the secured claim the insured good passes to the ownership of the assignee; or the secured good to be sold at a certain price. So in the contract on the pledge, we have limitations in relation to the creditor, while these barriers do not exist for the creditor in the fiduciary transfer of ownership. He, as a fiduciary, in case of non-fulfilment of the requested claim, has all property authorizations in the insured item, like any other title holder.

The fiduciary ownership of the creditor provides higher security than the non-dividend pledge because it becomes the owner of the item, while the ownership over the fiduciary item enables easier gain of the possession of the item and more efficient execution of the demand if the fiduciary does not meet his obligation on time. The question that these two institutes, the fiduciary transfer of ownership and the non-dividend pledge, have similar effects is not a sufficient argument for the non-legal regulation of the institute of Fiduciary transfer of ownership. In addition to the non-dividend pledge, in parallel, the Fiduciary transfer of ownership should be regulated as both institutes would be new institutes in our legal order, while both serve for the same purpose, but there are many differences between them and the practice should be allowed to decide what to accept.

Another reason is that the fiduciary transfer of ownership due to insurance represents a safe and efficient means of securing the claim. Security lies both on the side of the debtor and the creditor. When it comes to movable items, the debtor is insured with the possession of the charged item (by which he secures his debts, but also with its use it is possible to pay the debt), by applying the rules for the fictitious handover through **constitutum possessorium**, as well as by registering a fiduciary contract in a public register with the note that it is about being fiduciary charged of the item. In the aspect of immovable properties, the required security is achieved by registering in the public books of immovable property with the note that it is a matter of fiduciary transfer of ownership. It is the fastest and most convenient tool for carrying out the claim, without the activation of a slow and quite expensive court enforcement mechanism.

The regulation of this institute with positive provisions would make it possible to harmonize and approximate the legislation of Kosovo in the field of civil law with the European Union legislation.

## 10. Conclusion

The author in this paper deals with the analysis of the Institute of Fiduciary Transfer of Property in order to secure the claim in contemporary law. Fiduciary transfer of ownership for the purpose of securing the claim represents the earliest real mean of securing the claim. **Fiducia cum creditore** disappeared under the influence of Christian ideology in Justinian's right, and consequently, the terms referring to that institute were erased by digesters in all classical texts and replaced by other terms, mainly pignus. This was due to the non-existence of the guarantee for the debtor that the ownership would be returned after the fulfilment of the obligation towards the creditor. In contemporary law, the application of fiduciary law is updated and, as a rule, the fiduciary transfer of ownership in order to secure the claim is a special type of non-dividend pledge and regulated under the provisions of the pledge. It has found the country in the rights of the country of the region (Macedonia, Montenegro, Croatia and Slovenia), while in some euro-western countries it is applied mostly in the field of civil and commercial law. The author of this paper points to the advantages of contemporary fiduciary as a means of securing the claim and proposes the regulation of this institute by a special law or the same institute to be included and standardized in the new Civil Code of the Republic of Kosovo.

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## Introduction to the Core Concepts of Christian Psychotherapy

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### Abstract

Christian psychotherapy comes out of the two-thousand year long spiritual practice in Christianity. Its core is based upon the foundations of Christian anthropology, which defines and focuses on the human soul. The purpose of this paper is to establish Christian psychotherapy as a contemporary theory of personality development, with its own method that enables personality development and growth to a complete spiritual self-actualization and self-realization. Christian psychotherapy opens a new perspective towards man's psychological and spiritual functioning; a new dynamic model is offered for his inner functioning – not only at a psychological, but also at a spiritual level – which is useful and practically applicable with the other trends in psychotherapy. Via a descriptive method, the basic concepts are defined: (1) Stages of spiritual development; (2) A comparative parallel between the stages of spiritual development and the stages of spiritual and mental disorders with clinical psychopathological entities; (3) Primary and secondary function of the mind; (4) The FCP method (systematized by the author), which has a central role, and the client-therapist relationship; The systematization of the spiritual development of personality is found only within the frames of Christian psychotherapy; this type of systematization of the spiritual development – including a parallel comparison with the three stages of spiritual and mental disorders – has been introduced for the first time.

**Keywords:** stages of spiritual development, primary and secondary function of the mind, pure mind, spiritual intellect, FCP method, healing

### Introduction

Man is a dynamic being. He is created as a person with a soul and body, in the image and likeness of the Creator (*cf.* Gen. 1, 26).

In accordance with the biblical anthropology and patristic interpretation, this spiritual pre-model is the complete and ultimate level that man should achieve. "In order to realize this aim, great powers and potentials, abilities and strivings are incorporated in human nature; man can set them in the right direction by using his free will, that is, by forming an eternal, loving and free union with God and his neighbors" (Ilievski and Jovkovska, 2018, pp. 189-190).

From the aspect of contemporary personality theories in the field of psychology, the ultimate reach in man's development is the result of the tendencies of his civilizational superstructure – the super-ego, achieving higher moral and ethical principles, and self-realization as a social and individual being. This is the ethical level of functioning.

This paper deals with a deeper and more essential existence of the individual, that is, with an overall and complete realization of his ontological predetermination. In that way, striking existential issues arise, which regard man as an aesthetic image, whose greatest potentials and strivings are in his spiritual self.

There are many authors that have made the concept of man's spiritual existence a central aspect in their theories of personality. In that respect, Viktor Frankl develops an entire division – logotherapy, where a central premise is man's search for meaning. Thus, in psychology and psychotherapy "The Third Viennese School of Psychotherapy" (Frankl, 1992,

p. 10) is formed, beside the previous two – Freud's psychoanalysis and Adler's individual psychology. Frankl found that the role of the therapist, then, is to help the patient discover purposefulness in life (Frankl, 1988, p. x).

The founder of Transpersonal psychology, Abraham Maslow, writes about man's transpersonal dimension realized by the process of self-actualization of the "unique selfhood" (Grinstead, 1990, p. 4). "Self-actualization is ongoing – growth oriented, it is a pressings forward to fullness – good values, serenity, kindness, courage, honesty, love, unselfishness and goodness" (Maslow, 1968, p. 155).

Christian psychotherapy, like other trends in psychotherapy that focus on the spiritual development of personality, undoubtedly positions itself as "The Fourth Spiritual School of Psychotherapy," within the current theories and applied approaches.

### Stages of Spiritual Development

Struggle, as an act of dynamic movement from an image to likeness of the Creator, is the foundation of spiritual development. It is a process of man's spiritual growth and perfection, as well as the basis and content of Christian psychotherapy.

In practical Christian spiritual life, there are stages of spiritual development systematized by the author (Ilievski, 2015, pp. 165-173).

**Fig. 1. – Table of the Harmony of the Ascetic-hesychastic Struggle**

*(according to which everyone can find his place on the ladder of spiritual development, become aware and reconcile the mode of his personal struggle in accordance with his spiritual development and position in the Church)*

Stages of spiritual development	What is the prayer like	What is purified	What is stressed in the struggle	The temptations are mainly	The mode of organization of monastic life	Clerical rank	Obedience	Love
I. PURIFICATION	oral or with the mind	the energy of the mind	placing of the mind in a process of healing (ascetic humility)	from within (due to the captivity to passions)	coenobium	deacon	absolute or blind obedience	eros
II. ILLUMINATION	ascetic mind-and-heart prayer	the essence of the mind (which is in the heart)	keeping of the mind within the heart and love toward one's enemies	from outside (through people)	skete	presbyter	depends on the level at which one's spiritual father is	friendship (closeness)
III. GODLIKENESS	unceasing or graceful mind-and-heart prayer	dedication of the whole man – both body and soul	prayer and mourning for the whole world	from outside (through people and from the demon himself)	hermitage	bishop	not to a man	love

This kind of systematization is the basic matrix of Christian psychotherapy. It essentially represents the evolution of spiritual growth and personality development.

At the first stage of his spiritual development, man enters in obedience, that is, he places his mind in a process of healing by an act of his free will. Furthermore, he grows, perfects himself and – from an individual – becomes a person through personal *ascesis* (struggle of self-enforcing) and a process of *metanoia* ("a change of mind" through which one directs his entire life towards the Creator). Thus, he realizes his spiritual predetermination – godlikeness.

This is the upward vertical line of human existence; diametrically opposed is the downward vertical line of mental and spiritual disorders.

There is a scientific systematization of the stages of mental disorders and – although evident in the practical spiritual life – a systematization of Christian psychotherapy and a description of how man is perfected have not been made yet. So far,

there is only a systematization of the spiritual development; however, it has not been ultimately elaborated as a psychotherapeutic method.

There are two reasons. First, the three stages of spiritual development are often overlooked – *purification of the heart from the passions, illumination of the mind* with the gift of the mind-and-heart prayer (the highest form of prayer in which the mind is kept in the heart without distraction), and *deification*. Second, the functional difference between the pure mind and the intellect has not been taken into account.

The overlooking of the three stages of spiritual development leads to great ambiguity when classifying spiritual phenomena, while the overlooking of the functional difference between the mind and the intellect leaves the entire Christian psychotherapy process (that is, struggle) vague.

Therefore, the purpose of this paper is to describe the above-mentioned phenomena by presenting and defining the following core concepts of Christian psychotherapy:

- 1) Stages and dynamics of the spiritual level of existence.
- 2) Differences between a person and an individual.
- 3) Functions of the mind.
- 4) Differences between pure mind and intellect.
- 5) Precise explanation of human nature.
- 6) The five control point method (FCP).
- 7) Description of the stages of spiritual and mental disorders and healing.

### **Spiritual Level of Existence**

In contemporary scientific psychology, the highest achievement in human psycho-social functioning is the morality level as a manifestation of ethics.

In Christian psychotherapy, man is determined to become a person out of an individual, through the three stages of spiritual development, that is, through the process of *metanoia* of his fallen mind and nature, and its transformation to perfection until the stage of deification is reached. At this level, one can speak of spiritual aesthetics.

The moral and ethical principle is realized at the level of super-ego. This paper describes how the spiritual level is realized by the spiritual self – „the inner core of the self“ (James, 1981, pp. 54-65), as well as the transformation of the soul and its powers. At this point, the issue about the differentiation of the psyche arises – between soulfulness and spirituality – as an apparatus that exists and manifests itself in the psychological structures and functions, in contrast to the spiritual dimension of the soul, by which man realizes his natural predetermination – to become a person.

The spiritual dimension and spirituality are elaborated in contemporary literature by many authors, who make an attempt to define it. According to Rebecca L. Trautmann, in her article *Psychotherapy and Spirituality* (2003, pp. 32-36), spirituality is the process through which human beings transcend themselves. For those who believe in God, spirituality is their experience of this relationship with God. It takes us beyond ourselves into a realm wherein “we can experience a union with *something* larger than ourselves, and in that union find our greatest peace” (James, 1917, p. 515).

### **Person vs. Individual**

What is the difference between an individual and a person, from a Christian viewpoint? One can speak about a person only when referring to those who – being obedient towards a spiritual father in the Church – have made a step on the way to the first stage of their spiritual development, along the path of purification of the heart from the passions. An individual is at some of the stages of mental disorders: neurosis, personality disorders and psychosis, outside the stages of spiritual development, living in sin (*Gr.* ἀμαρτία – literally, “missing the mark,” i.e. missing the mark of godlikeness, resulting in alienation from the Divine), that is, according to the principles of his fallen nature, outside of his spiritual ontological predetermination.

Christian anthropology deals with the human soul (*Gr.* ψυχή – the spiritual or immaterial part of a human being, regarded as immortal) and its three powers: the rational, which is related to the mind, and the two irrational: the will and the desire (Hierotheos, 2008). Their center is the spiritual heart. These drives need to function in accordance, in order to produce psychological and spiritual harmony, which is a reflection of mental and spiritual health.

In that respect, a parallel to the psychoanalytic tripartite structural model of the human psyche is made, where the psychological energy of the libido circulates through its powers (Freud, 1923).

Namely, using these terms, the rational part corresponds to the ego and the super-ego, while the irrational powers correspond to the unconscious part – the id, as a source of volitional and instinctive dynamisms. Hence, the passive principle of the natural will is born as opposed to the rational will, which comes out from the essential nature and is the basic drive in the ascetic-hesychastic struggle (Migne, PG 91, 280a).

### **Primary and Secondary Function of the Mind**

Regarding the dynamic model of Christian psychotherapy, the significance of the above-mentioned division of the two functions of the mind should be outlined. Such differentiation depends on the basic directedness of the essential energy of the mind: intra-psychic – towards the spiritual self, or extra-psychic – by the ego functions towards the external world.

The energy of the mind has two functions – primary and secondary. Using the primary function, the mind communicates directly to the transcendental aspect – the Divine, while using the secondary function it communicates with the world.

This is the key point that determines human existence, whether it is only at a psychological or at a higher, spiritual level as well. Every man is given this potential, but its realization depends on his free will.

The primary function of the mind is set into motion by the rational will, and thus a personal and direct communication with the Divine is realized. This is a process of creating a personal relationship with the Creator, achieving complete spiritual development. In addition, the given potential of the spiritual self is activated and the individual becomes a person – the utmost development level of self-realization and self-actualization.

The secondary function of the mind is manifested by the intellect; using this function, man communicates with the external world through the ego apparatus.

### **The Difference between Pure Mind and Intellect**

Man usually lives in his existential split, between what he is and what he is supposed to become. Few people are aware of what is the root cause of their dualism while choosing between the attraction of the worldly and the necessity of the Divine.

The basic aim, which is acquiring of *spiritual intellect* (Митрополит Струмички Наум, 2018, pp. 173-174), is achieved by overcoming the dualism between the pure mind and the intellect. The energy of the mind acts towards the world in a transformed manner, with a changed perspective of one's worldview and realization of the spiritual principles in his everyday life. This process can be achieved by integrated co-acting of the primary and secondary function of the mind.

According to the Christian psychotherapy, without the reconciled activity of the primary and secondary function of the mind, which comprises healing of the mind, the personality development and the realization of one's personal identity are not possible (Ilievski, 2015, p. 168).

In the process of transformation (*metanoia*), the energy of the mind is the first to be transformed, by its primary function – a prayerful union with God, that is, by His uncreated energy; once its energy is transformed, it acts in accordance with its secondary function – communication with this world. In that way, the mind – qualitatively changed – acts towards the realization of spiritual principles (Митрополит Струмички Наум, 2016, pp. 181-182).

### **Structure and Dynamics of the Human Nature**

During the usual psychological functioning, a part of the volitional dynamisms – by the natural will – is constantly directed towards nature, into the basis of which are primordial pulses. This is a centrifugal dissemination of the driving force, *élan vital* (Bergson, 1911, p. 88), towards the id, with a downward vertical movement.

In addition, the energy is directed horizontally towards the ego, its cognitive functions and its defense mechanisms, which enable reality testing, congruent behavior, social integration and an overall psychological equilibrium.

As described above, the psychological and energetic dynamics is at the level of the secondary function of the mind. This function is called intellect.



The primary function is a centripetal force of contraction, which collects the mind in the heart and by ascesis in hesychia (stillness) heads for a vertical direction, theocentrically, towards the existence of the Divine. The primary function of the mind is called a state of pure mind.

With his individual free choice, man can be set in motion by the passive principle of the natural will and realize the impulses of his fallen nature (instinctive dynamisms and pulses), and activate the secondary function of the mind – the intellect, which is manifested by scattering of the energy of the mind through the senses towards the external world.

The action in the opposite perspective is an ascetic struggle of one's own free will, by directing the energy of his mind in its primary function – into the *spiritual heart* (Ilievski and Ilievska, 2017, pp. 96-97).

This means that the driving force will no more be used merely for satisfaction of the instinctive dynamisms and ego-functions, but for realization of a practical spiritual life with fulfilment of the divine commandments.

### **The FCP Method**

The FCP method has a central role in the Christian psychotherapy (Ilievski and Ilievska, 2017, pp. 93-98). For the first time the author has systematized it and consists of the following five points: (1) acceptance; (2) thanksgiving; (3) self-discernment; (4) not showing one's inner state, and (5) prayer. This process is also known as transformation.

The essential reach of the FCP method are higher states of prayer and illumination of the mind, as a way of creating a personal relation with the Divine until achieving the final aim – *deification* or godlikeness.

Crucial for understanding the FCP method is to make a distinction between divine and human justice (Metropolitan Nahum of Strumica, 2015).

A criterion for man's guilt is the God-man Christ and divine justice, not man and human justice. What does this mean in practice? When man is hurt, in that moment he is not to think about whether he is justly or unjustly hurt, but his attention should be rather turned to whether his thoughts, words and deeds are in accordance with Christ's thoughts, words and deeds. Is the same happening in his mind and heart as is happening in Christ's mind and heart in a similar case? Does he act in the same manner as Christ did with those who hurt him? No, he is far away from Christ's reaction for sure. This is where his guilt lies, not from being justly or unjustly hurt; hence, the never-ending source of man's self-correction and spiritual progress (Митрополит Струмички Наум, 2018, p. 57).

It is important to emphasize that the use of the FCP method serves for a quick and unmistakable self-examination for the correctness of one's deeds. Namely, when facing a problem, stressful event or challenge, one examines himself according to the FCP method and immediately acts towards an implementation of the first point – acceptance, instead of non-acceptance – falling into a state of sorrow, suffering, depression and a process of long-lasting and exhausting grief. Briefly, they serve as reference points in respect to which one estimates his correct behavior, while the promptness of their use reflects the coefficient of one's spiritual intelligence (Митрополит Струмички Наум, 2015, pp. 59-67).

This is different from the phases described in contemporary psychology in dealing with loss, fatal disease or sorrow; most often the five described phases – denial, anger, bargaining, depression and acceptance (Kübler-Ross, 1969), which from the very beginning – denial of the current difficult situation, are followed by a long-lasting and painful process of grieving, pain and suffering, with an uncertain successful resolving. From experience, if this method that brings transformation is not used, then suppression is activated, which draws us into a new *circulus vitiosus*.

On the other hand, using the basic FCP method, in an act of his own free will, man voluntarily practices his personal ascesis.

The very first control point – acceptance, determines whether the primary or the secondary function of the mind is going to be activated. On one hand, the primary function of the mind is activated by acceptance and at this point, the process of transformation begins. On the other hand, non-acceptance activates the secondary function (the intellect), which is canalized through the ego apparatus, by mobilizing of the process of suppression through the defense mechanisms and developing a psychopathological condition – neurosis.

Besides the above-mentioned, the practical use in managing of conditions with suicidal thoughts should be outlined, which makes the FCP method ultimately successful in their overcoming.

## Phases of Mental Disorders and Healing at the First Stage in Both Directions

Contemporary psychopathology divides mental health deviations qualitatively into three nosological entities: neuroses, personality disorders and psychoses.

From the viewpoint of Christian psychotherapy, the above-mentioned clinical entities have a linear gradation and manifest themselves as three phases of mental disorders, which are outside the axis of spiritual development.

Neurosis is the first phase in the process of mental disorders. It is characterized by losing control over thoughts and feelings; the second phase is losing control over words; and the third phase – losing control over deeds.

In comparison to the above-mentioned, here follows a comparing parallel with the stages of spiritual growth, described as phases of healing.

First stage of spiritual growth – *purification of the heart from the passions*:

First phase: restraining from evil deeds.

Second phase: restraining from evil words.

Third phase: control over evil thoughts and feelings.

Neurosis ends with a personality disorder. The sufficient purification of the heart ends with illumination of the mind.

In both cases, all the phases are interconnected: the more one fails to control his thoughts and feelings, the more he is incapable of restraining from evil words, as well as from evil deeds. And vice versa: the more one manages to gain control over his thoughts and feelings, the more he is able to control his words and deeds.

The key point is in the control over the thoughts and feelings. This implies cognitive and emotional maturity. The control over thoughts and feelings depends on man's worldview or his beliefs.

The first and basic step is entering into obedience, that is, under the spiritual guidance of an experienced spiritual father – psychotherapist, as a leader in the placing of one's mind into a process of healing, by which is realized the natural way of life as opposed to the counternatural.

The counternatural way of life is activated by the volitional and instinctive disinhibition of the id, which is the unconscious part of the human psyche where the primordial pulses lie – instincts, urges, desires, phantasies, whims, archaic contents – satisfying them according to the pleasure principle.

Furthermore, it is necessary to distinguish between the process of spiritual and mental disorders – a counternatural way of life, and the process of healing – a natural way of life; that is, between the three stages of personality development – *purification, illumination and deification*, and the three stages of spiritual and mental disorders – *neurosis, personality disorders and psychosis*, in order to understand their mutual relatedness and to acquire knowledge of the harmony in spiritual life. The knowledge of both processes – at least theoretically – will be a great contribution to psychotherapy in general.

## The Healing Process – a Free and Perfectly Complete Person

The perspective of Christian psychotherapy is a free and perfectly complete person. It is a person that – besides having a personal and socially useful role in family and society – has managed transpersonally to create new personal relations at the level of spiritual existence.

This process begins, above all, with obedience under the guidance of a spiritual father – psychotherapist and lasts until reaching the second stage of spiritual development, acquiring a new quality in one's personality; thus, man can independently ascend until the third stage, becoming a perfectly complete person.

In psychological and spiritual sense, healing is a process that is interwoven with spiritual growth and development. It is a process of completing the imperfect being, which is re-created and transformed through metanoia; a process that takes place in five control points, in three development stages, by an aware differentiating between the two functions of the mind.

Only in this way can man accomplish his ultimate stage of spiritual development, becoming self-realized and self-actualized as a completion and wholeness according to the Image, in which he is created and for the purpose of which he is essentially determined.

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## Justice as a Factor of Social Integrity

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### Abstract

The idea of social justice is universal for religious and secular ideologies. Sources of it may be divided in two kinds: natural and cultural. Natural sources are: laws of The Universe and human nature. Cultural sources are: holy texts and revelations, actions and teachings of holy messengers and wise men. Named sources may be combined at particular religious, moral, politic teachings and models of society organization

**Keywords:** wealth and poverty; justice; fair society; social equality;

And Jesus, looking around, said to his disciples,  
“How hard it will be for those who are wealthy  
to enter the kingdom of God!”

Mark 10: 23

### Introduction

Formation of social interaction types is associated with the appearance and development of the idea of justice. The survival, stability of different societies and communities, essentially depend on reconciliation of individuals with their social status. One of main factors of social integrity is whether people evaluate their benefits and punishments as deserved. In humanitarian studies, the axiological aspects of the problem of social justice are mainly considered. Their object of investigation is why this or another type of social organization is condemned or accepted. Therefore, in humanitarian sciences the search for justice criteria is carried out. Consequently, in this field of knowledge the question of the content and sources of such criteria is central.

### Justice of exchange and justice of distribution

Since ancient times, violations of the requirements of justice have caused condemnation of religious prophets and secular thinkers. Their reflections gave rise to several obvious questions. First - what is justice? Aristotle distinguished two kinds of justice: the justice of the exchange and the justice of the distribution. The fairness of exchange is the opportunity to exchange values on the basis of mutual benefit. Another type of justice is distribution according to interests, expended efforts, merits or other reasons.

Arguing about the fairness of the distribution, it is necessary to find out what we are going to distribute: material values, punishments, taxes, duties to wash dishes, night watches, rights to vote, political power or anything else. The choice of objects to share sets principles for their division. The distribution might be equalized, when everyone gets the same share. It might be not equal in this case it is necessary to determine the distribution criteria. They might be the age or sex that determine different needs of individuals, efforts expended, proximity to God, property, merits, power, race, citizenship. For example, for the distribution of punishments, the criterion of their fair distribution is the degree of harm done to society and individuals by the misconduct. Then one offender receives punishment in a form of a fine, and another - a life sentence.

### Natural sources of justice

Sources of the content of the idea of justice are divided into two types: natural and cultural. Let's consider features of different approaches to their understanding.

According to the first of them the Universe itself is arranged so that the principle of justice present in its basis (Livingston, J. C, 1993). This concept has become widespread in Indian and Chinese cultures. World laws, the ways of development of the Universe are foundations of social justice. Mo Tzu said: "Heaven certainly wants people to love each other and do each other good, but it is unpleasant for Heaven if people do each other evil, deceive each other... This is evident from the fact that Heaven adheres to universal love and brings everyone benefit " (Mo Tzu, 1994).

Wise men of ancient India believed that social divisions were generated by Rita - fundamental law of Heaven and Earth. According to The Rig Veda, four main human classes – varnas were formed from different parts of the body of the cosmic first person Purusha. Each class was prescribed a special kind of basic occupation: sacrifice, teaching, studying the Vedas for Brahmins, protection of the king's subjects for Rajanyas, cattle breeding, agriculture, commerce, usury for Vaisyas, humble service to three varnas of twice-born for Sudras. Fulfillment of these duties was considered a religious and moral duty. The class inequality was regarded as fair, since it was determined by the world order.

Followers of some religious and philosophical movements doubted the validity of the Varna system. The Mahabharata contains the reflections of the sage Bharadwaja:

"From longing, fatigue, hunger and care, sadness, fear, anger

All are not free: why should they then distinguish between varnas?"

(Mahabharata. Mokshadharma, 1969).

The idea of the spiritual equality of Varnas was advanced by Buddhism. People from different castes were accepted in Sangha and for the salvation everyone was asked to follow the same path. It was said in The Dhammapada: "I call the Brahmin one who has not committed harm either by body, word or thought - who restrains himself in three things. But I do not call a person a Brahmin only for his birth or for his mother..." (The Dhammapada, 1969).

Social divisions in Ancient China also influenced the way of life for people from different circles. All of them aspired to prosperity. Unlike India, Chinese culture always approved the achievement of worldly goods: delicious food, health, high incomes, love and recognition of others. Despite the intensive efforts aimed at obtaining them, many were not able to find what they wanted. Philosophers of China asked: why? They reflected on causes and circumstances that prevented everyone from achieving a happy life and tried to decide how to treat these circumstances. "None of the people does not desire to obtain wealth, nobility, integrity, longevity, but it has not yet happened that they have been able to avoid such misfortunes as poverty, the position of the ignoble, illness and death... It means [they] are not able to achieve what they want," wrote Han Feizi (Han Feizi, 1994).

It turned out for Chinese thinkers that social strata membership was the very factor determined opportunities or obstacles to achieving prosperity, filling life with certain kinds of activities and events. The ideologists who expressed the views of the privileged groups asserted social differences were necessary and as natural as the existence of Heaven and Earth: "If everyone is equal, it is impossible to compel somebody to work. [Just as] there are heaven and earth, there are differences between those above and those below " (Xunzi, 1994).

Representatives of groups of higher rank, first, had the power, the right to impose their will on those who held a lower level. Secondly, they received more benefits as a result of redistribution. Third, a lifestyle of each group was characterized by a special relationship between periods of work and rest, military training and peace, physical and mental activities.

### **Man looks for justice because of his nature**

Supporters of the second approach to social justice problem saw its sources in very nature, the essence of man. All people wanted to be happy, but they all suffered for some reason, stated Buddha. Man by his nature strived for the good, like water by its nature streamed down. People had inherent moral qualities: the ability to distinguish between good and evil, compassion, pity, shame, embarrassment. These qualities included aspiration to fight for the justice violation of its principles gave rise to resentment. This was written in the letter of the apostle Paul: "For when pagans who do not have a law do what is lawful by nature, then, having no law, they are their own law: they show that the work of the law is written in their hearts, as evidenced by the conscience. Then and their thoughts, then blaming, then justifying one another " (The Holy Bible, 1985, Romans 2: 14-15).

The existence of an innate desire for justice was not recognized by all. One of the directions of religious and philosophical anthropology was the doctrine of the evil nature of man. As noted by Z. Freud, E. Durkheim and other researchers, innate human unconscious hostility toward neighbors, fear and a sense of helplessness, aggression, manifestations of sexual

instinct had to be limited and modified by the impact of early magical rituals and prohibitions aimed at maintaining social justice (Freud, Z, 1997).

Increasing property and social inequality had become a psychic irritant since historic period of civilization formation. Intensive daily work, dictated by the need to support families and serve state duties, filled the lives of most people. Chinese historian Ban Gu wrote about the farmers: "In the spring they have nowhere to hide from the wind and dust, in summer - from the heat, in the fall - from the rain, in the winter - from the cold. For all four seasons there is not one day, when they could rest. Moreover, they still see off and meet relatives, commemorate the dead and care for the sick, feed the seniors and care about young generations. Such are their tireless work and the hardships of life" (Ban Gu, 1980).

The Chinese "lower classes" criticized social order because of which some people worked daily, struggling out of their might, while others indulged in idleness and entertained themselves:

"Some have rest they live, having fun at feasts,

Others serve the country, languishing in labor.

Some people rest in their beds,

Others are in their endless way being in the cold and in the mud."

(Shi Jing, 1994).

Followers of different Chinese philosophy schools shared the idea human well-being should correspond to persons social utility. Mo Tzu, Confucius, Shang Yang, Xunzi offered to nominate talented people to positions of responsibility irrespective of their origin.

Ancient Chinese teachers of wisdom talked about the need for a combination of mental and physical labor: "The wise [ruler] must work to farm the land with subject people prepare food for himself and at the same time rule" (Mencius, 1994). Mo Tzu believed emperors and other notable people demonstrated immorality, lack of philanthropy, enjoying music and contemplating combat exercises while most people suffered immensely and were sick because they had no rest (Mo Tzu, 1994). The past millennia did not change the distribution structure in principle. P. Sorokin asked in XX century: "Is not life still a sole feast for some, and Golgotha, torture, continuous labor and poverty for others?" (Sorokin, 1992).

The basis of appeals for social justice was the principle of equality. If people were equal by nature, then justice consisted in establishing a system of equal distribution of material and spiritual values, political rights, opportunities for rest and entertainment, possibilities to follow own moral convictions and receive approval and recognition of others.

At the same time, within the framework of the second approach to the problem of sources of justice, there was a teaching that people are not equal by their nature. Humans are endowed with different qualities, abilities and Therefore, their values for society are not the same. Discussing egalitarianism ideas, their opponents expressed fears that an emperor in agrarian field or in a pigsty would become tired after a few attempts to do something. A peasant waking up in the morning on a soft fluff and accepting as an offering orchids and tangerines would begin to yearn and worry and the temperature of his body would rise in unaccustomed conditions and cause his illness. Concerns about state affairs require efforts and time not less than works of grain grower: "That's why those who are busy thinking about plans do not participate in practical activities and those who personally [engage in] practical activities do not determine the principles of [governing the country]" (Guanzi, 1994). Consequently, in the world of people, an unequal distribution of public goods was fair. If today some individuals spend days of their life somewhere in the "Earthly Eden", connected with the ordinary world only by the road to the international airport, it fairly corresponds to their outstanding qualities.

In European philosophy, the doctrine of social justice was developed within the framework of materialistic anthropology. Proceeding from the idea of equality, Helvetius argued that every act was correct to the extent that it helped to achieve the greatest possible happiness for as many people as possible. In search of ways to achieve this kind of happiness, Max formulated principles of the reorganization of society. Considering, like Buddha, that the life of most of humanity was suffering, he saw the causes of suffering in unjust property distribution. To save people from suffering, it was necessary to carry out a radical redistribution of material values, taking away property from those who satisfy their needs at the expense of others. Marx declared as utopia a plan for the rich to voluntarily give the poor and hungry some of their benefits, feeling compassion and remorse. The noble extreme way of establishing social justice was forcible it was the revolution of destitute people. Within the first socialist phase of a new society, the share of benefits received by able-bodied individuals would be

determined by their labor contribution, and then, at the actual communist stage of development, everything would be given according to needs simply by virtue of belonging to the human race.

### **Embodiments of justice**

The third source of the idea of social justice were lives and deeds of heroes dedicated to it, envoys of higher forces, teachers, sages, high - minded men who served as justice embodiment and model. Confucius, Prophet Mohammed, Jesus Christ being founders of the influential religions did not write down their teachings themselves, inspiring followers with sermons and instructive actions: "And Jesus walked throughout Galilee, teaching in their synagogues and preaching the gospel of the Kingdom and healing all disease and infirmity in people" (The Holy Bible, 1985, Matthew 4: 23, 25). Personal qualities of the messengers: devotion to Allah, active actions, the struggle for faith of the Prophet Mohammed, Moses sacred obsession and devotion to his people, Jesus love for any neighbor, compassion, faith, hope, strength of spirit, meekness, peace, sorrow, detachment from the worldly, made up the moral ideals of Islam, Judaism and Christianity.

Confucius proposed to build life in accordance with selected values. "High - minded man" was different from "mean people" not by material property or special origin, but because he was a man of life style of justice. Many Chinese scholars, left out of work, returned to their native villages and led a poor, solitary life. But they had a status different from the position of ordinary villagers, because they lived a life chosen voluntarily, and not given by circumstances. Confucius admired them: "To eat usual food, drink water, sleep, putting your hand under your head - these are also pleasures. The wealth and nobility received dishonestly for me are like clouds floating in the sky" (Lun Yu, 1994).

Confucius understood high - minded personal image, philanthropy might be feigned. Such pretended image ruined in periods of difficulties and dangers. Weak person forgot high values and his behavior was guided by fear and concern for own benefit. Therefore, the Honored Teacher called his followers to always be ready for hard trials, not to "lose face", not to do to others, which they did not want for themselves: "A high - minded man, falling into poverty, endures it stubbornly. The mean man, falling into difficulties degrades" (Lun Yu, 1994).

### **Justice in Holy Revelations**

The fourth source of social justice principles had foundations in revelations of Higher Forces, given in oral traditions and sacred texts. Religious people tended to observe moral principles and norms if they considered them to be approved from above. Violations of justice norms produced emotions of guilt, shame, need for redemption.

The doctrine of early Christianity arose as a religion of people deprived of well-being, strangers in the Holiday of life. The Bible testifies that the first Christian communities were communistic, based on the principles of community of property: "... and not one of them claimed that anything belonging to him was his own; but all things were common property to them" (The Holy Bible, 1985, Acts 4: 32). Jesus plainly declared: "...it is easier for a camel to go through the eye of a needle than for a rich man to enter the kingdom of God" (The Holy Bible, 1985, Mt. 19: 24). As we know, in the earliest of the surviving texts of the Gospel of Luke, Christ began "The Beatitudes" with the words "Blessed are you who are poor for yours is the kingdom of God" (The Holy Bible, 1985, Luke 6: 20).

Probably in later interpretations this statement was changed to famous words "Blessed are the poor in spirit" (The Holy Bible, 1985, Matthew 5: 3). As a result, the meaning of the subsequent reasoning of Jesus, based on the comparison of controversial concepts was lost. Originally it was based on mental approach when in the content of one idea there were signs excluded from the contents of the other and replaced by opposite characteristics: beggars-rich, hungry-satiated, crying-laughing. Obviously, Christ spoke to the hearers preaching: "Blessed are the poor, for yours is the kingdom of God." Blessed are you who hunger now, for you shall be satisfied. Blessed are you who weep now, for you shall laugh..." (The Holy Bible, 1985, Lk 6: 20 - 21). And in contrast to it "But woe to you who are rich, for you receiving your comfort in full. Woe to you who are well - fed now, for you shall be hungry. Woe to you, who laugh now, for you shall weep and mourn" (The Holy Bible, 1985, Lk. 6: 20 - 21, 24 - 26). There is an impression that Pope Francis had chosen the help of all dispossessed, not only Christians, as leading the principle of his ministry. Perhaps this was a kind of new left doctrine, formed in conditions of weakening the influence of secular communist ideology.

Turning to the question of the consequences of observing or violating the principles of justice in religious moral codes, we find two types of ethics. In teleological ethics, there was the hope of Otherworld reward for observing the norms of justice and the fear of the punishment for violating them: "... if somebody loves people and benefits them Heaven will certainly make him happy. And he who creates evils for people, deceives people, Heaven will certainly punish" (Mo Tzu, 1994).

Deontic ethics was based on the idea of duty, for it justice was a reward itself. The man was satisfied, calmed because of realization of his duty: "A high - minded man knows only duty, a mean man knows only his benefits" (Lun Yu, 1994).

The Muslim ethical system was teleological. The hadith of the Sunna from Abdullah bin Umar / Sahih al-Bukhari stated that anyone who helps his brother in need, Allah would help in his own need, anyone who protects the Muslim from the misfortune, Allah would protect from hardships on the Day of Judgment.

As a criterion for the fairness of the distribution of material values in Islam, the basic vital needs of man were chosen. Islam did not share the radical ideas of Christ and K. Marx about community of the property. Muslims were obliged to help everyone in the worst conditions. But the fact that people were not equal in welfare was an inevitable reality: "Do not look at what We have given some of them to subject them to this temptation. It is the glitter of earthly life, and the destiny of your Lord is better and more durable" (The Qur'an, 2001). At the same time, there was basic level, below which no one should fall. To maintain it there was the zakat.

Islam allowed a real possibility of establishing justice in social relations. The Muslim ethic called upon believers to take active efforts aimed at social transformation. The world was not perfect, but it was the creation of the Most High. Therefore, it was necessary to improve it, to bring it in line with sacred principles.

### Conclusion

Sources of the content of the idea of justice in human history were divided in two types: natural and cultural. Natural sources were: a) world laws; b) the nature of man. To the second type belong: c) exemplary acts of outstanding personalities, examples of the life of heroes, sages, prophets; d) sacred revelations transmitted orally or in texts. It should be noted that in complex ideologies, a combination of these sources was possible.

Reflections on social justice, interpretations of its content in various cultures, and real attempts to affirm it confirmed the truth of the judgments of Henri de Saint-Simon. He believed the organization of a society that gave all individuals greatest amount of happiness was the most important and at the same time most difficult problem to solve ever faced by people.

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## Integrity Advisors and the Development of Administrative Communication Culture

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### Abstract

The integrity advisers are the central actors of integrity management systems of the administrative organizational structure, whose main task is to promote the implementation of the integrity approach within state administration institutions. As a complementary part of this task, we can separate the tasks of corruption prevention and the improvement of organizational integrity, of which the latter being discussed in more detail in this research and presentation. Integrity advisers play a key role in the development of organizational culture among public administration bodies, such as bodies exercising administrative authority. Looking at the topic more closely, with regard to the activities of integrity advisers, it can be clearly established that one of the engines of their operation is the proper and deep communication, which is not only necessary within the public administration and inter-agency transactions, but it also means communication activities that can be interpreted in the relationship between the public and clients. Equally important is their training and other activities aimed at developing staff awareness, relationships, situation assessment and action practices, which, in addition to and in part within public service training, provide an opportunity to shape organizational culture. The presentation and the paper aims to show the role of integrity advisers in developing organizational culture and transparency in the administration based on recent research experience about online presence of integrity advisers and in-depth interview surveys.

**Keywords:** administrative procedure, integrity advisor, organizational culture, transparency.

### Introduction

It was not an easy situation for the public administration at the end of the 20th century and at the beginning of the 21st century interpreted worldwide. While a large-scale flow (Akaike, 1998, pp. 199-213) –almost flood (Cover & Thomas, 2012; Gray, 2011) – of information as a global process has begun and continues to evolve in many areas of social life, public administration and, in many cases, administrative proceedings still reflect the traditional approach that has been developed earlier. In this approach, such expressions seem novel and maybe even system stranger, as new media administrative proceedings (Józsa, 2013), taking place with the help of social media content (Bertot et al., 2010, pp. 264-271; Roblyer et al., 2010, pp. 134-140; Bertot, 2012, pp. 30-40.), SMS (L. László & Vég, 2004, pp. 1-16), email and other electronic communication channels (Von Haldenwang, 2004, pp. 417-432), and the use and exploitation of big data in an administrative environment (Cheng & Zhang, 2014, pp. 314-347).

In this article, we would like to reveal that what kinds of requirements for communication in the 21st century are towards each public administration bodies, and what kind of activities and measures it can take to meet this requirement, in particular the activities carried out by integrity advisers and their role in communication.

If these requirements can be clarified, it may also become clear what tasks and requirements can be claimed against the integrity adviser and other persons involved in the communication of the public administration body.

### Characteristics of Open Communication

In order to be able to interpret the requirements and conditions of the openness of the communication with respect to the system of public administration and its individual bodies, first the open communication and its conceptual elements must be determined and defined. From the point of view of this study, this issue should be clearly examined at organizational level, as the body, which is the smallest element of the public administrative organization system, will ultimately mean the

overall performance of the communication on the subject (Kuhn et al., 2018), in relation to which its openness can be assessed. However, the nature and attitude of communication at institutional/organizational level above and below of this is not negligible: neither the organizational structure of the public administration body nor its organizational units and, ultimately, the personal communication (Karanges et al., 2015, pp. 129-131). The major systems of public administration (Bellamy & Taylor, 1992, pp. 29-41) leave the organizational communication unaffected, they may have a significant effect on it, or at least they can affect its effects and judgment during the interaction with the public administration clients.

The organizational communication with open nature can be circumscribed by the following features based on literature references:

Known roles – All actors in the communication process (sender, receiver, mediator) are aware of their role and the purpose for which they receive the information (Kramer, 2014, pp. 33-50; King et al., 1998, pp. 317-326). This sounds quite simple from a theoretical point of view, but most often in communication situations occurring in practical life, it causes most of the problems (Atouba et al., 2016; Braun et al., 2018, pp. 50-81) and leads to undermining openness, laying the ground for mistrust and certain information disruptions that can lead to opacity of activity. In the case of integrity advisors, this means that the integrity advisor, the supreme head of the body, and the heads of the particular organizational units of the body must have appropriate knowledge of the tasks, responsibilities, and powers of the advisors. They must also be able to apply all these simultaneously in practice, so that clients on the other side of the administrative relationship, or other subordinated, coordinated, or superior bodies, can receive appropriate information, or can claim, unlike their role, to transpose the integrity approach and the integrity management, the integrity consultant's results, or vice versa, and can properly make announcements, signs and comments related to these.

Appropriate communication interfaces and opportunities (Ricciardi, 2016, pp. 51-71) – Communication channels and access to them on both sides have a non-negligible role to play. If the communication interface or the unlimited access to the interface in the broad sense is inadequate in relation to the subject of communication and the relationship between the persons involved in communication, communication is not expected to be effective or transparent to organizational processes. Today, electronic technology has a major role to play in this (Middleton et al., 2017, pp. 105-140; Venkatesh et al., 2016, pp. 871-111): there is a clear expectation on the part of the public administration that almost all of its services should be made available immediately and, as far as possible, unrestrictedly within the circle where it can be interpreted. In a narrower sense, our focus aims this: on the electronic communication interface, how information related to the integrity advisor's task can appear and be displayed in the online space.

Confidentiality – Open communication can only be expected with good trust between the communicating parties. If the above conditions are met, and the parties know what their roles are and on what kind of interfaces they can interact with each other, then trust can be created (King et al., 1998, pp. 323-326; Hohmann, 2018, pp. 7-9; Menzel, 2015, pp. 343-347; Nisbet, 2009, pp. 12-23); however, it is a fragile state (Nabatchi, 2012, pp. 699-708) and its maintenance is extremely resource intensive (Frederichson & Rohr, 2015, pp. 25-55). A new dimension of confidentiality needs to be created in the electronic environment (Venkatesh et al., 2016, pp. 100-111), due to the widespread data management, the disappearance of physical communication between individuals, or falling into the background, which can be a serious task for the public administration. In the area of integrity, trust is of paramount importance: building and maintaining trust is one of the key competencies of an integrity advisor (Becker, 1998, pp. 154-161; Butler & Cantrell, 1984, pp. 19-28; Hosmer, 1995, pp. 379-403), so a full function can only be filled in such circumstances. This approach should also prevail in creating content and communication opportunities published in the online environment.

Interpretability, clarity – Communication does not become open even if the above parameters are optimally matched, if one or more actors in the communication do not understand - either fully or partly - the content of the message coming in their direction (Ljungholm, 2015, p. 172; Lourenco, 2015, pp. 323-332). Unclear, incomprehensible professional content makes the transparency of the process impossible for the recipient (Ljungholm, 2015, pp. 172-175) and it also has a negative impact on the desired effects of a message (e.g. an administrative decision or a notice issued by an administrative body), to fulfil legal obligations (Durant & Durant, 2017, pp. 120-150). This must also be true for content published online in the field of integrity.

Traceability (De Nicola et al., 2016, pp. 18-27) – The parties involved in the communication can fully open up their communication with each other if it becomes accessible and traceable in some form, thus ensuring the traceability and recoverability of the information contained in the communication. This is also needed in the integrity advisory role, as a

trust-building (Denhardt & Denhardt, 2000, pp. 549-559) communication towards both internal and external stakeholders must be carried out.

Consistency (Kramer, 2014, pp. 75-90) - Finally, one of the most important features of open communication is that it becomes truly open only if the parties can legitimately count on that the expected and intended results of the communication will occur, because the communication agents carry out their activities according to specific policy principles and they communicate accordingly. Under the rule of law conditions, this is obviously organized around service administration and client orientation, thus communication must also enforce transparency requirements.

## AREAS OF ADMINISTRATIVE COMMUNICATION

### COMMUNICATION IN ADMINISTRATIVE PROCEEDINGS

Openness, client orientation and efficiency (Ostrom & Ostrom, 1971, pp. 203-216; Hood, 1991, pp. 3-19; Lan & Rosenbloom, 1992, pp. 535-537) have been expected from public administration by the scientific community, government representatives and citizens for decades. There can be many forms of open character, but in summary we can characterize the legal institutions, procedural law solutions as making the information related to the administrative proceedings more widely available and secured, in addition to protect clients from unauthorized access to their data in individual cases and maintaining the security of administrative decision-making.

From the point of view of management, the topic of integrity is particularly important because it provides input information during the integrity advisor's work and the effective, transparent communication within the main field of administrative law enforcement can be considered as an objective. These opportunities simultaneously fulfil the tasks of the administration, application of the law related to regulatory bodies, they ensure that members of society and organizations can have the opportunity to have a greater social control as playing a greater role in society, they serve the legitimate interests of the clients of the proceedings and other actors and, in addition, they ensure the implementation of modern data and personality protection as expected from the administrative proceedings.

In order to achieve an effective process in the material sense, the authorities nowadays need to pay more attention to stimulating communication (Kettl, 2015) with their clients and other stakeholders. In many cases, the relative closeness of the procedural law solutions and their resulting rigidity can be resolved - of course, in the context of rule of law guarantees and legal framework - in the analysis of legal science and the implementation of the results into practice.

The availability of documents generated during the administrative proceedings, the empowerment of non-governmental organizations having entitlement to represent social groups, the diversification of decision-making forms and the publicity of certain types of special administrative proceedings (e.g. administrative control) may help certain authorities to make the most appropriate decision within the legal framework and to serve its implementation at a higher level. The publicity and transparency of the administrative proceedings do not prima facie belong to the group of mainstream scientific investigations related to public administration and, in particular, the administrative proceedings, which can be traced back to the nature and characteristics of governmental and administrative transparency as nuanced (Meier, 2013, pp. 429-439).

For decades, the administration itself has approached the subject in relative closure. In the period of law enforcement-type administration (Fábián, 2016, pp. 25-45) the constellation would have been unthinkable according to which the public administration, which performs almost all public authority functions, should take into account the aspects of legal entities still in their subject status - now clients - and strive for a consensual solution, either among the persons involved in the proceedings or between such persons and public authorities.

The administration application of this topic, it was necessary to make a fundamental change in the methodology of exercising public authority related to administrative proceedings (Ivancsics & Fábián, 2018, pp. 32-54). As a result, particular public administration systems have not always approached clients from their original position of power in a conceptual way, and less felt the need to achieve the implementation and protection of the public interest identified as a basic function of public administration - either by legal or other, physical - means of coercion. However, they needed a historically relatively long period of time (Rosenbloom & Goldman, 1993), to become a client-orientated law enforcement agency, and to explore novel ideas and apply them in practice (Bingham et. al, 2005, pp. 547-558) such as governance (Kettl, 2015, pp. 62-75) and its impact.

Looking closer at the issue of transparency, it is a highly complex (Meier, 2013, p. 431), category of interdependence with many factors. The examination of transparency, including the transparency of the administrative proceedings on the international scientific scene, and thanks to this, unified modelling on the subject is further complicated by the fact that administrative proceedings have a number of unique characteristics depending on their country-specific legislation and the framework of the administrative proceedings, which may have a decisive influence on the publicity parameters of the proceedings.

In general, if we want to grasp the concept of transparency in general within the framework of the administrative proceedings - in line with the views of the authors mentioned above - then we can define it as a category of administrative procedural rules of the investigated country, the practice of law enforcement - if it exists in a separate form - the practice of administrative courts, and overall, it describes government measures and their social implications for the administration as a whole, depending on the extent to which they serve or restrict access to the public authorities in a broad sense.

#### HORIZONTAL CRITERION

The publicity of the administrative proceedings and the communication channels required to do so, can basically be defined as a legal institution of a horizontal nature beyond the above. Its horizontal character is primarily due to the publicity and transparency, as well as the requirements of the legal policy and dogmatic approaches of the individual countries, typically appearing not in isolation, but in connection with certain legal institutions that have already formed (Constantin, 2014, pp. 421-425). It should not be ignored, however, that this is precisely what causes the main difficulties and benefits of public regulation. The wide-ranging regulation associated with legal institutions makes it possible for these legal institutions to be legally enforced only by applying public aspects, but it also makes it difficult to establish the framework for a public and transparent procedure, and perhaps even more importantly, it makes it difficult to maintain and to adapt to changing circumstances. While not excluding each other, the holistic approach through a complete procedure and the above regulatory solution can in any case complicate their relationship necessary to ensure adequate publicity.

The continental regulatory procedure is typically based on this horizontal approach (Vigoda, 2002, pp.527-540), but it should be mentioned in any case that individual legal institutions engage with different weights in setting up the rules and practices resulting in the publicity of the given national administrative proceedings. The difference in weight is due to the fact that the legal institutions to which the branches of the public guarantee system are linked may exert a different influence on the course, lawfulness, and efficiency of the entire administrative proceedings. The initial stages of the procedure, such as clarification of jurisdiction, authority and competences, some details of the client status are of great importance, as the disabilities in them are obviously attributable to the whole proceedings and they may have far-reaching consequences (Kilényi, 2008, p. 1832).

At these critical points of the administrative proceedings, it is extremely important how the individual detailed rules acting towards transparency function as because of the phenomenon of interdependence, the aforementioned high weight of legal institutions places greater emphasis on the rules of the guarantee system at a given point - not to mention the administrative staff carrying out their implementation (Adams & Balfour, 2014, p. 248).

#### LIMITATIONS OF ENFORCEMENT OF PUBLICITY

Looking at the above definitions and basic principles - but in many cases considering the main message of the relevant literature - we could see that transparency is a forward-looking (Armstrong, 2005, pp. 1-10), category of enforcing the rule of law (Bovens et al., 2014, p. 800), which must be assured. Over the past decade, however, there has been an intensification of the view that the extremely important role of transparency and publicity in the legal system has limitations and even some negative effects (Mishiner & Bersch, 2013, pp. 233-242; Fenster, 2006, pp. 885-950). Most authors mention information security and the protection of personal data generated in the administrative proceedings as a problematic factor, but we can also include some information related to business secrets and copyright areas.

This leads us to the concept of "balance of transparency" (Fenster, 2006, p. 910), which is well characterized by the fact that the publicity of the administrative proceedings must ultimately find an equilibrium position between the disclosure of the necessary information and the release of specified data into unauthorized hands.

## NON-REGULATORY ADMINISTRATIVE COMMUNICATION

In the context of the chapter related to open communication and the wide-ranging activities of public administration, non-regulatory communication (and hence the activity of integrity advisors in an online environment) plays a very important role in public administration communication. The rules here are much less evident, and this naturally results in the relativity of the subject, the multifaceted implementation and the resulting problems: while there is a procedural framework for regulatory communication - at least regarding its fundamentals and frameworks - which are required to be kept by administrative bodies acting as public authorities, while in the field of non-regulatory communication, these are more of a recommendation or coercive solutions within the constraints of technical infrastructure (Behn, 1995, pp. 313-324) and this is also perfectly true to display information about the integrity management system online.

Accordingly, the requirements of open communication must - or at least should - basically be enforced as outlined in the previous system:

**Known roles** – This is the least problematic area of public administration communication practice, but it should be noted that there are frequent misrepresentations on the part of the public administration - through its communication channels, it has to find the golden middle between its original role essentially based on sub-super-ordinated administrative relation and its partnership from which a client has to develop an image of a partner-centred administration instead of an organ-organizational system which only works on bureaucratic principles and is far away from society and practical life. The integrity advisor plays a key role in this, possessing essential roles in enhancing organizational transparency.

**Appropriate communication interfaces and opportunities** – In this area, attention should be paid to two major nodes of change: on the one hand, that officers in the "front office" of the administrative organization system should be aware of the ongoing changes in society and their resulting needs towards the body when communicating with clients (Bencsik et al., 2016, pp. 60-75). On the other hand, there are some expectations towards administration becoming increasingly electronic and cannot be fully understood without it, including on one hand, the establishment and maintenance of electronic availability and suitable platforms (N. Takács, 2012), while on the other hand, the creation of an appropriate appearance in the online environment (Józsa, 2013). This is the most important theoretical node of our subject in narrow sense, so we do not analyse its content in detail here.

**Confidentiality** – The trust of the clients of public administration can only be achieved by fulfilling the trust in the state organization, expectations for the fulfilment of the requirements of the state under the rule of law, and the transparent operation of public administration. This aspect is even more important in an electronic environment (Juhász, 2007, pp. 17-30), because of the aspects outlined in open communication. It is important that the maintenance of proper trust should not change into confidentiality, and the body should properly handle its role towards the client. The clear task of the integrity advisor with both internal and external actors is to create and maintain appropriate trust, and in this respect, the electronic path is of paramount importance, as outlined above.

**Interpretability, clarity, and consistency** (Bozeman & Bretschneider, 1994, pp. 197-224) – The complex operation of the administration, which is often pervaded by complicated professional language phrases, makes it difficult to communicate organizational activity, which is, however, an essential condition for transparent operation. Accordingly, when using any communication channel, the public administration body should always seek clarity and limitations of the recipient's interpretation possibilities. It also includes not being misleading in communication and the nature of the service should pervade its communication.

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## National Vocational Qualifications in the Tourism and Hospitality Industry of Slovenia

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### Abstract

Hardly anybody would agree that the labour market satisfactorily meets the needs of the tourism and hospitality industry (THI). The THI worldwide faces the shortage of skilled labour force and the Slovenian THI is no exception. The problem persists in spite of various recruitment measures of employers, e.g. engaging migrant workforce, student work, black market, etc. The first aim of the paper was to explore the workforce needs of the THI with an emphasis on its unmet demands. The desk research revealed the mismatch between the supply and demand of the workforce on lower levels. Since the system of the National vocational qualifications (NVQ) is presumed beneficial for deficiencies of the labour market the second aim of the article was to explore the current state of the NVQ system in Slovenia and the selection of the existing NVQs in the THI in order to find out whether the number and structure of awarded NVQ certificates improved structural imbalances on the TH labour market. The author came to the conclusion that all forms of lifelong learning might contribute to improve the qualification structure of the labour force in the country provided that the employers overcome their distrust of the credibility and quality of the NVQs.

**Keywords:** National vocational qualification, tourism and hospitality industry, Slovenia, labour market, lifelong learning

### Introduction

In the early 21<sup>st</sup> century the concept of work-based learning and NVQs was widely accepted in education, learning as well as the economy of Slovenia. All forms of lifelong learning, i.e., formal, non-formal and informal learning have been recognized as crucial for the development of human resources. In order to maintain a competitive edge over the rivals businesses, industries and the society recognized the need to assess and verify knowledge and skills obtained in various forms of learning. Davies (1985) illustrated learning activities (Figure 1) in a circle containing all forms of learning and sequenced from informal (experiential learning, incidental learning), to non-formal and formal learning.

### Figure 1: Forms of learning

The adoption of the National Professional Qualifications Act (2000) and the Lifelong Learning Strategy (2007) in Slovenia formed a legal base established to develop systems of assessing prior learning. This adoption raised great hopes about the quality of impacts on employability, employee promotion, wage levels, self-employment, etc.

The systems of assessing prior learning in Slovenia comprise:

Validation and certification of NVQs

Validation and verification of prior learning in secondary and tertiary education

Assessment of language learning (Slovenian, English, French, German, Italian and Hungarian) founded on national standards

Skills assessment on the basis of sectoral regulations

Skills assessment by employers, chambers and other associations

Among them the first one is the most developed and sophisticated way of assessing non-formal and informal learning. It was raised under the auspice of the Ministry of labour, family social affairs and equal opportunities with the consensus of

employers' associations, chambers, trade unions and the formal education system. It operates and is supervised by CPI - Institute of the Republic of Slovenia for vocational education and training and RIC – National examination centre.

This paper has an aim to reveal the current state of the system of NVQ certifications in the THI in connection with its skill needs and its potentials. The secondary analysis of the existing data will disclose potentials of the NVQs to solve mismatches on the labour market.

### **Theoretical background**

In Slovenia there are two systems leading towards vocations (Figure 2). The basis of vocational qualifications are occupational standards. They lead to either vocational educational programmes or to the catalogues of standards of NVQs (so called certification system). The left side is under the auspices of the Ministry of education and sport, the right under the auspices of the Ministry of Labour, family, social affairs and equal opportunities.

#### **Figure 2: The two paths to the same target**

While young people should attend formal educational programmes, the certification system is meant only for adults. Certificates of NVQs do not reward degrees, but candidates are rewarded with a vocational qualification. This system brings about other advantages for candidates too. Naylor (2004) claims that NVQs could also liberate and motivate individuals who had been previously unable to develop and could provide a practical and rewarding alternative to a purely academic route. The emphasis is on the fact that good quality assessors are essential for the enforcement of the NVQ certification system. Further, certificates of NVQ could solve a problem of drop-outs as well. Duvecot et al. (2005, 198) agreed: "The fact that Slovenia has got relatively high rates of drop-outs from the formal educational system, gives more value to the validation of experiential learning as a factor of national policy of improving the qualification structure of the labour force."

Thus certificates of NVQ include as formally recognized competencies also knowledge, skills, know-how, values, and other competencies, obtained outside the formal system through various kinds of non-formal and informal learning. While in the past people learned all at schools, colleges and universities, that sufficed for their lifetime, concurrently, knowledge must be constantly upgraded, otherwise it is in danger of becoming dated. People learn in workplaces, through voluntary activities, hobbies, via the media, through self-study etc. Besides, ICT fosters and enables an interest and motivations in learning and self-learning. The society has to make this tacit knowledge more explicit, validate it and verify so that candidates can obtain formal proofs that they possess certain competencies. Their employability and competitiveness on the labour market will thus increase.

In the circumstances of the global market we face challenges through rapid economic, technological and social changes. In order to adapt to them some steps were taken in Slovenia, like the reform of vocational education and training, certification and the introduction of informal forms of education into the system of accrediting vocational qualifications. Thus since 2000 there is also a new opportunity to gain vocational qualifications in the certification system. Furthermore, the system of NVQs can adapt rapidly to the technological changes and changes in service activities as distinct to the school system (Drofenik, 2017). The area of tourism and hospitality awaited these opportunities with high expectations since the lack of personnel in this industry is a serious and permanent problem.

### **Tourism in Slovenia**

In the year 2018 Slovenian tourism marked record numbers. The number of international arrivals continued to increase and Slovenia was yet again above the European average. In 2018 the country achieved 5,62 million tourist arrivals and 15,29 overnight stays, which is 7 % more arrivals and 8 % more overnight stays than in 2017 (STO, 2019). There are 56.014 employees in tourism sector, their share thus achieving 6.5 % of all employees. Slovenia's travel & tourism competitiveness index (by WEF) in 2017 reached the ranking 41/139 countries. Although the growth of the tourism sector has been constantly accompanied by the demand for the qualified workforce, the lack of unskilled and skilled workers persists. As a highly labour intensive industry THI depends on the good quality personnel in order to perform good quality service (Rok and Mulej, 2014). Moreover, providing high-quality service to customers requires competent, motivated and devoted employees. Furthermore, the labour shortage has been evident worldwide since the 1980's (WTO, 1983) but the industry still keeps facing the same challenges. As Baum (2019) asserts work in the hospitality remain a persistent blemish with respect to one of the world's fast growing economic sectors. THI seems to have difficulties both in finding skilled employees and in keeping their existing employees in hand (Richardson, 2009). Authors agree that the THI is not a career

choice for many young people but only a stop gap whilst looking for something better. Partly because hospitality work is considered low-skilled work, carrying social stigma whilst ignoring the fact that it involves soft skills and interactive service work, emotional involvement and physical embodiment (Duncan, Scott and Baum, 2013). Therefore, high staff turnover and poor image of hospitality work pose serious problems and challenges for employers and other decision makers in the THI. Can the system of NVQs certificates help make improvements in this area?

### Methodology

The present survey seeks to answer the following research questions:

RQ1: What selection of qualifications does the system of certifying NVQs offer in the area of tourism?

RQ2: Does the selection of available NVQ certificates correspond with the unmet demands of the THI?

RQ3: In what ways is the real sector integrated in the system of certifying NVQs?

An analysis of the secondary data has been carried out, including firstly official statistical data collected by SURS (Statistical office of the Republic of Slovenia) and ESS (Employment service of Slovenia) in order to provide an overview of the labour supply and demand in THI. Further, databases of NRP (National Reference Point for Occupational qualifications Slovenia), NPK (NVQ), CPI (Institute for Vocational Education and Training) and RIC (National Examinations Centre) were surveyed. A strong foundation to this research project were also analyses carried out by ESS (2019), IMAD (**Institute of Macroeconomic Analysis and Development**) and CPI (Kunčič Krapež et al., 2017; Kunčič Krapež et al., 2014). Consequently, we have gathered, selected and compared all data concerning NVQs in the area of tourism and hospitality in relation to the labour market conditions and trends and could thus follow and evaluate the achievements of the system.

### Findings and discussion

We started our research into the system of certifying NVQs by examining the structure of NVQs in the area of tourism and hospitality. We searched the data on catalogues of expertise and skills standards (NRP, NPK).

We identified altogether 26 NVQs, 9 in tourism (table 1) and 17 in hospitality (table 2).

#### Table 1 National vocational qualifications in tourism

#### Table 2 National vocational qualifications in hospitality

Additionally, we identified some interesting NVQs that are typical for other service industries but we meet such occupations in the THI as well. Thus we recognized NVQ Porter, NVQ Masseur, NVQ Pedicurist, NVQ Manicurist, NVQ Cake, bread and pasta maker in a traditional way, etc.

Surprisingly, we found out that NVQs on an entry level higher than VI. do not exist. The reason being is in the fact that the higher educational system opposes them. Their arguments that NVQ certificates could undermine the traditional school system are present from the very launch of the NVQ system in 2002 in spite of the fact that it encompasses only adults. Therefore, it does not compete with the formal school system but complements it.

Next, we surveyed the situation in the labour market and noticed an upward drift in shortages of skilled workforce in several industries. IMAD (2018,7) observed how businesses' vacancies match the supply of workforce in 2018 and found out that 18 % of enterprises in the service industries reported »...extraordinarily, in some activities historically, high values of the indicators of labour shortages and capacity utilisation«. However, the ESS survey (2019) reveals that enterprises in the THI forecast the 3,3 % increase of employments for 2019. The survey implies that 68,8 % of employers report inability to fill vacancies, mostly for low-paid, physically demanding workplaces with unfavourable schedules. Analyses reveal that cooks (714), waiters (664), bartenders, fast food preparers and food servants were the most in-demand jobs in the THI in 2018. But the selection of NVQs shows that cooks and waiters are not included in the system of NVQs. Therefore, chances to solve shortages of skilled workforce in the THI are limited within the system of NVQs.

Further, we examined data of the Statistical office (SURS, 2019). They monitor the relation between job vacancies and occupied posts in hospitality throughout the year (table 3).

#### Table 3 Job vacancies, occupied posts and rates, 2018

As table 3 implies, job vacancies show fairly constant numbers and rates throughout the year in spite of the seasonality influence. Research (ESS, 2019) reveals that employers in the THI approach the problem of unmet vacancies diversely, either with their existing personnel (overtime work, retraining) or they search for workers abroad, use outsourcing or employment agencies. Some employers soften the requirements in job adverts or they choose not to hire and they rather reduce the service production. Unfortunately, the register of unemployed persons at the ESS is of no help to them, since many of the unemployed do not seek jobs actively, some of them have health problems or are too old for physically demanding post in the THI.

Further, we examined the statistics of issued NVQ certificates in the THI in order to observe their development (tables 4 and 5). Additionally, we wanted to find out how they match with the THI vacancies.

#### **Table 4 Number of awarded certificates in hospitality**

#### **Figure 3 Development of NVQs in hospitality 2002-2017 (awarded certificates)**

#### **Table 5 Number of awarded certificates in tourism**

#### **Figure 4 Development of NVQs in tourism 2002-2017 (awarded certificates)**

We noticed that some NVQs have no awarded certificates because either assessment institutions or licensed assessors have not been accredited yet. For some of the NVQs there is no interest among the potential candidates and obviously employers as well.

Table 5 and figure 4 imply a steady decrease in the number of awarded certificates in tourism but table 4 and figure 3 show a more dynamic drift in hospitality. The majority of certificates were awarded for the NVQ Cook assistant (727), half less for NVQ Diet cook (393) and less (26) for NVQ Waiter assistant. We discovered that the system of certifying NVQs enables employment of non-EU workers since the certificate holders can obtain work permissions. Shortages of cook assistants and waiter assistants can thus be solved by recruiting immigrants provided they are able to gain NVQ certificates through the processes of validation and verification of prior learning.

Interestingly, the number of issued certificates for NVQ Croupier decreased extremely and since 2012 there have not been awarded any. We found out that there are only two big employers in the area of gambling in Slovenia and they stimulated their employees to gain a certificate (and financed them). NVQ Croupier obviously reached its saturation point. On the other hand assessment organizations had high expectations for NVQ Tourism animator (17 accredited organizations) but proved unrealistic and interests of candidates and employers diminished.

We found out that in case that the NVQ certificate is required in recruiting procedures then it's establishment is secured. Examples of such legal requirements are for NVQ Masseur or NVQ Security Guard. Some NVQs enable holders to start their own business as it is the case of NVQ Herbalist. These are foundations for the success of some NVQs.

Furthermore, we examined the structure of the assessment institutions accredited for the validation and verification of NVQs in the THI (table 6).

#### **Table 6 Structure of the assessment organizations**

The assessment organizations are mostly from the education sphere. Unfortunately only few of them are from the real sector implying that the THI shows little interest in the system of NVQs. Very few of them encourage employees to participate in processes of obtaining certificates (Kunčič et al., 2017) let alone cover the costs for them. As analyses show (Rok, 2012) employers prefer school diplomas, hardly any of them provide initiatives for new NVQs, moreover, their acquaintance with the certification system is weak. Obviously, the promotion of the system is ineffective. They recruit mostly on the basis of evidence of formal education and they value past working experiences highly. Since NVQ certificates formalize working experience, apparently they are not informed.

This study does not go into details about the functioning of the system of NVQs, satisfaction of candidates and other stakeholders with the system. International evaluations (e.g. Canning, 2000) report that candidates spent more time collecting evidence and building their portfolio than preparing for and being assessed. Thus less than a quarter of their time was spent on acquiring new knowledge. Future research on the satisfaction of employers and employees with the NVQ

system in Slovenia would be necessary since these are the key stakeholders and the development of the system depends on their engagement.

## Conclusion

The system of certifying NVQs for the needs of the THI comprises 26 NVQs. Unfortunately their structure does not correspond with the needs of the THI. They do not provide qualifications for the most in-demand jobs, like waiters and cooks. On the other hand stakeholders demonstrate no interest for some NVQs like NVQ cheese sommelier. Obviously, the collection of NVQs was established without serious analyses of the needs of the THI, current and future ones.

Structural imbalances on the labour market can only partially be improved by introducing NVQs in the THI. Since the share of enterprises reporting a shortage of workers has recently risen substantially employers and other decision-makers have to find solutions for these deficits. Otherwise their competitiveness might drop and they might fall behind their rivals. Considering also unfavourable demographic trends and the ageing population labour shortages in the THI are going to arise.

The system of certifying NVQs has to adapt to the needs of the THI, follow the trends and predict future job profiles. Thus it can gain advantage over the formal school system. Its strengths are in flexibility, quick reactions to market conditions and, above all, the NVQ system enables inclusion of one's prior learning in his formal qualification. All tacit knowledge that individuals accumulate throughout their life and career.

This desk research answered all the questions set in the research plan. We find the system of NVQs a new opportunity for recognizing competencies that were adopted in various circumstances and can thus be formalized. But if employers do not acknowledge certified NVQs the whole system might fail. The certification system of NVQs is based on trust. As Ivančič (2000) points out, the value of experiential and non-formal learning on the labour market (as well as in the formal education system) is not only an administrative and a technical problem, but first and foremost a problem of general trust. So far employers have shown mostly disbelief and doubts. We found out that they are not interested in acquiring accreditations for assessments (only one employer from the THI), they prefer diplomas and value highly only work experience. The fact that certificates are evidences of experiential learning, does not persuade them. They are involved in the process of preparing catalogues of expertise and skills standards but afterwards their participation is limited.

Nevertheless, stakeholders (CPI, RIC, ESS, assessment organizations, chambers) might contribute to the establishment of NVQs with intensive promotion and engagement in those NVQs that are connected with deficits on the labour market. Besides, they should participate in introducing new NVQs corresponding with the needs of the THI.

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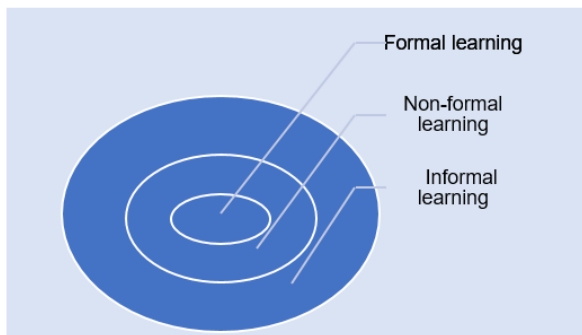
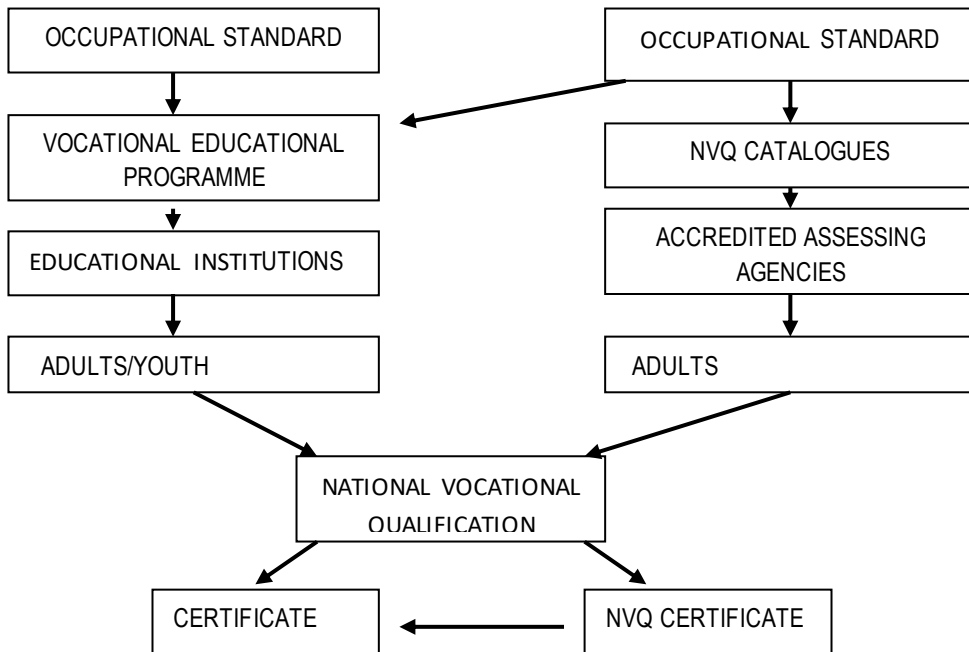


Figure 1 Forms of learning

Source: Davies, 1985



**Figure 2 The two paths to the same target**

Source: CPI, 2019

	NVQ - TOURISM	Entry-level degree
	NVQ Sauna Master	V.
	NVQ Croupier	V.
	NVQ Casino Cashier	V.
	NVQ Gambling Machine Operator	V.
	NVQ Tourism Informant	V.
	NVQ Tourism Animator	V.
	NVQ Travel Agency Manager	VI.
	NVQ Convention Events Organizer	VI.
	NVQ Destination Management Counsellor	VI.

**Table 1 National vocational qualifications in tourism**

Sources: NRP (2019), NPK (2019)

	NVQ - HOSPITALITY	Entry-level degree
	NVQ Cook Assistant	III.
	NVQ Waiter Assistant	III.
	NVQ Chambermaid	III.
	NVQ Room Supervisor	IV.
	NVQ Pizza Baker	IV.
	NVQ Barman	V.
	NVQ Diet Cook	V.
	NVQ Cheese Sommelier	V.
	NVQ Wine Sommelier	V.
	NVQ Catering Manager	V.
	NVQ FOH Food Preparer	V.

	NVQ Restaurant Dessert Preparer	V.
	NVQ FOH Cook	V.
	NVQ Reception Manager	VI.
	NVQ Hotel Housekeeper	VI.
	NVQ Small Hotel Manager	VI.
	NVQ Food and Beverage Manager	VI.

**Table 2 National vocational qualifications in hospitality**

Sources: NRP (2019), NPK (2019)

	quarters	2018Q1	2018Q2	2018Q3	2018Q4
HOSPITALITY	No. of job vacancies – total	1827	2353 M	1840	1529 M
	No. of occupied posts - total	28550	29616	30155	30028
	Job vacancy rate (%) – total	6.0	7.4	5.8	4.8
	No. of job vacancies	625	688	637 M	515 M
	No. of occupied posts*	16405	17146	17628	17639
	Job vacancy rate (%) – total*	3.7	3.9	3.5	2.8

**Table 3 Job vacancies, occupied posts and rates, 2018**

\* business entities that have at least 10 persons employed are included

Source: SURS (2019)

NVQ Year	NVQ Diet Cook	NVQ Cook Assistant	NVQ Waiter Assistant	NVQ Catering Manager	NVQ Wine Sommelier	Total
2003	9	/	/	10	10	29
2004	9	/	/	5	5	19
2005	72	/	/	0	0	72
2006	32	/	/	0	0	32
2007	29	/	/	0	0	29
2008	34	34	0	0	0	68
2009	43	9	0	1	1	54
2010	11	52	5	0	0	68
2011	13	35	0	0	25	73
2012	26	62	0	0	0	88
2013	14	124	8	0	0	146
2014	25	139	2	0	0	166
2015	45	100	9	0	0	154
2016	19	83	2	0	0	104
2017	12	89	0	0	0	101
total	393	727	26	16	41	1203

**Table 4 Number of awarded certificates in hospitality**

Sources: NRP (2019), NPK (2019)



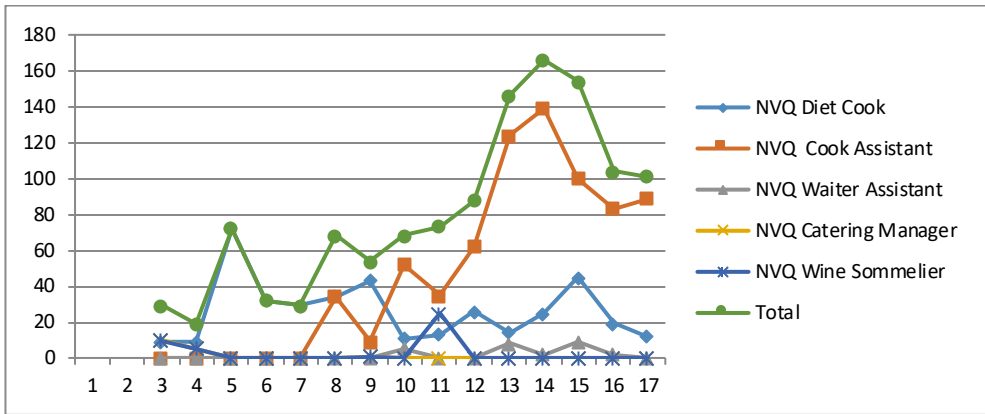


Figure 3 Development of NVQs in hospitality 2002-2017 (awarded certificates)

NVQ Year	NVQ Croupier	NVQ Casino Cashier	NVQ Gambling Machine Operator	NVQ Tourism Informant	NVQ Tourism Animator	Total
2003	/	/	/	/	0	0
2004	/	/	/	/	13	13
2005	134	/	/	/	11	145
2006	288	/	/	/	0	288
2007	68	/	/	/	2	70
2008	46	/	/	1	1	48
2009	48	/	/	1	41	90
2010	36	/	/	13	7	56
2011	87	/	/	3	1	12
2012	0	3	15	3	3	31
2013	0	3	2	6	3	14
2014	0	0	0	0	0	0
2015	0	0	3	1	0	4
2016	0	0	4	14	0	18
2017	0	0	4	0	0	4
total	635	6	28	42	82	793

Table 5 Number of awarded certificates in tourism

Sources: NRP (2019), NPK (2019)

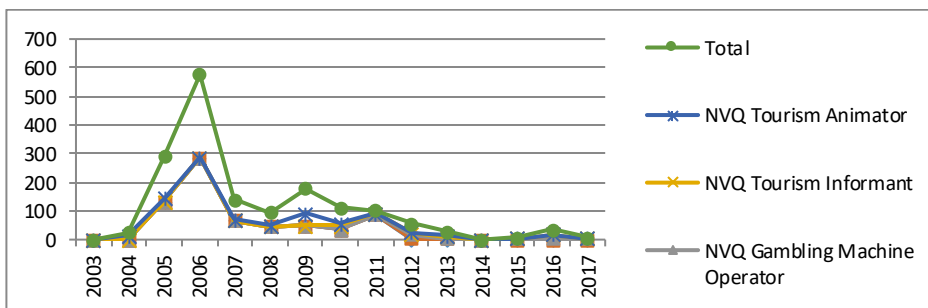


Figure 4 Development of NVQs in tourism 2002-2017 (awarded certificates)

Organization type	Number
High school	9
Vocational college	4
Faculty	1
Educational centre	3
Adult education centre	7
Chamber	1
Bussiness	1
Total	26

**Table 6: Structure of the assessment organizations**

Source: NRP (2019)

## Higher Education and Assessment of Entrepreneurial Skills by Academic Stakeholders

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### Abstract

This paper is based on a national study of entrepreneurship programmes and experiences related to non-formal and informal learning processes which have taken place in higher education in order to promote entrepreneurial skills among (post) graduates. The notions of "Learning Society" and "Lifelong Education" are closely linked with the development of a new educational paradigm which aims to enhance learning opportunities and new applications of knowledge in "organizations of all types and in all spheres of life" (Gibb, 2005). Empirical findings are gathered from the research project called Link.EES (Learning, Innovation, Networks and Knowledge), focused on Entrepreneurship in Higher Education, and funded by the Operational Programme of technical Assistance (OPTA), by the European Social Fund (OPTA –ESF). The methodological design was divided into the following steps: application of an online survey on 57 academic stakeholders of the Portuguese public Higher Education Institutions (HEI); selection of 12 case studies of good practices in the institutions of higher education and subsequent analysis by conducting in-depth interviews; and, finally, development of a repertoire of best practices in entrepreneurial skills and their validation by key actors and academic stakeholders. Three goals are pursued: i) a comprehensive meaning of "entrepreneurial learning", taking into account the European concept of "entrepreneurial spirit"; ii) an increasing importance of programmes/experiences as well as infrastructures and services, related to entrepreneurial learning provided by the main academic stakeholders; iii) and finally, a crucial involvement of academic stakeholders in a collaborative effort to promote the entrepreneurship mindset in the academia. Our aim is to assess the collaborative work achieved through the direct participation of key stakeholders in entrepreneurial learning, by building a crucial repertoire of entrepreneurial skills linked to the formation, self-employment and labour market transition.

**Keywords:** Portugal, Higher Education, Entrepreneurial skills, Stakeholders

### Introduction

The present paper aims to highlight the importance of non-formal and informal learning by building a repertoire of entrepreneurial skills, and thus contribute to the reflection regarding the added value of cooperation and collaborative work. In the last decades, the Portuguese universities have diversified their strategies to promote entrepreneurial learning through the participation of several key actors and stakeholders in their so called "third mission". Entrepreneurship programmes and experiences related to non-formal and informal learning processes are important in developing entrepreneurial skills among students and graduates. Obtaining employment is increasingly dependent, both on the potential of individuals, and even more on the ability to build solid networks of partnerships in science and innovation. Moreover, providing internships and mobility experiences, participation in various social and civic associations and initiatives for students and graduates, in order to stimulate new attitudes and behaviours towards entrepreneurship and the labour market is the key drive for a successful transition to work.

The recognition of this societal and cultural level underlining entrepreneurship education is displayed in the *Europe 2020 Strategy* and in the *European Entrepreneurship Action Plan 2020* (EC, 2006; EC, 2012a), which highlights the importance of entrepreneurship education. Additionally, major results of an important study among alumni of Higher Education Institutions (HEI) in Europe (EC, 2012b), related to the effects and impact of entrepreneurship programmes in higher education have stated that entrepreneurship education has a positive impact on the entrepreneurial mindset of young

people, on their intentions towards entrepreneurship, on their employability, and on their role both in society and in the economy (Matlay, 2009).

In addition, "learning Society", or "Lifelong Education", is closely linked with the development of a new educational paradigm that aims to enhance learning opportunities and new applications of knowledge in "organizations of all types and in all spheres of life" (Gibb, 2005). In other words, the acquisition of knowledge, skills and entrepreneurial attitudes can be fostered both in formal, and in informal and non-formal strategies. Despite that, in this paper we wish to focus only on non-formal and informal learning in an academic context, assuming that learning acquired through previous work experience, participation in social networks, and mentoring schemes, can have positive implications for the development of the entrepreneurial potential of students and graduates. Several strategies and initiatives which have taken place in the academic context, such as workshops, "ideas competitions" and training courses, are developed to enhance chances of success in the transition to the labour market, namely finding a job, pursuing a long-term career and achieving future professional potential. For this purpose, it is important to emphasise the involvement of various key actors and stakeholders (e.g. students, academics, researchers, technical staff and policy-makers), by analysing their contribution in building a repertoire of entrepreneurial skills. For the purpose of this paper, the process of building a repertoire of entrepreneurial skills by academic stakeholders is analysed regarding two specific strategies: a) improving employability of graduates in their transition to the labour market (as an employed person); identifying a business opportunity, or creating their own employment, in this case assuming the status of self-employed (either as entrepreneur or as liberal worker).

This paper has been structured in three main parts. In the first part, we wish to point out significant changes in higher education, taking into account the place and role assumed by academic stakeholders in order to foster entrepreneurial skills, and in the second, we present the research project and its objectives (main and specific ones). Some considerations regarding the methodological design will also be singled out. Finally, in the third topic, our main goal will be to present the main research findings linked to the drafting of a repertoire of entrepreneurial skills, highlighting their validation among academic stakeholders.

## **1. Higher Education, Stakeholders and entrepreneurial skills**

The internationalisation of Higher Education has been accompanied by the need to implement a set of actions/ services whose main purpose is, most of all, to respond to the "third" mission of the university, namely the increasing transfer of knowledge and technology to society, in dialogue with the various partners or stakeholders. In fact, many "internal" academic stakeholders, as well as other "external" partners (e.g. business, trade and industry associations, local communities, NGOs) are responsible for entrepreneurship and for providing support to existing infrastructures in HEI in recent years. Some examples of these infrastructures are: offices of entrepreneurship/ integration into active life; centres of entrepreneurship, innovation centres transferring knowledge of entrepreneurship, entrepreneurship clubs). Recent literature highlights a range of programmes/ experiences, as well as infrastructures and services related to entrepreneurial learning in a collaborative context involving formal, informal and non-formal strategies (Marques, 2016; Marques, et al. 2014; Marques, Moreira & Ramos, 2014; Pinho & Sá, 2013; Werquin, 2012; Ferreira, 2011; Gibb, 2002, 2005; Greene & Rice, 2002).

Therefore, the concept of stakeholding has recently come up more often, not only in management literature, but also in policy studies in general and higher education in particular (Freeman, 1984; Amaral & Magalhães, 2002; Maassen & Cloete, 2002; Neave 2002; Maric, 2013). We assume stakeholders as "third parties acting between the two main partners - the academic community and the interests of society" (Amaral, Magalhães, 2002: 16)<sup>1</sup>. Despite controversies related to the stakeholder's approach, or the diversity of meanings and roles assigned to these "third parties", their contribution is important in innovation activities, technology transfer and business creation, specifically in fostering entrepreneurial skills (e.g., flexibility, creativity, problem solving, and dealing with uncertainty). These competences are relevant in the daily lives of young people, especially when they find themselves in the following circumstances: (a) in employment and/ or seeking to remain in the labour market as employed persons; or b) when they choose to build a professional career by

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<sup>1</sup> Stakeholder's approach is plural and controversial regarding theoretical and ideological arguments (e.g. neo-institutionalist and neoliberal). Despite its relevance, its discussion goes beyond the objectives of this study (Amaral & Magalhães, 2002).

identifying a business opportunity or creating their own employment, in this case assuming the status of self-employed (either as entrepreneur or as liberal worker).

In this context, the HEI fulfil an important role in contemporary societies by creating strategies to confront the constant socioeconomic changes and the expectations of their citizens. In order to improve the quality of HEI, the institutions seek to comply with three stages: 1) teach and educate; 2) research and innovate; 3) transfer knowledge and serve the needs of the community. The last topic includes knowledge management, cooperation with different community entities, and questions the position that HEI hold in societal development. Therefore, the mission of HEI goes further than just teaching and researching, to reinforce their position in knowledge transfer to the labour market and in the service to the community.

For Carvalho *et al.* (2010), HEI should identically promote in their internal environment, the establishment and maintenance of an entrepreneurial ecosystem between the different stakeholders involved. These institutions should Therefore, consider three essential dimensions to promote entrepreneurship: 1) curriculum units presented in formal courses and educational backgrounds; 2) extracurricular activities at regional, national and international levels, involving various stakeholders and, seeking to enhance entrepreneurial culture; 3) structures to support entrepreneurs, to transfer knowledge to the market and to promote local/ national development initiatives.

It is in this broader context that we intend to present the main axes of problematisation of this study, namely the contribution of non-formal and informal learning in the process of transition to the labour market, the potential for developing transversal and entrepreneurial skills, and the crucial role of key actors or academic stakeholders in the dynamisation of networks and partnerships that allow the production, circulation and transfer of knowledge oriented to innovation excellence and economic and social transformation of the surrounding community.

## 2. Objectives and methodological design

The research study called Link.EES (Learning, Innovation, Networks and Knowledge) is focused on Entrepreneurship in Higher Education, and is funded by the Operational Programme of technical Assistance (OPTA), by the European Social Fund (OPTA – ESF). Its main goal is to set out the importance of non-formal/ informal entrepreneurial learning in the academic context. The specific objectives consisted in: 1) mapping the experiences of non-formal/ informal entrepreneurial learning undertaken from 2007 to 2013 in public higher education in Portugal; 2) characterising the graduates' profile (e.g. gender, age, social backgrounds, scientific area of study) who have participated in these experiences; 3) identifying a set of best practices in higher education; 4) presenting a repertoire of entrepreneurial skills with the direct participation of key stakeholders previously involved in all steps of the methodological design.

The methodology design has been developed in three main stages, which will be presented briefly (for more detailed information see Marques, 2016; Marques, Moreira & Ramos, 2014). In stage 1, the methodology used in the present study focused on the exhaustive search for experiments and entrepreneurial initiatives of non-formal and informal learning of Portuguese HEI through the information available on the Internet. Hence, having already identified the eligible entities, a telephone contact was made in order to develop and obtain complementary information, create links and involve stakeholders actively in the construction and development of the project. These collaborative dynamics also enabled the identification of other entities that had not been mapped through the first online review, and assess the level of involvement of the various key actors. The universe of our study comprises 57 entities that refer both to higher university education and to Portuguese polytechnic institutes, only from the public sector. An online survey was applied to this universe, and it was possible to obtain 41 stakeholders' responses (rate of 72%).

In stage 2, we selected 12 case studies of good practices of non-formal and informal entrepreneurial learning in the institutions of higher education and, consequently, analysed them by conducting in-depth interviews. Some of the most significant criteria that supported our decision included/consisted in the intentionality of illustrating the traces of originality, exemplarity and transferability potential of the "good practices" carried out at HEI level. However, in particular, we chose "good practices", taking into account the following traits: a) originality of the initiative, by highlighting new forms of innovation (technological, social and service innovation); b) exemplary "good practice" in the ability to rejuvenate traditional sectors, including added value and/ or highlighting new market niches; c) diversity of the key actor or stakeholder profile (e.g. entrepreneurship club, support office); d) cases of experiences or projects whose activities are integrated in the three phases of entrepreneurial learning: (i) awareness raising; (ii) training; (iii) mentoring and follow-up (incubators). Subsequently, semi-directive interviews were conducted to different representatives of previous selected

entities. With these in-depth interviews, two fundamental objectives were: a) to further characterise the "good practices", contemplating the main opportunities, challenges and dilemmas involved in the promotion and learning of the entrepreneurial skills systematised in stage 1; b) analyse the main collaborative dynamics, as well as the main identified bottlenecks.

In stage 3, the last step in methodological design, our intention was to build a repertoire of entrepreneurial skills and their subsequent validation by key actors and academic stakeholders who participated in the study. In order to accomplish that, we considered the entrepreneurial skills that were signalled, both in the exhaustive systematisation of stage 1, and in the case studies carried out in stage 2 (through content analysis). Based on this information, a questionnaire was designed to validate proposals for hierarchical entrepreneurial skills, taking into account their relevance to students and graduates in terms of facilitating both the transition to the labour market (as an employed person), and the creation of one's own job/ business (as a self-employed person).

The Delphi technique was chosen due to its application in an online virtual environment in order to validate the final proposal of the repertoire of entrepreneurial skills. This technique was justified in as much as it is a qualitative research tool that allows for the construction of a shared consensus of opinions from a group of specialists, in relation to a subject area or future events. This consensus represents a consolidation of the intuitive judgment of a group of experts on the assumption that collective judgment, when properly, is better than the opinion of a single individual, or even of some individuals devoid of a wide variety of expertise. To this end, three basic conditions were ensured: 1) the anonymity of the respondents; 2) the statistical representation of the distribution of results; 3) and feedback from the group responses for re-evaluation in subsequent rounds.

The application of the Delphi technique presupposes the accomplishment of at least two rounds between the stakeholders. In this study, it was possible to ensure two rounds. In the first one, the key actors responded to the proposed hierarchical questionnaire of entrepreneurial skills, and returned it in order to perform a simple statistical analysis (medians and quartiles). In the second round, the same questionnaire was sent, accompanied by the results of the responses obtained in the first round, allowing each respondent to review his/her position, if applicable.

In the next section, some results are displayed in order to point out a shared consensus on a more critical hierarchy of entrepreneurial skills.

### **3. Critical raking of entrepreneurial competences: a shared consensus**

With the application of the Delphi technique, the process of building a repertoire of entrepreneurial skills was obtained, regarding two specific strategies: a) improving employability of graduates in their transition to the labour market (as an employed person); or by identifying a business opportunity or creating their own employment, in this case assuming the status of self-employed (entrepreneur/ entrepreneur or liberal worker). That is, the main purpose consisted in assessing the most relevant entrepreneurial skills that a student or graduate should possess to facilitate these two distinct processes of transition into labour market, according to the perspective of the academic stakeholders involved in this stage of the research.

The following characteristics should be singled out in the profile of the 41 participant stakeholders: 1) they tend to assume an organisational configuration of interface/unit of transfer of C&T (24,4%), centre/innovation and/or entrepreneurship office (24,4%), the ones that declare themselves as business incubators being residual (2,4%); 2) they are mostly micro-dimensional (73,2%), with less than 10 collaborators; 3) they are relatively young, and their start-up year of activity had a strong expression between 2001 and 2010; 4) the main services made available by these *stakeholders*, with a stronger focus, firstly on the availability of the information of grants, programmes and initiatives; and, secondly, the development of training initiatives on entrepreneurship (courses, *workshops*, *e-learning*); thirdly, the support given to the formalisation of applications to projects and the preparation of business plans; and, fourthly, the accomplishment of awareness building and information sessions (seminars and conferences). Data also reveal that, the geographic range with greater relevance among these key-actors is the local or regional (42%), followed by the national (32%). The international dimension assumes a minor relevance within the framework of the area of operation of these entities, gathering 26% of the answers.

Next, it is important to analyse, in more detail, the positioning of these stakeholders regarding a list of forty seven (47) transversal competences presented in the *online* survey developed in stage 1 of the research design, as described

earlier<sup>1</sup>. Each of these competences was under appreciation by the questionnaire's respondents, who ranked their importance. The percentage attributed to each competence (consolidated in the weighted sum, obtained on the basis of the frequency response) substantiated the inclusion of thirty five (35) competences) and the elimination of fifteen (15) competences, whose cut-off line was below 20%. Through the *online* platform, two rounds were carried out by the *stakeholders*, thus achieving a generalised consensus around the ranking of the competences into three distinct groups namely technical, attitudinal and organizational/sociocultural one.

As regards the emphasis and systematisation of the most relevant information, the following "top 3" of entrepreneurial competences was built, differentiated between: technical competences, attitudinal competences, and organizational/sociocultural competences.

### 3.1. "Top 3" of technical competences

Upon analysis of table 1, the "Top 3" of *technical competences required* for the transition to the labour market, as an employed worker is as follows: 1) problem analysis and resolution, 2) oral communication skill and 3) good command of foreign languages; concerning a self-employed worker, the three most important competences are: 1) identification of opportunities, 2) planning and organisation, and 3) customer focus. The signaling of a broader set of entrepreneurial skills which facilitate the process of professional transition, in literature in general associated to employability (Vieira & Marques, 2014).

**Table 1:** Ranking of technical competences

Transition to the labour market		<b>Position</b>	Business opportunity/ own employment	
Competences	%		Competences	%
<b>Problem analysis and resolution</b>	65,9	<b>1st</b>	<b>Identification of opportunities</b>	82,9
<b>Oral Communication Skills</b>	58,5	<b>2nd</b>	<b>Planning and organization</b>	68,3
<b>Command of foreign languages (51,2%)</b>	51,2	<b>3rd</b>	<b>Customer focus</b>	63,4
Planning and organization	51,2	<b>4th</b>	Problem analysis and resolution	53,7
Mastery of the Information and communication technologies	43,9	<b>5th</b>	Negotiation capacity	51,2
Identification of opportunities	36,6	<b>6th</b>	Business awareness	51,2
Customer focus	34,1	<b>7th</b>	Oral communication Skills	29,3
Writing skills	22	<b>8th</b>	Ability to conceptualise	24,4
Negotiating ability	22	<b>9th</b>		
Business awareness	19,5	<b>10th</b>		
Ability to conceptualise	19,5	<b>11th</b>		

Source: Online survey with Delphi technique

### 3.2. "Top 3" of attitudinal competences

As for the "Top 3" of *attitudinal competences*, we can observe that the ranking proposal is diversified and presents a reinforcement of competences, mainly regarding the creation of employment/ business (Table 2). The following features may be presented, concerning the transition to the labour market as an employed worker: 1) adaptation and flexibility, 2) motivation 3) creativity and innovation; As regards the creation of self-employment/business, the entrepreneurial competences pointed out confirm the profile certified in literature: 1) creativity and innovation, 2) risk taking, and 3) initiative. In other words, there is an obvious consensus regarding the "innate profile of the entrepreneur", if we take into account that the "Top 3" includes precisely creativity and innovation, risk-taking and initiative. These are the traits that have mostly been highlighted apropos an "entrepreneurial culture".

<sup>1</sup> For further in-depth data on empirical findings obtained in the framework of this project, see Marques, 2016.

### 3.3. “Top 3” of organisational and sociocultural competences

Lastly, looking at the last group of competences with an organisational and sociocultural nature (Table 3), we may conclude that in the “Top 3” of transition to the labour market, the following are, unsurprisingly, included: teamwork, interpersonal relationship and understanding of the organisational culture, the latter being put in a prominent position within the current framework of the changes of the work organisations in world economy.

As for the “Top 3” of entrepreneurial competences, relevance given to leadership, team management and interpersonal relations is highlighted. In fact, this importance attributed to leadership is understood, since the entrepreneur will have to take on a qualitatively distinct role from the one which is perceived as teamwork. Deep down, it is about associating to leadership a vision and guidance for the development of the idea or business itself, as relevant traits towards the sustainability of such a project.

**Table 2** – Ranking of attitudinal competences

Transition to the labour market		<i>Position</i>	business opportunity/ own employment	
Competences	%		Competences	%
Adaptation and flexibility	58,5	<b>1st</b>	Creativity and innovation	58,5
Motivation	51,2	<b>2nd</b>	Risk taking	53,7
Creativity and innovation	48,8	<b>3rd</b>	Initiative	51,2
Initiative	46,3	<b>4th</b>	Motivation	48,8
Dynamism and proactivity	46,3	<b>5th</b>	Autonomy	41,5
Autonomy	39	<b>6th</b>	Persistence	41,5
Sense of responsibility	36,6	<b>7th</b>	Dynamism and proactivity	36,6
Continuous learning	26,8	<b>8th</b>	Decision-making ability	34,1
Critical thinking	19,5	<b>9th</b>	Adaptation and flexibility	29,3
		<b>10th</b>	Resistance to stress	19,5

Source: Online survey with Delphi technique

**Table 3** – Ranking of organizational and sociocultural competences

Transition to the labour market		<i>Position</i>	business opportunity/ own employment	
Competences	%		Competences	%
Team/ group work	82,9	<b>1st</b>	Leadership	82,9
Interpersonal relationship	80,5	<b>2nd</b>	Team management	56,1
Understanding of the organisational culture/professional environment	58,5	<b>3rd</b>	Interpersonal relations	51,2
Creation of bonds/networks	34,1	<b>4th</b>	Delegation of tasks	43,9
Conflict management	29,3	<b>5th</b>	Creation of bonds/networks	43,9
Living with multiculturalism/ diversity (29,3%)	29,3	<b>6th</b>	Knowledge of the socioeconomic context	41,5
		<b>7th</b>		26,8
Knowledge of the socioeconomic context			Influence/persuasion	
Ethical commitment	24,4	<b>8th</b>	Conflict management	26,8
Leadership	22	<b>9th</b>	Team/Group work	24,4
Delegation of tasks	22	<b>10th</b>	Understanding of the organisational culture/professional environment	22
Presentation of the personal image	22	<b>11th</b>		
Team management	19,5	<b>12th</b>		

Source: Online survey with Delphi technique

### Final Remarks



Entrepreneurial skills are understood as competences that which enable us to support individual decisions and behaviours, so as to create or identify an opportunity of a business, or to create self-employment, especially the skills that that enable the development of the potential of action, creativity, initiative, among other aspects, in the different professional and private contexts. Therefore, the acquisition of knowledge, skills and entrepreneurial attitudes can be developed in the context of the institutionalised educational system, but it can also be encouraged in many other ways, from non-formal and informal learning strategies, such as internships and curricular mobility, participation in diverse types of social and civic associations and in organising initiatives (e.g., seminars, ideas and prizes), among others. These strategies may prove important in the process of transition to the labour market, in obtaining a job and in structuring a career by anticipating future projects. From the results obtained in this study, it is possible support the importance attributed to such initiatives in the promotion of the repertoire of entrepreneurial skills, considering our "TOP 3" of technical, attitudinal and organizational and socio-cultural skills.

Promoting awareness, mentoring and project implementation of the entrepreneurial learning process is crucial for collaborative work in a competitive world. In fact, the extensive mapping of programmes and experiences of entrepreneurial learning, carried out in the academic context, aims to support the identification of a set of good practices and a repertoire of entrepreneurial skills. Furthermore, it allow us to reflect on the added value of cooperation and collaborative work of key stakeholders, namely in transfer and knowledge circulation, network mentoring, supporting the transition to the labour market.

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## Epistemic Communities to Consolidate Educational Policies in the Internal Planning of Teacher Training College

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### Abstract

An Epistemic Community, as defined by Adler and Haas (1992), is a network of professionals with wide academic recognition as experts in a particular field of knowledge, whose legitimacy allows them to influence the formulation and execution of policies in that field. There are several fields of knowledge in which the influence of Epistemic Communities has been successful (International Relations, Medicine, Environmental Care, among others), but as appears in the available studies, there has been little formation of these communities in the Educational field. In the case of the Teacher Training Colleges of Mexico, this experience also seems to be null, but if we analyze the foundations and implications of the Epistemic Communities, the formation and implementation of this type of communities can be a real opportunity to overcome problems of legitimacy and concreteness of the Federal Educational Policies that for these colleges have been formulated in our country in the most recent years. The first tasks that these communities would be the understanding and discussion of the problems of these type of colleges to enunciate alternative solutions, as well as the creation of an analytical framework for the interpretation of International, National and State Educational Policies so that, in their internal work, the Teacher Training Colleges can enunciate congruently their own institutional policies and in the short or medium term can actually put into practice these policies in aspects such as Research, Educational Innovation, Professionalization of their teachers, and the effective Use of Technologies (from ICT-Information and Communication Technologies to PET- Participation and Empowerment Technologies).

**Keywords:** Epistemic Communities, Educational Policies, Teacher Training Colleges and Institutions.

### Introduction

The purpose of the discussion established in this paper is to explore the possibilities to link the educational policies of the Teacher Training Colleges and Institutions (TTCI), as Centro de Actualización del Magisterio (CAM) de Durango, Mexico, to the reality of these, and with it, review the role that could be carried out by Epistemic Communities (EC) in this type of institutions, which could represent a key point to find -and validate- the first ways to meet the meanings, the concordance and the subsequent effective implementation, in the short or medium term, of the educational policies in the daily practice of these institutions.

Some of the first tasks that the EC could fulfill, would be the understanding and discussion of the problems of this particular type of institutions to enunciate alternative solutions, as well as the creation of an analysis framework for the interpretation of international, national and state educational policies so that, in their internal work, the TTCI can congruently enunciate their own institutional policies and that in the short or medium term, they can really put into practice this conglomeration of policies in aspects such as research, educational innovation, professionalization of their teachers and the effective use of technologies (ICT-Information and Communication Technologies-, LKT -Learning and Knowledge Technologies-, TEP -Technologies of Empowerment and Participation-).

To guide the analysis of the joint and collaborative academic work that is done in the TTCI in Mexico, such as CAM, and the possibilities and relevance of forming Epistemic Communities in them, in the first part of this paper I perform an analysis of the state in that the research tasks are perceived, in addition to the development they have had and the work currently carried out by the Academic Teams (AT, Cuerpos Académicos –CA- in Spanish) in higher education institutions, in general, and in TTCI (the various colleges and institutions of updating the teaching profession).

In the second part of this writing I would like to discuss the definitions of the Epistemic Communities, its characteristics, functions and implications, as well as the impact they have had or could have on the formulation of policies and the improvement of governmental and / or institutional conditions, according to their fields of influence.

### **Research and Academic Teams in Higher Education and Teacher Training Colleges and Institutions**

The research practice and the integration of Academic Teams (AT), whose main task is precisely and mainly this practice, as well as the collaborative dissemination of educational knowledge, have represented one of the most difficult policies to integrate into the dynamics of Teacher Training Colleges and Institutions (TTCI). The National Regulatory Reform in Mexico of 2009 practically forced teacher educators to include collaborative research in a formal way, a function that until then was carried out almost exclusively by universities and other specialized agencies. The TTCI had traditionally dealt with teaching practice (according to programs of study and updating, in addition to the orientations of the pedagogical paradigms in force). With some exceptions, the development of research and the dissemination of knowledge were practices unrelated to the majority of teacher educators, previous experiences were reduced to the teaching of research in the courses suggested in the degree programs and the accompaniment of the students in the construction of a 'receptional document' to reach the degree, which most of the time consisted of the application of some technical tools for the recovery and systematization of the teaching experience during the period of practice (Rodríguez Lares, Soto Soto & Alvarado Cabral, 2017). These receptional documents not only had problems of format, the design was diffuse, there was confusion in the use of the tools of the paradigms and methods, therefore, many of them could not be considered as academic research because they suffered the formalities and rigor to be. The panorama has been changing in the TTCI, since they have ventured into the offer of postgraduate programs where research begins to take a relevant role in the training of teachers as researchers. Even with everything, it seems that there is an epistemological, methodological, technical and practical breach with respect to the domain that the researchers of these institutions show in these aspects with respect to their university counterparts, who produce the largest volume of research in the different areas of knowledge in high education and at certain times, even regarding the educational problem in general. Rodríguez Lares, Soto Soto & Alvarado Cabral (2017) point out that a large part of the problem for the conformation of AT in TTCI has been the incipient culture and capacity for research and in general for academic productivity and publication.

If we review the years before the National Regulatory Reform, despite the fact that TTCI have been recognized as institutions of higher education for more than two decades, we can see how practices, cultures and academic habits have changed little. The 1984 Educational Reform assigned new responsibilities to academics, however, most were not prepared to assume the new functions, mainly research tasks (Rodríguez Lares, Soto Soto & Alvarado Cabral, 2017). Organizational changes were not made, also teachers' profiles didn't change because the current entry and promotion rules were not always respected. In fact, the homologation of 1984, that gave the TTCI status of higher education schools, left the academic processes intact; Santillán Nieto (n.d.) also points out that in general, these processes, as I mentioned, have been focused on teaching and institutionally do not develop functions of research and publication with the same intensity and continuity that do other Higher Education Institutions (HEI) in the country.

The actions for the strengthening of the TTCI, in an initial stage, had a starting point in 2005, in order to improve the competitiveness of the programs and close gaps; in 2008, the external evaluation of these institutions was initiated by the Inter-Institutional Committees for the Evaluation of Higher Education (CIEES in Spanish); the administration and the programs offered by the TTCI began to participate in the Program for the Improvement of Teaching Staff (PROMEP in Spanish) in 2009; the projection was that by 2010 all public Teacher Training Colleges would be evaluated. The comprehensive Reform Program of Teacher Training Colleges 2007-2012 aimed to professionalize the teaching staff, create communities of professional practice to address the areas of mathematics, literacy, science, foreign and native languages; in addition to designing a program for teachers to receive specialized advice and enter graduate programs of quality. Advances, as pointed out by Santillán Nieto (n.d.), have been incipient in most of the areas and the quality training has simply remained a good intention. In fact, there is little information about the experience, favorable or unfavorable, in the TTCI with the creation of such communities of professional practice, it being understood that the way of working of the teaching teams remained, in the best of cases, in the collaborative work and, above all, in the work that was carried out by the teachers from the academies, with the students in the formative path Professional Practice, known as Observation and Teaching Practice, which has always been favorable but imprecise, if we limit ourselves in a timely manner to what the aforementioned reform indicated.

In this way, reviewing the various changes that have occurred in the recent years, from the curricular redesigns of the study programs and strengthening and transformation actions undertaken by the Dirección General de Estudios Superiores para Profesionales de la Educación (General Directorate of Higher Education for Education Professionals) (DGESPE), a body dependent on the Subsecretaría de Educación Superior (Subsecretariat of Higher Education) and rector of the work of the TTCI, when analyzing the main challenges that the teacher training of the 21st century enunciates in this normative entity precisely in its base document, the *Estrategia de fortalecimiento y transformación de escuelas normales (Strategy for the Strengthening and transformation of normal schools)* (SEP, 2017), where there is challenge III: "Convertir a las Escuelas Normales en Instituciones de Educación Superior orientadas a resultados y propiciar experiencias innovadoras mediante la sinergia con otras IES"<sup>1</sup> (p. 25); it contains as one of its specific challenges: "Aumentar y fortalecer la producción académica de las EN (Escuelas Normales), así como la difusión e intercambio de conocimiento entre éstas y otras IES"<sup>2</sup> (p. 25); thus, we can see the importance that is granted to the production and academic diffusion in the TTCI.

What is described in the previous paragraph is directly linked to the intervention areas that the Dirección General de Estudios Superiores para Profesionales de la Educación (DGESPE) marks to grant resources in support of the academic and management development of the TTCI, mainly from the *Plan de Apoyo a la Calidad Educativa y la Transformación de las Escuelas Normales (PACTEN) (Plan for Supporting Educational Quality and the Transformation of the Teacher Training Colleges)*. There are five areas of intervention, the first to be stated: "La consolidación de CA, la movilidad académica, los intercambios académicos y convenios entre IES a nivel nacional o internacional"<sup>3</sup> (SEP, 2017, p. 66), with the first of the points mentioned, consolidation of Academic Teams (AT), "se busca integrar las funciones académicas de docencia, investigación y difusión como actividades cotidianas en las Escuelas Normales"<sup>4</sup> (p. 67).

This importance that is given to the development of AT, having as essential objects the research and its publications, in Teacher Training Colleges, is reiterated in the *Guía de elaboración del PACTEN (Development Guide of PACTEN)* (SEP-DGESPE, 2016), where in congruence with the formulated in the strategy of strengthening and transformation of the TTCI, seven factors are established with very marked emphasis on the achievement of educational quality indicators. Thus, the first factor of such emphasis are Academic Teams (AT); the following are: 2. Tutoring, counseling and support programs for new students; 3. Follow-up programs for graduates; 4. National and international mobility programs; 5. Evaluation; 6. Teacher habilitation; 7. Training; and 8. Infrastructure. In the AT factor, the guide argues that what is sought is to respond to the need to strengthen the formation and consolidation of AT, to integrate them into the aforementioned academic functions: teaching, academic research and publication. Thus, it is clear that those that are normatively and primarily marked by the DGESPE, to raise significant quality indices in the TTCI, is the production and academic publication of the AT, without neglecting the work of teaching practice.

To describe more precisely the functions that AT must fulfill and what should be their desirable characteristics, it can be summarized that these are made up of a set of Associate Professors that share one or more lines of research and its objectives are mainly oriented to the generation and / or application of new knowledge (López-Velarde, n.d.). Thus, the AT would have to represent a sustenance in the institutional academic functions and with this contribute to the integration of their institutions to the Higher Education System of Mexico. In the Programa para el Desarrollo Profesional Docente (Program for the Professional Development of Teachers) (PROMEP) for universities and high schools, AT are categorized by degrees of consolidation, establishing three levels: Consolidated Academic Team (CAT), Academic Team in Consolidation (ATC) and Academic Team in Formation (ATF). The degree of consolidation of the AT is determined by the maturity of the Lines of Generation or Application of Knowledge (LGAC in Spanish), established jointly considering the common goals, where the academic products generated in relation to this line or lines constitute the evidence more consistent of the collegiate work that integrates the capacities and efforts of the AT. The aforementioned is consolidated at the moment that AT carry out applied research, or technological development and innovation in disciplinary or

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<sup>1</sup> Convert Teacher Training Colleges into Higher Education Institutions oriented towards results and promote innovative experiences through synergy with other HEI.

<sup>2</sup> Increase and strengthen the academic production of Teacher Training Colleges, as well as the dissemination and exchange of knowledge between these and other HEI.

<sup>3</sup> The consolidation of Academic Teams, academic mobility, academic exchanges and agreements between HEI at national or international level.

<sup>4</sup> ... the aim is to integrate the academic functions of teaching, research and dissemination as daily activities in the Teacher Training Colleges.

multidisciplinary subjects and a set of academic goals and objectives. Additionally, López-Velarde points out that AT members attend, with teaching, educational innovation and intervention, educational programs related to their specialty at various levels.

In essence, the AT in the TTCI were established with the aim of fulfilling these three main criteria (Yáñez Quijada, Mungarro Matus & Figueroa López, 2014):

- Existence of common goals to generate knowledge in applied educational research and teacher training.
- Solidity and maturity of the Lines of Generation and Application of Knowledge (LGAC).
- Collegiate work in the design and application of innovative projects that generate knowledge in educational research and teacher training.

We could question here how far the TTCI have reached to meet the expectations about development of AT, at least for the case of the state of Durango, Mexico. According to PROMEP data, for January 2019, there are 6,107 AT throughout the country, of which 967 (15.8%) correspond to the area of Education, Humanities and Arts. Regarding the TTCI, at the national level there are 217 academic bodies (22.4% of the total area indicated and 3.6% of the global, very low percentage if we take into account that of 730 institutions registered in PROMEP, 260 are TTCI -35.6 % -). Of these, only two (0.9%) are Consolidated AT (from Escuela Normal de Sinaloa and Centro Regional de Formación Docente e Investigación Educativa del Estado de Chiapas), 34 (15.7%) are In Consolidation process and the rest 181 In Training (83.4%). To illustrate this data from TTCI with what happens at a global level -the total of Higher Education Institutions-, in the latter there are 1504 (24.6%) Consolidated AT, 1706 (27.9%) AT In consolidation and the rest 2897 (47.4%) In Training. I think that with these percentage differences the gap between the development of AT in HEI versus the presented in TTCI is clear. Thus, the comparison between HEI 24.6% versus TTCI 0.9% in Consolidated AT; 27.9% HEI versus 15.7% in AT In Consolidation; and 47.4% HEI versus 83.4% TTCI in AT In Training. The following table is highly illustrative:

Table 1. Comparative CA in ES and EN

	TTCI	Global HEI
<b>Registered institutions</b>	260 (35.6%)	730 (100%)
<b>Amount of Academic Teams (AT)</b>	217 (3.6%)	6107 (100%)
<b>AT Consolidated</b>	2 (0.9%)	1504 (24.6%)
<b>AT In Consolidation</b>	34 (15.7%)	1706 (27.9%)
<b>AT In Training</b>	181 (83.4%)	2897 (47.4%)

Source: Own construction based on PROMEP 2019 data.

In the specific case of Durango, Mexico, the data indicate that in its 5 Teacher Training Colleges and Institutions there are certified by PROMEP 11 AT (4.3% of the total of TTCI in all the country), all of this are In Training process:

- Benemérita y Centenaria Escuela Normal del Estado –ByCENED–: 3,
- Centro de Actualización del Magisterio –CAM–: 2;
- Escuela Normal Rural “J. Guadalupe Aguilera”: 5;
- Instituto de Estudios Superiores de Educación Normal “18 de Marzo” –IESEN–: 0; y
- Escuela Normal Urbana “Profr. Carlos A. Carrillo”: 1.

Here it is worth mentioning that for AT, at least in the TTCI, it has been has been requested from the national education authorities to do *Applied Research*, apparently the most desirable task in these institutions is the goal of solving a specific problem or specific educational approach (didactic, learning, of management). Few aspirations seem to be so that AT, made up of Professor Researchers, can produce *Basic Research* that seeks to achieve the purpose of obtaining and gathering information to generate a base of new knowledge that is added to the existing one.

In this way, what I have explained here serves as a framework to guide the analysis of joint and collaborative academic work done in TTCI, such as CAM Durango, and the possibilities and relevance of training Epistemic Communities in them. As we can see, the research tasks in TTCI have been entrusted as a priority to Academic Teams but then we should ask ourselves if the AT have had the expected impact on these institutions -at least quantitatively it seems that no-, besides

questioning, from the old experience that is had in TTCI of duplicity or ambiguity in the functions and attributes of individuals and work groups, if these would have the conditions to pass to the conformation of one or more Epistemic Communities (EC), which could contain, due to the previous experiences already mentioned, the interference between different work groups or, on the contrary, complementarity and support, depending on how we understand each other, as well as how we visualize the specific task and the field of influence that they would have as an academic group of researchers, professionals and / or experts.

The initial idea that I enunciate as a guide to the discussion in this paper is that it continues to require linking the Educational Policies of TTCI to the reality of these, and in that, what one or more EC could do in TTCI would be a key point to find -and validate- the first ways to meet the meanings, the concordance and the subsequent effective implementation, in the short or medium term, of these policies in the daily practice of these institutions.

In order to discuss these possibilities, I will turn to the following section to discuss the Epistemic Communities definitions, their characteristics and implications, as well as the impact they have had or could have on the formulation of policies and the improvement of governmental and / or institutional conditions according to their fields of influence.

### **Definition and areas of influence of the Epistemic Communities**

The EC, as pointed out by Marier (2008), have been formulated as a tool to understand international relations. This theoretical emphasis is placed on how ideas are transformed into policies, in the midst of international restrictions. Thus, Haas (1992, cited by Maldonado, 2005), the first theorist who starts talking about the Epistemic Communities, defines these as networks of professionals with recognized experience and competence in a particular field. Therefore, and due to their specialized knowledge, Epistemic Communities have sufficient 'legitimacy' in the area of policies within a given field (p. 108). Maldonado (2005) adds that we use the term Epistemic Community to refer to a concrete union of individuals who share the same vision about specific problems, that is to say: an episteme (a common belief, a knowledge).

Haas (1992), in its basic approach, gives a character to the professionals that conform in networks and EC, of "professionals with recognized expertise and competence in a particular domain or issue-area" (Haas, 1992, p. 4). To this, Molina (2016) adds that with this expertise and competence, the professionals that make up the EC claim authority in this area or thematic area, based on shared political beliefs and objectives. I will analyze in later paragraphs how we can understand this *expertise* and its broad implications, since it would not be left in the simple fact of having had some practice in some area of knowledge, technology or some other vital issue that is simply raised as *experience*, as some authors translate the term into Spanish.

Although the concept of Epistemic Community comes from the field of international relations, Maldonado (2005) points out that Haas and his group developed this concept mainly on issues such as the control of nuclear weapons, the protection of the ozone layer, the formulation of free trade agreements and international aid regimes in the area of food. This breadth of influence is also noted by Loblöová (2018), who agrees that EC is a concept established from the study of international relations "but can not explain policy change at the domestic level" (p.160). Thus, Orozco Restrepo (2016) adds, in the same sense, that these professionals who researchers and policy makers who converge and articulate in networks or interest groups, promote their vision of the world, influencing states, multilateral organizations and transnational individuals.

When we discuss the notion that is given to the concept of EC and identify and understand how it is that these networks of experts configure and redefine the policies, within the current World Order, the diverse interests and global and particular operating mechanisms of nations that make up, authors such as Molina (2016) point out that the perspective under which the degree of influence of the EC is assumed, implies that control over and through knowledge and information is an important dimension of power. For many years these groups of political power have been in the dilemma "to deal with a broader range of issues that they were traditionally accustomed to have turned to specialists to ameliorate the uncertainties and help them understand the current issues and anticipate future trends" (Haas, 1992, pp. 12-13), but with the conception and assignment of specific tasks of the EC, the decisions that the states take under their shelter nationalities are formalized and validated under the prestage that EC have in their immediate and future contexts.

In discussing the above, it would be worth highlighting the fact that the processes and the definition of policies are directly connected to certain agents and groups close to the power hierarchy and these, in turn, are subjects with particular histories and circumstances, with personal decisions, circumstantial facts and in general events that are part of the subjects' lives (Maldonado, p. 109). Although it can be seen that, regardless of whether the EC is convened for political reasons, they can

achieve their points of view and move towards objectives different from those initially envisaged by political decision makers (Haas, 1992, cited by Molina, 2016).

Consistent with previous ideas, Haas (1992) points out how modern nations have shown interest in expansion, professionalization, and a certain level of deference to the 'knowledge elite'. Löblová (2018) declares how in the past two decades "our world has become one where expert input is the norm" (p. 161). Similarly, Barry Barnes and David Edge (cited by Haas, 1992) have argued that, in modern societies, "science is near to being the source of cognitive authority: anyone who would be widely believed and trusted as an interpreter of nature needs a license from the scientific community" (p. 11). Haas concludes that many people and institutions trust the scientific community because they share the certainty that the scientific method can make public policy making more rational.

Within those possibilities of influence that the national states give with their confidence and deference to the EC, it should also be mentioned how these are feasible to institutionalize their influence and insinuate their points of view in broader international policies, by consolidating a broad level of bureaucratic power within the aforementioned national administrations and international secretariats (Haas, 1992). This is clear when we see how the work of the EC has increasingly been extended to studies on groups involved in additional problems of increasing global concern (Adler and Haas, 2009), among which mention urgent situations to attend, such as Acquired Immunodeficiency Syndrome (AIDS), deforestation, climate change and drug trafficking, among others.

Thus, to conclude this section, I can point out that the essential task that has been assigned to the EC, from various areas of knowledge, has been to undertake research programs that take into account from the beginning, the value that their ideas will have and contributions in decision making, under the understanding and establishment of patterns that contain the dialectical relationship between theory and facticity, that is, contribute to engender realities from the diffusion, permanence and adaptation to the changing environment faced by the decision makers (Orozco Restrepo, 2016).

### **Characteristics and functions of the Epistemic Communities**

The EC has, from its conception, a *reflexivist approach*, a term that comes from the critical theory of international relations and which implies a critical vision of materialism and rationalism of the mainstream, and entails a methodological proposal about the different research programs on all in security studies, showing how they have affected the realities of States, intergovernmental organizations and transnational forces (Orozco Restrepo, 2016). The fact of establishing a reflective research program implies that it must be progressive, that is, that new discoveries on family cases of diverse areas such as security, international economic policy or the environment are generated (Adler and Haas, 2009).

This reflective approach, based on its critical vision, could also be applied to fields such as Higher Education, since the researchers who work in this field, according to El-Khawass (2000, cited by Maldonado, 2005) have had an explicit mandate to investigate and understand higher education in order to improve it. In fact, in recent years the notion of EC has begun to be used in Latin America, according to Molina (2016), to study security policies of global scope, to establish social policies promoted by international technical and financial assistance agencies, adopted and adapted by national states; and, as already mentioned, but to a lesser extent according to Molina, in studies on the role of experts in the definition of policies in Higher Education.

Maldonado (2005) refers to the seven models of use of research according to the classic planning of Carol Weiss (Nisbet, 1998, cited by Maldonado, 2005): *Linear Model* (which assumes that basic research leads to applied research, following its development and implementation); *Problem Resolution Model* (in which the research identifies the knowledge needed to direct an action); *Interactive Model* (includes researchers and decision makers in a constructive and collaborative dialogue); *Political Model* (research is used to justify a particular policy); *Tactical Model* (the need for investigation is used as an excuse to delay a decision or action); *'Illuminator' model* (where research ideas are projected and scenarios and solutions are imagined); *Intellectual Model* (the research activity broadens the horizons and increases the quality of the public debate), but clarifies that the concept of the EC can not be stay into only one of these models but at certain moments of its work and development, according to the needs and tasks assigned, can incorporate characteristics of each one or several of them.

Thus, under this approach and heterogeneous research models, the EC shares at least four aspects:

1. Certain beliefs and principles that are the basis for some of their actions,



2. Professional judgments,
3. Notions of validity, and
4. Common political agenda (Stone, 1996, cited by Maldonado, 2005).

In congruence with the previous paragraph, Haas (1992), Maldonado (2005) and others, state that EC have at least seven characteristics that define them:

- a) Common agenda under coinciding points in the research agenda.
- b) It is integrated by networks. An epistemic community is a network made up of other networks.
- c) System of shared beliefs and values.
- d) Compact size that privileges the academic prestige, the ability of the members to influence within their disciplinary field and their capacities to extend their influence and relate to important actors in the definition of policies.
- e) Give more weight to informal than formal relationships.
- f) Prestige and academic credentials as the most important capital that allows it to be distinguished from other networks or groups.
- g) Professional diversity Professional identity is not the main integrating element in an epistemic community.

Taking into account such characteristics, Adler (1992, cited by Maldonado, 2005) explicitly states that, under these premises, EC should not be confused with a profession as it crosses professional boundaries.

As I mentioned previously, the EC emerge from the field of international relations and subsequently participate in other areas of knowledge, including higher education, and its essential task is to participate in the development of national state policies and influence for its start-up. In such a way that the process to arrive at the formulation of policies, implies the following functions:

- To elucidate cause and effect relationships and provide advice on the possible outcomes of various courses of action;
- To shed light on the nature of the complex interrelationships between the problems and the chain of events that may arise both from lack of action or the institutionalization of a particular policy;
- To help define the interests of a state or factions within it; and
- To help formulate policies. (Molina, 2016).

Within this process, it is necessary to break down the moment in which the EC helps the States to identify their interests, defining and /or framing the issues of collective debate and then proposing the specific policies and identifying outstanding negotiation points (Molina, 2016); for this, it is also important that the EC exert its influence to limit the range of political controversy around a matter, the definition of the interests of States and the setting of standards (Adler and Haas, 2009).

The favorable impact of the EC in the fulfillment of such functions may occur if they are presented:

- Identification of EC membership and beliefs based on principles and causes shared by its members;
- Location of their activities and the demonstration of their influence on decision-making at different points in time;
- Identification of the credible alternative results that were executed as a result of their influence; and
- Postulates with alternative explanations for the actions of the decision makers. (Haas, 1992, cited by Molina, 2016).

Adler and Haas (2009) warn that, in order to fulfill such functions and represent an important nucleus of academic-intellectual influence in the formulation of policies, the EC should not be confused with a new hegemonic actor that acts as the origin of the political and moral direction in society. The epistemic communities are not in the business of controlling

society. The focus of these should be merely instrumental and their period of operation should be limited to the time and space that are jointly defined by their members and decision makers, starting with the problem and its solutions. As they emphatically point out: EC are neither philosophers, nor kings, nor philosophers-kings (Adler and Haas, 2009). EC do not control societies, due to their very remote scientific nature or the political or militant, but they represent an important value for them, as Haas (1992) states: "Epistemic communities need not be made of natural scientists; they can consist of social scientists or individuals from any discipline or preference who have a strong claim to a body of knowledge that is valued by society" (p. 16).

What matters is that the members of the EC, as it was already reiterated with the previous idea, are professionals respected in their own disciplines and have the capacity to influence those who compose it; but also that they must demonstrate the capacity to extend their direct or indirect influence with an always expansive pattern, eventually reaching key actors in the process of policy coordination (Adler and Haas, 2009). After all, the factors that influence the presentation of changes in the enunciation of policies based on the research carried out by the EC are: "Knowledge; causal and principled beliefs" (Haas, 1992, p. 6).

As Haas (1992) specifies, decision makers may have different incentives and reasons to consult the EC, some of them with more political motivations than others. The implication for these incentives or reasons to arise can be:

- First, following a shock of crisis, Epistemic Communities can elucidate the cause-and-effect relationships and provide advice about the likely results of various courses of action. In some cases, they can help decision makers gain a sense of who the winners and losers would be as the result of a particular action or event.
- Second, Epistemic Communities can shed light of the nature of the complex interlinkages between issues and on the chain of events that might proceed either from failure to take action or from instituting a particular policy.
- Third, Epistemic Communities can help define the self-interests of a state or factions within it. The process of elucidating the cause-and-effect relationships of problems can in fact lead to the redefinition of preconceived interests or to the identification of new interests.
- Fourth, Epistemic Communities can help formulate policies. Their role in this regard will depend on the reasons for which their advice is sought. In some cases, decision makers will seek advice to gain information which will justify or legitimate a policy that they wish to pursue for political ends. An epistemic community's efforts might thus be limited to working out the details of the policy, helping decision makers anticipate the conflicts of interest that would emerge with respect to particular points, and then building coalitions in support of the policy. (p. 15).

To conclude this section it is important to point out that, as Haas (1992) indicates, the EC ethical standards are based on its principled approach with respect to the subject in question, rather than just in a code professional. Such standards should be the support in practice to reach the degree of influence expected even in "highly certain areas of routine policymaking" (Löblová, 2018, p. 160), which then leads to a reconceptualization of the uncertainty that initially the EC is raised, an essential demand that decision makers and policy makers make to experts.

### **Expertise of the Epistemic Communities and the interpretation of the reality that they propose**

*Expertise*, according to Haas (1992), is an essential characteristic of the professionals that make up the EC. As I mentioned, it can not be translated simply into 'experience' in a specific field of study, but in specific it is more related to a high level of expertise and knowledge. Before entering to discuss these implications for the professional, the Professor Researcher in the specific case of this paper, it should be noted that aspects such as leadership, management skills, effective political discourse and assertiveness are left aside, not necessarily because they are not important in the profile of this professional as part of their skills, which are regularly requested by governments and their institutions for public policymakers. As I mentioned in previous paragraphs, the characteristics of the EC and its members are very well defined but include other areas.

As Stone (1996, cited by Maldonado, 2005) mentions, it is very pertinent to nominate a network of experts to a EC, instead of the denomination 'group', since knowledge is a central aspect of power from their perspective. Recognizing the specialized knowledge they possess contributes to a more balanced analysis regarding their contribution in a field of studies (Maldonado, 2005), in which even they may have been precursors.

Haas points out (1992) that, in the second part of the 19th century, scientific rationality began to prevail over the alternative paradigms of knowledge as a model for decision making in science, "although it did not reach its peak until about fifty years later, when logical positivism and the ideas of the Vienna Circle were embraced and the entry of White-Coated professionals into the public policy process became more widespread" (p. 8). Although, as pointed out by Molina (2016), it was from the Social Sciences, in the 70s of the last century, that the role of experts and professionals in economics and social policies began to be problematized. Around that period, Molina continues, a process of profound disenchantment with the scope of science as a means to improve life in society took place, then distrust and strong criticism of the experts began to prevail. In response to these criticisms, in those years new matrices were emerging to analyze the diverse relationships between ideas, experts and policies, as well as to review the influence of expert knowledge on the configuration of political institutions and public policies and, above all, the processes that consolidate these experts as relevant social actors.

Continuing with this idea, we can emphasize the central assumption of critical approaches that indicates that professionals / experts are not only bearers of 'technical knowledge', but epistemes, paradigms, the referents they share and transmit combine elements cognitive, normative and programmatic (Molina, 2016). In a broad sense, 'knowledge', as defined by Haas (1992), is "the communicable mapping of some aspect of the reality reality by an observer in symbolic terms" (p. 21).

The English sociologist Terry Johnson (1995, cited by Molina, 2016) argues that the recognition of professional expertise derives more from the needs of legitimacy of the State itself than the esoteric knowledge and abstract knowledge that professionals develop and put into play. Thus, this author proposed as a postulate that the pre-eminence of the knowledge of experts is a condition of possibility of the modern State. In other words, the success of scientific communities, as the EC claims to be, for the construction of a social reality with universal validity, is a consequence of the official recognition of the members of these as experts. The government depends on the neutrality of expert knowledge to make governable the social reality, concludes Johnson (1995, cited by Molina, 2016).

In this triangulation with the social realities that are sought to be made 'governable' through the expert influence of the EC, it is necessary to return to the conception that Haas (1992) makes of 'episteme', as a dominant way of looking at social reality, a set of symbols and references, expectations and intentions shared by specific collections of individuals who share a vision of the world that delimits, for its members, the adequate construction of social reality. Haas suggests that networks of experts learn models and patterns of reasoning, and with this assumes, with Berger and Luckman (2001, cited by Haas, 1992), that reality is socially constructed, which implies that our concept of reality is mediated for the previous assumptions, expectations and experiences.

In this way, the EC provides consensual knowledge, but does not generate 'truth',

The epistemological impossibility of confirming access to reality means that the group responsible for articulating the dimensions of reality has great social and political influence. It can identify and represent what is of public concern, particularly in cases in which the physical manifestations of a problem are themselves unclear. (Haas, 1992, p. 23).

What the EC does to provide such consensual knowledge is to construct frameworks for analysis and interpretation based on evidence (Haas, 1992), which is what decision makers mainly require (Davies, 2012; Wilsdon, 2014; cited by Löblóvá, 2018). This is how effective frameworks could be formed that can ensure that problems are seen in a specific way, so that favored ideas seem common sense, and disadvantaged ideas, as unthinkable (Molina, 2016).

### **Conclusions: What the probable success or failure of the Epistemic Communities depends on**

As I reviewed in previous sections, the epistemes that the EC builds and that could become established as dominant, based on the recognition of their expertise, contribute to explain the choice and persistence of policies, frame policies and affect their institutionalization (Molina, 2016). Dunlop (2013, cited by Molina, 2016) adds that the tasks of the EC can be successful insofar as they make their visions prevail and that they are related not only to the epistemic and institutional resources they have but also to the perspicacity policy of its members to persuade decision makers, and navigate successfully in government machinery.

Bearing in mind that the policy formulation and implementation process presents four main steps: policy innovation, dissemination, selection and persistence (Adler and Haas, 2009), one of the main factors that will influence the time that an EC maintain its influence will be the degree of consensus reached among its own members, when it loses its consensus,

its authority will decrease and the actors in charge of making political decisions will pay less attention to their advice. Other factors that will have a possible effect on the authority, influence and even permanence of the EC, are economic, political and other crises, which very likely, as a consequence, will lead the political decision makers to seek advice of new groups of experts.

This idea allows us to give an account of what the EC would require for its permanence and success in fulfilling the tasks for which they were created. As can be seen throughout this paper, the work with groups of researchers (Academic Teams) and scientific communities with influence on the formulation of policies (Epistemic Communities) has been in HEI and CCTI still not very effective. The subjects for the conformation of any of these two work teams exist, the expertise and broad knowledge, and the prestige of them is present and recognized in different ways, but it is a fact that one would have to work internally in such research groups or scientific communities, reaching a solid consensus that allow them to influence the various levels of decision makers and educational policy makers, starting with the closest, that is, at the institutional domestic level, then at the state level, and then try to do it at higher global levels.

The initial idea that I proposed as a guide to the present writing continues in a wait-and-see channel. I believe it is feasible to link in Teacher Training Colleges and Institutions educational policies with their reality through the influence of the EC; as I said, this would be extremely favorable to find -and validate- the first ways to meet the meanings, the concordance and the subsequent effective implementation, in the short or medium term, of these policies in the daily practice of these institutions, but the experience with the Academic Temas shows that the success of these enterprises will be segmented, dependent on the internal impulse of education professionals, which in the case of the Epistemic Communities, should have a fine listening receiver, institutional or governmental, that understands the value of having these for undertake and configure new ways to enunciate their policies that become truly applicable in daily practice.

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## A Mapping of Actors Gender Disgrated Data and Information Programs and Projects and Rural Development Projects in Iraq

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Aaedah Mousa Kadhim Al-Rikabi

### Abstract

Poverty and hunger are considered social and economic pests for Iraqi households in urban and rural. Most of rural people do not educate their girls or make them leave school which is known as education leak. The absence of respect women culture because of traditions and hereditary norms in rural has a negative reflects on women channel that lead to unequally between man and women in rural and urban. This paper seeks to highlight the gender data available and the ongoing programs of different stakeholders committed to the advancement of the conditions of Iraqi women living in rural contexts, also includes a thorough review of literature to shed light on the data available, gaps in data, and the hindrances behind lack of data. The paper highlights major activities delivered by ministries and institutions of the Iraqi government, and other stakeholders' interventions, such as NGOs, International Organizations and agencies. Analyze the information gathered in the attempt to transfer those information in an analysis of strengths, weaknesses, opportunities and threats concerning the increased availability of sex disaggregated data and gender in rural contexts. The paper recommended implementing Capacity building programs for stakeholders, on gender issues and on how to mainstream gender at the various stages. Women's increased access to educational and training opportunities not only increases their participation in the labor force but also expands the range of occupational options available in the market. The vulnerability of poor women in Iraq is closely linked to illiteracy and low levels of education. Thus, adult literacy programmes must form part of gender mainstreaming efforts; there is a need to create awareness for women and men to venture in the 'nontraditional' and stereotyped careers; make use of media to enhance women's role in peace building. Media continues to dominate as a powerful messaging tool in the post conflict environment. Engaging men and women in media.

**Keywords:** Mapping of Actors Gender Disgrated Data, Information Programs, Projects, Rural Development Projects, Iraq

### Introduction

This technical report seeks to highlight the gender data available and the ongoing programs of different stakeholders committed to the advancement of the conditions of women living in rural contexts. The report includes a thorough review of literature to shed light on the data available, gaps in data, and the hindrances behind lack of data. The report highlights major activities delivered by ministries and institutions of the Iraqi government, and other stakeholders' interventions, such as NGOs, International Organizations and agencies. Furthermore, the report will seek to analyze the information gathered in the attempt to transfer those information in an analysis of strengths, weaknesses, opportunities and threats concerning the increased availability of sex disaggregated data and gender in rural contexts. The report concludes with a set of priorities for the production of gender-disaggregated data in agricultural and rural development statistics.

### Background

Iraq is an agricultural country. Although a considerable portion of its agricultural lands are under irrigation, it still depends highly on rain fed agriculture for grain and sheep production. Rain fed agriculture is practiced in the northern parts where the mountains, foothills, and Jazeera desert are located. Land potentially suitable for agricultural production however is not more than 27 percent of the total area of the country. The rest includes deserts with extremely low rainfall and rocky/steep mountains which are the natural grazing grounds for the millions of head of sheep and goats in the country.

The total area which has been used for agricultural production is about 8 million hectares which is almost 67 percent of the cultivable area. However, due to certain limitations such as soil salinity, drought, shortage of irrigation water in summer, fallowing and the unstable political situation it is estimated that the average area actually cropped each year ranges from 3 to 4 million hectares. Livestock constitutes an integral part of farming systems. Traditionally farmers keep livestock to enhance farm incomes and satisfy their basic food requirements. Sheep, goats and cattle are the most important livestock, supplying meat, wool, milk, skins, and hair.<sup>1</sup>

From 1990-2011, the GDP for the agricultural sector achieved a combined annual growth rate of 1.6%. This rate is relatively low if compared to the GDP growth rate at constant prices for the same period of 3.6%. In 2010, there was a 17.2% increase in the GDP at constant prices over 2009, reflecting real growth in the contribution of the agricultural sector to the GDP, which rose from 7.3% in 2009 to 8.1% in 2010 (despite the droughts in Iraq during 2008-2009) and 7.6% in 2011. This indicates relative success in the agricultural sector as a result of the relative improvement in infrastructure, technology and knowledge of cultivation and irrigation methods, as well as the results of the agricultural initiative.<sup>2</sup>

Understanding the role that gender plays in agricultural production is critical for designing agricultural policies to increase productivity and enhance economic growth and to reduce poverty<sup>3</sup>. A better understanding of the role of gender in the agricultural sector could greatly increase productivity, reduce poverty, and improve food security.

#### *International Framework and Iraqi Political Will and Commitment*

The most important agreement binding governments to promote women's rights is the **UN Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)** that was established in 1979. The Convention was ratified by Iraq in Aug 13, 1986. According

To the Combined fourth, fifth and sixth periodic reports of States parties Iraq in 11 January 2013 under article 18 of the CEDAW Convention, Rural women combine duties in the home as mothers and wives with work outside the home in farming. Women are productive workers and make up one third of all rural workers. In common with other sections of Iraqi society, the situation of women has worsened as a result of war, sanctions and crises and the ensuing political and sectarian violence, which was not confined to the cities but spread into the countryside. This has had a direct impact on the level of services, despite efforts of the Government health sector to continue providing health services in an orderly manner<sup>4</sup>

#### **CEDAW's Committee Concluding Observations on Iraq's Periodic Report, March 2014**

##### Article 14

The Committee recommends that the State party:

- (a) Conduct awareness-raising campaigns on the importance of the participation of rural women in development projects as decision makers and beneficiaries
- (b) Strengthen its efforts to address the needs of rural women and ensure that they have equal access to health-care and social services, education, clean water and sanitation services, credit, fertile land and land ownership, and income-generating opportunities.

The Committee notes the information provided by the State party's delegation with regard to the continuing efforts to integrate human rights principles and values, including equality between women and men, into school curricula. It also notes the efforts of the State party to address the high illiteracy rate through the enactment of Act No. 23 (2011) and its application through a number of measures such as the establishment of literacy centres at the local level. The Committee is concerned, however, at:

- (a) The reported continuous increase in the illiteracy rate, in particular among rural girls and young women between 15 and 24 years of age (33.6 per cent);

The Committee recommends that the State party:

- (a) Ensure that gender stereotypes are removed in the context of a revision of the curriculum and textbooks;
- (b) Strengthen its efforts to increase literacy rates within the framework of Act No. 23 (2011), in particular among girls and young women in rural areas, and set time-bound targets and monitor their achievement;

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<sup>1</sup> <http://www.fao.org/ag/AGP/AGPC/doc/Counprof/Iraq/Iraq.html>

<sup>2</sup> Ministry of Planning, National Development Plan 2013-2017, Agriculture and Water Resources, Jan. 2013.

<sup>3</sup> Cheryl Doss, Data Needs for Gender Analysis in Agriculture, IFPRI, April 2013

<sup>4</sup> Fourth, Fifth And Sixth Periodic Reports of States Parties Iraq, 11 Jan 2013

The Committee recommends that the State party :

- (a) Strengthen its efforts to address the high rates of cancer, in particular breast cancer, by, inter alia, developing a strategy setting specific targets in coordination with the regions and governorates to improve prevention, early detection, treatment and psychological support for women and girls with cancer and by allocating adequate human and financial resources for that purpose;
  - (b) Adopt specific and well-coordinated measures to address the continuing deterioration of environmental conditions in order to reduce the incidence of birth defects in children and cancers and miscarriages in women;
  - (c) Improve women's access to health-care facilities and medical assistance by trained personnel, including by women health-care professionals, especially in rural and remote areas;
- Elimination of All Forms of Discrimination Against Women (CEDAW)

Another vital intergovernmental agreement is the Declaration and Platform for Action for improving the status of women approved at the UN's Fourth World Conference on Women in Beijing in 1995. The Beijing Platform for Action includes goals and steps to be taken in twelve critical areas of life to improve the position and influence of women and girls. All member countries of the UN are bound by the Platform for Action, including definitely Iraq. The Platform for Action stipulated the production and dissemination of gender disaggregated data and information for planning and evaluation.

In the guidance note for the preparation of national reviews Implementation of the Beijing Declaration and Platform for Action (1995) (in the context of the twentieth anniversary of the Fourth World Conference on Women and the adoption of the Beijing Declaration and Platform for Action 2015), countries were requested to provide information and the processes that have been undertaken to collect data on the situation of particular groups of women such as rural women. The guidance paper encouraged countries to provide information on indicators used at the national and local level to monitor the situation of gender equality and empowerment of women.

### ***FAO's Policy on Gender Equality***

FAO's policy on Gender equality that was published in 2013 states that FAO will integrate gender issues into all facets of its work and that gender mainstreaming must become standard practice in all its normative work and all its regional, sub-regional and country-level programs and projects. This action requires that all of FAO's information sharing and knowledge management activities, work on developing normative public goods, policies, country programs and projects, and technical interventions adopt a gender mainstreaming approach by incorporating gender analysis, using sex-disaggregated data and paying attention to gender-differentiated impacts<sup>1</sup>.

### ***The value of gender (NDP, 2013-2017)***

The Iraqi state is addressing gender issues based on its strong belief in the importance of gender equality in rights and responsibilities that is reflected in the Iraqi constitution that consecrates equality among male and female citizens in all rights and responsibilities and in all fields (political, economic and social). Moreover, Iraq has ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the Convention on the Rights of the Children and other international conventions and instruments related to women. The establishment of the Ministry for Women's Affairs in 2003 reflects the State's commitment to these goals by founding national mechanisms and bodies that are conscious of women's affairs and that operate at the highest levels to detect and monitor the recommendations of international and regional conferences, charters and conventions, to empower women in all fields and domains.<sup>2</sup>

### ***Sociopolitical Challenges for Women<sup>3</sup>***

Legal, social, personal and economic challenges characterize Iraqi women's participation in the economic sphere. Under the 2005 Iraqi Constitution, women enjoy equal rights to employment without discrimination, but certain discriminatory elements remain within Iraqi law, which delineates women's economic choices. More problematic are the general assumptions within the Iraqi tax code, Personal Status Code and Penal Code about the roles of men and women. These assumptions reinforce women's roles as mothers and homemakers and preclude their full exercise of choice and economic independence. Women's economic independence is further complicated by the complex web of personal relationships that women develop with their parents, brothers, spouse, children and neighbors. In many ways, Iraqi women are taught that

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<sup>1</sup> FAO Policy on Gender Equality, FAO, Rome, 2013

<sup>2</sup> MoP, National Development Plan, Baghdad, Iraq

<sup>3</sup> UNDP, women's economic empowerment integrating women into Iraq economy, Sept.



their options are limited or can be limited by an influential male in the community. From an early age, a family may remove a daughter from school for a number of reasons including the belief that she does not need an education to be a house wife or homemaker. As an adult, the neighbors' may harass and gossip about her because they disapprove of her work outside of the home. As a widow or divorcee, poverty and lack of job experience may force her to return to the home of her parents where she will again become the ward of the oldest or most responsible man in the household. Female Heads of Household and various other groups of Iraqi women also lack access to financial resources and social benefits such as social security, pensions, and food distributed through the Iraqi government's Public Distribution System. The breakdown of the social security network due to sanctions, conflict and the decline of the rule of law has impacted many women, but female-headed households the most as many of these lack a primary income earner.

#### *Displaced Women and Women in Conflict*

Years of protracted conflict have continued to produce dramatic changes to family structure with approximately 1,6 million widows<sup>5</sup> in Iraq and even more female-headed households. The ongoing conflict with ISIL has increased the number of widows and female-headed households.

Violence against women is prevalent in all forms and occurs in peace-time, during conflict and after conflict. Already affected by years of economic sanctions and armed conflicts, Iraqis, particularly women and girls, have been negatively affected by the deteriorating security situation in recent months. The ongoing conflict with armed groups including the Islamic State in Iraq and the Levant (ISIL) has forced nearly 2.5 million people<sup>1</sup> to flee their home since January 2014. In the recent wave of displacements, more than half of displaced population (51%) are female<sup>2</sup>. Violence and conflicts have impacted differently on men, women, girls and boys. In Iraq, women and girls have been subjected to gross human rights abuses such as abductions, killings, trafficking, torture, forced marriage, as well as exposed to risk of Sexual and Gender Based Violence (S/GBV). Following the seizure of Mosul in June 2014, ISIL established a pattern of sexual slavery, abduction and human trafficking

#### *Procedures taken to improve woman situation in Iraq<sup>3</sup>*

Iraq works too hard to eliminate gender discrimination and to prompt woman situation. There are many of legal texts included in Iraq legislations aim to gender equality coincide with human rights. Iraq signed the convention of anti-discrimination against women through the code No. 66 for 1986 in 28th June 1986. Iraq endeavored to commit to all items of the agreement although challenges including impact of violence on woman status in Iraq after 9th April 2003 especially terrorism. Procedures and policies aiming to protect woman from violence and all forms of discrimination have been taken.

#### *Status of Rural Women in Iraq 2014<sup>4</sup>*

Iraq takes important steps and makes a great progress to enhance woman status and her position in society through ratify on the international treaty, issued many of laws and legislations to enhance and empower women in economic, political, cultural and social as well as transformation program and interesting in rural women as set forth in:

Rural women program: General Secretariat of the Council of Ministers has specified amount of money to carry out project on Iraqi rural women with the supervision of State Ministry for Women Affairs to study the problems faced by rural women and propose solutions to them.

Fund for rural women development: Granting financial loans for rural households help them to find a small project to earn their living.

Training and awareness of rural women: Held training courses concern rural women development, their problems and how to deal with it.

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<sup>1</sup> IOM'S DISPLACEMENT TRACKING MATRIX (DTM), 26 FEBRUARY 2015, P. 1.

<sup>2</sup> IOM'S DISPLACEMENT TRACKING MATRIX (DTM), 26 FEBRUARY 2015, P. 1

<sup>3</sup> CSO, Iraq Man and Women Statistics 2014, P3

<sup>4</sup> CSO, Status Of Rural Women In Iraq 2014, Baghdad, Iraq

*Main Problems Faced by Rural Women:*

*Poverty in rural*

Poverty and hunger are considered social and economic pests for Iraqi households in urban and rural, and to draw policies and put plans to progress and decrease poverty we must make search of poverty conditions, monitoring, show its reason and location. In rural percentage of poverty was (30.7%) and poverty gap was (7.6%) by IHSES for 2012

*Education in rural*

Most of rural people do not educate their girls or make them leave school which is known as education leak, more than half of women never finished their education because their parents not allowed them to attend school as set forth in figure ( ) this need to make household be aware of women role in community. Result of I-WISH for 2011 showed that women aged (15-54) not complete their education (28.9%) and (24.4%) of women willing to complete their education and (30.4) of women willing to attend.

Results of IHSES 2012 shows that percentage of illiteracy aged (12+) years of age was very high that correspond to (43%) while women with BA degree was decrease about (1%) of total women this was because of traditions and social norms in rural that (49%) of rural women aged (12 more) not complete their education because of social reasons.

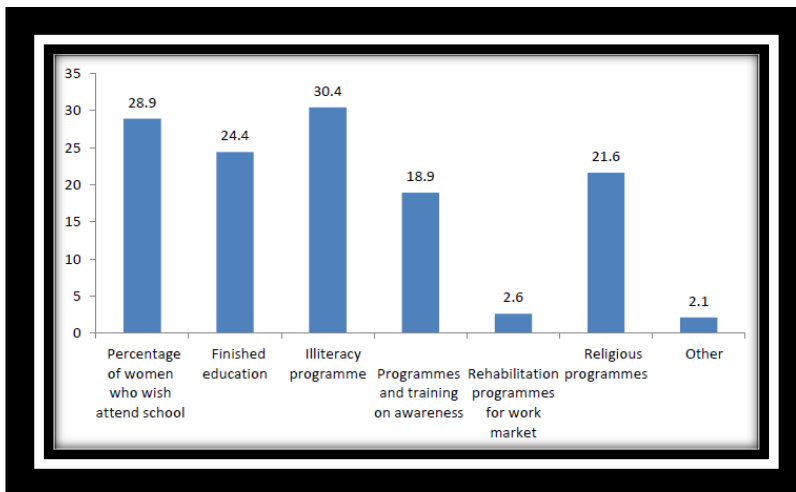
*Centers of illiteracy*

The absence of respect women culture because of traditions and hereditary norms in rural has a negative reflects on women channel that lead to unequally between man and women in rural and urban. Many actors have worked hard to help rural women to overcome their ignorance and illiteracy by data of executive org. for illiteracy in Iraq, this org. has opened (5699) centers about (2652) for women, (1842) for men and (1205) mixed centers. The Number of women who attend these centers in rural was (50719).

*Preference male to female*

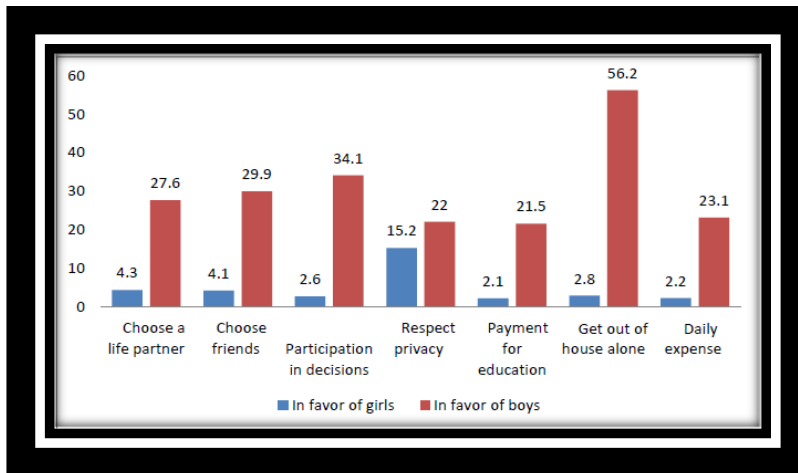
In rural households there are habits preference girls to boys in most cases and this percentage different between girls and boys in favor of boys by (I-WISH) for 2011 as set forth in figure below.

Figure (1): percentage of rural women aged (15-54) who do not complete their education by programme type that desire to attend for 2011



Source: results of I-WISH for 2011

Figure (2): percentage of difference in raising girls and boys within household by norms of rural women aged (15-54) for 2011



Source: (I-WISH) for 2011

#### *National and International Stakeholders Involved in Gender Activities In Iraq With Focus On Stakeholders Targeting Women Living In Rural Contexts*

In Iraq there are many agencies, organizations and other stakeholders committed to the promotion of gender equality and working on their own gender mainstreaming initiatives:

##### *Ministry of Planning (MoP)<sup>1</sup>*

Established at the 1959, the **objectives and strategic tasks of the departments of the ministry are:**

Conducting research and studies and develop plans and scenarios that achieve the goal of economic and human development in Iraq, in cooperation with official and private.

Preparing and following up the implementation of strategies for annual and five-year comprehensive development plans.

Provide statistical data and information necessarily needed by state agencies and establishing a national database comprehensive.

Supervision and follow-up file of international cooperation in respect of grants and technical assistance.

Work on providing the requirements of the information society in Iraq and make the maximum use of the information revolution and the dissemination of culture and promote practices in government departments and the general community down to the goal of e-government.

Care and support of the Iraqi private sector and to study the reality of this sector and to overcome difficulties and obstacles faced.

Develop an outline and propose strategic projects that require huge capital and a longer period of time for implementation in cooperation with other state agencies.

Support development in rural areas of Iraq through the study of reality and its problems.

<sup>1</sup> <http://www.mop.gov.iq/mop/index.jsp?sid=1&id=553&pid=115>

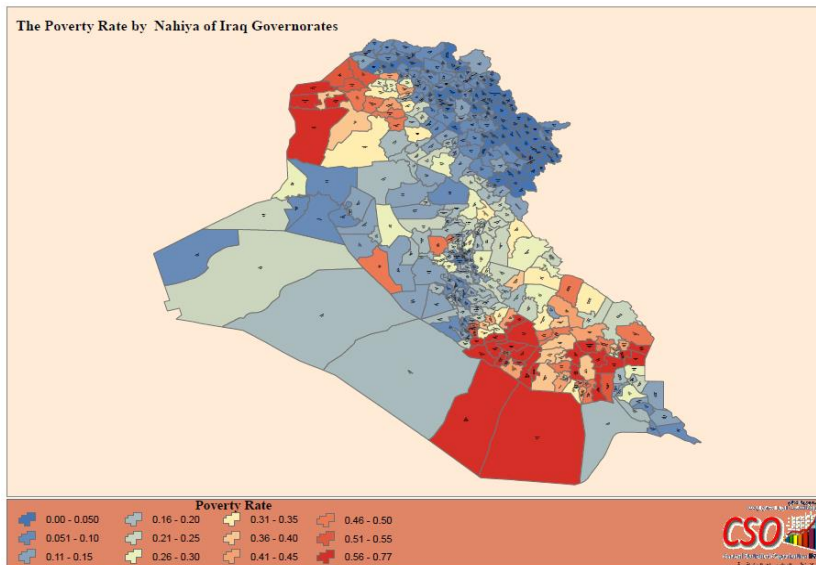
### Ministry Annual Investment Programs

The projects number of the investment budget up to 12/31/2013 final (8971) with providing basic services to citizens water, sewage and sanitation projects as well as projects related to the health aspect, where the majority of them are for the rehabilitation and the establishment of schools and educational and university buildings in all governorates the number of the agricultural sector projects (250) by (2.79%) of the total number of investment projects of which (215) Project construction and rehabilitation and development of irrigation and agricultural projects, of the Ministries of Agriculture and Water Resources.

#### MOP Poverty Reduction Strategy<sup>1</sup>

The National Strategy for Poverty Reduction approved in 2009 aimed to reduce poverty rates at the national level from 23% to 16% during the 2010-2014 period. The strategy went into actual effect in 2011 through the implementation of the National Development Plan programs that covered many of the poor areas in all governorates, and coverage rates increased in 2012 by allocating around IQD 500 billion of that year's investment budget, distributed to projects having priority within the poverty strategy. This centered on:

- Supporting the small loan fund to assist the poor
- Building low-cost housing compounds
- Eliminating clay schools
- Improving primary health care services



Out of the projects included in the investment budget, the following projects were found to be more relevant to youth:

Remove mud schools in Iraq through demolishing and rebuilding 409 traditional or prefabricated clay schools in the governorates.

Increase the numbers of mobile clinics for remote areas through purchasing three quality mobile clinics (equipped with an X-ray unit and binocular microscope to diagnose tuberculosis) and distributing them to the northern, central, and southern governorates.

<sup>1</sup> MoP, NDP2013-2017

Provide 21 types of lab equipment and devices for health centers in the governorates.

Support the Small Loan Fund for the Poor Project, which grants a small loan – totaling 5–10 million Iraqi dinars – according to specific controls and mechanisms to the following groups in the eight poorest governorates: the disabled, displaced returnees, widows, divorcees, female breadwinners, female ex-convicts, those affected by terrorist attacks, breadwinners of financially unstable families residing near landfills, and beggars.

Implement projects to build low-cost residential complexes for the poor and provide the relevant necessary infrastructure: schools, hospitals, paved roads, and wastewater networks in Muthanna, Qadisiya, Salahuddin, Diyala, Babil, and Wasit.

Build primary health care centers (establish 20 health care sites, each containing a caravan and a generator within a fenced piece of land and covering 200–1,000 people, to be distributed to the districts in Salahuddin Governorate).

Organize markets in poor neighborhoods (establish eight souks, each with 32 kiosks, in the districts of Salahuddin, and establish 100 kiosks in Qadisiya Governorate).

Take measures to provide infrastructure for the low-cost residential housing unit projects for the poor, including public utilities and connections to the main road.

The results of the analysis, which is based on the indicators of macroeconomic projections of the population estimates and the results of social and economic survey of the Family reached the poverty rate retreated at 2014 to what it was in 2007 (22.5 %) after it was expected to drop from 19% in 2012 to 15% in the sense that *the government had lost all the efforts made by since 2007 until 2012* and expressed the hope that the outcome of this analysis indicators for planners policy makers, especially poverty reduction strategy plan next support displaced persons, and reconstruction of the provinces from which they were displaced, these painful indicators calling on political leaders and the community to address this : crises of low oil prices and crimes of ISIS pain in the high rate of poverty in Iraq to (22, 5 %) during 2014<sup>1</sup>

#### *Central Statistics Organization - CSO*

The Central Statistics Organization (CSO) within the Ministry of planning (MoP) abides by Statistics Law No.21 of 1972. it's the only authorized official body to generate statistics at the national level and considers the main source which is responsible of all the statistics processes. including relationships with other authorities such as ministries, non-ministerial agencies, the private sector and other entities. CSO formerly name was the Central Organization for Statistics and Information Technology (COSIT), its main Tasks:

Implementation of general population and housing censuses.

Implementation of statistical processes which are connected with the different fields and surveys in sample, as well as carrying out all processes and statistical procedures (agricultural and industry ... etc).

Collect, unify, prepare, analysis and summarize the statistical processes results totally or partially.

Preparing and updating special database of election whenever needed.

Publish and print the statistical pamphlets and reports. And establish statistical training course, symposiums and conferences.

Participate in international cooperation in the statistical fields, and exchange the experiences with scientific, Arabic and International organizations which in statistical field<sup>2</sup>

#### *Gender Statistics Unit*

The Gender Statistics Unit was established in Iraq in 2007. It was set up in, the central Office for Statistics and Information Technology in the Ministry of Planning and Development Cooperation. The Unit has been established in cooperation with the Economic and Social Commission for Western Asia (ESCWA), the United Nations Development Program (UNDP), and the United Nations Development Fund for Women (UNIFEM).

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<sup>1</sup> <http://www.mop.gov.iq/mop/index.jsp?sid=3&nid=1783&y=2015&m=7&d=20&lng=en>

<sup>2</sup> <http://www.mop.gov.iq/mop/index.jsp?sid=1&id=245&pid=243>

Vision: to make the Gender Statistics Unit meet the best standards of similar international gender statistics units, so as to make it the reliable national source for credible statistical information.

Mission: To provide gender specific data and indicators that satisfy the variety of ever changing needs of statistics users; to reach a high degree of quality in the production of such data and indicators and to observe their timely publication, in ways that would make them easily available, and conducive to the empowerment of women and their participation in the overall process of equitable and sustainable development

### *Women's Issues*

The interest in women's issues and their participation and contribution to social development was based on the developmental fact stating that human resources make wealth. Thus, since women constitute half of the society both quantitatively and qualitatively, their development should be focused on empowerment as women are considered to be the basic foundation for the building of human capital. This requires the support of women's leverage, organizing their skills and upgrading their status in addition to changing women's self-perception to make them capable of taking decisions and increase their capacity to participate in the policy and decision-making process.

The Iraqi state is addressing gender issues based on its strong belief in the importance

of gender equality in rights and responsibilities that is reflected in the Iraqi constitution that consecrates equality among male and female citizens in all rights and responsibilities and in all fields (political, economic and social). Moreover, Iraq has ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the Convention on the Rights of the Children and other international conventions and instruments related to women. The establishment of the Ministry for Women's Affairs in 2003 reflects the State's commitment to these goals by founding national mechanisms and bodies that are conscious of women's affairs and that operate at the highest levels to detect and monitor the recommendations of international and regional conferences, charters and conventions, to empower women in all fields and domains.

### *State Ministry of Women's Affairs (SMoWA)*

(SMoWA) was established in 2003 as a state ministry, which means that it is not a full ministry with an independent budget, as an implementer of government sponsored programs for women. SMoWA developed a National strategy for advancement of Iraqi women has confirmed on enhancing the location development chance (urban, rural) that ensured justice in geographically distribution of investment and financial resources with feature of rural women interesting. Council of Ministers resolution No. (164) for 2014 to ratify the national strategy for advancement of Iraqi women.<sup>1</sup>

### **SMoWA performs:**

A national campaign for fighting violence against woman.

Establishing, conducting and following-up a gender awareness program in co-operation with state ministries, institutions and non-governmental organizations as well as supervising surveys related to woman to determine woman status in labor position and decision-making centers.

Create a division for observing woman rights in the Ministry of Human Rights works to report violence cases against woman and try to eliminate them.

Create a sectoral committee from the relevant ministries according to the decree No.80 for 2009 approved by the Secretary General of the Council of Ministers headed by the Ministry of Woman Affairs and shared by relevant ministries

The SMoWA strategy for promoting Iraqi women's effective participation in the country's reconstruction. The strategy identifies six sectors where women can contribute to the country's growth and development: the education, healthcare, social services, legislative, economic and media sectors, it is also identifies critical areas for interventions in each sector and proposes particular initiatives for women's advancement in each sector. For example, in the education sector, illiteracy is highlighted as a critical issue for women and girls. Strategies proposed to address this issue include using unemployed college and institute graduates to lead literacy training; strengthening the capacity of education professionals; developing

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<sup>1</sup> Status of Rural Women in Iraq 2014, CSO April 2014 P7

strategies to keep girls in school and reduce the dropout rate, including computer and English language courses at rural primary schools; and providing proper training for unemployed girls to increase their employability.

In the health sector, the *SMoWA* has identified breast cancer as a major health issue for Iraqi women. The Ministry secured funding from the Prime Minister to implement an awareness-raising campaign that included brochures, television spots, and educational courses for medical personnel. The *SMoWA* would like to expand this campaign nationwide, undertake a neighborhood family doctor initiative and support the issuance of government-sponsored healthcare cards for women and orphans who can't afford health care as ways to address the problem of breast cancer. In the social services sector, the *SMoWA* identified two domestic issues related to marriage and violence against women as critical areas requiring attention. The two marriage issues identified are unregistered marriages and divorce. The Ministry strategy includes the development of an awareness campaign on the disadvantages of unregistered marriages and a campaign to encourage reconciliation for seemingly irreconcilable differences between marital partners. The Ministry also identified the importance of additional research and documentation on violence against women, and the funding and establishment of more domestic violence centers to provide services for victims, including programs for the reintegration of survivors into society.

The *SMoWA* strategy identifies women's lack of knowledge of their legal rights as a critical issue and proposes the following approaches to reverse this situation:

- A national campaign of legal literacy targeting Iraqi women and focusing on both national and international statutes;
- The modification of Iraqi laws that are inequitable for women;
- Initiating a process aimed at removing Iraq's reservations to certain sections of the Convention to Eliminate All Forms of Discrimination against Women (CEDAW); and
- The development and passage of a social security law to address social security issues for Iraqi families, particularly women and children.

In the economic sector, the Ministry identifies the integration of women into the Iraqi economy as an important area for focus and intervention. In particular the Ministry strategy calls for greater participation of women in economic growth initiatives including women's inclusion and investment in government projects, qualifying Iraqi women as project owners, increasing the provision of loans to female entrepreneurs, compensation for female victims of anti-terrorist operations, and the provision of unused government buildings for women's training programs. The Ministry's plan concludes with a media strategy aimed at promoting women's roles in the media and the media's coverage of women's contributions to society. The strategy also calls for the development and publication of a quarterly magazine that highlights the latest women's news and provides space for articles and research on contemporary Iraqi women's issues and contributions to national development.

### *SMoWA Programs and Projects*

#### *Training program for the integration of women's needs:*

Training program for the integration of women's needs and equivalent opportunities for them within ministries in collaboration with the hands of Mercy Association (NGO) for the purpose of developing its policies towards meeting the needs of women and provide opportunities for them equitably with men.

The program was initiated to set up a course on strategic planning hosted by MoLSA with the participation of employees of affiliated and units of gender issues in the ministries. Followed by sessions on the analysis of services projects in terms of responsiveness to the needs of women and men, and makes the required adjustments to be suitable for gender it. To achieve the integration of a gender perspective in the planning, implementation, monitoring the performance of government institutions.

#### *State Ministry of Women's Affairs cancellation<sup>1</sup>*

Unfortunately Iraq i council of ministries and according to Divan Order No. 312 dated August 25, 2015 decided to cancel four ministries and merging eight more in a new move of reforms in the country., he ordered the cancellation of deputy

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<sup>1</sup> Republic Of Iraq General Secretariat For The Council Of The Ministers <http://cabinet.iq/ArticleShow.aspx?ID=6441>

premier's posts. The cancelled ministries were Human Rights Ministry, Women's Ministry, Governorates' Ministry, and Parliamentary Affairs Ministry.

## Agriculture

### Background

About 1/8 of Iraq is arable land, mainly in the north and northeast. Approximately 1/10 is permanent pasture. The most significant crops include: barley, wheat, rice, vegetables, corn (maize), millet, sugarcane, sugar beets, oil seeds, fruit, fodder, tobacco and cotton. Iraq was formerly the largest producer of dates, and is approaching increased production after a decline during the Iran-Iraq War. Animal husbandry is widely practiced, particularly among the Kurds of the northeast, producing milk, meat, hides and wool. In 2010, there was a 17.2% increase in the GDP at constant prices over 2009, reflecting real growth in the contribution of the agricultural sector to the GDP, which rose from 7.3% in 2009 to 8.1% in 2010 (despite the droughts in Iraq during 2008-2009) and 7.6% in 2011. This indicates relative success in the agricultural sector as a result of the relative improvement in infrastructure, technology and knowledge of cultivation and irrigation methods, as well as the results of the agricultural initiative. The rural population makes up around 30% of Iraq's population and agricultural workers are estimated to make up 20% of the workforce. The agricultural sector is considered the main generator of job opportunities in both the Iraqi private sector and in rural areas. Work in the agricultural sector is characterized by its seasonal nature and its dependence on the family work model, which is reflected in the work productivity of the countryside<sup>1</sup>

#### *Ministry of Agriculture (MoA)*

Ministry of Agriculture (MoA) Established in 1921, as governmental entity responsible for the agricultural sector in Iraq.

The number of staff OF Agriculture ministries by sex for the year 2012

Ministry	Total	Female	Male
Agriculture	21596	5116	16480
Water Resource	18638	3606	15032

Source: central statistics organization-info bank

The 2015-2025 MoA strategy identifies its mission as "to improve the performance of the agricultural sector contributing to the economic, social, environmental and sustainable rural development of Iraq". Agriculture seeks to fill the national food basket and contribute to diversifying the economic foundation of the Iraqi economy and guaranteeing sustainable water rights. (MoA) working to promote rural employment, increase farm income and productivity, and restore vital services to the farm community, and intends to transform Iraqi agriculture into a market-based sector in which the Ministry supports farmers, processors and marketers with world class research and development and effective regulations the Ministry has developed short and long-term strategic plans, a budget and an administrative reorganization.

- Developing quick-impact activities to stimulate agricultural production that included rehabilitating agriculture colleges, procuring and distributing veterinary medicines, rehabilitating veterinary clinics and demonstrating new crop technology.
- Restoring the marshlands in the south for developing a river basin, fisheries and improving the living standards of the Marsh dwellers.
- establishing date palm nurseries in 13 governorates to help restore Iraq's once dominant position in the international date market.

#### *(Some selected MoA Programs)*

farmers soft loan fund

The number of borrowers (women only) from 01/08/2008 until 12/31/2013 and beneficiaries of the agricultural initiative (125) borrowed covering all the agriculture activities. The total amount of loans granted to them 30,961,525,000 Iraqi dinars

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<sup>1</sup>National Development Plan 2013-2017, Ministry of Planning, Iraq Development Plan 2013-2017



Department of rural women development carrying training, field days, field observations, lectures, seminars and activities on the following subjects:

Environmental and health side Seminar

Food and rural cottage industries

Fighting ectoparasites on sheep and goats

Agriculture in greenhouses

Shear sheep wool

Immersion sheep

Breeding sheep and goats

Bees keeping

Vegetable growing in the home garden / animal husbandry at home products (tomato paste, molasses, vinegar) / building character of rural women in agricultural decision-making / agricultural loans

The importance of agriculture in greenhouses

Organic fertilizers and their importance

The importance of rural and food industries in the rural family / methods of food preservation and conservation of support from pollution

Post-harvest operations and its role in the agricultural / motivate women to complete the Marketing Education for the advancement of agricultural reality

Empowerment of rural women in small business management / post-harvest operations

Cows breeding

Mushroom cultivation / organic fertilizer industry

Building character of rural women in agricultural decision-making / water conservation / optimize the use of chemical fertilizer use

Related products / (industry juices, tomato paste) / importance of the implementation of agricultural projects

Mushroom cultivation / organic fertilizer industry

The unification of the estrus ewes / agricultural loans

Health care for cows and milking mechanical / building character of rural women in decision-making

Protected cultivation for the production of vegetables / motivation to learn and complete the Education crops

Food and rural industries

*Ministry of Labor and Social Affairs (MoLSA)*

The MoLSA is one of the oldest Iraqi ministries. It was established in 1939

### **Goals and Official tasks**

Confirm the value of work as a right and duty to everyone capable of doing it.

Suggest unified work wages policy.

Deepen and distribute the democracy practice towards labor relationships.

Provide social security for labor.

Deepen the understanding of vocational safety at work to secure protection for the worker from vocational diseases, work accidents and secure the machine maintenance and protect production.

Share in the development of human resources through training and rehabilitating the labors to get skills at various jobs.

Organize and practice maintenance service for the equipment, machines, transportation means and raise the capability of employees.

Provide care for the families with handicapped children.

Provide care and rehabilitation to children to ensure their participation in the process of development and remove all psychological impact against the process.

Take care of social reform for prisons to secure improving the prisoners, rehabilitation and education, study the circumstances of their families and support them.

### **Community development**

In the area of community development, aimed a special protection to vulnerable groups with limited income to improve their living conditions, support opportunities for community stability, strengthen the institution of the family, and give due

consideration to the balance between the rights and duties of development partners from state and public institutions, Poverty reduction linked to the social security net program and small grants program that aims at generating income, in addition to the unemployment allowance program and social rehabilitation program that seeks to create income generating job opportunities, empowering the poor, building their capacities and rehabilitating them in a bid to increase their productivity.

Community development fields:

#### *Social Security Network*

The Social Security Network had very high coverage, encompassing vulnerable groups (the disabled, widows and widowers, the elderly...). The fluctuation in the rates of those covered from 2009-2010 is due to changing inclusion controls in the network, and the disqualification of the cases not covered under the controls.

#### **The Disabled**

The percentage of disabled individuals benefitting from centers for the mentally disabled in 2010 and 2011 increased by 2.4% and 5.1% respectively.

The levels of utilization of the absorptive capacity of centers for the mentally disabled increased during 2009, 2010, and 2011 by 75%, 76.8% and 80.7% respectively.

Numbers of individuals receiving services from centers for the physically disabled increased from 2009 and 2010 by 8.3%.

Levels of utilization of the absorptive capacity increased, with the percentage of those receiving services increasing in 2009 and 2010 by 44.5% and 48.2%.

#### *MoLSA Programs*

##### *Training Programs*

The Pilot Programs, Vocational Training Programs for job seekers within which include (Business Innovation, and acquire life skills) for the period from 2006 until 01.11.2015., according to the requirements of the labor market through the adoption of such pilot programs in vocational training centers to gain trainee skill in a particular profession, to train (10101) job seekers (3476) male and (6625) from females. the knowledge and skills of job seekers in the field of the establishment of small enterprises as well as bridge the relationship with the labor market and allowing young people to establish their own businesses through training on the preparation of a typical action plan. The MoLSA came out (18 755) in search of work during the year 2014 registered in its training courses base (educational, professional, and entrepreneurial) set up by the distributed training centers between Baghdad and the provinces of (37) training professionally center (15 ) than in Baghdad and the rest distributed among the provinces.

##### *Training of the beneficiaries of social protection to set up small income-generating projects*

in collaboration with UNDP, and the Central Bank release loans to the beneficiaries social protection to establish small-scale projects. MoLSA work in collaboration with UNDP to set up training courses for women wishing to access to loans granted by the Central Bank of the beneficiaries include how to set up income-generating projects and study the feasibility of the project, the value of the loan up to 50 million dinars, 5.5 percent interest.

##### *Small income-generating projects support*

The MoLSA lending (16753), looking for work individuals in Baghdad and the provinces except for the Kurdistan region to support small income-generating projects For the period from 2013 until 2015. a small project within projects (lending fund, industrial and services), according to Law No. (10) for the year 2012. The limit of the loan amount( 10-12) million Iraqi dinars within the industrial services, repaid principal and interest-free in the form of annual installments over five years with a grant to allow a period of one year the ministry is seeking through the implementation of various lending programs to reduce unemployment in Iraq and the integration of marginalized groups in economic and social life and turning them from consumer items to the actors productive and that by enabling them to set up individual projects small income-generating.

### *Soft loans*

Soft loans to the poorest groups within the strategy of poverty reduction for the period from 2012 until 2015. The ministry lent (9924) individuals to the poorest groups in society (widows, divorced women, heads of households, returned IDPs, those released from prison who learned the profession, and beggars, and the unemployed poor) to create small projects, in Baghdad and all the provinces except for the Kurdistan region to set up small income-generating projects. MoLSA seeking through the implementation of the strategy to integrate marginalized groups in economic and social life and turning them from consumer items to actors productive, enabling them to set up individual small projects income-generating.

### **Ministry of Health (MoH)**

The MoH of Iraq was founded in the middle of previous century.

Its task is to provide health and medical services to every Iraqi citizen during normal and emergency circumstances in the country. The ministry also administrates the affairs of health and medical cadres in Iraq. It has a responsibility to provide best requirements of curative and health preventive security to all individuals of society. Health services have been developed by the MoH and its facilities. Consultative and service facilities expanded in a remarkable way. Iraqi people, hospitals and health centers suffered from wars and destruction. But, in spite of all these circumstances, health ministry and its cadres could provide best services to Iraqi citizens.

The health care system in Iraq was, for many years, well funded at or above the level of surrounding nations. Due to economic devastation from war and sanctions, the Iraqi government dramatically decreased spending on health care to as low as 0.2 dinars per person during 1991-1995. In recent years, lack of security in Iraq has taken a heavy toll on health care services. Many doctors were targeted and killed by militia, while others fled the country. Most have yet to return. During this time the quality of medical education has also suffered, creating the potential that new doctors entering the field are less prepared than their predecessors. Women especially have suffered from the lack of qualified, experienced female medical personnel.

Though government funding for health remains low, but access to quality health care is a top priority for most Iraqis—particularly women and also are suffering from lack of access to and information about their rights to basic health services.

### *Public Outreach and Education<sup>1</sup>*

The MOH and the SMoWA have conducted several public outreach health campaigns in recent years targeting issues such as breast cancer and H1N1 (ongoing). The SMoWA in collaboration with the MoH initiated a campaign for breast cancer awareness. The campaign included media spots, brochures and seminars to educate women on the importance of self-exams. The anecdotal evidence showed an increase in the number of women going to health care providers about abnormalities they found during self-exams. However, public awareness of many health issues remains limited. According to the 2006 Iraq Multiple Indicator Cluster Survey (MICS), only 38.5 percent of children in Iraq (47% in KRG) were fully immunized. Awareness-raising is a key component of prevention. Also, many citizens do not know their rights to health care, or which services are provided by the GoI and which are the responsibility of the patient. Costs of treatment vary widely and stakeholders interviewed reported that patients must often bribe medical staff and attendants in order to receive care. This engenders a lack of trust in the medical system, further undermining effective prevention and treatment of disease.

### **Health and reproductive Health**

The MoH has sought to develop medical practices that help control chronic diseases in the areas of maternal and child care, which has seen remarkable progress represented by reducing the number of deaths of children and the MoH, continues to work on the application of the immunization program against Communicable Diseases. Vaccinate children under five years is one of the most important steps to prevent disease and reduce the incidence of deaths due to the transition of diseases, the first line of defense to protect the child, such as (B. C. G.) According to the annual report of MoH for 2013 have been recorded (91 %) of vaccine coverage (B. C. G.) demonstrates the increasing awareness of the mothers of the importance of vaccinating their children, the DPT and polio have been recorded (85 %) for the first dose and the single

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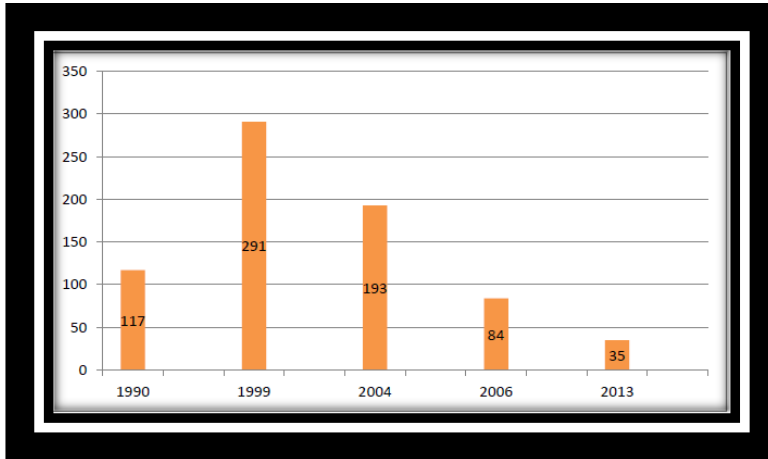
<sup>1</sup> USAID/IRAQ GENDER ASSESSMENT

measles vaccine (74 %) and viral hepatitis vaccine (86 %) should make efforts to raise the proportion of vaccines, especially in low-coverage governorates.

#### *Child and maternal mortality rate*

Meant the death occurring during pregnancy, childbirth or postpartum (puerperal) summary results of a survey showed the map of poverty and maternal mortality for 2013 that the maternal mortality rate (35) deaths per (100,000) live births on the level of Iraq, decline compared with 2006's (84) deaths per (100,000) live births.

Figure (4) maternal mortality rate for the period (1990-2013) for each (100,000) live births



Source: Survey Results and maternal and child mortality in Iraq for 1999

Report survey of living conditions in Iraq for 2004

#### *Abortion*

Abortion rate was 7.5 per 1,000 women of childbearing age at the level of Iraq for 2013 and the highest rate among the governorates (12.3) in Wasit, and lowest rate (3.5) in Diwaniyah.

#### *Cancers*

Cancer still at high level in Iraq, especially women with breast cancer amounted (3464) infection for 2010. Followed by leukemia (715) and (587) between men and women, respectively

#### *UN AGANCIES*

##### *World Health Organization (WHO)*

WHO supports countries as they coordinate the efforts of multiple sectors of the government and partners – including bi- and multilaterals, funds and foundations, civil society organizations and private sector – to attain their health objectives and support their national health policies and strategies. WHO main areas of work are health systems, promoting health through the life-course, Non-communicable and Communicable diseases, corporate services, preparedness, surveillance and response. The WHO country health profile of Iraq provides key statistics and links to health topical databases, plus news, features and Bulletin journal articles<sup>1</sup>.

<sup>1</sup> [www.who.int/country/iraq](http://www.who.int/country/iraq)

United Nations Population Fund (UNFPA)<sup>1</sup>

UNFPA is the lead UN agency for delivering a world where every pregnancy is wanted, every childbirth is safe and every young person's potential is fulfilled. UNFPA expands the possibilities for women and young people to lead healthy and productive lives. Since UNFPA started working in 1969, the number – and rate – of women dying from complications of pregnancy or childbirth has been halved. Families are smaller and healthier. Young people are more connected and empowered than ever before

See more at: <http://www.unfpa.org/about-us#sthash.FFmpkxKO.dpuf>

### **Gender - Equality and Women Empowerment**

#### *UNFPA Gender: Interventions*

The Gender Programme in UNFPA's intervention is relatively new in Iraq, having started in 2008. It is foreseen that the programme will continue its work, addressing the impact of the conflict upon women's status in the country's development trends, as well as the continued challenge of political disputes as an overarching issue that impedes the progress of the status of women. From 2008-2010, the Gender Programme proposed prevention and responses for ending GBV through the provision of:

#### *Combating Violence against Women (CVAW)*

A two-year multi-sector joint program for Combating Violence against Women (CVAW) in Iraq ending mid 2012. It aims to contribute to the following outcome "Improved environment for the protection of women's rights and prevention of VAW throughout Iraq".

#### *"Improving Prevention and Response to Gender Based Violence (GBV)*

A Project entitled: "Improving Prevention and Response to GBV in Four Governorates in Iraq: Erbil, Baghdad, Najaf and Basra". The project focuses on strengthening the capacity of service delivery points (centres) and district facilities to deal with GBV survivors in four governorates in Iraq as a protection measure for young girls and women in crisis. It as well aims to increase advocacy for and awareness of GBV issues and services available to women in these communities.

An ongoing advocacy and campaigning for CVAW and ending GBV through such activities as 16 days of activism, and International Women's Day. UNFPA took the lead in conducting these activities in collaboration with the Gender Task Force and Advocacy Team.

The Programme conduct the following interventions:

Raising stakeholder knowledge on the extent/scope/level/range, forms and effects of VAW.

Incorporating the national VAW strategy plan of Action into sectoral action plans and local services.

Developing sectoral capacities on norms and standards for managing cases of GBV, a sectoral statistics system, and a referral system.

Increasing the institutional capacity building of female grassroots associations.

Supporting networks among women's NGOs at the local and national levels with linkages to the parliamentary women's committee.

Enhancing the partnership between interfaith based organizations and local communities to advocate for women's right for a life free of VAW.

#### *National Partners*

SMoWA; MoH; MoI, MoLSA; / Kurdistan High Council of Women Women NGOs; Parliament committees; and University Research Centers

#### *UN Partners:*

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<sup>1</sup> United Nations Population Fund ( UNFPA)

### *UN WOMEN, UNDP, WHO, FAO*

Youth Development and Empowerment Recognizing the demographic transition that the Iraqi population is passing during the next 20 years, as well as the "Youth Bulge" as a demographic bonus that is creating unprecedented opportunities and challenges for Iraq, the National Development Plan (2010 – 2014) stressed on investing on youth, expressed as "Promoting the Empowerment and capacity of Iraqi youth to face social challenges and to contribute to community development".

Jointly with other UN agencies (ILO, UNESCO, UNDP, WHO), this component aims to directly contribute to youth's full achievement of their Human Rights (social, economic and civic), and to assist relevant government partners, civil society organizations, and local youth associations, to respond comprehensively to Youth development priorities.

#### *National Youth Policy*

The Government of Iraq (GoI), with international organizations has been working extensively to enhance the status of the Iraqis and deliver quality services at all levels. An adequate well-developed strategy related to youth will profoundly determine the future of the country. A strategy will empower and provide an arena for youth to make the right choices, protect them from exploitation and neglect and ensure their participation in all spheres of society. To address some of these issues and, more importantly, to take a strong stand in support of their young people, UNFPA is assisting the GoI to develop a long-term, consensus-based, integrated and cross- sectoral youth policy and strategy.

#### *National Partners (at Federal and Kurdistan Regional Government)*

*Ministries Youth & Sport, Ministry of Culture & Youth (KRG), Ministry of Education, Ministry of Labour & Social Affairs, Ministry of Health, Youth NGOs, Parliament committees, academia, and University research centers.*

#### *UN Partners:*

*ILO, UNESCO, UNDP, UNICEF, WHO, FAO*

#### *Youth Friendly Health Services (YFHS)*

In partnership with the MOH, UNFPA is institutionalizing a YFHS package within the Primary Health Care (PHC) centres that aims to respond adequately to adolescents' and youths' health needs and concerns.

UNFPA's main activities include capacity building of service providers as well as strengthening the health information system in Iraq. The programme will cover the generation of strategic information on the dynamics of health-seeking behavior and utilization of health services by youths in Iraq as required for setting the basis for drawing a national youth health strategy, which in turn, will contribute and correlate with the National Youth Strategy.

#### *Civic Values and Life Skills (CVLS) Education*

The introduction of CVLS within the education system in a systematic and sustainable manner will allow a better preparation of youths' future, in terms of securing their livelihood and reducing their vulnerability to external factors. Civic Values are conceptually defined as including the following concepts: Human rights, citizenship, national identity, tolerance and gender equality. As for Life Skills, they are defined as encompassing interpersonal communication skills, negotiation skills, teamwork, advocacy skills, decision-making and problem solving skills, critical thinking skills, skills for managing feelings as well as stress management skills. UNFPA's main interventions in Iraq are to strengthen the institutional and staff capacities of the Ministries of Education (MOE), Labor and Social Affairs (MOLSA), and Youth (MOY) in Iraq to deliver quality formal and non-formal education through the promotion of CVLS and to integrate CVLS education in the Vocational Training Centers (VTC) operating under MOLSA, the Vocational Education Schools (VES) of MOE, both at central government and Kurdistan region.

#### *Peer Education*

UNFPA supports MOY, MOLSA, MOE and MOH to integrate CVLS based peer education into their agendas through establishing a ministerial and NGOs network and mechanism to support and facilitate peer education activities among youth. Such activities include Training of Trainers and cascade training for the Master Trainers to reach out to their peers in their respective governorates.

More information about Y-PEER Iraq

### *Rehabilitation and Reintegration Services*

Strengthening rehabilitation and reintegration services is directed towards children and young people in reformatories. UNFPA's main focus lies on strengthening educational, vocational and health services inside the reformatories; and supporting children and young people after their release through provision of social, vocational and educational reintegration services.

### *UN Women<sup>1</sup>*

In July 2010, the United Nations General Assembly created UN Women, the United Nations Entity for Gender Equality and the Empowerment of Women. In doing so, UN Member States took an historic step in accelerating the Organization's goals on gender equality and the empowerment of women. The creation of UN Women came about as part of the UN reform agenda, bringing together resources and mandates for greater impact. It merges and builds on the important work of four previously distinct parts of the UN system, which focused exclusively on gender equality and women's empowerment: - See more at: <http://www.unwomen.org/en/about-us/about-un-women#sthash.la9dX21w.dpuf>

### *Gender Responsive Budgeting with UN Women Iraq*

The Gender Responsive Budgets (GRB) project is delivering a series of training workshops, mentoring, and technical assistance to government agencies, civil society organizations, and academia in Kurdistan, Iraq. The goal is to facilitate the inclusion of gender equality issues across governments, and integrate gender equality issues in budget reform processes. the Services delivered: Policy and strategy development, training and capacity building.

### *The scope of activities.*

The GRB project supports the Government of Iraq and the regional Government of Kurdistan to develop an effective, efficient, and responsive public sector through an administration-wide reform strategy. It is part of the Iraq Public Sector Modernization programme (I-PSM), a multi-agency UN joint programme.

Pilot projects in three key service sectors – Health, Education, and Water & Sanitation – focus on gender budget analysis. A joint task force of government and civil society was created to facilitate the exchange of best practices and experiences on mainstreaming gender equality issues in government budgets. In addition, information sessions with Parliamentary committees and the Council of Ministers help them to understand their respective roles in budget reform.

The project is working in close cooperation with the UN agencies mandated to implement the Kurdistan Public Sector Modernization programme.

To learn more about this project please contact us at [gender@kit.nl](mailto:gender@kit.nl) or get in touch directly with the project supervisors shown in the right hand column.

### *United Nation development Program (UNDP)*

UNDP addresses a range of critical development issues, meeting the diverse and often shifting challenges facing the people it serves, from combating and adapting to climate change, to fighting poverty and inequality, from protecting the environment to promoting good, inclusive governance. UNDP aims to promote the protection of Human Rights and the Empowerment of Women<sup>2</sup>.

UNDP Iraq seeks to help ensure the Government of Iraq has the necessary institutional framework to achieve the Millennium Development Goals (MDGs) in line with pro-poor, equitable and inclusive socioeconomic and environmental policies and strategies. UNDP supports Iraq in accelerating inclusive growth to ensure equitable, broad-based human development is attained by all citizens in Iraq. The Country Programme Action Plan is designed to strengthen national structures and processes to systematically track and review progress towards the MDGs by collecting and analysing data disaggregated by gender, age and location.

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<sup>1</sup> [https://unwomen.org./](https://unwomen.org/)

<sup>2</sup> [www.undp.org.iraq](http://www.undp.org.iraq)

UNDP will expand its capacity development support to local area-based development to enhance local participation, accountability and transparency in adapting planning and delivery of services that better reflect the needs of Iraqi people on the ground.

Iraq's natural environment is under serious threat that will lead to an irreversible process of degradation if development efforts continue without environmental and social consideration. Iraq therefore, needs to significantly strengthen its institutional response to environmental issues and climate change through improved policy and legislation, investment in the environment sector and monitoring and enforcement systems.<sup>1</sup>

## UNDP PROGRAMES

### *The European Union (EU)*

Protecting Human Rights of vulnerable civilians in Iraq project is a three- year project funded by European Union through Minority Rights Group Organization. The project started at October 01, 2013 and will end at December 31, 2016. It will take place in 5 provinces of Iraq; Sulaymaniyah, Duhok, Kirkuk, Erbil and Mosul.

The main object of the project is to increase the capacity of civil society organizations and other civilians in Iraq and to advocate for increased protection by local, national and international actors.

Within this objective, the project will focus on the rights of vulnerable women. The general plan to achieve project main goal is to monitor and report violations of women rights across Iraq through a form developing that contain all the type of the violence as per Iraq and international laws, communicate with the related local authorities to facilitate the support procedure of data collecting and conduct two trainings to raise awareness about the sources of violence and women rights standards and laws nationally and internationally.

The project activities will be implemented through partners in other governorates. Establish PAO (people aid organization) in Kirkuk, Nujeen Center in Duhok and Altahreer organization in Mosul.

The mechanism of the implementation could be divided to many outcomes the project work on them through another list of activities. The outcomes diverts from contracting with NGOs to hire researchers, explaining the form for the researchers and other activists during the first training along with Human rights standards and women situation in Iraqi laws, providing the researchers with the needed official letters and communications and collecting data and information from VAW victims and families, witnesses, courts, police stations, press, clinics, government officials and medico legal institutes.

Minority Rights Group International campaigns worldwide with around 130 partners in over 60 countries to ensure that disadvantaged minorities and indigenous peoples, often the poorest of the poor, can make their voices heard. Through training and education, legal cases, publications and the media, the project support minority and indigenous people as they strive to maintain their rights to the land they live on, the languages they speak, to equal opportunities in education and employment, and to full participation in public life.

Project funded by:

The European Union  
Partner Organization:  
Minority Rights Group  
NGOs

*Um-Alyateem for Development Foundation (UDF)<sup>2</sup>*

UDF is a civil society organization with no political activity, based in Iraq / Baghdad / Al huria City / (438) / St. 30, mailto: info@umelyateem.org. The organization's vision: (A community of men, women and children as possible and conscious of its responsibilities actively involved in promoting democracy)

*Initiative for civil & political empowerment of women in Iraq*

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<sup>1</sup> [http://www.undp.org/content/iraq/en/home/ourwork/povertyreduction/in\\_depth/](http://www.undp.org/content/iraq/en/home/ourwork/povertyreduction/in_depth/)

<sup>2</sup> <http://www.umelyateem.org/PageViewer.aspx?id=43>



This project implemented by Um-Alyateem Foundation (UMF) and funded by the United Nations Fund for Democracy (UNDEF) with partnership of (4) civil society organizations (CSOs) in (4) governorates (Gov) (women leadership institute/ Baghdad, Bent-Alrafidain org/ Babil, Sawa for human rights/ Muthanna, Al-Ferdws Iraqi Association /Basra). Duration of the initiative two years starting from (01/01/2014), aims to increase the political participation of women in rural and urban areas in the targeted governorates and targeting 400 women and 280 men from the local leaders. The project seeks to promote women's awareness about the importance of political participation through voting and running for elections through implementation of (16) awareness and dialogue workshops, establish a support mechanism for candidates and elected women through the creation of (12) Women Support Group (WSGs) total of 240 women were trained on support means and mechanisms and develop a plan to support candidates in their campaigns and support elected women ( the new parliamentarians ) inside and outside parliament by implementation of several activities, (40) women trained on TOT skills have trained women of WSGs. The project trained (80) women candidates to manage their electoral campaign and leadership skills, communication with media & voters and legal awareness about electoral systems, the project also seeks to build capacity of elected women in order to improve their performance through parliamentary training workshop for 20 new female parliamentarians with ongoing support by WSGs and monthly education and coaching provided by the political training academy will be established in Baghdad. The initiative includes several other activities Please click the below links

#### *IRAQ FOUNDATION (IF)*

The Iraq Foundation, incorporated as the Free Iraq Foundation, is a non-profit 501(C)3 organization. The Foundation was established by Iraqis in 1991 as an independent, non-partisan, non-sectarian and non-ethnic organization. Our mission is to promote democracy, human rights, and civil society in Iraq, and help Iraq in contributing to regional stability

#### *Widow's Initiative for Economic Sustainability (WIES)<sup>1</sup>*

The goal of the Widows' Initiative for Economic Sustainability (WIES) was to create jobs for over 500 female heads of household (FHH) and develop business opportunities so that FHH could attain economic independence. IF provided widows technical business and job skills training, assisted in forming new woman-owned medium to small enterprises (MSEs) and in expanding existing MSEs, and matched motivated and skilled FHHs to suitable jobs in the private sector.

#### *Women for Equitable Legislation (WEL)*

From September 2011 – December 2013, IF implemented the WEL project with the goal of reinforcing the framework of women's rights by promoting and facilitating stronger and more effective legislation aimed at protecting those rights enshrined in the constitution and in line with international human rights standards. WEL successfully concluded with the endorsement of proposed amendments by members or parliament, in several cases exceeding the required number in the constitution, and their submission to the Office of the Speaker for consideration by the Council of Representatives.

#### *Empowering Female Candidates (EFC) in Iraq*

From February 2013 – August 2013, IF, supported by UN Women, implemented a training program for women candidates in local elections to enable them to participate in upcoming elections with greater confidence and ability to attract votes. Training was conducted in cooperation with local partners on a variety of constitutional and political topics. IF carried out evaluations of the capabilities of local partners as well as those of the 300 women candidates trained as part of the project.

#### *Empowering Iraqi Widows to Thrive (EIWT) Project*

From September 2010 – February 2013, IF conducted the Empowering Iraqi Widows to Thrive (EIWT) project. The goal of this project was to improve the quality of life of marginalized widows in disadvantaged areas and equip them to be productive contributing participants in the Iraqi economy and Iraqi society. The project provided life skills education and education on women's rights and citizenship to a large group of widows. Additionally, IF selected a smaller group of widows to receive vocational and entrepreneurial skills training tailored to the specific needs of their location. EIWT also provided on-going support and mentoring to "graduating" widows.

#### *Human Rights Advocacy Initiative (HRAI)*

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<sup>1</sup> <http://www.iraqfoundation.org/projects/>

From May 2008 – November 2010, IF conducted the Human Rights Advocacy Initiative (HRAI) project. The goal of the project was to empower Iraqi human rights leaders in civil society to be better advocates for human rights. The Iraq Foundation implemented a basket of initiatives designed to consolidate Iraq's budding human rights community into a strong, broad-based advocacy coalition pressing to hold the Iraqi government accountable for the state of Iraqis' civil and political liberties. The initiatives were designed and synchronized to be mutually enhancing and reinforcing.

#### *Mdaina Education Project (MEP)*

The Goal of the Mdaina Education Project (MEP) is to provide literacy training to illiterate and semiliterate adults and targeted computer training to small business owners and teachers as well as select technology personnel. In addition, a computer center was established, which hosted the literacy and computer training programs as well as serve the larger community of Mdaina as computer labs.

#### *Human Rights Defenders Network Project*

Under this grant, the Iraq Foundation carried out human rights monitoring, documentation, advocacy, and networking training for 15 Iraqi human rights NGOs. Following the training, the Foundation has established a Human Rights Defenders Network (HRDN) composed of the trained NGOs. The Foundation is currently assisting the members of the Network in public outreach and advocacy on a regional and national level.

#### *Human Rights Education Project*

This project aims to spread a basic understanding of universal human rights principles and practices among the people of Iraq. IF has established a Human Rights Resource Center (HRRC) in Baghdad in collaboration with the Iraqi Ministry of Human Rights, trained twenty trainers on the basic principles of human rights and international laws and conventions, and sponsored over 60 human rights education workshops across Iraq to date. In October 2006, IF started broadcasting radio programs as part of our efforts to broaden outreach, targeting a broader, more diverse audience across the country.

#### *Promoting National Reconciliation in Iraq Project*

#### *Training Iraqi Social Workers on Conflict Resolution Methods*

This project aimed to train Iraqi social workers on methods to mitigate family abuse and solve domestic conflicts peacefully. The project focused on women and children in the southern Iraqi Governorate of Basra

#### *Iraq Civil Society Program*

#### *(ICSP)*

Promotion of women's participation in all facets of public life in Iraq

#### *The Revitalization of Iraqi Schools and Stabilization of Education (RISE)*

#### <sup>1</sup> Situation Analysis

In order to activate the positive role of women in development and carry on the efforts undertaken by the government : increasing women's participation in economic and political life, eradicating all types of discrimination against women and achieving gender equality.

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<sup>1</sup> MoP, NDP, 2013-1017

Demographic Statistics

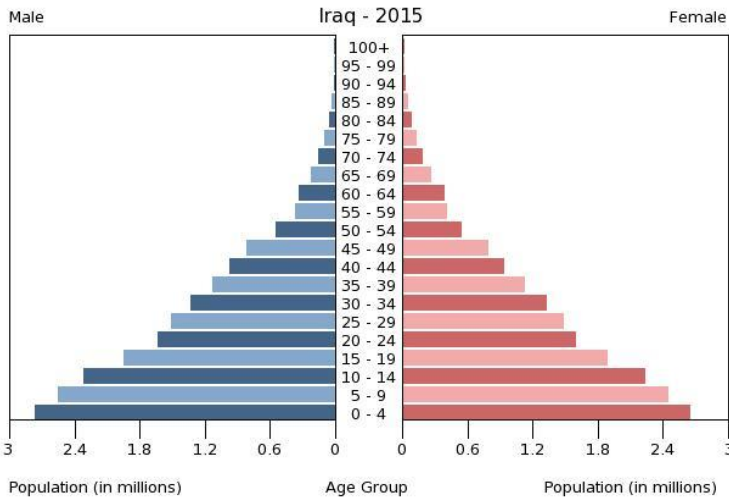
**<sup>1</sup>IRAQ GEDER OVER VIEW**

A population pyramid illustrates the age and sex structure of Iraq

item	total	Male	Female
Population	37,056,169	18,711,907 (50.5%)	18,344,262 (49.5%)

Age structure

years	Percent	Male	Female
0-14	40.25%	7,615,835	7,300,957
15-24	18.98%	3,576,740	3,454,768
25-54	33.49%	6,276,669	6,132,968
55-64	3.95%	693,629	771,624
65 <	3.33%	549,034	683,945



The population is distributed along the horizontal axis, with males shown on the left and females on the right. The male and female populations are broken down into 5-year age groups represented as horizontal bars along the vertical axis, with the youngest age groups at the bottom and the oldest at the top. The shape of the population pyramid gradually evolves over time based on fertility, mortality, and international migration trends.

Population growth rate:	2.93% (2015 est.)
Birth rate	31.45 births/1,000 population
Death rate	3.77 deaths/1,000 population
Net migration rate	1.62 migrant(s)/1,000 population
urban population:	69.5% of total population (2015)

<sup>1</sup> <https://www.cia.gov/library/publications/the-world-factbook/geos/iz.html>

Major urban areas - population:

Governorate	population
BAGHDAD (capital)	6.643 million
Mosul	1.694 million
Erbil	1.166 million
Basra	1.019 million
As Sulay maniyah	1.004 million
Najaf	889,000

Sex ratio:

years	Males/female
at birth	1.05
0-14	1.04
15-24	1.04
15-24	1.02
55-64	0.9
65<	0.8
Total population	1.02

Maternal mortality rate:

Maternal mortality rate: 50 deaths/100,000 live births

Infant mortality rate total: 37.49 deaths/1,000 live births

male 40.6 deaths/1,000 live births  
female 34.23 deaths/1,000 live births

Life:

Life expectancy at birth	total population	74.85 years
	male	72.62 years
	female	77.19 years
Total fertility rate	4.12 children born/woman	
Contraceptive prevalence rate	52.5% (2011)	

Health expenditures:

Health expenditures 5.2% of GDP (2013)  
Physicians density 0.61 physicians/1,000 population (2010)

Hospital bed density 1.3 beds/1,000 population (2012)

Drinking water source

improved	urban	rural	total
	93.8%	70.1	86.6%
unimproved	: 6.1%	31.5%	14.6%

Literacy definition: age 15 and over can read and write total population: 79.7% male: 85.7% female: 73.7% (2015 est.)

Child labor - children ages 5-14 total number: 715,737 percentage: 11% (2006 est.)

### *The Education Domain*

Illiteracy rates are still high among the population but are even higher for women.

Recent surveys show correlation between age and the increase of female illiteracy rates that reached 16% for the age group 12 to 19 and around 20% in the 20 to 39 age group and 67% for women aged 50 years old and above.

The academic achievement of women declined. Around 22% of women cannot read or write and more than one third of the female population did not finish their academic path after primary education. 18% of women finished their preparatory or higher studies.

1Most of rural people do not educate their girls or make them leave school which is known as education leak, more than half of women never finished their education because their parents not allowed them to attend school this need to make household be aware of women role in community. Result of I-WISH for 2011 showed that women aged (15-54) not complete their education (28.9%) and (24.4%) of women willing to complete their education and (30.4) of women willing to attend illiteracy.

Illiteracy registered higher rates in rural areas than in urban regions.

The gender gap in primary school enrollment is wide since male enrollment registered 96% compared with 88% for females. This gap becomes narrower in the intermediate stage and is totally bridged in preparatory education where enrollment rates register 21%.

### *The Health Domain*

There are no gender disparities in the health sector in Iraq since health services are available for both sexes and at the same level and with a gender-based focus, except for the increase in breast cancer cases that affect women. 35% of Iraqi women suffer from breast cancer according to the registered cases in the Ministry of Health. On the other hand, there is a correlation between the reproductive health of women and their education level in terms of vaccinations, visits to neonatal clinics and whether they give birth under medical supervision.

### *The Social Domain2*

The percentage of female-headed households declined from 11.5% to 7.7% in 2011.

The average age of marriage for women decreased from 23.5 to 22.4 years in 2011. The percentage of women who got married before the age of 18 increased from 22.6% in 2006 to 24.2% in 2011. This negative indicator led to a rise in divorce rates in this category.

Divorce rates in Iraq grew sporadically from 28690 cases in 2004 to 59515 cases in 2011 an increase of more than 100%. This shows the deterioration of the quality of social life in the country.

Marriage rates in Iraq declined from 262554 cases in 2004 to 230470 cases in 2011, registering a reduction rate of 12.2%. This is due to the increase in marriage expenses and the complicated social life, education and other.

Many women are still facing all types of violence: 46% of girls aged between 10 and 14 years old were subject to violence by one of their family members and around 36% of married women suffer from one of the types of psychological violence in marriage.

### *The Economic Domain*

The rate of female participation in economic activity declined from 14.2% in 2003 to 13% in 2011. The participation rates vary between genders per geographic area. In rural areas, it registered 14% compared with 75% for males and in urban areas the female participation rate registered 13% compared with 76% for males.

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<sup>1</sup> CSO, Status of Rural Women in Iraq 2014

<sup>2</sup> Iraq Household Socio-Economic Survey - IHSES FOR 2012

The gap between female and male participation in the labor market in urban areas grew wider in comparison with rural areas with 60.6 % of the economically active population in urban regions and 57.7 in rural regions in 2003. This rate declined to 57% in urban areas and to 51% in rural areas in 2011.

Around 11% of women aged between 15 and 54 are involved in paid employment and this percentage increases to 12.8% in urban areas and decreases to 6% in rural regions.

#### *Participation*

Despite the obvious increase in female parliamentary seats in Iraq after 2003, the percentage of women in parliament declined in the current cycle to reach 25% after it had registered 27.3% in 2007. Female representation in government declined from six female ministers to only one.

Women's participation in elections decreased from less than the half in 2005 to more than two thirds in 2010. Female participation in governorates' councils also grew by 45%.

Women's participation in the Iraqi community declined since less than one woman out of ten is enrolled in a social club or forum, trade union, political party or women's association.

Despite the fact that Iraqi legislations and laws do not discriminate between women and men in all different fields including leading or senior positions, cultural and social factors are still the main determinants of said roles.

The percentage of female decision-makers increased to reach 9 director general positions in the Ministry of Planning, 33 expert positions in the Ministry of Power and rates vary in other ministries.

#### *Challenges*

Despite the achievements accomplished by Iraqi women in all aspects of life, they are still facing major challenges, including:

Cultural and social values impose restrictions on women's participation, work and movement, under a patriarchal masculine culture dominated by men and where women are subordinates.

The level of women's education and training opportunities is low. They have limited chances to participate in politics and have been deprived from entering specific areas of work for a long time. Moreover, the burden and pressure carried by women at home and in work grew larger.

Despite the participation of women in public life, this does not guarantee their autonomy and equality with men. Women are not participating effectively and actively in most of the legislative, judicial and executive powers.

The typical Iraqi household's perception of the type of work suitable for women is still traditional to a large extent. Government jobs are the most desired and preferred type of employment. Many women still suffer from unemployment and from lengthy job searches and consequently, more women are working marginal jobs and in informal labor markets.

Women's participation in economic activities is weak, especially in rural areas where many women work without getting paid which affects the developmental role played by women and their social status.

At present, NGOs provide support to victims of domestic violence. However, women's rights NGOs seeking to provide support services to victims of domestic violence face significant bureaucratic hurdles.

#### *Recommendations*

This report finds that a good availability of gender based-disaggregated data in the related gender development sectors, the approach for generating gender disaggregated data and indicators, especially CSO in coordination with gender statistics units within the ministries' and Governmental administrations, produce sex based-disaggregated data.

The recommended priorities for the relevant parties are: -

The specific importance of statistical departments, is the MoA. besides, the extension department efforts to rise the awareness about knowledge regarding gender concepts between staffs and the farmers.

Capacity building programs should be developed and implemented for the relevant ministries and stakeholders, especially for MoA Staff and the agricultural extensions staff, on gender issues and on how to mainstream gender at the various stages

The importance of updating the (Status of Rural Women in Iraq 2014) produced by CSO, on yearly bases and looking for the ability to extent it to include the status Iraqi women in general

CSO, as the governmental body responsible for generating national statistics should encourage the dialogue between the women NGOs and the related research institutions and media to more better understanding of gender issues and bridging the gaps

Integration of gender analysis approaches diagnosing and targeting the real constrains in rural and urban areas to help policy and decision makers.

The importance of enhance the economic role rural women by maximizing her income from agriculture by adopting chain value of her agriculture production

Coordination is an important aspect of gender mainstreaming. Although the overall responsibility for gender mainstreaming is collective and institutional, each organization

Women's increased access to educational and training opportunities not only increases their participation in the labor force but also expands the range of occupational options available in the market. The vulnerability of poor women in Iraq is closely linked to illiteracy and low levels of education. Thus, adult literacy programmes must form part of gender mainstreaming efforts;

There is a need to create awareness for women and men to venture in the 'non-traditional' and stereotyped careers e.g. Females drivers and male Secretaries in the sector, through affirmative action. This could be achieved through systematic gender capacity building at all levels to create understanding and appreciation. In addition sufficient resources should be provided for gender issues;

Make use of media to enhance women's role in peace building. Media continues to dominate as a powerful messaging tool in the post conflict environment. Engaging men and women in media (print, television, and radio) training on the important role women can play in peace building is a vital innovative tool.

*Finally, it is important to find official (governmental) as national body instead the cancelled SMOWA to lead the responsibility and adopting of women's advancement strategy and gender equality*

## Orientalism and Ottoman Modernisation in the Discourse of Postmodernism

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### Abstract

If Orientalism is the critique of modernity, it can be rather considered in a postmodern discourse. New phenomena of global politics, changing moods of mind and cultural discourses again make Orientalism a topical subject. The East has always meant contrast for the West. Yet has it always meant the same? One should particularly note herein a philosophic approach to the problem is necessary instead of the usual and conventional political one, which mostly expresses a unilateral traditional characteristic of Orientalism and interprets it accordingly. There is an opinion Orientalism makes up a paradigm to study non-European histories and cultures using approaches coming after structuralism and postmodernism. As modernized, the East meets/clashes the West while there is no such an opposition in postmodernism, but is co-existence, which echoes the opposition characteristics of Orientalism, unlike the traditional one. At the same time, when analyzing orientalist works, we often see not a unilateral, but a synthesized approach e.g in those by Turkish one, Hamdi. In any case, many panels by orientalist artists represent combinations which follow a well-known postmodernist motto, *both that and the other*, unlike the modern world's modernist logic, *either that or this*.

**Keywords :** postmodernism, Orientalism, modernization, discourse, dialogue.

### 1. Introduction

Today's western art studies connect the critical approach of the orientalist painting to the idea of alienating and constructing the East in the European paintings. Turkish art experts do not categorize few Turkish orientalists as the school representatives due to some elements in their pictures, most likely explicable as a result of differences between the Ottoman society and other Eastern ones, and e.g pictures by Hamdi are defined as *thoroughly composed essays about the Ottoman society created in the Western way*<sup>1</sup>. It seems rather natural for the orientalists, who remained modern people in terms of their habits and mode of life and invented their personal East; the painters were a part of the cultural environment they depicted, the part logically generated by the local tradition historically developing.

In the 15th-17th centuries, the Ottoman Empire represented a cultural space mixing artistic traditions seemingly impossible to combine, which made the Ottoman culture extremely receptive and open for influences. Ornamental motifs are the examples thereof, which may provide for an impression that Ottoman artists wanted to try all and at once, which also echoes with postmodernism. With its natural beauty and architectural sights, Istanbul served a fairy-tale decor for the 19th century's orientalist painters. Not only does Orientalism include a prejudicial western look at the East, but also how this prejudice gradually changed. Meeting fine beliefs and lifestyles where western artists came, full of fairy-tale expectations, along with cultural transforming the empire brought to some thinking stereotypes destroyed, points of view changed and artistic experiences enriched<sup>2</sup>.

The discourse based on the East – West opposition borrows typological perceiving the Orientalism history<sup>3</sup>. Because such important topics as the dialogue of cultures make up today's agenda, one can't help agreeing the following words by E.Said,

<sup>1</sup> Displaying the Orient: Architecture of Islam at Nineteenth-Century World's Fairs. Berkeley – Los Angeles – Oxford, 1992. P. 40-41

<sup>2</sup> Germaner, Semra (2007), "Orientalizm ve Osmanlı Modernleşmesi", *Uluslararası Orientalizm Sempozyumu 9-10 Aralık 2006*, 1. bs. İstanbul: İstanbul Büyükşehir Belediyesi Kültürel ve Sosyal İşler Müdürlüğü Yayınları, p. 309.

<sup>3</sup> Keyman, E. Fuat (2007), "Edward Said ve Bir Modernite Eleştirisi Olarak Orientalizm", *Uluslararası Orientalizm Sempozyumu 9-10 Aralık 2006*, 1. bs. İstanbul: İstanbul Büyükşehir Belediyesi Kültürel ve Sosyal İşler Müdürlüğü Yayınları, s. 129;



these two geographical essences support and to a certain extent reflect each other<sup>1</sup>. Using Said's postulate, *it is the East the West includes as a part (and vice versa)*, one could wonder in this prism if those who were painting on European history could be inventing the West in this way. After all, we often face an orientalist project and style (using Said's terminology) in the pictures, which represents a synthesis of the imagined West and East, organic due to mental distinction between the West and East, which we have tried to show through the analysis of art pieces.

If Orientalism is the critique of modernity (Keyman, 2007: 119), then it can be rather considered in postmodern discourse. New phenomena of global politics, changing moods of mind and cultural discourses again make Orientalism a topical subject. Today, when Orientalism again excites researchers, it is necessary to consider and understand the image of the East which has remained in consciousness. (Çınar, 2007: 6-7). The East has always meant contrast for the West. Yet has it always meant the same? (Sunar, 2007: 34). One should particularly note herein a philosophic approach to the problem is necessary instead of the usual and conventional political one, which mostly expresses a unilateral traditional characteristic of Orientalism and interprets it accordingly.

## 2. Research Methods

### 2.1 Methodology

There is an opinion Orientalism makes up a paradigm to study non-European histories and cultures using approaches coming after structuralism and postmodernism. (Hentsch, 1992; O'Hanlon & Washbrook, 1992). As modernized, the East meets/clashes the West while there is no such an opposition in postmodernism, but is co-existence, which echoes the opposition characteristics of Orientalism, unlike the traditional one. At the same time, when analyzing orientalist's works, we often see not a unilateral, but a synthesized approach e.g. in those by Turkish one, Hamdi. In any case, many panels by orientalist artists represent combinations which follow a well-known postmodernist motto, *both that and the other*, unlike the modern world's modernist logic, *either that or this*.

Today's western art studies connect the critical approach of the orientalist painting to the idea of alienating and constructing the East in the European paintings. (Osmanskaya Imperiya, 2007).

According to Turkish scientists, the given position does not apply to Hamdi's works; simultaneously ornaments of orientalist stylistics are visible in his pictures. (Osmanskaya Imperiya, 2007). Turkish art experts do not categorize few Turkish orientalists as the school representatives due to some elements in their pictures, most likely explicable as a result of differences between the Ottoman society and other Eastern ones, and e.g. pictures by Hamdi are defined as "carefully composed essays on Ottoman society, expressed in a Western vocabulary". (Çelik, 1992: 40-41). It seems rather natural for the orientalists, who remained modern people in terms of their habits and mode of life and invented their personal East (Osmanskaya Imperiya, 2007); the painters were a part of the cultural environment they depicted, the part logically generated by the local tradition historically developing.

The European artists-orientalists used the certain form for the description the Near and Middle East. Some Turkish painters including Hamdi, have adopted this form of representation. Thus, the details of "Eastern life" in these works were described precisely enough while the East appeared as sensual, apathetic, stiffened in the Middle Ages. Hamdi is criticized for absence of the image of Ottoman Turkey and for adopting the sight from the outside.

In the 15th-17th centuries, the Ottoman Empire represented a cultural space mixing artistic traditions seemingly impossible to combine, which made the Ottoman culture extremely receptive and open for influences: the Arab East, the Christian West, China, Persia, and India. The Ottoman twiddle represents a simultaneous combination of different components, at the same time was eclectic. Ornamental motifs are the examples thereof, which may provide for an impression that Ottoman artists wanted to try all and at once, which also echoes with postmodernism.

What is the place of these pictures in our orientalist visual culture of the 19<sup>th</sup> century? If to take into account the exchange which has been carried out between Ottoman Turks and orientalists at this period there is a question how examples of this interaction can throw down a challenge to our understanding of a role of visual culture? (Roberts, 2007: 270).

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<sup>1</sup> Саид, Э.В. Ориентализм: Западные концепции Востока, Санкт-Петербург 2006, с. 12.

Edward Said provides to us a prism in which we can consider these noted questions. Said's works began to encourage new interpretation orientalist visual culture. He did not write about art. His works, however, offer us model for reflection on how the Western visual culture, according to him, has left its trace in discursive field of Orientalism. From Linda Nochlin's tremendous essay, published in 1983 and being the first transposition of Said's "Orientalism" on history of art, Said's works have taken the form of the important project to analyze and criticize the East in imagination of the West. (Nochlin, 1983: 118-31, 187-91). Recently, art historians ... have reacted to this call by revision of an exchange of cultural forms between local and European artists. (Roberts, 2007: 270-271).

## 2.2 Findings

The western people of art running from negative influence of industrialization in the 19th century and beginning to reconsider Western values, considered the East as a place where they could satisfy the melancholy on natural and pure, interest in exotism, and ennobled it. Ottoman Empire due to rich culture and wide territory in region of Middle East has become focus of attention of the Western critics in different art forms: from literature to painting in this century. (Gemraner, 2007: 299).

During this period many western people of art have a possibility to travel the East, and they face Islamic culture which dominates in this region during these trips and its material products. In memoirs of wandering authors and people of art the countries visited are described with exciting delight; however, customs and traditions seem unusual and are criticized. This point of view is also expressed in art. Traveling artists of the 19th century transfer the illusions, delight, amazement, and criticism on to canvases. (Gemraner, 2007: 299).

In the 19th century Europe it is possible to tell about the collective world of Eastern dreams. People of art and travelers as proof of privileges of visiting Eastern country, often dressing local clothes, ordered the portraits, were photographed, wanted to become a part of the imagined East, getting a new image. (Gemraner, 2007: 300).

With its natural beauty and architectural sights, Istanbul served a fairy-tale decor for the 19th century's orientalist painters. (Germaner, 2007: 304).

Images of Istanbul, capital of Ottoman Empire were one of leading themes of artists-orientalists. These city landscapes of the European artists seeing in painting harmony of Islamic architecture with natural beauty were works of art, at the same time they were of great importance as separate documents. Really, before occurrence of photo and Turkish oil painting we knew Istanbul from these drawings and engravings. Art people representing within the limits of an everyday life monuments of Istanbul, types and ceremonies, in their works survives to this day geographical and social topography which is lost today. There were, however, the artists who have visited Istanbul, but collected pleasant picturesque corners of the city by means of concept "capriccio" in one picture, along with the artists representing panoramas of Istanbul, without having visited a city, copying from photos and engravings and first of all intending to reflect east atmosphere. (Inankur, 2007: 287)

The term "capriccio" meaning in Italian caprice or imagination, from the 18th century is used for the characterizing the architectural imaginations in which real and imagined constructions co-exist under picturesque conditions. "Capriccio" in XVIII century has turned to one of the most favorite kinds of painting which the notable and rich tourists going to the big travel to Europe to be experienced a little more life and knowledge, after returning to the countries, bought most of all. Artists-orientalists of the 19th century also have borrowed this genre, in pictures sometimes gave a place imagined constructions along with real ones, sometimes transferred to the excellent environment real designs and subjects and connected in any way. The most important reason for such choice of orientalists was to respond to image of the East which has remained in consciousness of the European clients, having shown as far as possible exotic and excellent components together. (Inankur, 2007: 288).

Although components in these pictures which are defined under the name "capriccio" are collected together in an arbitrary way inside not always true from the point of view of history and atmosphere of the main theme (Denny, 1993: 221), reality in each component gives entirely certain «real effect» and persuasiveness to construction. These boards present to Europe the exotic city of Istanbul which Europe wants to see. It is interesting that demand for these pictures of Istanbul that are not absolutely real, but making a real impression, was higher than those where there was truer description of validity. (Inankur, 2007: 298).

If we consider pictures of orientalists as a whole, it appears that some Western people of art create their works examining life of Eastern society through social criteria. These paintings based on biases, prospective phenomena, and on imagined

show how the western people of art in their way characterize the East and make conclusions about the Eastern society. These people of art try to describe scenes to which they are accustomed in Christian European society, hence, that seemed to them excellent and amazing. This is an interesting and attractive aspect of works. In the pictures the worlds of men and women are divided, even the men represented in the work environment, shown in slower vital rhythm, rather than in the West. (Germaner, 2007: 301).

There are scenes of bath, harem, slave bazaar where the women play a leading role, some images of punishment and battles, violent scenes in pictures. All these pictures are examples exaggerated and based on demand of the consumer. These works deserve real "orientalist" characteristic. It will be possible to comment upon these works from the ideological point of view. (Germaner, 2007: 302).

Orientalist works include not only ideological distortions. Often, they may also contain true information. Some people of art which have visited Eastern countries, living in this geography for a while and knowing these countries, have drawn landscapes, described scenes from life in this territory. In these examples the basic two features are emphasized. First is natural beauty of a place where the picture has been drawn, a climate, exotic plants, and ethnic wealth. The second is a structure of a city or acquaintance with antique and Islamic works. (Germaner, 2007: 302).

These works are the examples bearing the information, and they have played an important role in representation of the Islamic world and art to the West. Hence, if we can tell about a part of orientalists' pictures that they tried to reflect a radical difference between Eastern cultures, lifestyle and the West, "uncivilized" in accordance with Western standards, but at the same time mysterious (mystical) in them, then examples of different types of landscape thus are not estimated. (Germaner, 2007: 302).

Interest in the East was in fashion in the 18th century, and began to grow to a greater extent, pursuing political ends in the 19th century. (Germaner, 2007: 303).

The works connected with Ottoman painting and patronage to art, revision of interaction between Ottoman Turks and orientalists in Istanbul in 19th century, have played the central role in reevaluation of this area. (Germaner & Inankur, 2002; Çelik, 2002: 19-41). These two directions in discussions about art history have made Said's Orientalism opening new horizons their pivot. However, neither Said's book marked a turning-point, nor its literary works, have not introduced the alternative approach to questions concerning intercultural exchanges, as that he has written about music. (Roberts, 2007: 271).

Choice of the exotic or "mystical" East as the main theme of the works by the western people of art for the ideological reasons or as a source of good profit during this period when Ottoman Empire on reforms addresses to the West, is interesting coincidence. The face of Empire beginning to Westernize has provoked considerable disappointment in people of art and travelers. Ms. Pardoe criticizing changes in clothes of Mahmud II expresses her disappointment at the sight of almost everywhere the ugly and senseless tarboosh which have almost completely replaced dazzling muslin and cashmere turban, and condemns adopting a bad semblance of the European clothes deprived of elegance. (Pardoe, 1999: 4).

In these years, however, expectations in Ottoman Empire opened to the Western influence in the politic and economy as well in art are different. While some European people of art came to this country at their own expense to create orientalist works, others has been invited and authorized by the palace. The Ottoman sultan and Tanzimat pashas, as well as European heads and statesmen wanted to perpetuate their image, give orders to these artists. (Germaner, 2007: 304-305).

Such people of art as Pierre Désiré Guillemet, Stanislaw Chlebowski, Louis Acquarone, and Fausto Zonaro have conferred a title of "the palace artist". Such artists as Alberto Pasini, Ivan Konstantinovich Aivazovsky, Rudolf Ernest also received orders from the palace and Ottoman bureaucrats. These people of art, besides orders, have become famous as artists-orientalists for their pictures from life of Ottoman Empire, exhibited in halls of Paris and London. (Germaner, 2007: 305).

A considerable part of orders of a palace to the Western artists coming to Istanbul is the scenes of ceremonies showing innovations in army and clothes. After the reforms which have been carried out by Mahmud II in clothes, it began to be observed that these ceremonies became much simpler in comparison with the past. It is frequently observed that the sultan and other officials are dressed in tarbooshes and uniforms, however women and men, come to observe a train or parade are dressed in traditional clothing. These pictures showing Ottoman sultan, urban population in authentic clothes, Eastern architecture with a mosque and springs, on the one hand, have orientalist features, on the other hand, are the first illustrativ e

documents of the society which are in process of transformations. Besides, these examples provide information on changes in the clothes, being the first displays of Westernization movement, and wearing clothes of new style by statesmen and military men. (Germaner, 2007: 306).

Theme of pictures also is Ottoman army reorganized according to the Western models and a modern education system. (Germaner, 2007: 307).

This tangle of relationships and collisions in the 19<sup>th</sup> century can be characterized as examples of mutual relations between cultures of the East and the West and as one of the ways leading to Western modernism. (Germaner, 2007: 309).

### 3. Results and Discussion

Said's "Orientalism" in which he establishes a look of the West at the East, has expanded sphere of influence of social thought. (Çinar, 2007: 6).

On the other hand, his concepts and form of analysis offers new possibilities for different solution of relations between civilizations which we often face in present period. There is a wide variety of Orientalism indicators, which is not limited to only intellectual sphere. This variety includes such areas, as architecture, art, literature, music, and theology. (Çinar, 2007: 6).

Not only does Orientalism include a prejudicial western look at the East, but also how this prejudice gradually changed. Meeting fine beliefs and lifestyles where western artists came, full of fairy-tale expectations, along with cultural transforming the empire brought to some thinking stereotypes destroyed, points of view changed and artistic experiences enriched. (Germaner, 2007: 308-309.)

The discourse based on the East – West opposition borrows typological perceiving the Orientalism history (Keyman, 2007: 129). Because such important topics as the dialogue of cultures make up today's agenda, one can't help agreeing the following words by E.Said, *these two geographical essences support and to a certain extent reflect each other*. (Said, 2006: 12). Using Said's postulate, *it is the East the West includes as a part (and vice versa)*, one could wonder in this prism if those who were painting on European history could be inventing the West in this way. After all, we often face an orientalist project and style (using Said's terminology) in the pictures, which represents a synthesis of the imagined West and East, organic due to mental distinction between the West and East, which we have tried to show through the analysis of art pieces.

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## Project Implementation Factors and Performance of Jua-kali Empowerment Programmes in Nairobi, Kenya

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### Abstract

The purpose of the study was to examine how project implementation factors (provision of work-space facility, entrepreneurship training and promotion of products) influence the performance of Jua-kali Empowerment Programmes (JEP) in Nairobi County, Kenya. The study was rooted upon theory of constraints and system theory of organization. Both descriptive and correlational survey designs were used in executing the research inquiry. The targeted population was 327 beneficiaries of the JEP in Nairobi County. Using Krejcie and Morgan formula, a sample of 181 beneficiaries was selected. Both simple random sampling and purposive sampling were used to choose the sample elements. Data was gathered using structured questionnaires and informant interview guide. Descriptive statistics like percentages, arithmetic mean and standard deviation as well as inferential statistics regression analysis was used in data analysis. Pearson correlation analysis was used to test relationship between variables and regression analysis was applied in predicting the research model. The reliability of questionnaires was ascertained by Cronbach Alpha Coefficient of reliability (at 0.6668). Fisher (F) tested the research hypothesis at  $\alpha=0.05$  whereby,  $R= 0.563$ ,  $R^2= 0.317$ ,  $F(1,145) =5.192$  at  $P=0.000<0.05$ . Therefore, the null hypothesis was rejected as there was enough evidence to conclude that project implementation factors have significant influence on the performance of Jua-kali Empowerment Programmes. Hence recommendations were made to the implementors of Jua-kali empowerment programmes to ensure that the programmes are not only need based but also implemented in an integrated and coordinated approaches for effective realization of projected deliverables.

**Keywords:** workspace facility, entrepreneurship training, promotion of products, performance of Jua-kali Empowerment Programmes (JEP)

## 1. Introduction

### 1.1 Background

Across the globe, organizations are fast adopting project and programmes approaches towards satisfying their constantly changing clients' need. One of the emerging strategies being employed by governments and support organizations in empowering micro and small enterprises (MSEs) is by implementation of capacity building programmes (World Bank, 2013; Mbhele, 2012). However, for successful delivery of empowerment programmes, there is need to consider the most effective and responsive implementation approaches that help to overcome implementation challenges, competition, shortened product development life cycles and shortened delivery times in order to boost the deliverables, performance and institutional transformation (Hobbs, Aubry and Thuillier, 2008). The relationship between project implementation and performance is empirically supported in the context of customer needs, cost, scope, quality, schedules and risks factors (Teller and Kock, 2013). In support, Culligan, Marks, Nelson, Radstone and Verzuh (2013) claim that poor project operations coupled with failure to address existing and emerging project needs may lead to unresponsive intervention and results. In their study on the implementation factors having stronger impact on the project performance in Saudi Arabian, Rehman, Usmani and Al-Ahmari (2014) used a sample of 115 industry players and the results found significant correlation between project implementation and performance of projects. It follows that empowerment projects must be implemented in adaptive mode that continuously seeks to address the dynamic constraints that continue to hinder delivery of desired outcomes (Hallberg, 2000). This study examined the influence of project implementation factors namely: provision of working-space facility, entrepreneurship training and promotion of product on the performance of Jua-kali Empowerment Programmes in Nairobi County and how such relationship interacts with risk management practices.

### 1.2 Context of the Study

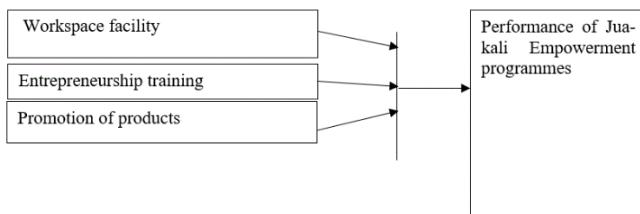
In Kenya, Jua-kali are micro and small enterprises (MSE) working in open spaces and adding value to the local raw materials and producing commercial commodities like metal products, textile products, wood products and other automobile accessories. Jua-kali Empowerment Programmes were government ran programmes aimed at building the capacities of the Jua-kali entrepreneurs into productive means through organized working places, training on entrepreneurship and promotion of their products (Republic of Kenya, 2013). Through this, the Jua-kali contribution to the employment, job creation, Gross Domestic Products, backward and forward linkages to other industries and sustainable wellbeing of the local community was expected to be in abundance. This is in support of The World Bank (2013) that MSE empowerment is not only transformatory but also critical aspect of boosting value chains towards the growth and expansion industry.

### 1.3 Problem Statement

Whereas over 3,836 Jua-kali entrepreneurs have benefited from the implementation of Jua-kali Empowerment Programme (JEP) in Kenya (Republic of Kenya, 2017), a study by KNBS (2016) dissipate that about 1.5Million MSEs are still not able to grow and graduate into bigger enterprises despite of such high capital interventions. The KNBS report cited low level of innovations and poor market feasibility as the major challenges facing MSEs towards optimum utilization of empowerment interventions which continue to limit their competitiveness (Kithae, Gakure and Munyao, 2012). While literature is limited with empirical rationale to support the case under consideration, this study strived to refill the gaps by examining the influence of project implementation factors on the performance of Jua-kali Empowerment Programmes in Nairobi, Kenya.

Figure 1 Conceptual Framework

Project Implementation Factors (Independent Variables)                      Dependent Variable



*Figure 1: Conceptualization of the relationship between project implementation factors and performance of Jua-kali Empowerment Programmes*

The overall objective of the study was to examine the influence of project implementation factors on performance Jua-kali Empowerment Programmes in Nairobi County.

## 2.0 Research Methods

### 2.1 Methodology

The study targeted the 327 beneficiaries of Jua-kali Empowerment Programmes in Nairobi County from which a sample of 181 elements was chosen using Krejcie and Morgan and simple random sampling. However, 10 implementors of JEP were selected for interviews using purposive sampling. Both descriptive and correlational survey designs were used to execute the research study. While descriptive survey design approach was helpful in describe and estimate the prevalence of phenomenon while providing a snapshot of the characteristics of interest, correlational design was utilized in correlational analysis between variables of interest (Best and Kahn, 2009). Both structured questionnaires and key informant interview guide were used to garner quantitative and qualitative data respectively. In this study, reliability of the questionnaires was tested using Cronbach's Coefficient Alpha method at acceptable levels of  $\alpha = 0.80$  (George and Mallery, 2003). The content validity was ascertained through matching and input from experts. Qualitative data from interviews were analyzed using content analysis and quantitative data from structured questionnaires analyzed using both descriptive statistics and inferential statistics (hypothesis tests). In addition, correlational analysis was administered using Pearson's Correlation Coefficient ( $r$ ). Prediction of the research model was aided by regression analysis and F-Fisher test was used to test hypothesis.

## Findings

### 2.2.1 Descriptive Results

Data from self-administered questionnaires were descriptively analyzed and results integrated with key informant interviews data. Three items (factors) (provision of workspace facility, entrepreneurship training and promotion of products) were developed in the self-administered questionnaire and respondents were then requested to indicate the extent to which they agree with the statements. They were given ten items rated on a five-point Likert scale with the following scoring ranging from; Strongly Disagree (SD)  $1 < SD < 1.8$ ; Disagree (D)  $1.8 < D < 2.6$ ; Neutral (N)  $2.6 < N < 3.4$ ; Agree (A)  $3.4 < A < 4.2$ ; and Strongly Agree (SA)  $4.2 < SA < 5.0$ . The mentioned scales give an equidistance of 0.8. Table 2.1 shows the mean (M) and standard deviation (STD) of the responses on the influence of the combined project implementation factors on performance of Jua-kali Empowerment Programmes.

*Table 2.1. Aspects of Combined Project Implementation Factors*

<i>Aspects of Project Implementation Factors</i>	<i>N</i>	<i>Mean</i>	<i>Std. Dev</i>
<i>The provision of workspaces</i>	145	3.9753	0.6648
<i>Entrepreneurship training</i>	145	3.9768	0.5698
<i>Promotion of products</i>	145	3.8720	0.6950
<i>Composite results</i>	145	3.9413	0.6432

N = 145, Composite Mean = 3.6676, Composite Standard deviation = 0.7458, Alpha Coefficient = 0.1914

As shown in Table 2.1, the overall composite mean (M) for promotion of product was 3.9413 and the overall composite standard deviation (STD) was 0.6432. The results imply that at  $M = 3.9413$  and  $SD = 0.6432$ , a majority of the respondents agreed that project implementation factors influence the performance of Jua-kali Empowerment Programmes.

The results in Table 2.1 are complimented by the results from the interviews whereby majority of the programme implementors (interviewees) conceded that the overall implementation the JEP programmes was not only "effective but also beneficial to the organization and the beneficiaries". For example, when asked to comment on the overall implementation of the Jua-kali Empowerment Programmes, majority of the interviewees responded that,



“the SMEs have greatly benefited from this programme. During the initiation of this programme, we had some startup problems in locating beneficiaries, deciding where to set up the programme (Kisumu, Nakuru or Mombasa) but after everything was agreed, the entire implementation and mobilization of resources and stakeholders has gone smoothly. We had a strong team with able leadership which saw the integration and coordination of the programmes components in a harmonious and effective way. To explain further, Jua-kali industry is full of biased politics. Politicians have invaded the industry. To run this programme for the last six years without a creep is full proof of incredible leadership and diligent workforce that we have. This programme should be replicated across all counties in Kenya”

Another interviewee said that, “the JEP programmes have evolved and based on lessons we learn on daily basis. We have strived to adapt to the changing user needs, changing technologies as well as the general industry needs so that we can optimize on our deliverables”. Programmes are quite evolving in order to strive to deliver an overall organization goal. That’s why even the JEP programmes have been evolving in order to adapt and deliver.

### 2.2.2 Multiple Regression Analysis between the combined project implementation factors (provision of work-space facility, entrepreneurship training, promotion of products) and Performance of Jua-kali Empowerment Programmes

The contribution of the combined project implementation factors on performance of Jua-kali Empowerment Programmes was computed using regression analysis. The following hypothesis was formulated and tested:

#### Hypothesis Four

Hypothesis H<sub>0</sub>: There is no significant influence of combined project implementation factors on the performance of Jua-kali Empowerment Programmes.

Hypothesis H<sub>A</sub>: There is a significant influence of combined project implementation factors on the performance of Jua-kali Empowerment Programmes.

The regression model used to test the substantive hypothesis was as follows:

Performance of Jua-kali Programmes = f (combined project implementation factors)

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \epsilon$$

Where

Y: Performance of Jua-kali Empowerment Programmes

X<sub>1</sub>: Provision of work space

X<sub>2</sub>: Entrepreneurship training

X<sub>3</sub>: Promotion of products

β<sub>0</sub>: Constant term

β<sub>1</sub>, β<sub>2</sub>, β<sub>3</sub>, Beta coefficients

ε Error term

Data was analyzed and the regression results for the influence of the combined project implementation factors on the performance of Jua-kali Empowerment Programmes is presented in Table 2.2

**Table 2.2. Multiple regression results for Combined Project Implementation Factors on the Performance of Jua-kali Empowerment Programmes**

<i>Model Summary</i>									
<i>Model</i>	<i>R</i>	<i>R Square</i>	<i>Adjusted R Square</i>	<i>Std. Error of the Estimate</i>	<i>Change in R Square</i>	<i>Change in F</i>	<i>df1</i>	<i>df2</i>	<i>Sig. F Change</i>
1	.563 <sup>a</sup>	.317	.298	.24824	.050	17.696	3	142	.000

		Coefficients <sup>a</sup>				
Model		Unstandardized		Standardized	t	Sig.
		Coefficients		Coefficients		
		B	Std. Error	Beta		
	(Constant)	1.780	.427		4.167	.000
1	Provision of work space	.201	.066	.231	3.033	.003
	Entrepreneurship training	.436	.081	.411	5.392	.000
	Promotion of product	.123	.076	.119	-1.620	.021

Predictors: (Constant), provision of work space, entrepreneurship training and promotion of product

Dependent Variable: Performance of JEP

F (1,145) = 5.192) at p=0.000<0.05, r = 0.563, R- Squared = 0.317

The results in Table 2.2 indicate that at p=0.000<0.05, r = 0.563 and R square=0.317. With r = 0.563, it implies that there exists a positive slope between the independent variables (provision of work space, entrepreneurship training and promotion of product) and the dependent variable (performance of Jua-kali empowerment programmes). Overall F statistics was (F (1,145) = 5.192) this shows that there exists a positive correlation and the slope of the population regression line is not zero. Beta coefficients are as follows: provision of workspace facility is  $\beta_1=0.201$ , entrepreneurship training  $\beta_2=0.436$ , promotion of products  $\beta_3=0.123$  and constant  $\beta_0=1.78$ . Hence based on these findings the alternative hypothesis is accepted that there is significant influence of combined project implementation factors on the performance of Jua-kali Empowerment Programmes (JEP).

Using the statistical findings, the regression model

$$Y = \beta_0 + \beta_1X_1 + \beta_2X_2 + \beta_3X_3 + \epsilon$$

can then be substituted as follows;  $Y = 1.780 + 0.201X_1 + 0.436X_2 + 0.123X_3 + \epsilon$

The beta value implies that for a one-unit increase in the provision of work space, the performance of Jua-kali Empowerment Programmes (JEP) increases by 0.201. A one-unit increase in entrepreneurship training, the performance of JEP increases by 0.436 and one-unit increase in promotion of product, the performance of Jua-kali JEP increases by 0.123. This, therefore, confirms that combined project implementation factors have a significant influence on the performance of JEP.

### 3.0 Discussions, Conclusions and Recommendations

#### 3.1 Discussions

The results demonstrate that the implementation of Jua-kali Empowerment Programmes (JEP) was beneficial to the recipients who were the main respondents in this study. Majority of the beneficiaries (respondents) agreed that the implementation of the JEP was conducted in a manner that met their expectations. This is supported by the responses from the programme implementors who were interviewed on the same aspect and their responses affirmed that the JEP has evolved into a center of excellence in empowering SMEs. Regression analysis depicted that the combined projects implementation factors had a moderate positive relationship with the performance of the JEP. The findings support those of Rehman, Usmani and Al-Ahmari (2014) in their study to assess how operational factors impact on project performance in Saudi Arabia whereby leadership, proper coordination of activities and resources were found to have significance influence of project performance. In a study to examine the influence of government programmes on entrepreneurial development, poverty eradication in Nigeria by Ayoade and Agwu (2016) it was established that most government programmes supporting entrepreneurship failed due to weak management support and poor coordination approaches. Following effective coordination and integration of the JEP leading to beneficial results, the claim by Ayoade and Agwu (2016) is proven that if government steered empowerment programmes managed with diligence, then the end users and the government itself could realize positive impacts for the general good. This is echoed by Muhayimana and Kimemia (2015) in their findings from a study to examine how implementation of women entrepreneurs' support projects contributed

to the welfare of the beneficiaries in Rwanda and the results showed that the empowerment projects contributed up to 55% of the total welfare (increasing their revenue, monthly savings, expenditures, reduction and their working capital) of the beneficiaries. Such positive impacts were attributed to informed strategies and implementation approaches that saw effective coordination the projects.

A study to assess the factors influencing the Kenyan youth entrepreneurs towards the youth enterprise development fund in Gatundu, Kenya by Kanyari and Namusonge (2013), empowerment programmes were found to enable entrepreneurs to be accountable for business processes and success of the entire enterprise. However, poor coordination and inadequate capacity when implementing empowerment programmes and schemes for MSE development is the main hindrance to successful deliverables (Mwobobia, 2012). In this study, the beneficial deliverables were assured through establishment of strong and effective leadership and coordination mechanism that ensured full integration of the programme components and stakeholders while adjusting and adapting to suit the constantly changing environment. This is supported by theory of constraints which emphasizes on logical, flexible and systematic thinking when analysing cause and effects of issues and verifying the basic assumptions and alternatives for process improvement (Goldratt, 1986). The JEP was able to navigate the political environment and constantly changing user needs and technological changes through adoption Theory of Constraints approach by using suitable adaptive mechanism. Also, the implementation of the JEP was informed by system theory of organization which emphasize on coordination and integration of programme components and resources failure to which it may be difficult to deliver on the overall organization goals (Ahme, 1994; PMI, 2013). It was inevitable for the implementors of the JEP to ensure that the major components (provision of workspace facility, entrepreneurship training and promotion of products) of the JEP was in harmony. In an event that this was not accosted, then the entire programmes would not have lost stability and fail to deliver tangible benefits (Ahme, 1994).

### 3.2 Conclusion

The purpose of this study was to examine how the project implementation factors (provision of work space, entrepreneurship training and promotion of product) contributes to performance of Jua-kali Empowerment Programmes in Nairobi, Kenya. Three items were developed in the self-administered questionnaire and respondents were then requested to indicate the extent to which they agree with the statements. The composite mean (M) and composite standard deviation (STD) for the three items was 3.9413 and 0.6432 respectively. This showed that majority of the respondents agreed that project implementation factors influences the performance of Jua-kali Empowerment Programmes. The alternative hypothesis tested stated that there is a significant influence of project implementation factors on the performance of Jua-kali Empowerment Programmes. Results indicate that at  $F(1,145) = 5.192$ , the correlation was statistically significance at 95% confidence interval for  $p=0.000 < 0.5$ . The results from correlation coefficient ( $r = 0.563$ ) implied that project implementation had moderate but positive influence on performance of JEP. The results from coefficient of determination ( $R\text{ square} = 0.317$ ) suggested that project implementation factors explained 31.7% influence on the overall performance of JEP. This shows that the performance of empowerment programmes dependent on the factors upon which the programmes are implemented.

### 3.3 Recommendations

In order to enhance the responsiveness, implementors of empowerment programmes should dedicate their efforts in identifying and planning for the right needs to their clients. The needs need be updated regularly per the changing environment. Equally, there is essence of ensuring proper coordination and integration of the programme interventions for systematic delivery of the outcomes.

Also, governments should develop long-term entrepreneur development strategies outlining the relevant programmes and project interventions towards the realization of productive industries. The identification of the proposed projects and programmes need be supported by baseline information and reliable evidence to support informed decision making.

Future studies should focus on testing the findings in the broader range of empowerment programmes including women empowerment programmes, youth empowerment programmes etc. so as to derive results which can be generalized across the settings.

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